

FINAL 23.03.2016

# Learning and Sustainability Review

Civil Society Capacity Building for Preventive Anti-Corruption Measures in Reducing Emissions from Deforestation and Forest Degradation (2011-2013) and Reducing Emissions from Deforestation and Forest Degradation Governance and Finance Integrity Project (2013-2016)

Supported by the Norwegian Agency for Development Cooperation (NORAD)

Katja Pellini

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## Acronyms

<b>ALAC</b>	Advocacy and Legal Advice Centre
<b>BDS</b>	Beneficial Distribution Systems, Vietnam
<b>CSO</b>	Civil Society Organisation
<b>FCPF</b>	The Forest Carbon Partnership Facility
<b>KPK</b>	Commission for Eradicating Corruption, Indonesia
<b>NGO</b>	Non-Governmental Organisation
<b>NORAD</b>	The Norwegian Agency for Development Cooperation
<b>OCCD</b>	Office of Climate Change and Development, Papua New Guinea
<b>PAC-REDD</b>	Civil Society Capacity Building for Preventive Anticorruption Measures Project
<b>PFES</b>	Payments for Forest Environmental Services, Vietnam
<b>PGA</b>	Participatory Governance Assessment
<b>PNG</b>	Papua New Guinea
<b>REDD+</b>	Reducing Emissions from Deforestation and Forest Degradation
<b>RGFI</b>	Reducing Emissions from Deforestation and Forest Degradation Governance and Finance Integrity Project
<b>SABL</b>	Special Agricultural Business Leases, Papua New Guinea
<b>TI</b>	Transparency International
<b>TI-PNG</b>	Transparency International Papua New Guinea
<b>TT</b>	Towards Transparency, Vietnam
<b>UN-REDD</b>	United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries

## Key Terms

### Transparency International's Advocacy and Legal Advice Centres (ALACs)

provide free and confidential legal advice to witnesses and victims of corruption. Offering a simple, credible and viable mechanism for citizens to pursue their corruption-related complaints, **ALACs empower citizens** in the fight against corruption. ALACs also play a critical role in **identifying corruption hotspots** that demand reform or official action. Harnessing the powerful, real-life data gathered by ALACs on the consequences and mechanisms of corruption, Transparency International chapters **engage in strategic advocacy** to bring about systemic change in public policy and practice.

**Reference:** <http://www.transparency.org/getinvolved/report>

### The Reducing Emissions from Deforestation and Forest Degradation (REDD)

is a performance-based payment mechanism, where carbon is used to measure the success, which is then rewarded by carbon payments. REDD was developed to tackle global climate change and is also one proposed solution to the problem of deforestation and forest degradation. REDD is a financing mechanism that creates an alternative income source to extraction of carbon from forests from logging and conversion of forests.

The “+” symbol (REDD+) indicates that this proposed solution should also deliver social and environmental benefits that can not be measured with the stored forest carbon. Success in this requires other “yardsticks”, such as compliance to a list of REDD+ “safeguards”, which in turn are similar to the integrity of forest governance and finance in general.<sup>1</sup> All sectors, not only the forest sector, should be part of the solution when delivering corruption-free REDD+.

**Accountability** means ensuring that officials in public, private and voluntary sector organisations are answerable for their actions and that there is redress when duties and commitments are not met.

**Corruption** is generally viewed as “the abuse of entrusted power for private gain”. Corruption can be classified as grand, petty or political, depending on the amount of money lost and the sector where it occurs.

**Integrity** connects to behaviours and actions consistent with a set of moral or ethical principles and standards embraced by individuals, as well as institutions, that create barriers to corruption.

**Transparency** is about shedding light on rules, plans, processes and actions. It is knowing why, how, what and how much. Transparency ensures that public officials, civil servants, managers, board members and businessmen act visibly and understandably, and report on their activities.

**Reference:**

[http://www.transparency.org/whatwedo/publication/the\\_anti\\_corruption\\_plain\\_language\\_guide](http://www.transparency.org/whatwedo/publication/the_anti_corruption_plain_language_guide)

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<sup>1</sup> Safeguards include, but are not limited to, consistency of national policies and programs with international agreements, transparent and effective national forest governance structures, respect for knowledge and the rights of indigenous people and local communities, full participation of stakeholders, protection of natural forests and biodiversity, permanence, avoiding leakage.

## Executive Summary

The freedom of Transparency International (TI) chapters to conduct their own priority setting and planning in the Reducing Emissions from Deforestation and Forest Degradation (REDD) Governance and Finance Integrity (RGFI) project has led to three very different end results in the three countries reviewed. It is a good platform from which to develop new activities in each country, based on local abilities and opportunities.

In **Papua New Guinea**, the impact of RGFI is interwoven with the impact of the Advocacy and Legal Advice Centre (ALAC). The partnership with the legal advice team meant TI could connect directly with the affected communities and feed information into national-level policy discourse.

All chapters conducted successful outreach, but in TI-Papua New Guinea (PNG) this was the main strategy throughout the RGFI project. The impact of this strategy became apparent towards the end of the project, when affected communities raised complaints on corruption cases connected to REDD+ implementation.

TI-PNG has built a good relationship with all mandated agencies and has shown its capacity as a convening power among civil society organisations. However, most importantly, TI has identified new options for tackling problems connected to the Special Agriculture and Business Lease (SABL) scheme that is seen as a key driver of deforestation in the country.

In **Vietnam**, grievance mechanisms added a new dimension to the national-level REDD+ discourse. The pilot activities of Towards Transparency (TT)-Vietnam in Quang Binh, Lam Dong and Lao Cai provinces showed that the chapter was very innovative in seeking solutions to locally nominated and defined problems, and then connecting them to the national-level discourse on developing REDD+ safeguards.

The tested feedback mechanisms also led to tangible results locally, when the local governments addressed community complaints and changed the institutional process of forest finance to be more transparent and inclusive.

TT's efforts to share lessons from the piloting could potentially have a bigger impact on changing Government institutional processes beyond the target areas. If practices tested in the RGFI spread, communities outside the target area will have an interest in monitoring and seeking redress for corruption and mismanagement in forest finance programs, such as Payments for Forest Environmental Services (PFES) and REDD+.

In **Indonesia**, the impact of RGFI comes from collaborative work of NGO coalitions in raising anticorruption messages to the national REDD+ and forest governance policy agenda.

Nevertheless, the work connected to the national REDD+ policy development ended when the agency carrying out the work was dissolved at the beginning of 2015. This gave TI-Indonesia an excellent opportunity to raise public discussion on the integrity of already disbursed REDD+ preparedness funds, where millions of dollars have been spent on REDD preparedness, but implementation of the already adopted policies remains unclear. However, the RGFI Project did not use this momentum to connect global work on the integrity of REDD+ financing to the possible case study from Indonesia.

TI-Indonesia's contribution to changing behaviour and institutional processes at the sub-national level, and particularly the success in Jambi, where the local Forest Service has changed its operational practices on licencing to be more transparent and accountable, depends on the sustainability of initial results achieved locally.

Many of the tangible results of the RGFI project, achieved towards the end of the project, need targeted follow up to support sustainability. Chapters will either need new funding to carry on these results, or consider how their NGO partners can garner support to continue the work. Fundraising is connected to strategic planning, and recent general changes in TI's planning link to the sustainability of the results achieved during the RGFI. Chapters need to clarify what the changes in strategic planning mean to their fundraising strategies, and how, besides planning more independently, they could raise funds independently to demonstrate real tangible behaviour, policy or institutional change when the support from the project ends.

Chapters have different ways of approaching this.

- In **Papua New Guinea**, the chapter is actively seeking other funding sources. It also has a clear strategy to "sell" its expertise at the national level and connect with national institutions mandated to implement REDD in the future, to provide its services.
- In **Vietnam**, a strategic decision was taken prior to this review to discontinue the REDD+ related work of TT-Vietnam. Nevertheless, the results of the RGFI on locally adapted strategies in supporting complaint handling will be relevant for TT-Vietnam in shaping the projects implemented through the new TT-legal advice centre.
- In the case of **Indonesia**, the future seems more open. The recently achieved results in two target provinces, Central Sulawesi and Jambi, show a need to continue to strengthen the sustainability of the partnerships initiated during the RGFI project. Connecting the results from work at the sub-national level clearly to national-level policy and advocacy work will help TI-Indonesia move forward.

One clear lesson learned from the implementation of the RGFI is that it is difficult to talk about "the corruption risks in REDD+" at the local level if carbon payments are not operational and REDD+ implementation does not influence the lives of the people who depend on forest resources. REDD+ is not a tangible problem to them. It is good to keep in mind that REDD+ as a financing mechanism is only one proposed solution to deforestation and forest degradation, while corruption is connected more widely to the underlying causes of forest destruction.

Understanding **the need for anti-corruption advice** and how it connects to the tangible problems that partners, either in government, civil society or the private sector, want to solve will assist TI to position itself among the other organisations supporting the integrity of REDD+, forest finance and governance. Building clear strategies based on demand from partners will also help demonstrate the specific contribution of TI to changes in behaviour and policy implementation at the end of the project.

## Key Recommendations

These country specific recommendations, together with broader set of suggestions are described more in detail in the **Chapter 5**.

### Papua New Guinea

1. Use the momentum to define a clear role for TI-Papua New Guinea (TI-PNG) as an expert organisation providing technical advice and evidence to the national level REDD+ policy process.
2. Align REDD+ key strategies with the ALAC strategies connected to the Special Agriculture and Business Lease (SABL).
3. Conduct participatory research and review the integrity of existing and planned REDD+ projects selling carbon credits.
4. Explore the possibility of working directly with the private sector/logging companies on integrity issues.

### Vietnam

1. Document approaches and strategies that facilitate locally adapted feedback mechanisms and make these smart practices building blocks of the planned Towards Transparency (TT) Advocacy and Legal Advice Centre (ALAC).
2. Link local NGO partners of TT-Vietnam to funding from other organisations and help them connect with on-going REDD+ related projects to expand community monitoring and feedback mechanisms.
3. Link NGO partners and community groups served by the RGFI to TT and national-level networks through ALAC and other programs of TT.
4. Produce outreach support materials to complement the [Handbook on Grievance Mechanisms](#).

### Indonesia

5. Clarify how REDD+ and forest governance work at the local level connects to the national-level strategy of TI-Indonesia in promoting policy and institutional change.
6. Continue and strengthen the strategic alliance with the corruption eradication committee (KPK).
7. Strengthen local non-governmental organisation (NGO) partners to ensure sustainability of achieved results in the two pilot provinces.
8. Document success stories in Jambi Province and help the Forest Service to disseminate and share good practices and lesson learned.
9. Conduct a comprehensive review of the transparency and accountability of REDD+ preparedness funds.

### General

10. When working at the community level, connect policy monitoring and awareness raising to existing problems in forest governance and financing that people want to solve and can relate to.



11. Work through strategic partners that are well established, have legitimacy and enjoy public support to enhance sustainability of results beyond short-term politics and political periods.
12. Connect national-level REDD+ work to global discourse and regional resources.
  - a. Develop joint strategies with TI-Secretariat to conduct national reviews on the integrity of already disbursed REDD+ or climate change related funds.
  - b. Support forums and networks for peer-to-peer learning in tested smart practices to analyse why certain concepts work or do not work in the given cultural and socio-political context.
13. Align REDD+ related work with other programs/projects of the chapter.
14. Define the role of TI in adding value to the work of other NGOs and civil society coalitions and provide targeted corruption-related expertise based on need, instead of implementing REDD+ related projects alone.

# 1. Introduction

This report tells three stories from three countries on policy and social changes achieved through contributions from the Civil Society Capacity Building for Preventive Anticorruption Measures project (**PAC-REDD**) (2/2011-5/2013) and the Reducing Emissions from Deforestation and Forest Degradation Governance and Finance Integrity (**RGFI**) project (9/2013-2/2016), through Transparency International (TI) National Chapters.

The aim of this assignment was to provide actionable recommendations to strengthen the sustainability of achieved results and support future strategic planning of TI. This document is just a starting point. From here, the chapters involved and the TI-Secretariat should discuss the ideas presented with their strategic partners to see where their expertise and involvement is needed, and where, in real terms, they can add value to the work of others.

Ultimately, this report should serve those who want to learn and understand how to implement projects on reducing deforestation and forest degradation by tackling corruption as an underlying cause of forest destruction. In practical terms it is an attempt to compile the main results, lessons learned and tested smart practices of the two projects reviewed.

To assess progress towards the intended outcomes of the two projects, I reviewed project plans and reports provided by the TI-Secretariat, facilitated a two-day internal learning review workshop and interviewed implementers of the project. Annexes 1, 2, 3 and 4 list materials reviewed, people interviewed and guiding questions, and outline the content of the learning review workshop. The TI *Impact Matrix* provided a useful theoretical frame to discuss the impact with the chapters involved in the review.<sup>2</sup>

There are **three limitations** to this review. **First**, although the initial task description refers to two projects, most of the results analysed here are from the RGFI project. The PAC-REDD, which ended in May 2013, is considered a basis from where the RGFI evolved, but actual analysis is on the more recent results of the RGFI. **Second**, the initial task description refers to interviews with stakeholders and beneficiaries, but the actual report is mainly based on internal review. It is recommended that results presented here be further discussed with strategic partners of the three chapters involved before deciding future steps. **Third**, the focus of this review is national, meaning that the global component of the RGFI is included only when it connects clearly to the work done at the national level. This means that this report is not sufficient to assess the progress of the global component towards its defined outcomes *per se*, and this could perhaps be reviewed connected to the overall TI Climate Finance Integrity Initiative, rather than only in the context of RGFI.

