EVALUATION DEPARTMENT





Real-time evaluation of Norway's International Climate and Forest Initiative
An evaluation of empowerment of indigenous peoples and forest dependent local communities through support to civil society organisations

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This report is the product of its authors, and responsibility for the accuracy of data included in this report rests with the authors alone. The findings, interpretations, and conclusions presented in this report do not necessarily reflect the views of the Norad Evaluation Department.

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Executive summary

The Terms of References (ToR) of the present evaluation have the following objectives:

- > To determine to what extent Norway's International Climate and Forest Initiative (NICFI) allocations have lead to the empowerment of indigenous peoples (IPs) and other forest dependent communities (FDCs), and
- > To assess the resulting outcomes of NICFI funding in terms of forest conservation and improvements in livelihoods of the IP and other FDCs who live off, in, and around tropical rainforests.

The evaluation selected a sample of thirteen interventions funded by NICFI in key partner countries (Brazil, Indonesia and Peru) between 2009 and 2016. This included 11 funded under the Civil Society Grant Mechanism managed by the Civil Society Department in Norad (CSD Rounds I-III), one funded by the Amazon Fund in Brazil and an assessment of the UNDP/UN-REDD programme's support to IPs and FDCs in Indonesia). The selection was discussed and agreed with NICFI and Norad staff. The field visits to the above-mentioned countries took place between November and December 2016.

RELEVANCE

- > The Ministry of Climate and Environment, Norad (Civil Society Department - CSD) and the vast majority of CSOs share a common understanding of the instrumental value of empowerment of indigenous peoples and forest dependent communities (IPs/FDCs) in reducing green house gas emissions from deforestation and forest degradation. However, the intrinsic value of empowerment as an instrument to advance human rights is not explicit in the theory of change of Norway's International Climate and Forest Initiative (NICFI) or in the projects of the recipient organizations;
- The above-mentioned parties also share a common understanding that recognition of IPs/FDCs territorial rights and access to forest goods and services constitutes a crucial ingredient in both their empowerment and role as effective guardians of forest resources;
- The inclusion and earmarking of funding for the specific thematic area "Securing Indigenous and Other Forest-dependent Populations"

- Rights and Initiatives", under NICFI's Climate and Forestry Funding Scheme for Civil Society Round III (2016-2020) and managed by CSD, strengthens the relevance of NICFI's support to meet its own and the IPs/FDCs objectives;
- The CSOs under CSD Round II (2009-2015) contributed to the relevance of NICFI among IPs and FDCs by covering empowermentrelated activities through grants awarded under thematic area 1 "Sustainable Landscapes";
- The Ministry of Climate and Environment and the Civil Society Department of Norad demonstrate learning in development and management of NICFI vis-à-vis CSOs dedicated to supporting IPs and FDCs. However, the learning process is not optimised due to the lack of adequate baseline data, intermediary progress indicators and analytical work, in particular at the country level, through which lessons learned and good practices are used to support NICFI programming;
- The absence of gender equality, in particular relating to women and youths, as a cross-

cutting objective in the projects evaluated adds to the constraints in the learning process and reduces the scope of empowerment among IPs and FDCs (such as increasing land rights for indigenous women).

EFFICIENCY

- Grant recipients are not required to report on the use of NICFI funds at the country or thematic levels. As a result the evaluation was unable to identify how much of NICFI funding trickles down to the country level. This situation is not aided by the fact most of the recipients evaluated receive grants from multiple sources that cover more than one country;
- > IP and FDC organizations are increasingly showing their willingness and capacity to manage assistance and produce positive results. This demonstrates IP and FDC organizations are evolving as a viable channel that can manage resources directly and achieve good value for money for NICFI;
- The main constraining factors that continue to inhibit IP and FDC organizations' capacity to act as direct implementing partners of NICFI funds are: weak internal planning and organization, inadequate leadership skills and transparency in decision-making (in particular between national and local IP and FDC organizations);

The efficiency of coordination between NICFI and other donor-funded projects linked to the implementation of NICFI at the country level varies according to the ability and willingness of the CSO and other NICFI implementing partners to take up such a role.

EFFECTIVENESS

- There is concrete evidence that the majority of projects evaluated have empowered IP/FDC organizations to participate actively in policy dialogue at the local, national and international levels to defend their territorial rights and interests. However, participation in policy dialogue has generally not translated into the necessary policy, legal and institutional reforms, in particular relating to land tenure of IP and FDC territories;
- The majority of projects have developed greater awareness and understanding among IP/FDCs that their active participation in policy, legal and institutional reforms is crucial to securing territorial rights and long-term access to forest resources. The projects have also facilitated development of political space through which IPs and FDCs have sought the recognition of their rights and role as viable guardians of forests;

- The NICFI funding has facilitated the successful mobilization of well-known international CSOs to empower IPs and FDCs, in particular develop capacity on defending their rights. However, in some cases, empowerment related work is not central to their core objectives and this has affected the degree of success in the delivery of expected outcomes relating to land rights and improved livelihoods;
- All of the projects evaluated are currently unable to document reductions in deforestation and improvements in livelihoods, despite increased engagement and empowerment of the IP and FDCs;
- Assessment of the value-added of NICFI funds through CSOs that pursue a broad agenda through multi-donor funding is difficult. In most of the cases examined, grant recipients were neither required, nor had procedures, to report thematic or country specific use of Norwegian funding.

SUSTAINABILITY

> CSOs whose core interests concern the empowerment of IP and FDC organizations were found to be the most effective NICFI channel to support IPs and FDC organizations. However, in almost all cases they have yet to prioritize the transfer of skills to IP and FDCs to directly access donor funding and to develop their own income generating initiatives from the forest economy;

- The application of NICFI through the CSD funding rounds has contributed to a growing dependency, both between IPs/FDCs and CSOs, and CSOs and Norwegian funding, that risks the sustainability of activities funded by NICFI. The evaluation found funding through multilateral partners such as UNDP in Indonesia has also not been conducive to enhancing the sustainability of NICFI-funded activities;
- The absence of a gender focus in most projects has reduced the opportunities of engaging women proactively in the empowerment process of the IPs/FDCs.

CONCLUSIONS

NICFI funding provided to CSOs through the CSD Rounds and other channels has directly contributed to the empowerment of IPs and FDCs in terms of increasing their political space at all levels of policy dialogue to combat deforestation and forest degradation and advance local forms of forest conservation and management. The CSOs are well-aligned with the goals of the Norwegian initiative.

- > NICFI and CSD are learning from experience.
 CSD Round III is the first to explicitly support
 the empowerment of IP and FDCs through
 the securing of their rights. A similar explicit
 prioritisation was not confirmed in the Amazon
 Fund (AF) bi-lateral initiative in Brazil and
 the UNDP Programme in Indonesia. However,
 the learning potential is constrained due to
 gaps in horizontal and vertical exchange of
 experience-based knowledge and information
 at the country level, and between the country
 level and Oslo.
- Coordination of NICFI actions with other donors committed to NICFI/REDD+ objectives varies according to the ability and willingness of the CSOs and other implementing partners in the project countries.
- NICFI has mobilized and established longterm partnerships with well renowned international CSOs to support capacity building of IP and FDC organizations. There is evidence that these partnerships facilitate IP and FDC organizations to defend their rights.
- It is difficult for the beneficiaries or the donor to monitor and assess the targeting or efficiency of NICFI funding at the country/ thematic levels. In most cases grant recipients are neither required or have procedures

- in place to track specific country/thematic use of NICFI funding. The trickle-down of funds appears to be marginal.
- > Grassroot organizations of IPs and FDCs have developed greater capacity to manage NICFI funding through grants provided by the implementing partners. However, their ability to do so varies.
- > CSOs and other implementing partners continue to function as facilitators for channelling Norwegian funding to IPs and FDCs and their organizations, but there is a risk this is increasing the dependency of IPs and FDCs on CSOs (and CSOs on NICFI). This is likely to constrain the empowerment of IPs and FDCs.
- Gender equality was not found to have been fully integrated as a cross cutting objective in the projects evaluated and this is likely to constrain the intrinsic value of women's empowerment, in particular advancing women's rights.

RECOMMENDATIONS

The Ministry of Climate and Environment should:

> Strengthen knowledge and information sharing between stakeholders at the country level, and the country level and Oslo as a means to fully align its programme priorities with policy and legal context and specific needs in the partner countries;

- Prioritize analytical work that draws on information at the country level, in the interests of identifying lessons learned and good practices to support programming and facilitate project implementation and monitoring through its implementing partners;
- > Create a dedicated funding window for direct financing of IP and FDC organizations at the country level. This should be identified after a review has been conducted on NICFI rules and procedures governing grant management;
- > Fully integrate gender equality as a cross cutting objective in all thematic areas of NICFI funding.

The Civil Society Department in Norad should revisit its project selection and monitoring procedures to:

> Strengthen its information base concerning the tracking of expenditure and assessing the value added of the supported interventions at the country level. In particular, the CSD should have information about the complementarity of Norwegian funding in relation to the existing portfolio of the

- recipient CSO, and the actual trickle down of the Norwegian funding to the country level.
- Establish baselines and intermediary output and outcome indicators at the country level (aligned to government and IP/FDC priorities) to facilitate learning through the project cycle and identify lessons learned and best practices to support programming of NICFI Rounds;
- Facilitate direct financing of IP and FDC organizations at the country level, based on a review of current procedures and rules governing NICFI funding.

1. Introduction

1.1 GENERAL BACKGROUND

Norway's International Climate and Forest Initiative (NICFI) was initiated in 2009 to support the Norwegian government's efforts to slow, halt and eventually reduce greenhouse gas (GHG) emissions resulting from deforestation and forest degradation in developing countries (REDD) 1. The majority of NICFI's activities are implemented through multi-lateral and bi-lateral channels.2 Civil Society Organizations (CSOs) are seen by the Government of Norway (GoN) as important agents of change and central actors in furthering and applying REDD+. Partly in response to the review of REDD+ undertaken under the first call-off under the Real-Time Evaluation (RTE) framework³, support to CSOs has evolved to

recognise the importance of greater involvement and empowerment of Indigenous Peoples (IPs) and other Forest Dependent Communities (FDCs) in decisions that affect their access and rights to forested territories. Moreover, there is growing evidence that empowering IP and FDC organisations to become stewards of the territories in which they sustain their livelihoods is increasingly recognised by international donors such as NICFI to be a viable and cost effective way to support efforts to mitigate climate change given IPs and other FDCs manage at least 24 percent of the total carbon stored aboveground in the world's tropical forests (equivalent to 54,546 Mt of CO2).⁴

1.2 THE MANAGEMENT OF THE CSO-PRO-GRAMME – CIVIL SOCIETY GRANT SCHEME

The NICFI initiative is managed by a Secretariat located within the Ministry of Climate and Environment (MCE). Support to CSOs is mainly funded through the Civil Society Grant Scheme, managed by the Civil Society Department (CSD) of Norad. The process for managing and disbursement of NICFI funds is summarised as follows:

- The Ministry sets the overall strategy and outlines its priorities in the annual budget proposition (Proposition No. 1) to the Parliament Stortinget. After the budget is approved by the Parliament the Ministry sets the thematic priorities and the budget to be administered through the Norad's Departments.
- > For the funding of civil society organizations, Norad's CSD designs and administers the Call for Proposals keeping in view the allocation priorities set by NICFI. This process is conducted in consultation with NICFI to assure that strategic priorities are correctly incorporated within the Call for Proposals.
- > For CSD Round II and III, the selection process involved an initial open call for concept notes. From this, 50 organisations were shortlisted to prepare full proposals. In CSD Round III, an application template was developed by the CSD with input from Norad's Results and

¹ The REDD framework started in 2005 in the interests of rewarding developing countries financially if they reduce GHG emissions through the decrease in the conversion of forests to alternate land uses. In December 2010 the Cancun Agreements added the conservation and enhancement of forest carbon stocks and sustainable management of forests to REDD, known as REDD+.