The two projects included in this review were funded by the Norwegian Agency for Development Cooperation (NORAD) and implemented by three TI national chapters: Papua New Guinea, Vietnam and Indonesia, in collaboration with the TI-Secretariat under the wider Climate Finance Integrity Initiative.

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<sup>2</sup> See page 7 of "Are We on the Road to Impact?" Transparency International Monitoring Guide (2015).

## 2. Stories of Change

This section tells three stories from three countries on policy and social changes to which the RGFI has contributed. The stories include elements clearly connected to REDD+ preparedness and implementation, but also reveal a bigger picture where REDD+ is only one solution to the problem. Viewing the problem as the main driving force behind the success, which comes through continuous learning from trial and error, is critically important to building locally owned transparent and accountable governance systems free of the corruption that drives deforestation and forest degradation.

### Papua New Guinea

In Papua New Guinea a local guide is always needed when doing outreach. In a country with a vast number of indigenous groups with distinct cultural heritage and practices, and more than 800 languages spoken, without someone from the community to introduce you and your message, the group will listen politely, but will have already closed their minds to new ideas. This is why the outreach team at TI Papua New Guinea (TI-PNG) will always check if they know someone from the community that they want to talk to.

In a short video produced by the TI-Secretariat and TI-PNG, Peter Sindra from the community of Butchou in Manus Province tells his story of seeking information on an agreement between the Government and the logging company operating in his village. The video is one important component of an extremely successful outreach program of TI-PNG, which includes training, media workshops, forums for professionals, radio awareness and targeted visits to remote areas of selected provinces where pilot REDD+ projects are implemented.

Several live talkback interviews were done as a result of a [media awareness workshop](#) in 2015.<sup>3</sup> One month after the media workshop (which started with the short video from Butchou) three landowners from Hunstin Range, April Salumei came to the TI office. They came because they had heard the radio program hosted by the National Broadcasting Corporation (NBC) radio personnel who had attended the TI media workshop. The landowners brought with them specific corruption complaints connected to the REDD+ implementation in their area. April Salumei is the first REDD+ project site in PNG selling carbon credits on the voluntary carbon market.<sup>4</sup>

The NBC radio program was not the only place where landowners learned about TI. One month before, TI-PNG had organised an extensive field visit to the area of April Salumei. The outreach team, with a lawyer, visited communities in Ambunti, Maprik and Wewak and offered participants free legal advice. As a result, 13 corruption complaints were collected

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<sup>3</sup> 17 participants attended the workshop representing the Post Courier, The National, FM 100, NBC, Tribe FM and PNG Loop.

<sup>4</sup> April Salumei is one of the official REDD+ pilot areas of Papua New Guinea <http://redd-database.iges.or.jp/redd/download/project.jsessionid=2A7DCD5BB028693826C9CC9966309AB8?id=56>  
It is accredited by: 1) Verified Carbon Standard VCS [http://www.vcsprojectdatabase.org/#/project\\_details/1122](http://www.vcsprojectdatabase.org/#/project_details/1122)  
and 2) Climate Community & Biodiversity Alliance CCBA <http://www.climate-standards.org/2010/06/23/april-salumei-sustainable-forest-management-project/> . Link to developer site:  
<http://www.pacificforestalliance.org/projects/april-salumei/>

and 25 community leaders signed up as members of TI, aiming to form a community coalition to highlight REDD+ complaints and address general corruption risks.

Besides the Manus and April Salumei areas, the REDD+ team conducted outreach in Central Suau, Milne Bau Province. Radio awareness was regularly aired from Alotau, and recently 250 people participated in a TI-PNG night awareness-raising event in Alotau at the *Kenu & Kundu* Festival.

The Government's limited interest in engaging civil society in the policy process in Papua New Guinea made TI-PNG's work at the national level difficult. Extensive comments from TI to the [Climate Change Management Bill](#) were not considered by the Office of Climate Change and Development (OCCD) by the end of 2015. The bill has now become an act, based on which the OCCD will be changed to the Climate Change Development Authority (CCDA).

Despite difficulties in bringing their voice to the policy process, TI-PNG has been able to maintain a good relationship with all government agencies involved. Towards the end of 2015 they forged a memorandum of understanding (MoU) with the OCCD to strengthen future collaboration, and they established good lines of communication with the PNG Forest Authority.

Good relationships at the national level are the result of both recent engagement and earlier advocacy work. In 2014, TI-PNG lobbied successfully for the establishment of a [Complaints Desk under the Department of Lands](#) to address complaints from the public. They also provided comments on the draft national guidelines on Free Prior and Informed Consent for REDD+, and contributed to the draft policy on Benefit Sharing and Distribution System (BSDS).

The close partnership between TI, the REDD+ project team and the [TI legal advice centre](#) has taught the REDD+ team how to approach communities and build their awareness as "citizens" of Papua New Guinea who all have a voice in decision-making around their livelihood and wellbeing. One of the voices behind this outreach is Peter Sindra from Butchou.

The people of Butchou became aware on their right to seek redress after the TI campaign "Know Your Land Rights" reached their village. The source of the complaints from Butchou was the Special Agricultural Business Lease (SABL), a scheme blamed for reducing the land of customary communities by 5.2 million hectares across the country, where 82 per cent of the land still belongs to communities. The process for securing a 99-year SABL is extremely short, and bypasses safeguards built in to other state leases, such as proper community consultation. TI-PNG and other civil society groups in the country continue to raise awareness on the consequences of the SABL, but they still have a long way to go to actually cancel the existing leases. While the SABL may be unjust, it is not illegal and revoking the leases is not easy.

TI-PNG is probably the only NGO in the country providing legal assistance to communities on land rights at the community level. This has allowed TI-PNG to analyse the actual impact of the SABL and create strategies to address this in a new way.

In one recent case supported by TI, a community was able to register their ancestral land, managed by a company through a SABL. This registration revoked the company's lease. On another front, TI-PNG is building alliances with parliamentarians to discuss the possibility of amending policies that allow for SABLs, providing information and connecting them directly with the communities and community activists affected by the lease, such as Peter Sindra in Butchou. The voice of one person can make a difference, particularly if there is support to raise this voice.<sup>5</sup>

## Vietnam

The Vietnam team did extensive groundwork before starting field-level activities. Studying the results of the REDD+ risk assessment, which was finalised in 2013, they developed a strategy for the RGFI project. Two communities in two different provinces representing different forest funding mechanisms were selected for capacity building, and the project embarked on building their skills and confidence in monitoring the fund flows of on-going forest programs and to seek redress. (See text box below on Lam Dong and Quang Binh to understand why these areas were selected).

The approach of selecting existing forest funding mechanisms reflected what TT and other stakeholders felt would be the basic design for any REDD+ fund flows. Vietnam's on-going scheme, Payments for Forest Environmental Services (PFES), is a rare model for learning what REDD+ funding could look like in the future.<sup>6</sup> It appears that the TT-Vietnam strategy, proceeding in small steps, has contributed to creating two successful examples at the community level, which have been picked up by other organisations and used by TT to showcase the engagement of local citizens in monitoring forest finance.

This was a wonderful result given that contesting the decisions of authorities has been rare and talking about corruption is not part of daily discourse. In the cultural context of Vietnam, communities usually want to cultivate harmony. This means that rather than adopting a copy-paste approach of international best practice on promoting grievance mechanisms, the team in Vietnam had to adapt it to better fit the local context. For example, following protocols helped TT-Vietnam establish an environment where participants of the outreach or awareness-raising events felt more comfortable contributing their own ideas and suggestions to the process.

A specific political context of Vietnam, where the Fatherland Front, a political alliance and voluntary union of the social and political organisations, serves the political base by protecting lawful and legitimate rights of the people and exercising democracy, means that the Fatherland Front will have a central role in any community level activities organised in the

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<sup>5</sup> The short video "We want justice" has 60,538 views and 464 Likes on the global TI Facebook page, 226 views on YouTube, 316 hits on the national RGFI website, and around 200 copies of the video on CD have been distributed at the events of TI-PNG (TI-PNG Report 12.12.2015).

Link to video: [http://www.transparency.org/news/story/we\\_want\\_justice](http://www.transparency.org/news/story/we_want_justice)

<sup>6</sup> For more details on PFES, see link in Section 6, Additional Resources: Bennet K. et al. (2013).

country. Also independent policy monitoring and grievance mechanisms at the community level will need to be developed through the Fatherland Front and its member organisations.<sup>7</sup>

The team realised that solving grievances through the legal system might not work if citizens did not feel confident enough to pursue their cases further after raising the initial complaint. The team adjusted their initial plans and tested a practice feedback mechanism where communities could present their grievances to local authorities and discuss them as general recommendations or observations from the community, instead of grievances raised by individual families.

Facilitating this dialogue requires good mediation skills. Maintaining a level of harmony that creates a safe environment to express ideas requires trust to be built on two sides, the side of the local government and the side of the local community. TT-Vietnam has worked through local NGO partners to increase their skills to build these relationships. Before starting the activity, TT-Vietnam conducted a partner needs assessment, which helped define a clear role for TI and for the local NGO partner in conducting community-level activities.

There is still work to do to make sure community monitoring is sustained, particularly in Lam Dong, but district-level policies have already been drafted in Lam Dong and Quang Binh to ensure that feedback sessions will be conducted twice per year. The Fatherland Front, through its member organisations, is responsible for facilitating dialogue in the long run, when NGO partners move on to capacitate and engage new communities.

Besides testing the community monitoring and grievance mechanisms, the team shared good practices outside the pilots. TT organised regular field visits for provincial government and national-level stakeholders to connect them to pilot communities and learn from the experiences from Lam Dong and Quang Binh. Other REDD+ programs and civil society organisations were invited to train on community monitoring and grievance mechanisms.

In 2015, TT-Vietnam signed a collaboration agreement with the Vietnam forest science technology association (VIFA). VIFA is implementing a Global Environment Facility (GEF)-funded REDD+ project in Lao Cai. This extended the awareness raising and capacity building to a third province.

The change is not contained at sub-national level. Since the start of REDD+ activities, TT was a member of the national REDD+ technical working group, which enabled the transfer of lessons learned from the provincial and district/village level to national level dialogue. In December 2015, the [Beneficial Distribution Systems](#) (BDS) policy in Vietnam was approved, with the inclusion of grievance redress mechanisms (Article 20).<sup>8</sup> TT-Vietnam contributed to the drafting of the Participatory Governance Assessment (PGA) and development of the Safeguards Information System (SIS).

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<sup>7</sup> <http://vietnamlawmagazine.vn/the-2015-law-on-the-vietnam-fatherland-front-4931.html>

<sup>8</sup> MARD Decision No. 5399/QĐ-BNN-TCLN DECISION 25. December 2015 Issuing Regulation on piloting REDD+ benefit distribution under the framework of UN-REDD Viet Nam Phase II.

## Facts and Figures

TT worked in two provinces that receive different types of funding for forest protection:

*Context: Lam Dong is under the United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (UN-REDD) program (one of six provinces). People do not have tenure rights for forest areas and forest is mainly degraded secondary forest.*

In Lam Dong (the first REDD+ pilot province in Vietnam) TT was looking at the **Payments for Forest Environmental Services (PFES)**, a fund for environmental services. This fund comes from the private sector, mostly from hydropower plants and tourism. The private sector can make direct payments to people protecting the forest or indirect payments when the fund is managed by the Forest Protection and Development Fund (FPDF) at the provincial level.

TT participated in drafting of the Lam Dong REDD+ Provincial Action Plan (facilitated by SNV-USAID), resulting in the engagement of local NGOs in monitoring REDD+ funds from the central to grassroots level being included in the plan. In 2013, TT-Vietnam secured agreement from local authorities to support the development of **participatory monitoring** and the **development of a complaints mechanism for REDD+** at the local level. Since then, TT has supported citizens to practice independent monitoring and tracing of finance flows on PFES. Based on monitoring in Phu Son commune alone, approximately 20 per cent of households on the list of PFES were fraudulent (some received money but did not participate in patrolling, some were listed but did not know about the program). This finding led to a revision of the list and awareness among other communes on the fund flows of PFES.

*Context: Quang Binh receives FCPF (one of three provinces of the World Bank's FCPF). People have forest Red Book certificates that give them user rights (to exchange, to transfer, to inherit) which are issued for the period of 50 years. This primary forest is still in very good condition.*

In Quang Binh Province, the TT was looking at the **Forest Protection Program** funded by the Government from central to provincial, district and village level. In this program, households protecting forests and conducting patrolling activities can receive payments from the Commune People's Committee. In Quang Binh, TT collaborated with the Legal Aid Centre and Legal Department of the local government to organise **outreach on complaint mechanisms**, and as a result received 24 grievance cases. While local citizens were not eager to follow up the grievance cases through the legal system, TT supported **five "dialogue" events** where the issues raised were discussed between local citizens, the Quang Ninh District People's Committee and Quang Binh Department of Agriculture and Rural Development (DARD). From these dialogues, local authorities have allocated 315 ha of forest land for 61 households in Truong Xuan Commune and there are plans to allocate a further 694 ha to an additional 263 households in Trung Son.

A booklet describing the complaint handling process in Quang Binh was produced in 2015 to share lessons learned and feed them up to national-level discussion; there has been interest and demand to learn from the experience, for example by UNEP/UN-REDD.

## Indonesia

In Indonesia, where eradicating corruption is high on the national agenda, information is relatively freely available and a large part of the population participates in social media forums debating the details of a particular corruption case. There is also a general sense of permissiveness towards corruption.