² Multi-lateral channels include the Forest Carbon Partnership Facility (FCPF), the Forest Investment Programme (FIP) and the United Nations REDD Programme (UN-REDD+). Bi-lateral channels include the Civil Society Grant Scheme, Letters of Intent and specific grants managed by Norwegian Embassies.

³ See https://www.norad.no/en/toolspublications/publications/2016/real-time-evaluation-of-nicfi-literature-review-and-programme-theory/

⁴ Rights and Resources (2016) Toward a Global Baseline of Carbon Storage in Collective Lands: An updated analysis of indigenous peoples' and local communities' contributions to climate change mitigation. Online. Available at: http://www.wri.org/blog/2016/11/indigenous-peoples-and-local-communities-are-worlds-secret-weapon-curbing-climate [accessed 07/05/2017]

Legal Department to provide consistency with grant rules. NICFI provided feedback on these templates.

- Applications are assessed according to the 'Rules for the Climate and Forest Funding to Civil Society'5, which sets out the selection criteria. Applications are assessed by CSD, supported by feedback received from the Climate and Energy Department (KEMF), NICFI and the relevant Embassies. In instances where there is conflicting feedback the concerned members of staff aim to reach a consensus. The selection is finalized by CSD keeping in view the need for a balance across the thematic and geographic areas.
- A decision document is prepared for each applicant, which includes an assessment against each of the assessment criteria along with the CSD's decision regarding funding.

1.3 PURPOSE AND SCOPE OF THIS EVALUATION

The Terms of References (see Appendix A) of this evaluation have the following objectives:

To assess the resulting outcomes of NICFI funding in terms of forest conservation and improvements in livelihoods of the IP and other FDCs who live off, in, and around tropical rainforests.

The scope of the evaluation covers the assessment of thirteen interventions (see Appendix H) funded within the period 2009 to 2016 by NICFI (11 funded under the CSD Rounds I-III, one by the Amazon Fund in Brazil and one programme by UNDP/UN-REDD in Indonesia). The latter two interventions were included in the sample to facilitate a broader evaluation of the various modalities through which NICFI has supported the empowerment of IPs and FDCs. In Brazil the Amazon Fund has supported the Apiwtxa Association, while in Indonesia UNDP has used NICFI funding to directly support local CSOs.

The evaluation of the project sample concerning projects funded under CSD Round III (2016-2020), has concentrated on assessment of initial start-up activities.

The main objectives of NICFI are:

- To contribute towards the inclusion of REDD+ in a new international climate regime;
- > To contribute to early actions to achieve cost-effective and verifiable reductions in green house gass (GHG) emissions;
- > To promote the conservation of natural forests to maintain their carbon storage capacity and for their biological diversity.
- As an over overarching goal, all these efforts should promote sustainable development and the reduction of poverty. The climate change mitigation potential of tropical forests will never be realized unless it offers a more attractive and viable development option than the destructive uses of the forests.⁶

1.5 REPORT STRUCTURING

The remainder of the report is structured as follows:

Section 2: Overview of the approach and methodology for the evaluation. A more detailed description is provided in Appendix C.

To determine to what extent NICFI allocations have lead to the empowerment of IP and other FDCs, and

^{1.4} NICFI'S AIM AND APPROACH

⁵ Norad (2014) Rules for the Climate and Forest Funding to Civil Society.
Online. Available from: https://www.norad.no/globalassets/import-2162015-80434-am/www.norad.no-ny/filarkiv/3.-sivsa-2012—/cfi-2015-2020/rules-for-climate-and-forest-funding-to-civil-society-english.pdf

⁶ See https://www.regieringen.no/en/topics/climate-and-environment/ climate/climate-and-forest-initiative/kos-innsikt/hvorfor-norsk-regnskogsatsing/id2076569/

Section 3: A summary of t the context concerning tropical rainforests in relation to the application of REDD+ in the three countries visited – Brazil, Indonesia and Peru. This includes our understanding of the national REDD+ process, the main stakeholders at stake and the role of IP and FDCs in this process. Detailed information about the projects evaluated in these countries is provided in Appendix D.

Section 4: Presents the main findings.

Section 5: Sets out the conclusions and recommendations of the report.

2. Evaluation approach and methodology

The evaluation is conducted in accordance with the DAC evaluation criteria⁷. A multi-level mix of qualitative and quantitative approaches has been used to collect evidence and information to support the analysis and understanding of NICFI's contribution to empowerment of IP/FDCs. Information has been collected through desk review, interviews with stakeholders and field research. For the field research a participatory approach has been applied in order to engage IPs and other FDCs in speaking about their own processes and perceptions regarding their empowerment, or changes that have been taken place, in relation to their livelihoods and the conservation of the tropical forests they live off, in, and around.

2.1 EMPOWERMENT

Empowerment is a value-laden concept that broadly describes a process through which people lacking an equal share of resources gain greater access to and control over those resources.

The definition is, however, subject to a variety

of different views, interpretations and expectations of what empowerment can deliver. Measurement of outcomes is thus subjective and the interpretation of what constitutes a 'significant' outcome might vary widely across different stakeholders. This process of empowerment can be characterised by the degree to which existing power relations are challenged, such as social exclusion and the lack of access to power, voice and security, and of gaining greater control over the sources of power in order to secure human rights and social justice.

In the absence of a specific definition on empowerment within NICFI or Norad's Civil Society Department, the evaluation adopted the working definition for empowerment of indigenous peoples and forest dependent communities as described in box 1. This definition was developed as a result of the literature review and discussions with staff from NICFI and Norad taking into account the context of REDD+.

BOX 1: DEFINING EMPOWERMENT

Empowerment is a process of change through which indigenous peoples (IPs) and forest dependent communities (FDCs) acquire the capacity at individual and/or group level to make choices and to translate them into desired actions and outcomes. In turn this should provide them with the opportunities to gain control over their own lives and to increase their own capacities to act on issues that they define as important.

Regarding the measurement and tracking of change, the evaluation adopted the following viewpoint:⁸

"The extent to which IPs and other FDCs, men and women, can demand their rights and representation and/or have the right to effectively participate in decision-making processes concerning the ownership/allocation of resources, or gaining access to information and training to develop local organizational capacity and accountability, among others".

The evaluation also has taken into account the indicators used in CSD Rounds II and III,

⁷ OECD DAC (1991) DAC Principles for Evaluation of Development Assistance [online] available at http://www.oecd.org/dac/evaluation/2755284.pdf and OECD DAC (2010) Quality Standards for Development Evaluation [online] available at http://www.oecd.org/dac/evaluation/qualitystandards.pdf.

⁸ This is related also to one of the main research questions, see ToR.

and specifically those related to IP rights and safeguards, i.e. 'common indicators' 4, 8 and 9 (CSD Round II)⁹ as well as Outcome 2: 'Governments in targeted developing countries have implemented REDD+ related policies, measures and safeguards. These include developing policies and measures to support green growth, sustainable livelihoods, land use-planning, the rights of IPs and FDCs (including women's rights) and adopting 'standardized reporting information' (CSD Round III).¹⁰

2.2 EVALUATION QUESTIONS TO ADDRESS

Based on the main questions established in the ToR for this evaluation, a series of sub-questions were developed to guide the assessment of the 13 projects selected for evaluation during the desk and field phases (see Appendix C). These were grouped under the following evaluation topic/criteria:

Management of the CSO Programme by CSD Civil Society Grant Scheme

- Efficiency: How far have NICFI resources been converted efficiently into expected outputs and outcomes?
- Effectiveness: Meeting of project objectives and contribution to meeting NICFI objectives
- > Sustainability: Ability of IP/FDCs to continue actively participating in the decision-making process, etc.

2.3 METHODOLOGY

2.3.1. Inception Phase – Desk study based on a preliminary literature review

The desk-based review was guided by a review protocol (see Appendix C-2). The purpose of the review protocol was to document the whole review process from the retrieval of literature through to the synthesis of review findings. The protocol set out a detailed methodology for developing a working definition of empowerment of IPs and FDCs, and indicators to aid the measuring of empowerment. This was aided by a preliminary meeting between the evaluation and staff from NICFI and Norad (CSD) on 18 October 2016 in which empowerment of

IPs and FDCs was discussed and a common agreement reached on its definition within the context of NICFI objectives.

The desk review also facilitated identification of a shortlist of projects identified as directly supporting the empowerment of IPs and FDCs from which a sample of 13 projects were chosen. The sample was agreed with NICFI and Norad staff before preparing the field visits (see Appendix H). In addition the review included the assessment of the theories of change (ToC) adopted by the sample projects in order to determine their relationship with NICFI's own ToC. Specific gaps in information that needed to be addressed through the key informant interviews or fieldwork was also identified at this stage. An interview protocol was prepared to guide the key informant interviews to be carried out (see Appendix C-3).

A second visit was made by the evaluation team on 7 November 2016 to discuss the draft Inception Report with NICFI management and staff, together with the evaluation coordinator from Norad's Evaluation Department. The Inception Report was finalised and submitted to Norad at the end of November 2016.

> Relevance of NICFI funding: use of the Civil Society Department and other channels to enhance the empowerment of IPs and FDCs

⁹ See right side menu on https://www.norad.no/en/front/thematic-areas/climate-change-and-environment/norways-international-climate-and-forest-initiative/

¹⁰ These are: 2.1.a: Scale: Level of implementation of REDD+ related policy/ measure; 2.1.b: Gender equality; 2.1.c: Transparency and/or law enforcement; 2.1.d: Sustainable livelihoods; 2.1.e: Reduced deforestation; 2.2: Cancun safeguards; and 2.3: Hectares of land gained and accessed.

2.3.2. Field phase – Initial interviews with key stakeholders and further document review

Key stakeholders, in particular the international CSOs and other partners responsible for the overall implementation of the sample projects were interviewed in Washington DC, prior to conducting interviews with implementing partners and stakeholders of the project sample in Peru. In Brazil and Indonesia this involved visits to implementing partners in their respective capitals prior to interviewing stakeholders in the field. Interviews applied different consultation approaches, including semi-structured interviews and focal group discussions. The stakeholders were selected on the basis of their role and importance in implementing the projects selected for evaluation. The selection was aided by the following: a) the review of key project documentation such as work plans and progress reports, b) identification of key recommendations from key informants based on the snowball sampling methodology¹¹; and c) stakeholder analysis to identify other relevant stakeholders that should be interviewed¹². The stakeholders analysed and/or consulted can be found in Appendix B.