Working in this environment, TI-Indonesia has to think carefully about what strategies will lead to sustainable results, and change attitudes and social norms that tolerate corruption. One of the strategies of TI is to find existing *change agents* in a system that is often permeated by corrupt practices, and to support their goal to change the governance and institutional processes to be more accountable and transparent from inside.

This strategy probably emerged during implementation, rather than as a conscious choice. At the start of the RGFI project, TI-Indonesia commissioned research on the Provincial REDD+ Action Plans in four provinces. Two of the provinces reviewed, Central Sulawesi and Jambi, were selected as RGFI pilot provinces. According to the review, both these provinces had an active civil society addressing corruption risks and a local government that, among the first in the country, had committed to implementing REDD+.

Compliance with the agreed goals in the MoUs signed between the National REDD+ Agency and two selected provinces was a starting point for dialogue with provincial governments.

At the same time TI trained local NGO partners and community groups in independent monitoring. After the training, both were encouraged to choose one existing problem in forest governance to conduct the monitoring. In Central Sulawesi, the group decided to monitor an on-going re-forestation program, while in Jambi the selected topic was the mining licensing process that was assumed to cause deforestation in the province.

In Jambi, independent monitoring looked at the mining licence process of PT. ANTAM, a state-owned coal mining company, and continued with a review of logging and plantation licences in peat-land forest.

In Central Sulawesi, three government reforestation and forest rehabilitation programs were reviewed: Lore Lindu National Park at Sigli and Poso district, KPH (Forest Management Unit) in Lalundu-Banawa at Donggala district, and KPH of Dampelas-Tinombo at Parigi Moutong and Donggala district.

The progress in Central Sulawesi was slow, but in Jambi things moved quickly. Much of the credit in Jambi goes to the local Forest Service. The head of the service had a mission and personal commitment to improve the institutional processes and together with other line agencies discussed how to make government service delivery in the province more transparent, accountable and inclusive.

Part of the credit for this success also goes to the [Strengthening Integrity and Accountability Program II](#) (SIAP II), implemented by TI in partnership with other NGOs.<sup>9</sup> When SIAP II

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<sup>9</sup> Strengthening Integrity and Accountability Program II (SIAP II) is a two-year program funded by USAID conducted by a consortium consisting of WWF-Indonesia, the Indonesia Working Group on Forest Finance (IWGFF) and Transparency International Indonesia (TII).



ended, TI continued the good work through a local NGO partner, based on demand from the Forest Service in Jambi.

The Forest Service, together with [YLBHL](#) (the foundation for environmental legal assistance) and TI's local NGO partners defined the service flows, particularly for licensing mining and other extractive industries, addressing the flaws that independent monitoring had highlighted. They prepared a matrix to clarify the process and a plan to disseminate information to those who wanted to monitor the process and hold officials accountable. If the province endorses the matrix it becomes a local standard of the Forest Service, against which performance is evaluated periodically.

The story of Central Sulawesi is still in its early stages. The local NGO partner of TI, [Pantau REDD+](#) (civil society organisations' Independent Monitoring on REDD+) and community groups are now gathering information on the three reforestation projects they monitor. The communities involved suspect that seedlings they received were not the only support the projects were meant to provide. Also, they are concerned about their rights and access to areas that have now been planted with trees. These were fields they regarded as their own and it is not clear what will happen when the trees grow. Have these fields now been taken away from them or will they be allowed to harvest and utilise the area in future? Apart from the total amount disbursed by the project, they have not been able to obtain more information.

At the national level, TI-Indonesia worked in coalition with other NGOs involved in REDD+ and forest governance advocacy. During PAC-REDD, TI-Indonesia established close cooperation with the national REDD+ Agency and was invited to contribute to several working group meetings on the development of a legal framework for REDD+. Nevertheless, when the REDD+ Agency was dissolved in January 2015, the institutional framework to bring forward the national REDD+ agenda changed. While the inclusion of REDD+ in the Directorate General of Climate Change clarifies the authority of the managing agency, which is now under the control of the Ministry of Environment and Forestry (MoEF), the adoption and implementation of policies formulated remains unclear.<sup>10</sup>

Besides working through the REDD+ Agency, TI-Indonesia supported the corruption eradication committee, KPK, through the NGO advisory group connected to [safe natural resource movement](#). The group provided information to KPK on corruption cases, mainly mining licences. It also provided inputs through a loose NGO alliance "[anti forest-mafia coalition](#)" to the SVLK (Timber Legality Assurance System) on anticorruption standards and the need for independent monitoring by civil society.<sup>11</sup> The JPIK (Independent Forestry Monitoring Network) followed up these recommendations to enhance the SVLK.<sup>12</sup>

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<sup>10</sup> Indonesian Presidential Decree No. 16/2015 dissolved Badan Pengelola REDD+ Republik Indonesia <http://www.reddplus.go.id>

<sup>11</sup> Anti Forest-Mafia Coalition, SVLK flawed: An independent evaluation of Indonesia's timber legality certification system (2014). SVLK = Sistem Verifikasi Legalitas Kayu.

<sup>12</sup> JPIK Calls the Government of Indonesia to Improve the Timber Legality Assurance System (SVLK) <https://eia-international.org/jpik-calls-the-government-of-indonesia-to-improve-the-timber-legality-assurance-system-svlk>

Connected to the Information Act, the REDD+ team of TI Indonesia, with the coalition of other NGOs, followed up the [policy recommendations](#) they made to MoEF in 2013.<sup>13</sup> The second policy brief, which is still being prepared, concerns a revision of a ministry regulation on the Public Information Standard to lobby for change in institutional processes and improve access to information to support independent monitoring of forest governance.

Merging REDD+ implementation within existing government structures signifies a locally owned process, and is the opposite of fulfilling criteria set from outside; however, this must be monitored by an active civil society to ensure transparency and accountability. Learning from the past and analysing the lessons learned from the financing of REDD+ preparedness in Indonesia is one way to promote the integrity of REDD+ and forest finance in the future. At the same time, the change agents within, such as the Forest Service in Jambi, can help demonstrate what integrity in forest governance means in practice.

## Main Achievements

The main achievements of the RGFI are listed in the table below. The last column indicates TI National Chapters' contribution to policy, institutional or behaviour change.<sup>14</sup> The country teams themselves assessed this contribution during the learning review workshop organised in Ho Chi Minh City on 1 and 2 February. The table can be used to further discuss and validate results with the partners of the project.

**Table 1 Main changes to which RGFI contributed in the three countries reviewed**

National Chapter	Change	Contribution
<b>PNG</b>	Trainings, media awareness and outreach reached targeted communities and individuals / communities are seeking redress.	<b>Significant</b>
<b>PNG</b>	<i>Know Your Land Rights</i> campaign in Manus led to mobilisation of landowners and, as a result, the local government stopped some of the logging activities in the province.	<b>Significant</b>
<b>PNG</b>	After the Government ignored extensive comments of TI-PNG on the CCM Bill, civil society coalitions became more active, working together to address concerns connected to national REDD+/climate change policy development. The relationship between TI-PNG and OCCD & PNG-FA improved.	<b>Medium</b>
<b>PNG</b>	Lobbying to establish a complaints desk within the Department of Lands was successful. The desk was established in August 2014.	<b>Not evaluated</b>
<b>Vietnam</b>	Communities sought redress and the Government addressed the complaints after training and piloting the REDD+ grievance mechanisms and community monitoring.	<b>Significant</b>
<b>Vietnam</b>	Knowledge of the government and other REDD+ actors increased on	<b>Significant</b>

<sup>13</sup> Policy recommendations were connected to the implementation of the Freedom of Information Act no 14, 2008

<sup>14</sup> The scale used is defined on page 21 of TI's 'Are We on the Road to Impact?' Transparency International monitoring guide.

	REDD+ grievance mechanism and community monitoring of forest finance.	
<b>Vietnam</b>	Contributions to Benefit Distribution System policy lead to adoption of the grievance mechanisms in the policy.	<b>Medium</b>
<b>Indonesia</b>	Dissemination of research results and training led to increased knowledge and awareness and initiated policy monitoring at the local level.	<b>Significant</b>
<b>Indonesia</b>	Forest Service in Jambi Province, in partnership with BAPPEDA and the Agriculture office, adopted policies and improved institutional processes that increase transparency, accountability and inclusiveness of public service delivery.	<b>Medium</b>
<b>Indonesia</b>	Active participation in national-level policy dialogue through NGO coalitions contributed to increased integrity of forest governance. Recommendations for increased information sharing/public information disclosure led to development of new policies in MoEF.	<b>Minor</b>

BAPPEDA= Provincial Planning and Development Agency, CCM = Climate Change Management, FA = Forest Authority, MoEF = Ministry of Environment and Forestry

More detailed results of the learning review workshop are presented in Annexes 6, 7, 8 and 9. These annexes detail the changes described in the table above and provide an overview of how project achievements are connected to changes in the external socio-political country context. Annex 9 shows how the cultural context and social norms require innovative ways to adapt global strategies and thus influence the work of the chapters.

### 3. Materials – how they contributed to change?

TI is an anticorruption organisation. It is clear that the added value of TI working on REDD+ issues is to bring its expertise to those involved in REDD+ preparedness and implementation. The change in the REDD+ discourse, where terms such as [transparency](#) and [accountability](#) are now part of every workshop agenda and project brief, is partly credited to TI's global level work, but chapters have also contributed at the national level.

Several training and awareness raising tools were produced and/or used in the PAC-REDD and RGFI projects. [The Keeping REDD+ Clean](#) manual, which was produced at the start of PAC-REDD with input from a wide range of stakeholders, such as the United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (UN-REDD), the Centre for International Forestry Research (CIFOR), Global Witness and the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), has been downloaded 8,500 times. This shows that TI's response to global demand for information on corruption risks connected to REDD+ was well timed.<sup>15</sup>

[The REDD+ Risk Assessments](#) conducted by the chapters in PAC-REDD revealed corruption risks that could undermine the implementation of REDD+. After sharing the results, the National REDD+ Agency congratulated the TI-Indonesia team and expressed a wish that the same assessment be conducted some years later when REDD+ was actually being implemented. This way, actual corruption levels could be assessed, rather than just "the risk of corruption" in future implementation.

While this is a good summary of the feedback chapters received from the results of the risk assessments, the engagement of actors in the "process of doing it" was probably the most important result of the country-level REDD+ Risk Assessments. It was one of the first avenues for discussing corruption behind deforestation and forest degradation, and all chapters felt it had changed the discourse around REDD+ and their relationship with other organisations working in the environment sector.

The most successful outreach materials of the RGFI are probably the [three video shorts](#). These were widely used by TI and their partners and tell the story of selected individuals and communities in a compelling way. Section 2 explains how this video was used in the outreach of TI-PNG.

Global advocacy in the RGFI connected with TI's governance assessments on the [global multilateral climate funds](#). It included the Forest Carbon Partnership Facility (FCPF) and UN-REDD.<sup>16</sup> At the national level, these were mainly used in internal capacity building and there was no country-level follow up on the integrity of the funds or REDD+ financing in general. In Vietnam, the UN-REDD program used the results as a reference to define REDD+ corruption risks.

The educational materials help in knowledge management and transferring lessons learned for future implementation when projects finish. Based on experiences from the RGFI and

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<sup>15</sup> 8,471 downloads since its initial upload, as of 5 Jan 2016.

<sup>16</sup> This material was prepared with funding from the German Government.

other climate-related projects of TI, the TI-Secretariat prepared the [Handbook on Climate Finance Governance](#) for the National Chapters. This, together with the e-learning course, continues to serve TI's internal capacity building, and provides a guide for the planning of country-level outreach and training.<sup>17</sup>

**Table 2 Globally produced outreach and awareness raising materials**

Material	How TI or partners did use this material?	Comments	LINK
<b>TI's Keeping REDD+ Clean manual</b> developed and piloted in the PAC-REDD project.	Internal capacity building. Methodology was used as a guide to prepare the national REDD+ risk assessments.	Not easy to use in the country context (TI-PNG).  Used in the consultation meetings with partners and mapping the areas with high risk of corruption in the forestry sector, including PFES at provincial and central levels (TT-VIETNAM).	<a href="#">Link</a>
<b>The National REDD+ Risk Assessments</b> produced by the three chapters in Indonesia, PNG and Vietnam.	Process of conducting the assessment helped in raising awareness; later the manual was distributed to libraries, participants of the events, training and media workshops.	The manual was only launched in 2015 (PNG). The timing was not good; maybe this is something that should be done later during REDD+ implementation (TI-INDONESIA). The assessment could be launched at the same time for the three countries so that national and international voices could be more effective (TT-VIETNAM).	<a href="#">Link</a>
<b>Case study videos</b> produced by TI-PNG, Vietnam and Indonesia on forest corruption cases, as part of the RGFI project.	Used in all REDD+/ALAC & other TI-PNG activities. Eye opener for many of our partners. The video has already contributed to changes, where more people are taking individual action to raise their concerns (TI-PNG). We used this in most of our awareness raising and training activities to trigger discussion (TI-INDONESIA). It was shared on the website, Facebook and was used for outreach during project activities (TT-VIETNAM).	We should do this more often, also in other projects (TI-PNG).  The case featured was quite old (long, on-going) and we should do a new video on something that is more recent (TI-INDONESIA).  The video reflects honestly what we achieved from working with local people (TT-VIETNAM).	<a href="#">Link</a>
<b>Building Integrity in REDD+, e-learning course or offline version of the same.</b>	TI-PNG staff took the course, which was also offered to OCCD staff and students of the UPNG. OCCD staff said the course was very useful; the UPNG-School of Environmental Science plans to run the course as an elective.  One of the TI-INDONESIA staff has completed the course; the chapter has also shared information in its networks.  Based on feedback from users of the material (comments on course feedback) it has been very helpful to build their capacities and many have used the knowledge acquired to improve their work.	It would be good to have this course refitted to the community level (need for simplified version) (TI-PNG).  There should be a version in the local language, as it is not easy to sell when only in English. We have offered to translate this (TI-INDONESIA).  The content of training is general. In Vietnam we have a lot of similar courses and products. There is no Vietnamese version so we could only share it with INGOs, local NGOs and people who speak English (TT-VIETNAM).	<a href="#">Link</a>

<sup>17</sup> These material were prepared with funding from the German Government.