2.3.3. Field Missions

The field-work in Brazil, Indonesia and Peru was conducted between 27 November and 18 December 2016 (see Appendix C). Interviews and focal group discussions were conducted in-person and in a few cases via telephone or Skype. The main elements of the in-person interviews and group discussions were recorded and communicated to the team leader. In all interviews the evaluation was guided by addressing the questions listed in Appendix C, which included examination of cross-cutting issues, such as gender equality and respect for human rights, in order to include an assessment on gender-related empowerment (in particular of women and youths from IP and FDCs). All information gathered has been managed in a confidential manner in line with the above-mentioned interview protocol adopted by the evaluation team and agreed with Norad.

Field work included travel to the offices or sites of local stakeholders included in the work plan established in the inception report (see also Appendix B). In all three countries visited this included field visits to meet IP and FDCs and their organizations as well as other relevant stakeholders at the regional/local level, in order to assess how far the empowerment of IPs and FDCs has filtered down to the regional (departmental or provincial) and/or local levels (municipalities, grass-roots organisations, NGOs) and

whether this has produced positive results, such as an increase in forest conservation and the application of good governance of forest resources (including the monitoring, verification and reporting – MVR). Additionally meetings took place with stakeholders in the country supporting IPs/FDCs in the REDD+ process.

2.3.4. Analysis and Reporting

The data and findings collected during the interviews with different stakeholders as well as from the focus group discussions were analysed and synthesised by each country lead, which provided the basis for producing the present evaluation report. A matrix was used to collate the main findings of all the projects assessed in relation to main the evaluation questions adopted for the field mission. The evaluation team triangulated its findings as far as possible to ensure the evaluation report was based on credible evidence.

The first draft evaluation report was formulated with the aid of the above-mentioned evaluation matrix and was submitted to NICFI and Norad staff in April 2017. The present report has incorporated a second round of comments from NICFI and Norad provided in June 2017.

¹¹ Atkinson, Rowland; Flint, John (2004). Encyclopaedia of Social Science Research Methods. SAGE Publications, Inc. pp. 1044–1045. ISBN 9780761923633

¹² Reed, M., et al. (2009) Who's in and why? A typology of stakeholder analysis methods for natural resource management, *Journal of Environmental Management*, 90:1933-1949.

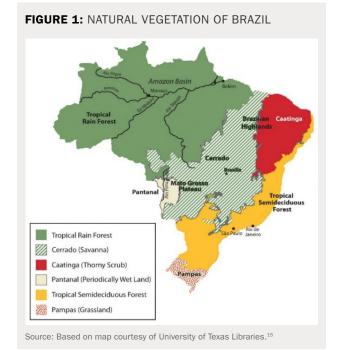
3. Context

This section provides a summary of the context in the three targeted countries of Brazil, Indonesia and Peru. Sub-sections provide an overview of forest resources, the forestry sector, the situation of REDD+ in each country, the situation of IPs and FDCs within the national REDD+ process and the main stakeholders of NICFI funding that support IPs and FDCs in the national REDD+ process. This section then provides a brief description of the projects selected for evaluation and why they have been selected, together with brief information on NICFI allocations and channels used in the countries concerned. Further information on the countries concerned and the projects evaluated is provided in Appendix D.

3.1 BRAZIL

Brazil is the world's largest tropical forest country and one of the most important partner countries for NICFI. Around 30 per cent of the world's remaining forests are located in Brazil¹³. Most of Brazil's rainforest is located in the Amazon Basin (see Figure 1), but there

are also significant areas of forests along the eastern coastline known as Atlantic Forests. Tropical rainforests cover almost 60% of total land area (477,698,000 hectares) where carbon storage is estimated to be 51 million gigatons¹⁴.



¹⁴ https://www.regjeringen.no/en/topics/climate-and-environment/climate/ climate-and-forest-initiative/kos-innsikt/brazil-and-the-amazon-fund/id734166/

Deforestation rates in the Amazon Basin have been high between 1988 and 2016. Figure 2 (next page) shows that between 2000 and 2005 almost 13 million hectares of tropical rainforest were lost to deforestation¹⁶. In 2004 alone deforestation in the Brazilian Amazon was estimated at 27.77 square kilometres¹⁷. However since 2005 Brazil has committed resources in reversing this process. Between 2004 and 2016 deforestation rates in the Amazon basin decreased by 71%, although in 2015 the rate of deforestation was higher than expected.

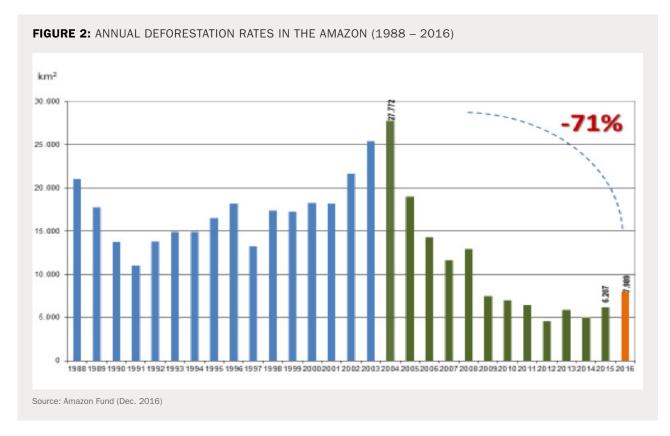
There are a number of causes behind deforestation in the rainforests of Brazil. A major contributing factor have been poorly thought out policies and support to establish large-scale agribusiness (soya, oil palm, sugar cane, cattle ranching, etc.) and economic development based on the extraction and general exploitation of natural resources (mining, logging, petroleum extraction, etc.). A second major