**ALAC** = Advocacy and Legal Advice Centres, **OCCD** = Office of Climate Change and Development, **UPNG** = University of Papua New Guinea

The table above presents how chapters used the main external capacity building and outreach materials. Local outreach strategies were successful, for example, the **FREDDI Watch Facebook** group, managed by TI-Indonesia is providing a forum for anticorruption issues on forest governance and continues to increase its membership. Likewise, TI-PNG has actively used the materials from the e-learning course, sharing the course with community-based organisations, students and government agencies.<sup>18</sup> A local university is now planning to include it as an elective course in its curriculum. It is clear that globally produced materials are not enough, and locally produced or adapted tools are even more important to conduct effective awareness raising in the country context of each chapter. The table below presents country-specific outreach materials and how these contributed to local changes.

**Table 3 Locally produced outreach materials in the RGFI Project**

**Papua New Guinea:**

*REDD+ brochures, fact sheets, Know Your Land Rights (KYLR) campaign materials, radio awareness*

**Results:** Awareness raised and action. Recently, three landowners from Hunstin Range, April Salumei project area, came to report various corruption complaints after they heard the radio awareness program promoted by TI-PNG. Also in same district, 25 community leaders signed up to become TI-PNG members and are in the process of establishing a coalition group to address corruption issues as a group. It is led by a former Ambuti district administrator.

**Vietnam:**

*Manual/Handbook to monitor REDD+/National forest program implementation - Quang Binh Province, brochure on REDD+, contributions to Grievance Redress Mechanisms for REDD+ in Vietnam<sup>19</sup>*

**Results:** Awareness raised and action. TT conducted outreach and awareness raising activities on REDD+ governance and integrity among government stakeholders, local communities and other organisations working on REDD+. TT also contributed to the development of the BDS policy.

**Indonesia:**

*FREDDI Watch Facebook group:* The FREDDI Watch FB group has 902 members and was established when PAC-REDD was still active. The RGFI project posts information on issues related to transparency and accountability in the forest sector, and on issues not necessarily linked to REDD+. The news is picked up on other sites, for example, one site that is popular among government employees and one site that is used by environmental advocacy groups use our content.

*Public service announcements in Central Sulawesi:* Local TV in Central Sulawesi aired a series of public service announcements inspired by materials/information we provided.

*Policy briefs:* Policy brief on safeguards (during PAC-REDD) contributed to the content of the national guidelines on safeguards: Principles, Criteria and Indicators for REDD+ Safeguards Indonesia (PRISAI Dec 2013).

Materials produced and used in the PAC-REDD and RGFI have reached the target audience and helped raise awareness. A more comprehensive review, with interviews and assessments targeted at users of these materials outside the TI chapters would be needed to review the impact on policy, institutional and behavioural change they may have triggered.

<sup>18</sup> The current head of the Office of Climate Change Development Authority (CCDA) has taken the course.

<sup>19</sup> Produced in partnership with the Global Environment Facility Small Grants Program and the Vietnam Forest Association.

## 4. Analysis

The country-specific stories of change in Section 2 provide a basis for this analysis. The analysis is divided into four categories, following questions in Annex 5.

PAC-REDD paved the way for the RGFI project. Perhaps the main impact of PAC-REDD was defining [the terminology for discussing corruption](#), linking it to other drivers of deforestation.

Likewise, PAC-REDD, as the first REDD+ related project of TI, was an important learning ground for TI as an organisation to link approaches from environmental organisations implementing REDD+ projects to its anticorruption work. For example, active collaboration with other organisations in preparing the [Keeping REDD+ Clean](#) manual was one of the highlights of PAC-REDD globally. At the country level, REDD+ risk assessments helped build similar partnerships. The results of PAC-REDD contributed to planning the RGFI strategies and helped TI expand its REDD+ work to other countries.

### Impact

In **Papua New Guinea**, the impact of RGFI is interwoven with the impact of TI-PNG advocacy and legal advice centre. This partnership has contributed to a situation where TI-PNG now has a greater standing in the national-level policy discourse in REDD+ and forest governance issues. The main impact of the RGFI has been the tested processes to combine ALAC and REDD+ work and “build fertile ground” for further engagement.

The targeted approach of **Vietnam** created real change locally and is now spreading as a smart practice. TT’s efforts to share lessons from the piloting could potentially have a bigger impact on changing Government institutional processes beyond the target areas. If practices tested in the RGFI spread, communities outside the target area will have an interest in monitoring and seeking redress for corruption and mismanagement in forest finance programs, such as Payments for Forest Environmental Services (PFES) and REDD+.

In **Indonesia**, the impact of RGFI comes from the collaborative work of NGO coalitions in raising anticorruption on the national policy agenda. TI-Indonesia’s contribution to changing behaviour and institutional processes at the sub-national level, and particularly the success in Jambi, depends on the sustainability of initial results achieved locally (for further details on this, see the discussion below under sustainability).

### Relevance and Effectiveness

The relevance and effectiveness of the RGFI project is compared to the three outcomes stated in the project proposal.

***Outcome 1. Citizens and stakeholders are better able to engage in REDD+ policy development, implementation and monitoring and to demand public accountability.***

In general, raising awareness and developing and providing outreach tools (research, radio and TV outreach, use of social media, videos, learning materials) to define and discuss the different forms of corruption driving deforestation have been effective.

However, one clear lesson learned from the implementation of the RGFI is that it is difficult to talk about “the corruption risks in REDD+” **at the local level** if carbon payments are not operational and REDD+ implementation does not influence the lives of the people who depend on forest resources. REDD+ is not a tangible problem to them. Talking about the integrity of existing forest financing or corruption connected to governance and licensing is more relevant.

The strategies of Vietnam and Papua New Guinea clearly adopted this at the start of the RGFI; Vietnam concentrated on existing forest funds and Papua New Guinea on land rights connected to the SABL.

It took a long time for TI-Indonesia, who first conducted research on REDD+ implementation at the sub-national level, to actually reach the community level and test independent monitoring in practice. This means that in Indonesia, involving the community level in policy monitoring, which would have been relevant for the overall strategy of the project, probably came too late to contribute to national-level policy work.

All chapters conducted successful **outreach**, but in TI-PNG this was the main strategy throughout the RGFI project. After years of extensive outreach and awareness raising connected to REDD+ preparedness, the success of TI-PNG became apparent towards the end of the RGFI project. The complaints at the end of the project were connected to the integrity of the actual implementation of REDD+, rather than REDD+ preparedness, and demonstrated tangible problems that the community wanted to solve.

***Outcome 2. Victims and witnesses of corruption articulate and find solutions to their grievances through legal advice and the complaints support mechanisms.***

TT-Vietnam’s work on grievance mechanisms added a new dimension to the **national-level** REDD+ discourse. It is likely that smart practices tested by TI will be promoted through UN REDD, the FCPF and other REDD+ related projects in future. The pilot activities of TT-Vietnam in Quang Binh, Lam Dong and Lao Cai showed that the Chapter was very innovative in seeking solutions to locally nominated and defined problems and connecting them to the national level discourse on developing REDD+ safeguards (Outcome 3). The tested feedback mechanisms led to tangible results locally when local governments addressed community complaints and changed the institutional process of forest finance to be more transparent and inclusive.

The partnership with RGFI and ALAC in Papua New Guinea enabled direct legal support to communities served by the project. The SABL continues to be the biggest on-going threat undermining the goals of reducing deforestation in Papua New Guinea. Providing legal assistance to communities on land rights at the community level has allowed TI-PNG to analyse the actual impact of the SABL and create strategies to address this in a new way.



Under this outcome, TI-PNG successfully lobbied for a complaints desk under the Department of Lands.

Activities under this outcome were not implemented in Indonesia.

***Outcome 3. International and national REDD+ governance and finance institutions improve and enforce policies and procedures to prevent corruption through advanced transparency, accountability and integrity throughout project cycles.***

Limited government interest in engaging civil society in the policy process in Papua New Guinea made the work of **TI-PNG** in this outcome difficult. At the same time, outrage over the lack of response from the OCCD to calls from civil society for more open and participatory processes in preparing the Climate Change Management Bill highlighted the strength of TI-PNG as a convening power to bring different actors together to advocate for change. Despite difficulties in bringing their voice to the policy process, TI-PNG was able to maintain a good relationship with all government agencies involved.

The scope of engagement of **TT-Vietnam** in national policy development was narrow, but results were achieved in the priority area of complaint mechanisms. The solid experience gained from the pilots gave validity to TT's advocacy messages, and its smart practices were considered in the development of a national policy.

**TI-Indonesia** was most active in contributing to this outcome. It was able to participate and contribute corruption expertise in different policy areas (for example, connected to public information systems in MoEF, the integrity of timber legality assurances, and the development of REDD+ safeguard policies by the national REDD+ Agency).

TI-Indonesia's work on national REDD+ policy development ended when the agency carrying out the work was dissolved at the beginning of 2015. This was perhaps a lost opportunity for the RGFI project. At that time, TI-Indonesia had the opportunity to raise public discussion on the integrity of **already disbursed REDD+ preparedness funds**, the validity of agreements forged and the importance of building institutions that have clear accountability mechanisms to earn public support, and thus make them less vulnerable to political changes.

At the same time, a global program achieved many tangible results in this outcome, particularly connected to research on **multilateral climate funds**, including UN REDD and FCPF. Many projects funded by UN REDD and FCPF are implemented in RGFI target countries, and a longer project period could allow for stronger connections in following up global work at the national level. A longer project could also have increased synergies between the work of the National Chapters and TI-Secretariat in this outcome.

## **Sustainability**

Many of the tangible results of the RGFI project, achieved towards the end of the project, need targeted follow up to support sustainability. Chapters will either need new funding to carry on these results or think about how their NGO partners can garner support to continue the work.

Implementing REDD+ and ALAC in tandem contributed to their success in [TI-PNG](#). On the other hand, in [Indonesia](#) and [Vietnam](#), the RGFI project was implemented without clear collaboration with other projects. Now, they both face the challenge of integrating the good practices and lessons learned from the RGFI into other on-going projects and organisational development.

Chapters did not have a clear strategy to ensure the sustainability of the work from the start of the RGFI, and did not built a [fundraising strategy](#) for themselves, let alone a strategy to strengthen and contribute to raising funds for their direct NGO partners. As general strategic planning in TI moved from a more top-down approach, which was still implemented in PAC-REDD, to nationally led priority setting in the RGFI, the capacity of chapters to align sustainability and fundraising strategies with this new planning modality was probably not stressed enough.

Fundraising is clearly connected to strategic planning. The recent changes in how TI operates in general, giving more authority to chapters to plan their own work, is still relatively new to the chapters. Chapters need clarity on what this change in strategic planning means to their fundraising strategies, and how they should, besides planning more independently, also be able to raise funds independently to sustain their work.

One of the reasons for this is that planning based on “demand” from partners (either government, civil society or the private sector) is still limited. Often, strategic planning is connected to ability (if we have these skills and resources, we can do this), but does not clearly identify whether there is acceptance from those who need to change, and authority for the organisation to actually engage in the change process.<sup>20</sup> It is easier to demonstrate that change is feasible and can be sustained, as it connects to a locally defined problem that a partner wants to solve with support from TI. By choosing TI as their partner they believe TI has the skills and expertise to support the process and make change possible.

## **Papua New Guinea**

In Papua New Guinea, the chapter is actively seeking other funding sources and currently preparing a proposal to the EU to carry out the work. They also have a clear strategy to “sell” their expertise at the national level and connect with the OCCD and other national institutions mandated to implement REDD in future, to provide their services.

The team recognises that frequent institutional changes at the national level are likely to hinder the sustainability of national-level work, but if they continue to engage on different fronts, it is likely they now have the acceptance to raise their experience gained at the community level to national-level policy processes. The extensive outreach and educational activities conducted during the RGFI ensure that they will be supported by a bigger group of civil society organisations, as well as academic institutions, in their advocacy.

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<sup>20</sup> To read more about what acceptance, authority and ability needed to support change means in the context of doing problem-driven work, see Andrews et al. (2015) in the list of additional references in Section 6.

## **Vietnam**

A strategic decision was already made, prior to this review, not to continue the REDD+ related work in TT-Vietnam. While funding did not materialise from NORAD, TT-Vietnam moved on and will not work on REDD+ in future.

Nevertheless, the approach and strategies applied to successfully conduct complaint handling in the RGFI will probably shape the new TT legal advice centre. It is unlikely that rural communities covered by the RGFI will connect to the centre, at least in the near future, as the program will be implemented through a Hanoi-based local NGO.

This means that local-level sustainability rests on the ability of communities and local partners involved to continue independent monitoring and raise complaints within the current arrangement.

NGO partners in Vietnam have not established a clear connection with other REDD+ related projects and funding to continue work, although at least within the UN REDD+ target areas there is a plan to continue and expand the community monitoring and feedback mechanisms. Based on interviews, at the very least, communities in Lam Dong still need external partners to continue community-level monitoring.

## **Indonesia**

In the case of Indonesia, the future seems more open. The recently achieved results in two target provinces, Central Sulawesi and Jambi, show there is a need to continue to strengthen the sustainability of the partnerships initiated during the RGFI project.

The results at the sub-national level became apparent only in the last quarter of the project. Advocacy messages at the national level were not clearly connected to the work on the ground, mainly because the results of the RGFI from the two target provinces came too late. Strengthening strategic planning, and making connections from sub-national and local level project work to higher level policy work would have helped prioritise policy changes and systematic follow up during the RGFI.

Sustainability at the local level is connected to the ability of local NGO partners and community groups to continue initial independent policy monitoring, then deliver results to be addressed by the government or companies involved in implementing existing agreements. There is limited funding for local NGO partners to carry on the monitoring work and follow up after RGFI is finished, so how this will continue in future remains an open question.

Similar lessons learned on the difficulty of ensuring sustainability were already derived during PAC-REDD, when three local offices in Papua, Riau and Aceh were closed. It is important to consider how partnerships and skills instituted at the local level can continue to provide information and smart practices to support the main policy-level work at the national level.

## 5. Conclusions and Recommendations

This final section provides actionable recommendations for strengthening the sustainability of achieved results and supporting future strategic planning of TI.

The freedom of chapters to conduct their own priority setting and planning in the RGF led to three clearly different end results in the three countries reviewed. This is a good platform from which to develop new activities in each country, based on local abilities and opportunities. At the same time, each chapter needs to look critically at their existing strategies to connect results from the field to the higher-level advocacy and policy goals of the organisation.

The recommendations at the beginning of this report are just a start, and each chapter should discuss them with their strategic partners to see where the expertise and involvement of TI is needed, and where, in real terms, TI can add value to the work of others.

Building clear strategies based on demand from partners will help demonstrate contributions to changes in behaviour and policy implementation at the end of the project. Learning to integrate clear sustainability strategies from the start of each project will foster continuity and strengthen capacities to raise funds. This will enable actual changes to be demonstrated, rather than just the initial steps towards them, when the support from TI ends.

The first section gives country-specific recommendations, followed by text box on general recommendations.

While country specific recommendations connect to needs of specific chapter, other chapters when considering strategic ways to move forward can also use them. Besides looking into the goals of REDD+, lessons learned and smart practices from the projects implemented can strengthen the strategic approach of other programs, especially in Vietnam where REDD+ or forest conservation work will not continue as an own project.

### 5.1. Part I Country-Specific Recommendations

The following section suggests ways to ensure sustainability of achieved results and outlines new opportunities for conducting anticorruption work to protect the remaining forests in Vietnam, Indonesia and Papua New Guinea.

#### Papua New Guinea

**Use the momentum to define a clear role for TI-PNG as an expert organisation providing technical advice and evidence to the national-level REDD+ policy process.**

After all the “groundwork” it seems that the Chapter is now in a good position to reach the status of trusted NGO in REDD+ and forest governance issues. It is time to package and “sell” this expertise, targeting the national-level agency that will be mandated to implement

REDD+.<sup>21</sup> This packaging can include identifying TI-PNG approaches and strategies in the “knowledge-to-policy” process as well as actively mapping out the needs of the agencies involved. In fact, the Chapter is actively seeking other funding sources to carry out the work started in RGFI. Having a clear focus to drive policy and institutional change will help elevate the groundwork done during PAC-REDD and RGFI to have a nationwide scope.

### **Align REDD+ key strategies with ALAC strategies connected to the SABL.**

Because ALAC is focusing on land rights, it is natural that this collaboration will continue. Defining clear roles for each project will help establish synergies between these two, but also clarify the contribution that each project is aiming to make individually. The policy goal of ALAC to advocate for an amendment to the SABL fits with the goals of REDD+. If TI-PNG implements a REDD+ related project in future, it will greatly benefit from first-hand information of community-level grievances coming from areas selected for REDD+ implementation.

### **Review the integrity of existing or planned REDD+ projects already negotiating the sale of carbon and/or selling existing carbon credits.**

Recently, TI-PNG received three grievances from April Salumei, one of the five official REDD+ pilot sites in the country.<sup>22</sup> While RGFI has not yet looked into and reviewed the existing REDD+ implementation, these grievances reveal that a comprehensive review of on-going and planned REDD+ activities targeting voluntary carbon markets might be relevant.

#### **The controversy around April Salumei has been highlighted in:**

- The Guardian, Sam Knight: The incredible plan to make money grow on trees <http://www.theguardian.com/world/2015/nov/24/redd-papua-new-guinea-money-grow-on-trees>
- The REDD Monitor, Chris Lang: The incredible story of Papua New Guinea’s April Salumei REDD project <http://www.redd-monitor.org/2015/11/25/the-incredible-story-of-papua-new-guineas-april-salumei-redd-project/>

### **Explore the possibility of working directly with the private sector/logging companies on integrity issues.**

While the Government has been reluctant to involve civil society in policy processes, one option is to look into the integrity of the business sector and its interests in allowing to clean their supply chains from corruption. Accountability around concession leases continues to be the main concern around sustainable forest management in the country, but starting to work directly with companies is risky. If TI-PNG is interested in entering into this kind of collaboration, it is extremely important to take small steps and evaluate the possible security risks to TI-PNG staff.

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<sup>21</sup> Office of Climate Change and Development (OCCD), Climate Change Development Authority (CCDA) and PNG Forest Authority.

<sup>22</sup> As part of its national REDD Strategy, the Papua New Guinea Forest Authority (PNGFA) identified five official REDD pilot projects, one of which is the April Salumei REDD Project. The project was formally announced at the 17th Conference of the Parties to the UNFCCC held in Durban in 2011. <http://redd-database.iges.or.jp/redd/download/project.jsessionid=2A7DCD5BB028693826C9CC9966309AB8?id=56>

Nevertheless, based on this review, it seems that TI-PNG has good personal contacts that could help initially assess the interest and be able to seize the opportunity if it arises. Working on private sector business integrity would greatly enhance the portfolio of TI-PNG.

This could achieve targeted action on all three fronts: with government to provide policy advice, as a convener of civil society organisations to develop joint advocacy, and with the private sector to showcase examples of business integrity.

## Vietnam

**Document the approaches and strategies used in the two RGFI pilot communes and make these smart practices building blocks to shape the planned legal advice centre, TT-ALAC.**

RGFI's tested methods can help the future TT-ALAC provide legal advice that fits with the socio-political and cultural context of the country. When the REDD+ team was working on developing grievance mechanisms, it was evident that facilitating "dialogue" was the best way to channel grievances through the legal system. Both the authorities and the citizens who raised the complaints preferred this method.

**Link local NGO partners of TT-Vietnam to funding from other organisations and help them connect with on-going REDD+ related projects.**

According to TT, the local NGO partners implementing RGFI have acquired good technical skills to continue the work, but have limited funding. To sustain and eventually grow this activity outside the communities served by the RGFI they need to connect to other REDD+ or forest governance related projects.

The recently passed BDS policy, which includes a chapter on grievance mechanisms, is being tested in the pilot provinces of UN REDD+. <sup>23</sup> The skills and experience of TI's partner, the International Centre for Tropical Highland Ecosystem Research (ICTHER) in Lam Dong, and its ability to connect both with the community and the local government, would probably be an asset for UN REDD+ when implementing grievance mechanisms in practice.

On the other hand, Quang Binh is in one of three provinces served by the World Bank's FCPF. It would likely be advantageous to link with TT's local NGO partner, the Rural Development and Poverty Reduction Fund (RDPR), which is already trained on community monitoring and facilitating the dialogue process.

**Link NGO partners and community groups served by the RGFI to TT and national-level networks through ALAC and other TT programs.**

When RGFI ends, the direct partners of the project will lose their point of contact to raise concerns, learn good practices and benefit from general support to continue their work. Even if they cannot access the same level of technical assistance as they did during the RGFI, they will certainly benefit from having a direct link to TT's on-going projects or services, and a channel through which to advocate future local issues at the national level.

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<sup>23</sup> MARD Decision No. 5399/QĐ-BNN-TCLN DECISION 25. December 2015 Issuing Regulation on piloting REDD+ benefit distribution under the framework of UN-REDD Viet Nam Phase II.

## Indonesia

### Clarify how REDD+ and forest governance work at the local level connects to the national-level strategy of TI-Indonesia in promoting policy and institutional change.

It is evident that clarifying the roles and sharing the need for higher-level advocacy and policy work with TI-I management would have benefited RGFI implementation in Indonesia.

Review how information from project teams and their needs for high level advocacy to support project impact is shared with management. All projects, including REDD+, should have a clear role to produce evidence that is then used in the national level advocacy and policy work, which usually is the responsibility of the management level staff.

As the main role of the organisation in bringing evidence to the policy process is facilitative TI-Indonesia can define its strategic approach as a **knowledge intermediary**, and then decide “who will do what with whom” to bring all programs and projects together to implement the same overall strategy and promote institutional and policy change. See the text box below for details on the suggested approach to this.

### **Continue and strengthen the strategic alliance with the corruption eradication committee (KPK).**

The KPK as a national agency mandated to eradicate corruption has become more vocal in addressing forest crimes in recent years. The KPK remains popular among the general public despite its recent struggle with the Indonesian police. The recently dissolved REDD+ national agency did not enjoy the same level of public support and did not have as clear accountability mechanisms as KPK.<sup>24</sup> This means that even when the future implementation of REDD+ is agreed within the Directorate for Climate Change, the KPK can be a strategic partner of TI-Indonesia on anticorruption work and the integrity of the REDD+ governance and finance mechanisms.

TI-Indonesia has a very good relationship with the agency and this strategic alliance can be used to target the corruption that drives deforestation. TI-Indonesia had a plan to monitor results of the MoU between KPK and 12 government agencies set for land and forest governance reforms. This MoU is still a useful basis to conduct independent monitoring.

### **Strengthen local NGO partners to ensure the sustainability of achieved results in the two pilot provinces of Central Sulawesi and Jambi.**

Without clear continuity in funding for the NGO partners, it is likely that key achievements at the sub-national level in RGFI may not be sustained and developed further.<sup>25</sup> This is why, even if the strategic decision is made to discontinue support for the results of RGFI at the sub-national level directly through TI-Indonesia, it is imperative to help the NGO partners in

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<sup>24</sup> The agency has a special status in the government structure, being responsible to the public in performing its duties but obliged to report to the president and the DPR-RI, as well as the State Audit Board.

<sup>25</sup> YLBHL (The Foundation for Environmental Legal Assistance) in Jambi and Pantau REDD+ (Civil Society Organisation Coalition in Central Sulawesi for monitoring REDD+) in Central Sulawesi.

strategic planning and fundraising, actively link them to on-going projects implemented by other organisations and keep them abreast of the other programs/projects of TI.

**Document success stories in Jambi Province to disseminate and share good practices and lessons learned from the process.**

Creating an opportunity for the direct project partners to share the success stories and lessons learned with other provinces and at the national level will help construct the political will to sustain the agreed commitments. The head of the Forest Service in Jambi is a change agent within the Forest Service and TI can help him by documenting successes and providing opportunities to disseminate the results.

If independent monitoring in Central Sulawesi results in tangible changes in institutional practices or leads to policy changes, these community-monitoring examples could be further documented with a video or case study and shared locally and regionally.

**Conduct a comprehensive review on the transparency and accountability of REDD+ preparedness funds.**

Now, after five years of REDD+ preparedness, TI-Indonesia has a good opportunity to review the transparency and accountability measures that have been in place and used in country level REDD+ financing. This analysis could be conducted as a simple desk review, requesting information from all funding sources and looking at guidelines versus actual practices in the use of the funds. The best way to initiate the process is to ask the [Directorate for Climate Change](#), currently the mandated agency to implement REDD+, about its interests and views on conducting an independent evaluation to support future planning of REDD+.

The initial analysis on finance integrity could lead to a separate cost/benefit or impact analysis, which will enable discussion on value for money. Other organisations and partners of TI specialising in impact analysis, could be responsible for this suggested second stage. Finally, the [TI Climate Finance and Integrity Program](#) could channel the results from the country level analysis to global level discourse as a case study.



**How to define the role of TI-Indonesia as a *knowledge intermediary* and divide tasks within the organisation to promote policy and institutional changes**

TI-Indonesia defines the key *boundary partners* within the Government as well as civil society, the media and academic groups whom it wants to target (and change) when contributing to the evidence-informed policy process. After identifying these, an analytical framework, for example *Knowledge, policy and power (KPP)* developed by researchers from the Overseas Development Institute (ODI), can help define different types of knowledge interaction processes.

The main role of TI-Indonesia in the knowledge-to-policy process is *intermediary*, facilitating knowledge gathering from knowledge producers (could be a community with a complaint, an academic group that has done research on corruption, a consultant hired by the organisation, results of internal evaluations, etc.). Six intermediary functions of the KPP framework are: informing, linking, matchmaking, engaging, collaborating and building adaptive capacity. These can be helpful in discussing different strategic options.

When the role of TI-Indonesia as a *knowledge intermediary* is discussed at the entire organisation level, the RGFI project goal “*to reduce corruption as a driver of deforestation and forest degradation*” becomes only one topic among the goals of other TI projects. All of the goals can be promoted through one organisation-wide strategy on key areas of policy change, which TI-Indonesia has prioritised, based on the current policy landscape. These priorities will change over time, based on demand and the resources of the organisation.

After TI-Indonesia defines how it interacts with each selected key strategic partner to bring knowledge into the policy process, it will clarify “what needs to be done with whom” and divide these tasks between programs and projects, down to individual staff level. Eventually everyone will get a clear role to gather, analyse or bring forward evidence (in their own program objective) that contributes to policy and institutional change prioritised by the organisation.