¹³ https://www.regjeringen.no/en/topics/climate-and-environment/climate/climate-and-forest-initiative/kos-innsikt/brazil-and-the-amazon-fund/id734166/

¹⁵ http://open.lib.umn.edu/worldgeography/chapter/6-3-brazil/

¹⁶ Saving Our Habitat (2011) By Brain Works. See https://www.amazon.com/ Saving-Our-Habitat-Brain-Works/dp/8179914941

¹⁷ https://www.regjeringen.no/en/topics/climate-and-environment/climate/ climate-and-forest-initiative/kos-innsikt/brazil-and-the-amazon-fund/id734166/



contributing factor has been the development of road infrastructure in the Brazilian Amazon region to support the above-mentioned economic activities. This has facilitated the expansion of colonisation involving landless peasants and other groups from mainly poor urban areas of the country. Colonisation is currently estimated to account for between 20-25% of all deforestation in the Amazon basin. Land clearing generally involves the removal of valuable wood

before burning of unwanted trees and plants. Logging (legal and illegal) and forest fires result in significant forest degradation, although it is estimated they only account for between 2-3% of total deforestation given small farmers do not need major land clearings to support their agricultural practices.¹⁸

One of the main challenges for tackling deforestation and forest degradation in Brazil is the resolution of land tenure problems, which are at the root of social and environmental disputes and conflicts, in particular between IPs and colonisers, but also between colonisers¹⁹. These disputes and conflicts have precipitated a growing belief in Brazil that there is a need for policy reforms that change the way incentives for supporting economic development in the Amazon region are designed and applied. REDD+ has been one of the international initiatives that has helped facilitate dialogue on revaluing forests in Brazil²⁰, which includes the need to reach intra- and inter-ministerial agreements at both the Federal and State levels to facilitate more effective forest governance supported by reform of the Forest Code²¹.

In 2008, Norway and Brazil signed a Letter of intent (LoI), also called a Memorandum of Understanding (MoU), in which NICFI pledged to contribute up to USD 1 billion to the Amazon

¹⁸ http://rainforests.mongabay.com/amazon/amazon_destruction.html

¹⁹ Indigenous Peoples and REDD+: A Critical Perspective. See http://ppel.webhost.uits.arizona.edu/ppelwp/wp-content/uploads/2014/11/Osborne_ IPCCA FINALREDDreport.pdf

²⁰ The context of REDD+ in Brazil. Drivers, agents and institutions. A study of May and Millikan, a CIFOR study 2011. See http://www.cifor.org/library/3287/ the-context-of-redd-in-brazil-drivers-agents-and-institutions/

²¹ A law from 1965 requiring landowners in the Amazon to maintain 35 to 80 percent of their property under native vegetation, but nearly impossible to implement and monitor.

Fund in Brazil (AF) between 2008 and 2015 to reward Brazil for reductions in GHG emissions from deforestation and land degradation.²² An agreement between GoN and the government of Brazil (GoB) was signed in March 2009 in which the Brazilian Development Bank (BNDES) was appointed as the official administrative body for the Amazon Fund. During the climate summit in Paris November 2015 (COP21) the governments of Brazil and Norway announced that they will extend the climate and forest partnership until 2020. The Amazon Fund decree²³ was updated in 2015 in which explicit reference was given to supporting the implementation of the National Strategy of REDD+ in Brazil (ENREDD+).

Since the adoption of the 1988 Brazilian Constitution there has been a growing trend towards decentralization of environmental policies. Forest management is divided among federal, state, and municipal levels of government. Local government²⁴ and civil society are encouraged to participate in institutional frame-

works through collective bodies in order to support the administration of forests. In some cases, local governments have been able to integrate different sectors of society, including NGOs and disadvantaged groups such as indigenous peoples and seringueiros (rubber tappers) in forestry-related initiatives. At the other extreme there have been cases of apathy, local capture of government by influential groups and increased mismanagement of forest and deforestation.²⁵

GoB's commitment to sustainable development under ENREDD+ and the Action Plan for the Prevention and Control of Deforestation in the Amazon (PPCDAM) aims at expanding participation of local government and civil society in order to reduce the national deforestation rate by 80% in the Amazon region, and by 40% in the savannah area (Atlantic forests) by 2020. The baseline will be determined by calculating historical average rates of deforestation in the Brazilian Amazon region between 1996 and 2005. A separate baseline will be established for the Cerrado region (central savannah region) between 1999 and 2008. ENREDD+ and PPCDAM will guide all relevant forestry and related policies and programmes²⁶ within the Brazilian Amazon to combat deforestation

along four major axes: territorial management, environmental monitoring and control, the support of viable productive activities, and normative and economic incentives. Additional information on the institutional arrangements for forest management and policies, strategies and action plans associated with ENREDD+ can be found in Appendix E.

According to representatives of the Ministry of the Environment (MMA) the implementation of PPCDAM has been significant in decreasing the rate of deforestation in the Brazilian Amazon region. This is mainly due to its success in developing greater co-operation among many government bodies, which the Amazon Fund believes has been instrumental in advancing the National Policy of Territorial and Environmental Management of Brazilian Indigenous Lands (PNGATI).

Nevertheless, ENREDD+ has also been a cause of greater tension between CSOs and the state authorities for the following reasons:

The CSOs demand full and effective participation (through balanced representation in the National Commission for REDD+, (CONAREDD+)

²² Birdsall, N., Savedoff, W., and Seymour, F. (2014) The Brazil-Norway Agreement with Performance-Based Payments for Forest Conservation: Successes, Challenges, and Lessons. Online. Available from: http://www.cgdev.org/
publication/ft/brazil-norway-agreement-performance-based-payments-forest-conservation-successes?utm_source=140805&utm_medium=cgd_email&utm_campaign=cgd_weekly&utm_=

²³ Amazon Fund Decree http://www.planalto.gov.br/ccivil_03/_ato2007-2010/2008/decreto/d6527.htm

²⁴ This refers to the state or municipal government.