**Reference:** Jones et al. (2013) ODI Background Note: Knowledge, policy and power in international development: A practical framework for improving policy (pages 8-9). <http://www.odi.org/publications/7214-knowledge-policy-power-international-development-practical-framework-improving-policy>

## 5.2. Part II General Recommendations

During RGFI, the TI-Secretariat prepared resources to help the chapter conduct national-level REDD+ work. TI's *Handbook on Climate Finance Governance for National Chapters* and its *Building Integrity in REDD+* e-learning course, or offline version of the same, are probably the most useful for the future. However, it is good to iterate when using them in the local context to learn how they best fit and contribute to the goals of the chapter.

The new **Social Accountability Program** of TI, implemented at the regional level, could further support sharing country-specific culturally and socially adapted strategies.

In every country, TI legal advice centres will need country-specific approaches to match the legal advice to the cultural context and local socio-political environment. Being able to discuss and share smart practices across the chapters, who also usually work on different kinds of issues connected to social accountability, would be helpful not only for Vietnam, which is now developing its legal advice centre, but also for other chapters implementing ALAC.

Another way to support sharing between chapters is to package success stories in the form of case studies, videos, a cost/benefit analysis of a particular set of activities, and the policy/social change achieved.

Short case study videos produced in RGFI were extremely helpful in local advocacy at the country level. Producing these across the different countries implementing social accountability activities, not only connected to ALAC but within different programs, will help share good practices and strategies across the chapters, programs and globally. The success stories could, for example, be connected to community monitoring of policy implementation and locally adapted feedback and grievance mechanisms, which have been at the core of RGFI implementation.

RGFI strategies fell short in connecting global-level results on promoting the integrity of climate finance to the national level. This was partly due to the short timeframe of RGFI, as well as the strategies already being developed, but then not implemented when funding for the next phase from NORAD was not secured. Joint strategies with chapters to conduct national reviews on the integrity of REDD+ funding, particularly from countries like Indonesia where large sums of preparedness funds were used, could help the **Climate Finance Integrity Program** link lessons learned from national-level REDD+ preparedness to the global discourse on the integrity of REDD+ finance.

The text box below lists some non-country-specific recommendations that can be used to integrate lessons learned from the implementation of RGFI to TI's future strategic planning.

Understanding **the need for anti-corruption advice** and how it connects to the tangible problems that partners, either in government, civil society or private sector, would like to solve, will assist TI to position themselves among the other organisations supporting integrity of REDD+, forest finance and governance.

## General Recommendations

**When working at the community level, connect policy monitoring to concrete, locally nominated and defined problems.** If the implementation of REDD+ has not reached the area in the form of carbon sales, talking about preventive anticorruption actions in REDD+ does not connect to the lives of the people. Working on existing problems in forest governance and financing, that people can relate to, is the only way to effectively raise awareness.

**At the national level, work through strategic partners that are well established, have legitimacy and enjoy public support.** To avoid mishaps when the national level institutional landscape changes after a government reshuffle and short-term politics, choose national-level strategic partners carefully. The organisations that work around corruption are natural partners for TI. It is good to check that institutions have accountability mechanisms and enjoy public support.

**Use links to the TI-Secretariat to connect national-level REDD+ work to global discourse and regional resources.** The TI-Secretariat has information sources at the global level when information is unavailable or hard to obtain at the national level. This could, for example, support the development of joint strategies to conduct national reviews on the integrity of already disbursed REDD+ or climate change related funds.

Implementing global concepts (legal advice centres, independent policy monitoring, grievance mechanisms, benefit sharing, etc.) successfully in the local context requires the skills to apply and adapt them. Regional programs can support forums and networks for peer-to-peer learning in already tested smart practices and methods and help analyse why certain concepts work or do not work in the given cultural and socio-political context. This will increase internal organisational learning, and when documented, provide tools for further outreach.

**Align REDD+ related work with other programs/projects of the chapter.** The various projects of the chapter should form one uniform entity. Collaboration between RGFI and ALAC in Papua New Guinea is a good example of this. Seek synergies and add value: 1) work with the same partners or target areas between projects and programs, 2) prioritise a few clear policy and institutional changes and define a clear role for each program/project to contribute to these, and 3) define chapter-wide smart practices/approaches for promoting community action.

**Define the role of TI in adding value to the work of other NGOs and civil society coalitions.** Provide targeted corruption-related expertise based on need, instead of implementing REDD+ related projects alone. It is not wrong to ask what other organisations need from TI and what would make their work easier. When the role of TI in a coalition is clear, it is easier to assess the contribution of TI to the success.

## 6. Additional Resources

### **Definitions of the knowledge intermediary:**

Jones H. et al. (2013) ODI Background Note: Knowledge, policy and power in international development: a practical framework for improving policy (page 8-9).

<http://www.odi.org/publications/7214-knowledge-policy-power-international-development-practical-framework-improving-policy>

### **Doing problem-driven work and defining a change space (acceptance, authority and ability):**

Andrews M. et al. (2015) Center for International Development at Harvard University, Working Paper 307. Doing Problem Driven Work.

<http://www.hks.harvard.edu/centers/cid/publications/faculty-working-papers/doing-problem-driven-work>

### **Background to policy and institutional context:**

Aradiansyah F. et al. (2015) Center for International Forestry Research (CIFOR), Occasional paper 132. Forest and land-use governance in a decentralized Indonesia: A legal and policy review. [http://www.cifor.org/publications/pdf\\_files/OccPapers/OP-132.pdf](http://www.cifor.org/publications/pdf_files/OccPapers/OP-132.pdf)

Babon A. and Gowae G.Y. (2013) Center for International Forestry Research (CIFOR), Occasional Paper 89. The Context of REDD+ in Papua New Guinea: Drivers, agents, and institutions. <http://www.cifor.org/library/4153/the-context-of-redd-in-papua-new-guinea-drivers-agents-and-institutions/>

Pham T.T. et al. (2013) Center for International Forestry Research (CIFOR), Occasional paper 93. Payments for forest environmental services in Vietnam: from policy to practice. [http://www.cifor.org/publications/pdf\\_files/OccPapers/OP-93.pdf](http://www.cifor.org/publications/pdf_files/OccPapers/OP-93.pdf)

Sills E.O. et al. (2014) Center for International Forestry Research (CIFOR), REDD+ on the ground: a casebook of subnational initiatives across the globe. <http://www.cifor.org/redd-case-book/> (includes case studies from Vietnam and Indonesia)

The United Nations Development Programme (UNDP) Indonesia (2013), Participatory Governance Assessment: The 2012 Indonesia Forest, Land, and REDD+ Governance Index. <http://www.undp.org/content/dam/indonesia/docs/envi/PGA%20Report%20English%20Final.pdf>

The United Nations Development Programme (UNDP) Indonesia (2015), Executive Summary, The 2014 Indonesia Forest Governance Index. [http://www.unclearn.org/sites/default/files/inventory/unredd\\_4\\_01092015.pdf](http://www.unclearn.org/sites/default/files/inventory/unredd_4_01092015.pdf)

### **Background to cultural context:**

Alhumami A. (2012) The University of Sussex, Department of Anthropology, Doctoral Thesis: Political Power, Corruption and Witchcraft in Modern Indonesia. <http://sro.sussex.ac.uk/39273/>

## Annex 1. Materials reviewed

- **Are We on the Road to Impact?** - Transparency International Monitoring Guide (2015)
- **Building Integrity in REDD+** an Introduction – e-learning course and offline manual of the same, Transparency International, (also the online course evaluation matrix of the course)
- **Climate Forest Integrity** – A handbook for getting started (2015) Transparency International
- **Final Report Civil Society Capacity Building for Preventive Anti-Corruption Measures in REDD** (2013), Climate Finance Integrity Programme, Transparency International
- **Full Board Meeting, Key Impact Stories RGFI TI-PNG** Date: 12th December 2015
- **Full Board Meeting, Update TI-PNG**, date: 12th December 2015
- **Grievance Redress Mechanisms for REDD+ in Vietnam** (2015) Transparency International, Towards Transparency, Global Environment Facility Small Grants Program and the Vietnam Forest Association.
- **Keeping REDD+ Clean** a Step-By-Step Guide to Preventing Corruption (2012) Transparency International
- Ministry of Agriculture and Rural Development Decision No. 5399/QĐ-BNN-TCLN, *Ha Noi*, 25 December 2015, **Issuing Regulation on piloting REDD+ benefit distribution under the framework of UN-REDD Viet Nam Phase II** (Unofficial translation)
- Newsletter - **Exchange News from the Asia Pacific Department** October 2015
- **Partner Need Assessments** International Centre for Tropical Forest Research and Rural Development and Poverty Reduction Fund, TT-Vietnam
- PP- Presentation: **Asia Pacific Department Accountability Report** 30 August 2015 Kate Hanlon
- **Proposal for the REDD+ Governance and Finance Integrity Project** NORAD/CFI funding scheme for civil society 2013-2015, Revised version: 22 August 2013 Transparency International
- **Protecting Climate Finance - Assessments of Multilateral Climate Funds** (The Adaptation Fund, *The Climate Investment*, of the *Forest Carbon Partnership Facility Funds*, *The Global Environment Facility's Least Developed Countries Fund* and *Special Climate Change Fund*, and *The UN-REDD Programme* (2013) Transparency International
- **RGFI Narrative Reports of the National Chapters** 2015, Q1., Q2. and Q3.
- **Safeguarding the Future of REDD+** Country Risk Assessments (2013) Papua New Guinea, Indonesia and Vietnam
- Short case studies and videos: True Stories: **We Want Justice** (Papua New Guinea), **A Stronger Voice** (Vietnam) and **Right to be involved** (Indonesia)
- **The RGFI work plans** of the National Chapters, two years implementation plan and advocacy plan
- **Towards Transparency's Project Work In Forestry Sector (REDD+) In Vietnam Evaluation**, Göran Nilsson Axberg and Nghiem Ba Hung, Final Report, 15 Mar 2015
- **Year 1 Progress Report, REDD+ Governance and Finance Integrity project** - Transparency International
- **Year 2 Progress Report REDD+ Governance and Finance Integrity project** - Transparency International

## Annex 2. People interviewed

Organisation	Name	Position	Email
TI-S	Ms. Leah Good	Program Coordinator, Climate Governance	<a href="mailto:lgood@transparency.org">lgood@transparency.org</a>
TI-S	Ms. Claire Martin	Research and Capacity Building Coordinator, Climate Governance	<a href="mailto:cmartin@transparency.org">cmartin@transparency.org</a>
TI-S	Ms. Rute Caldeira	Head, Monitoring Evaluation and Learning	<a href="mailto:rcaldeira@transparency.org">rcaldeira@transparency.org</a>
TI-S	Ms. Kate Hanlong	Regional Programme Manager, Asia-Pacific	<a href="mailto:khanlon@transparency.org">khanlon@transparency.org</a>
TI-S	Ms. Samantha Grant	Regional Coordinator	<a href="mailto:sgrant@transparency.org">sgrant@transparency.org</a>
TI-S	Mr. Brice Böhmer	Programme Coordinator, Climate Governance	<a href="mailto:bboehmer@transparency.org">bboehmer@transparency.org</a>
ZSL Indonesia	Dr Manoj Nadkarni	Deputy Country Manager Indonesia ( <i>TI-Programme Manager during the design of the PAC-REDD project</i> )	<a href="mailto:Manoj.Nadkarni@zsl.org">Manoj.Nadkarni@zsl.org</a>
TI-Indonesia	Mr. Dadang Trisasongko	Executive Director	<a href="mailto:dtrisasongko@ti.or.id">dtrisasongko@ti.or.id</a>
TI-Indonesia	Mr. Dedi Haryadi	Deputy Executive Director ( <i>formally lead on PAC-REDD project</i> )	<a href="mailto:dharyadi@ti.or.id">dharyadi@ti.or.id</a>
TI-Indonesia	Ms. Rivan Prahasya	Programme Coordinator on REDD+ project	<a href="mailto:rprahasya@ti.or.id">rprahasya@ti.or.id</a>
TI-Indonesia	Mr. Utami Nurul Hayati	Project Administrator on REDD+ project	<a href="mailto:mamik@ti.or.id">mamik@ti.or.id</a>
TT-Vietnam	Ms.Dao Nga	Executive Director	<a href="mailto:daonga@towardstransparency.vn">daonga@towardstransparency.vn</a>
TT-Vietnam	Mr. Cao Hai Thanh	REDD+ Project Coordinator	<a href="mailto:haithanh@towardstransparency.vn">haithanh@towardstransparency.vn</a>
TT-Vietnam	Ms. Le Thao	REDD+ Project Officer	<a href="mailto:lethao@towardstransparency.vn">lethao@towardstransparency.vn</a>
TI-PNG	Ms. Sally Korera	REDD+ Project Manager	<a href="mailto:aco.rgfi.tipng@gmail.com">aco.rgfi.tipng@gmail.com</a>
TI-PNG	Mr. Peterson ToAlbert	REDD+ Project Assistant	<a href="mailto:pa.rgfi.tipng@gmail.com">pa.rgfi.tipng@gmail.com</a>
TI-PNG	Ms. Natasha Kasapwailova	ALAC Coordinator	<a href="mailto:nkasaipwailova@gmail.com">nkasaipwailova@gmail.com</a>
TI-PNG	Mr. Pole Kale	General Manager - Projects & Programmes	<a href="mailto:gm.projects.tipng@gmail.com">gm.projects.tipng@gmail.com</a>
ICTHER*	Mr. Ton That Minh	Director	<a href="mailto:tontminh@yahoo.com">tontminh@yahoo.com</a>

\*International Center for Tropical Highland Ecosystems Research - NGO partner of TT-Vietnam in Lam Dong

## Annex 3. Guiding questions

### Guiding questions for the TI National Chapters:

1. What is the problem (s) PAC-REDD+ and RGFI project were aiming to/contributing to solve?
2. How institutions and policy context in your country/globally has changed during the implementation of PAC-REDD+ and RGFI project? Did this influence the project implementation and strategies? Why?
3. Who are your main partners? What changed in their behaviour (or institutions/policies) during the project(s)? Are these changes likely to sustain after the end of the project? Why?
4. What have you done to change the behaviour, institutions or policies of your partners? What strategies and methods worked well? What did not go so well? Why?
5. What do you think are your (TI) strengths to solve this problem? What part of the problem we should be working on (also if we did not earlier)?
6. Do you have any other recommendations (for the learning workshop or strategic planning in the TI)?
7. Who else should I interview?

### Guiding questions for the TI Partners:

1. How are you collaborating with the TI-National Chapter connected to REDD+ and/or forest governance/ALAC? What kind of assistance they have provided to you, your organisations or people you are working with?
2. How do you see their contribution connected to your work and objectives? Has this collaboration/assistance been useful, and do you have any examples where it has done a real difference?
3. What recommendations or guidance you might have for the TI-National Chapter to shape their future planning and strategies to better respond to the needs of your organisation and target group?

**Note:** Questions asked from the TI-Secretariat staff very depending on the position of the person and involvement in the PAC-REDD and RGFI.

## Annex 4. Workshop agenda

### Workshop Outline Learning Review The REDD+ Governance and Finance Integrity Project 1-2.2016 Duxton Hotel, Ho Chi Minh City, Vietnam

#### Rationale:

The learning and review workshop is organised to assess progress on the NORAD funded PAC-REDD project and RGFI project carried out under Transparency International's Climate Finance Integrity Programme. TI-Secretariat and implementing teams from three countries, Indonesia, Vietnam and Papua New Guinea will come together to discuss and define the progress and results and share lessons learned from the implementation. Participants of the workshop will also draft actionable recommendations to support the sustainability of project outcomes in the implementing countries as well as planning of TI's broader Climate Finance Integrity Initiative.

The workshop is part of a broader learning review conducted by an external consultant commissioned to assess the progress of the project towards its defined outcomes, and provide learning and recommendations for future actions for the TI-Secretariat and TI National Chapters.

#### Objective:

1. To support sustainability of project outcomes in the implementing countries
2. To support future planning of TI's broader Climate Finance Integrity Initiative and advocacy to tackle corruption risks in REDD+
3. To celebrate end of the project and strengthen linkages between the implementing Chapters and TI-Secretariat

#### Outputs:

1. The key results of the project (intended and unintended) are mapped and reviewed.
2. Actionable recommendations and lessons learned are produced to support handing over/sustainability and future planning.

**Participants:** 2 TI-Secretariat, 3 TI-Indonesia, 2 Towards Transparency Vietnam, 3 TI-PNG, 1 Facilitator/Consultant. **Total of 12 people.**

#### Preliminary Agenda Monday 1.2.2016

Time	Topic	Content	Facilitated by
9-9.45	<b>Setting the scene</b>	Welcome/opening  Process of the workshop and finalising agenda Expectations Introductions	TI-host country/ TI-Secretariat Katja/individual assignment  Country teams and TI-Secretariat
9.45-10.00	<i>Coffee break</i>		
10-10.45	<b>What is the problem?</b>	Building a common understanding on the underlying issues	Katja



10.45-11.30	<b>What is our context?</b>	Changes in the socio-political and policy context in implementing countries and globally Country context (cultural and social norms) that influence strategies applied	Katja / Country teams, TI-secretariat
11.30-12.00	<b>What was our plan?</b>	Quick review of the project log-frame and desired changes	Leah
12-13.00	<i>Lunch</i>		
13-13.30	<b>Who needs to change?</b>	Mapping main partners in each country	Katja / Country teams, TI-secretariat
13.30-16.30	<b>Mapping the change</b>	Presentation of preliminary mapping of results Discussion, clarifications and filling the gaps Defining contribution scale <i>Coffee break in-between</i>	Katja / Country teams, TI-secretariat
16.30-16.45	<b>Calibrating expectations</b>	What expectations were met and what we need to follow up tomorrow?	Katja

## Tuesday 2.2.2016

Time	Topic	Content	Facilitated by
8.30-8.45	<b>Focus on day two</b>	Small ice breaker/ other opening program	Volunteer
8.45-9.45	<b>Highlight tour</b>	What in our work made a real difference and why? What strategies and methods were implemented successfully, why?	Country teams and TI-Secretariat
9.45-10.00	<i>Coffee break</i>		
10.00-11.00	<b>Review of yesterday's work</b>	Quick look on the mapped changes Presentation/ discussion	Country teams, TI-Secretariat
11.00-12.00	<b>News from Paris COP21</b>	What was decided in Paris? How this connects to our work? Discussion	Leah
12-13.00	<i>Lunch</i>		
13-15.00	<b>Way forward</b>	Synthesis of the workshop results Discussion on actionable recommendations to support 1) future planning & 2) handing over and sustainability of the project outcomes <i>Coffee break</i>	Katja
15.00-16:00		Next steps Financing strategies Administrative issues	Leah

To prepare for the workshop country teams will:

1. Send 2-3 pictures to Katja ([katja.pellini@gmail.com](mailto:katja.pellini@gmail.com)) where team members are in the work situation (facilitating, preparing, leading an activity). These pictures will be used to introduce the team members at start of the workshop.
2. Prepare to present one or two most important achievements of the RGFI project in your country during the **highlight tour Tuesday 2.2.** Note that this is not a list of ALL activities conducted or results achieved, but a story behind the most important changes. You do not need to prepare a PP presentation, but if you want you can show pictures, video clip etc. to illustrate the story. You can also bring other materials produced, that link to your story, to share with the other country teams.

## Annex 5. Questions used in analysis

**Relevance:** *The extent to which the project is suited to the priorities and policies of the target group, the organisation responsible for the project and the donor organisation.*

- To what extent were the approaches employed relevant and suitable to addressing the risks for corruption in REDD+/forest governance?
- What is the added value of the TI's work on REDD+/forest governance to the work of other stakeholders?

**Impact:** *The positive and negative changes produced by the project, directly or indirectly. This involves the main outcomes and impacts resulting from the project, both intended and unintended outcomes and impacts.*

- What changes has TI's work on REDD+ achieved (in discourse, policy or practice) in the project countries and globally?
- What changes has the project achieved in terms of the capacity of citizens and civil society to address governance challenges in REDD+/forestry?
- Were there any other unforeseen impact (positive or negative) that was created during the project implementation process?

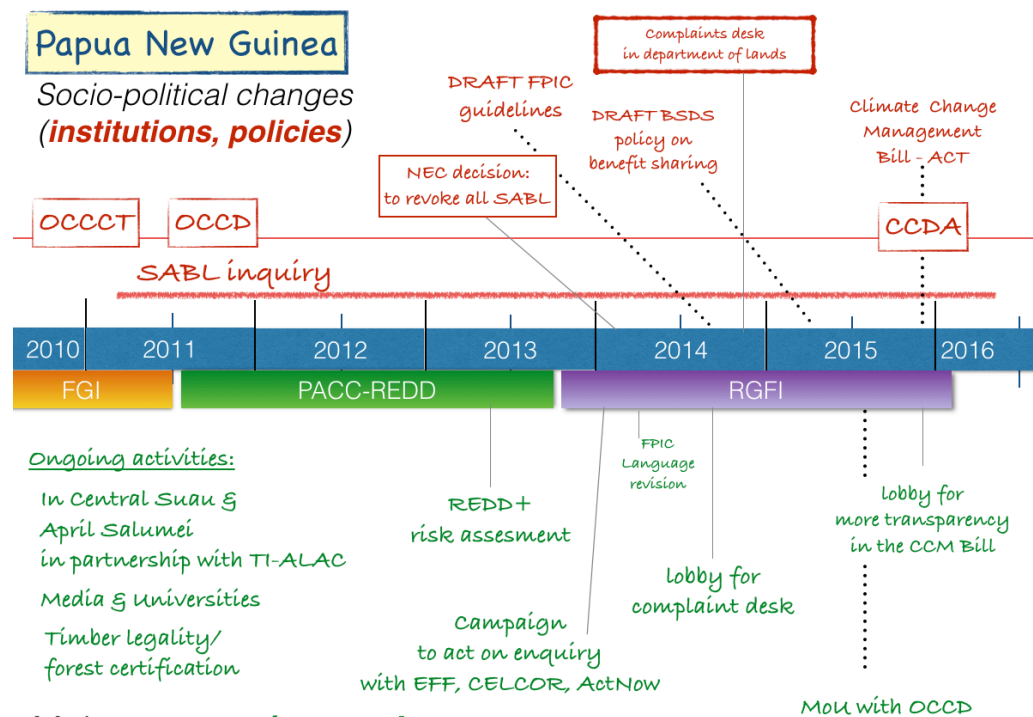
**Effectiveness:** *A measure of the extent to which the project achieves its objectives, i.e. a comparison of the intended outcome with the observed outcome.*

- To what extent has TI's work on REDD+ achieved the outcomes stated in the project proposal?
- What were the key factors that contributed to achieving or failure to achieve project objectives/outcomes?
- How effective was the cooperation and coordination between TI partners and external stakeholders?

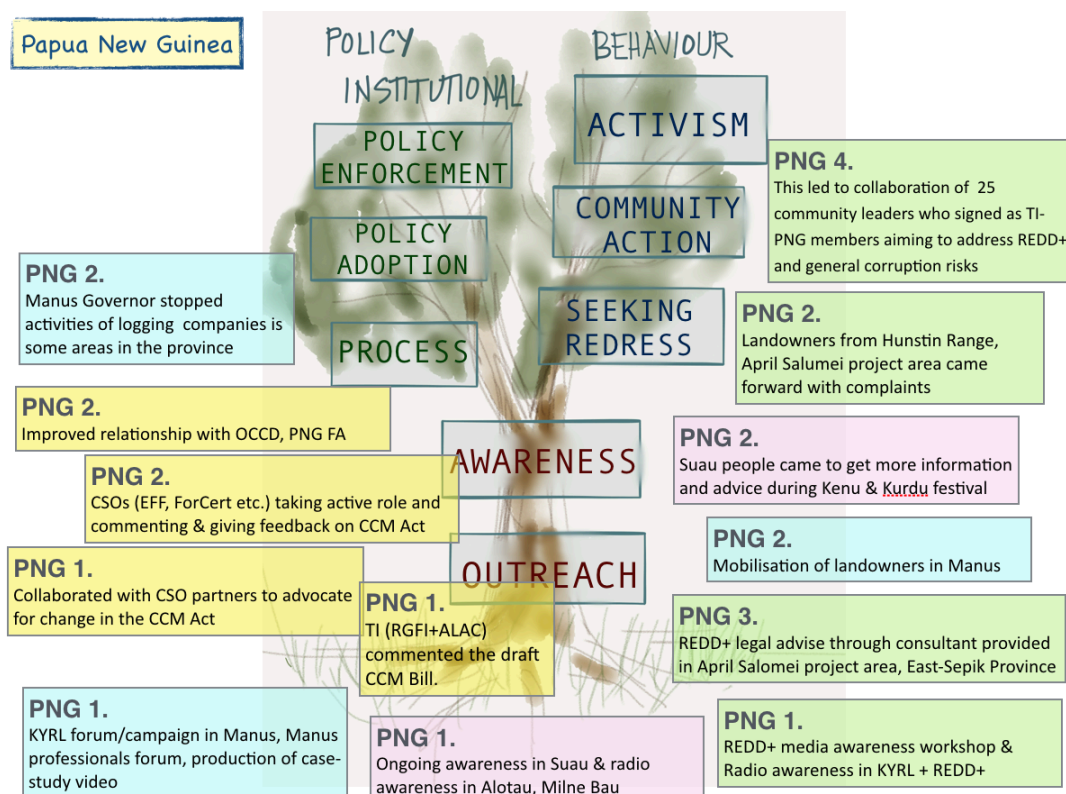
**Sustainability:** *Measuring whether the benefits of a project are likely to continue after funding has been withdrawn. Benefits need to be environmentally as well as economically, technically and socially sustainable.*

- To what extent has the project achieved sustainability through multiplier effects, building the capacity of partners (government and civil society) in the project countries to tackle governance challenges in REDD+/forestry?
- To what extent are the TI Chapters able to ensure the sustainability of project outcomes through integrating aspects of the work in national strategies/fundraising independently?