²⁵ Forest Governance in the Federal Systems: An overview of experiences and implications for decentralisation. (2004) By: Gregersen, h. et all. Forest Trend Report. See http://www.cifor.org/publications/pdf_files/interlaken/Interlaken_pre-paper.pdf

²⁶ Includes two national programmes related to climate change that are currently on-going in Brazil (the National Plan on Climate Change (2008), and the National Policy on Climate Change (2009), will be implemented under the framework of ENREDD+ and PPCDAM.

in order to be able to approve/veto decisions in the commission about the implementation of the ENREDD+. This agenda is being supported by the main Non-Governmental Organizations (NGOs) working with ENREDD+.

The State governments concerned on the other hand want to maintain their rights of autonomy in order to retain their leadership in the process and ability to negotiate carbon credits (offsetting).²⁷ Amazonas and Acre State are particularly active on this agenda.

3.1.1 Indigenous peoples and forest dependent communities within the national REDD+ process

Despite the current laws, policies, and other regulations that recognize the rights of IPs and FDCs to forest resources, their rights are not always respected and enforced in practice. Appendix E presents a brief description of the process and struggle IPs and FDCs in relation to gaining their rights, in particular territorial rights. In addition there are also many concerns among indigenous groups regarding ENREDD+. These include among others:

- Risks of exclusion from forests and restrictions on access to their goods and services;
- The form and distribution of benefits, such as carbon credit payments;
- Establishment of effective safeguards that enforce their rights;
- Active participation in international and national negotiations as a means to influence the direction and scope of ENREDD+ and to ensure indigenous rights are respected and secured.
- The lack of recognition and value of the practices and traditional knowledge of IPS and FDCs, which can guide the implementation of ENREDD, not only in terms of a mitigation and adaptation strategy, but also as a long-term sustainable land-use plan;
- > Fundamental concerns over the "commodification" of nature by carbon markets, which they do not influence or control.
- Beginning in the 1990s, IPs and FDCs across the Brazilian Amazon (and other parts of the Amazon basin) began developing "Life Plans".
 These are long-term plans designed to cultivate indigenous economies built on

sustainable and traditional practices. The quality of these Life Plans varies, but they do describe land-use and governance programmes that are compatible with the REDD+ initiative. However, almost all IP and FDC organisations involved have struggled to get their Life Plans off the ground due to the lack of funding and technical supervision. One significant exception has been the Paiter-Surui IP organization, which in 2007 worked under the REDD framework to establish themselves as recognised stewards (or rangers) of their forests.

3.1.2 Key stakeholders and NICFI funding

There is a multitude of government and non-governmental stakeholders in Brazil with interest in supporting indigenous peoples and traditional communities in the REDD+ process. A number of these stakeholders are direct or indirect recipients of NICFI funding. Table 1 (next page) provides an overview of government stakeholders:

²⁷ The states are afraid, as when losing their autonomy they might not be able to keep and manage the findings they were able to get (negotiate) themselves on their own. Personal comments, staff member Norway Embassy.

²⁸ http://wwf.panda.org/what_we_do/where_we_work/amazon/about_the_amazon/people_amazon/indigenous_brazil/

²⁹ http://www.ecosystemmarketplace.com/articles/indigenous-peopleexplore-many-shades-redd/

TABLE 1: SUMMARY OF KEY GOVERNMENT STAKEHOLDERS IN BRAZIL

Stakeholder	Description
The Ministry of Environment (MMA) and its bodies including Chico Mendes Institute of Biodiversity Conservation (ICMBio) and Brazilian Institute of Environment and Renewable Natural Resources (IBAMA)	Created in 1992 and is responsible for the formulation of forest policies. MMA has a Climate Change and Environmental Quality Secretariat led by the director of climate change. MMA is responsible for granting forest concession contracts and rights in the sustainable forest production sector, ICMBio is responsible for all protected areas while financial control is exercised by IBAMA.
The Ministry of Foreign Affairs (MFA)	Works together with the MMA on the bilateral agreement between Norway and Brazil regarding the AF. They also have a seat in the Committee of the Amazon Fund (COFA) of the AF.
The National Institute for Space Research (INPE)*	Linked to the Ministry of Science, Technology and Innovation and dedicated to research, innovation and technology regarding spatial issues, weather forecast and climate change.
FUNAI - the Official indigenous organ of the Brazilian government body and linked to the Ministry of Justice	Its institutional mission is to protect and promote the rights of indigenous peoples in Brazil through mapping and protection of Indigenous Territories and promotion of their sustainable development. It establishes and carries out Federal government policies relating to indigenous peoples. FUNAI promotes ethno-development**, conservation and recovery of the environment in indigenous lands and prevents invasions of indigenous territories by outsiders.
Environmental secretaries and bodies at the state level in the Amazon	Responsible for elaborating forest policies and regulations, involved in discussing the law and interacting with CSOs, e.g. Institute of Climate Change (IMC)***
Amazon Fund	The fund is managed by the BNDES, the Brazilian Development Bank, in close coordination with the MMA. It receives funding under a results-based payments mechanism in which Norway pays Brazil according to their achievements in reducing emissions from reduced deforestation in the Amazon. A deforestation year is calculated from August to July the following year. The preliminary figures are presented in November/December and confirmed in April the following year. In line with the principle of paying for verified results, the annual Norwegian contribution to the Amazon Fund is determined on the basis of the results Brazil achieved the previous year, meaning the reduced deforestation. The amounts of funding are adjusted according to Brazil's achievements in reducing the rate of deforestation and bilateral payments are made to the AF. This Fund is further described in more detail in Appendix D.
The Norwegian Embassy	The IP programme of the Norwegian Embassy, funded till the end of 2016 by the MFA and from 2017 through NICFI. Though focusing on this project is beyond this evaluation.
World Bank Groups, Forest Investment Programme (FIP) / Dedicated Grant Mechanism (DGM). This programme is part of the Climate Investment Fund (CIF).	This DGM is a special global initiative established under the FIP to provide grants to enhance the capacity of Indigenous Peoples and Local Communities and support their initiatives in the FIP pilot countries. The DGM in Brazil project is coordinated by a National Steering Committee (NSC) composed of indigenous representatives, "quilombolas" and traditional communities recognized on the Brazilian Cerrado and representatives of the Government, which is responsible for the final decisions. The Centre for Alternative Agriculture of Northern Minas (CAA) is the National Executing Agency of DGM Brazil. The main objective of DGM Brazil is to strengthen the capacities of Indigenous Peoples and Traditional Communities and their organisations in the Cerrado biome so that they can participate more effectively in FIP, other REDD+ processes and programmes.