## Annex 6. Timeline and Mapping of Change - Papua New Guinea

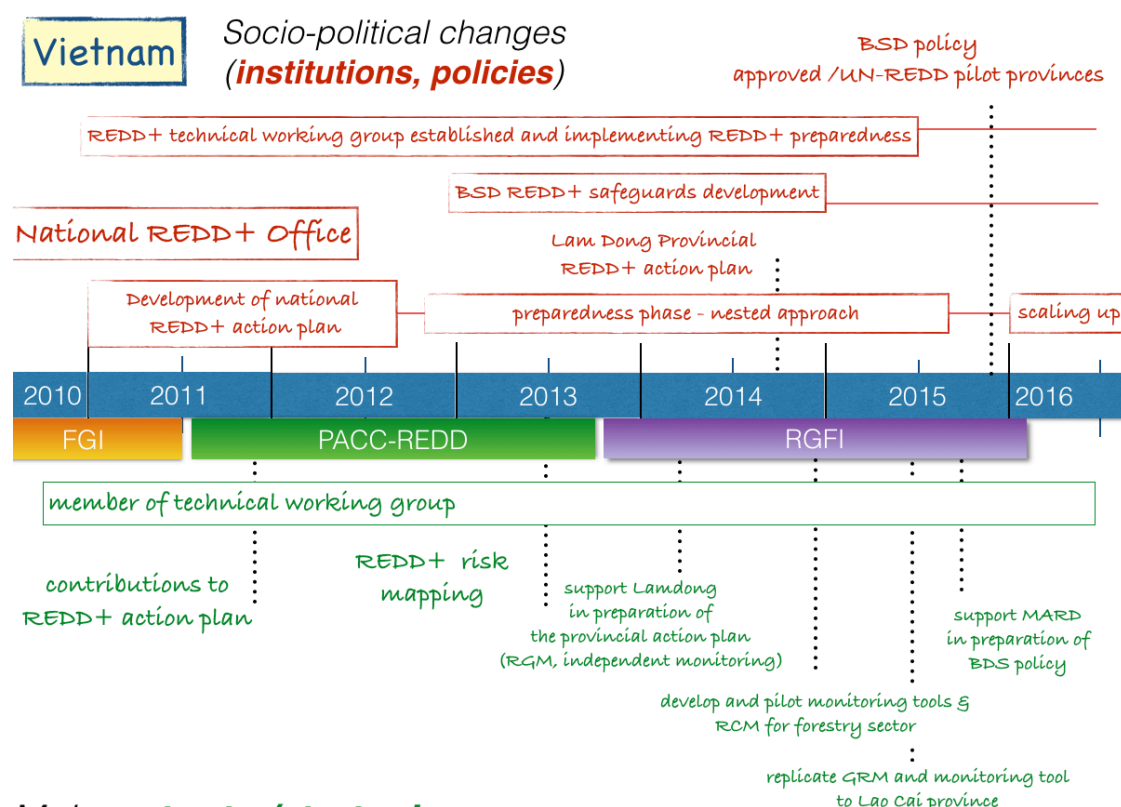


### Main *outputs* /strategies

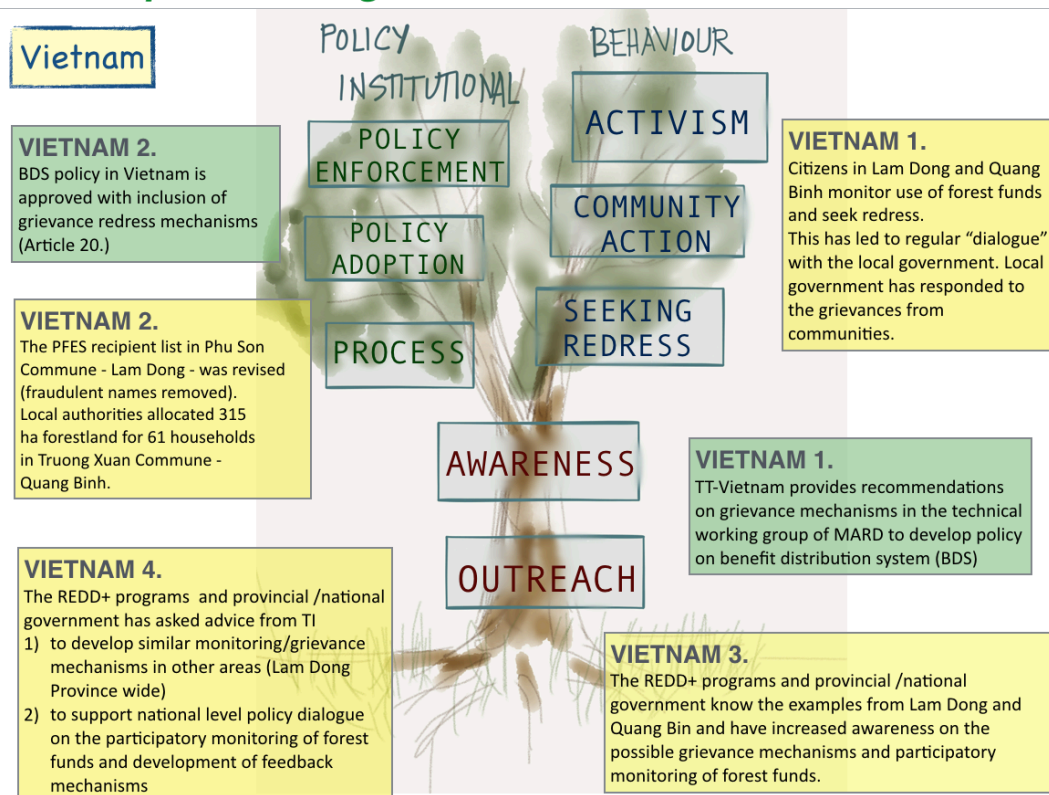


**ACT NOW!** = online community, NGO, **ALAC** = Advocacy and Legal Advice Centres, **BSDS** = Benefit Sharing and Distribution System, **CCDA** = Climate Change Development Authority, **CCM** = Climate Change Management, **CELCOR** = Centre for Environmental Law and Community Rights, **EFF** = Eco Forestry Forum (umbrella organisation of 15 NGOs), **FPIC** = Free Prior Informed Consent guidelines, **ForCert** = Forest Certification (NGO), **NEC** = The National Executive Council, **OCCCT** = Office of Climate Change and Carbon Trade, **OCCD** = Office of Climate Change and Development, **SABL** = Special Agricultural Business Leases

## Annex 7. Timeline and Mapping of Change – Vietnam

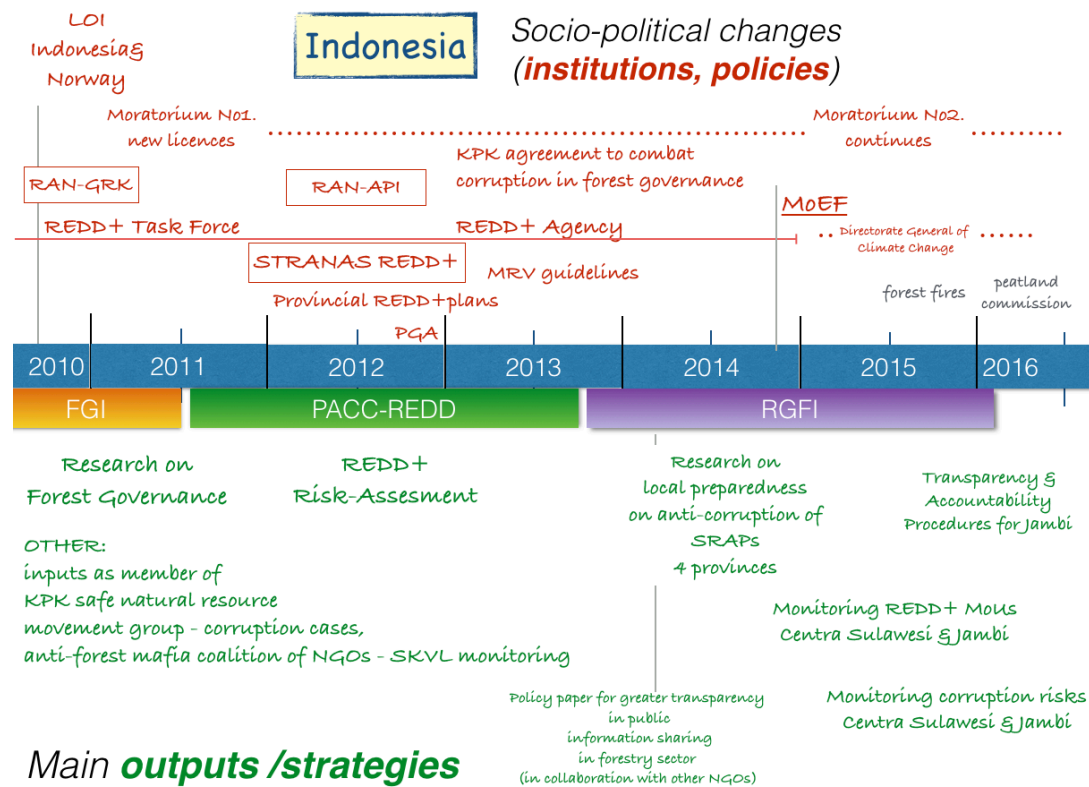


## Main *outputs /strategies*

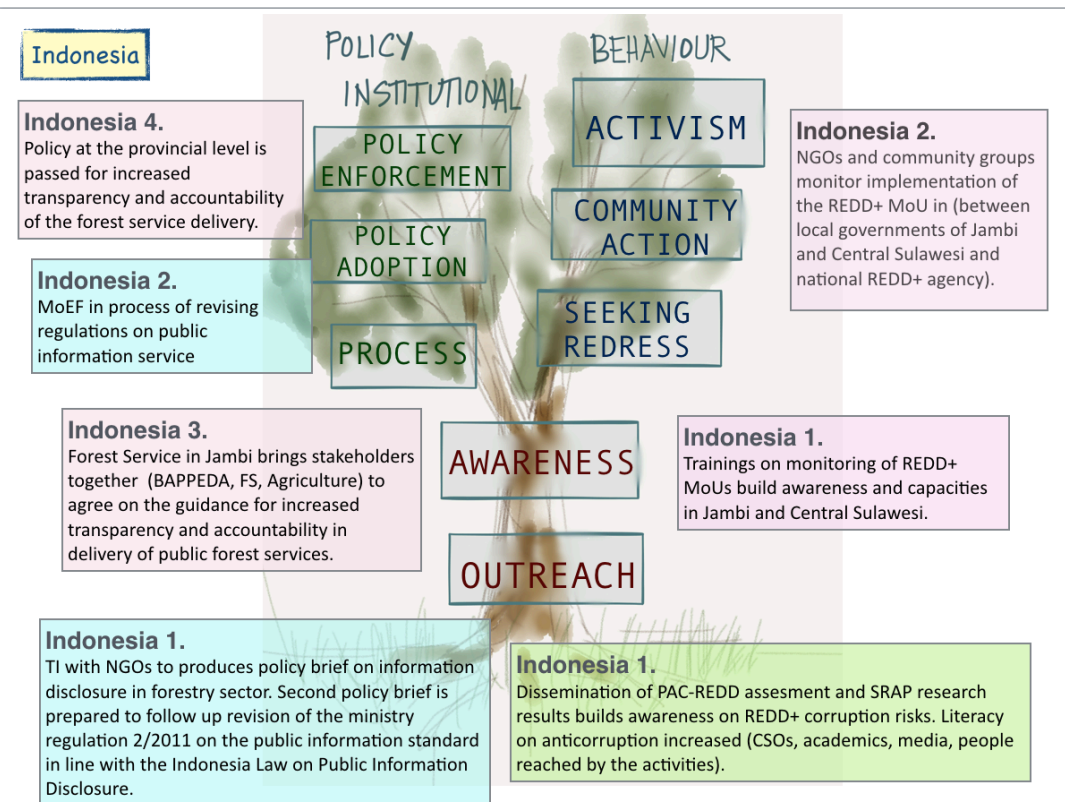


**BDS** = Benefit Distribution System (MARD Decision No. 5399), **MARD** = Ministry of Agriculture and Rural Development, **PFES** = Payment for Forest Environmental Services

## Annex 8. Timeline and Mapping of Change – Indonesia



### Main outputs /strategies



**BAPPEDA** = Provincial Planning Agency, **FS** = Forest Service, **KPK** = Corruption Eradication Commission, Komisi Pemberantasan Korupsi, **MoEF** = Ministry of Environment and Forestry, **NCCC** (DNPI) = National Council on Climate Change (since 2008 also dissolved 2015 with REDD+ agency), **RAN-API** = National Action Plan on Climate Change Adaptation, **RAN-GRK** = National Action Plan for Reducing Greenhouse Gas Emissions, **SKVL** = Timber Legality Assurance System, **SRAP** = Provincial REDD+ Action Plan, **STRANAS-REDD+** = National REDD+ Action Plan



## Annex 9. Iceberg Exercise – Cultural Context

# What is beneath the visible behaviour?

**PNG:** PNG: 800 languages, 1000 tribes, 1000 cultural practices -in order to work with any group you need to understand their cultural practices and adapt your strategies.

**PNG:** Need to identify key persons in each group

**PNG:** Proverb from April Salumei (REDD+ pilot area) "Stone Broken Stone" SBS – it only takes one stone to break the other, strong minded (like a stone) needs to work through the other stones (members of the same community) to reach the "group of the stones".

**Vietnam and Indonesia:** Forbidden to discuss personal mistakes in public

**PNG:** Handling complaint disputes on land – should be done individually (not in a big plenary meeting) to avoid group arguments and clashes.

**Indonesia:** Forgiveness in religious culture can be used to

**Vietnam:** People especially in rural areas will listen to and follow traditional leaders.

**PNG:** Loyalty to relatives/ own tribe – forgive corruption

**Indonesia:** Significant public discussion on corruption but people do not question when they benefit.

**Indonesia:** "Corruption celebrities"

**Indonesia:** Lack of fear from politicians to act corruptly - impunity

**Vietnam:** Corruption a very sensitive issue to discuss publicly

**Vietnam:** Unwillingness to contradict authority.

**Vietnam:** In Quang Binh more outspoken than in Lam Dong

**Indonesia:** Public attitude or permissiveness towards corruption

**PNG:** Sensitivity to gender dimension – need one to one conversations, discussions led by female staff, defining spaces given to women and other vulnerable groups to speak.

**Vietnam:** Desire to keep harmony, fear of conflict or making complaints (also **Indonesia**)

**Indonesia:** Sympathy towards those that are convicted especially within their social group - protection within clans and inside same community group.