^{*} Fundraising for the AF is based on a reduction of emissions of greenhouse gases from deforestation i.e. the reduction of deforestation in the Amazon must be proven to make new funding possible. The Brazilian MMA is responsible for the calculation methodology that sets the limit of annual fundraising. Experts from the CFTA assess its application in the deforestation areas and the calculation of the amount of carbon per hectare. Reliance is made on the efficiency of INPE's monitoring system of forest

coverage as the basis for this calculation. See $\underline{\text{http://www.inpe.br}}$

^{**} The term "ethno-development" has come to refer to development policies and processes that are sensitive to the needs of ethnic minorities and indigenous peoples and, where possible, controlled by them (Bonfil Batalla 1982; Wright, 1988; Bengoa 1993; Stavenhagen 1990; Hettne 1996; Clarke 2001; Partridge et al. 1996; Davis 2002). Clarke (2001) lists four principles on which the new development

models rest: cultural pluralism, internal self-determination, territorialism, and sustainability (Clarke 2001, from Hettne 1996). Indigenous Rights and Ethno-Development: The Life of an Indigenous Organization in the Rio Negro of Brazil. By: Chemela, J.M. University of Maryland In: Tipití: Journal of the Society for the Anthropology of Lowland South America Volume 9, Issue 2 (2011)

^{***} Institute for Climate Change and Regularization of Environmental Services

The Government of Norway has, through the MFA, provided support to IPs and FDCs in Brazil for over 30 years through the Norwegian Indigenous Peoples Programme (NIPP). The NIPP focuses on indigenous people's role as forest stewards and their role in mitigating climate change. Until the end of 2016 the programme was supported by the MFA. From 2017 it will receive its funding through NICFI with less funding resources. Capacity building of IPs and FDCs and their organizations will remain a central part of the programme. Support to projects under this NIPP will continue their focus on bringing about changes for the IPs

the Amazon Basin (COICA).

and FDCs in terms of adaptation to climate change and forest conservation.

Another area of NICFI funding to Brazil concerns support to the Sustainable Trade Initiative (IDH) and which supports the Initiative for Sustainable Landscape Approach (ISLA)³⁰ to help decouple commodity production from deforestation in the state of Mato Grosso.³¹ A new period of funding for three years has been granted by

NICFI in 2016 on the grounds the six-month

pilot project achieved promising results. The

project will be funded directly by NICFI and

managed by Norad (CSD or KEMF)32, 33.

Stakeholder	Description	NICFI Funding
The Coordination Body of	The largest indigenous organization in Brazil	-
Indigenous Organizations	composed of 75 indigenous rights organiza-	
of the Brazilian Amazon	tions of the Brazilian Amazon Basin. It was	
(COAIB)	created in 1989 to represent indigenous'	
	interests and rights of access to land, health,	
	education* and intercultural needs. Its main	
	objective is to promote the social organiza-	
	tion, cultural, economic and political integra-	
	tion of indigenous peoples and organizations	
	of the Amazon, contributing to their empower-	
	ment and autonomy. COIAB forms part of the	
	Coordination of Indigenous Organizations of	

Table 2 provides an overview of the main non-governmental stakeholders with interest in the supporting IPs and FDCs in the ENREDD+ process in Brazil.

³⁰ IDH Sustainable Landscape Approach. See also https://www.idhsustaina-bletrade.com/landscapes/mato-grosso-brazil/

³¹ IDH Sustainable trade initiative. See https://www.idhsustainabletrade.com/landscapes/mato-grosso-brazil/

³² https://www.norad.no/en/front/funding/climate-and-forest-initiativesupport-scheme/

³³ https://www.norad.no/en/about-norad/employees/dept-climate-energy-environment/

^{*} In Brazil, schooling has been one of the most significant achievements of the indigenous movement and 'differentiated education' is a right of indigenous peoples guaranteed in the 1988 Constitution as well as in various decrees.

→ TABLE 2: SUMMARY OF MAIN NON-GOVERNMENTAL STAKEHOLDERS IN BRAZIL

Stakeholder	Description	NICFI Funding
The Amazon Environmental Research Institute* (IPAM)	An independent research, policy and outreach organization that works towards achieving sustainable development in the Amazon region. It reconciles people's economic aspirations and social justice, with the maintenance of the functional integrity of tropical forest landscapes.	IPAM has been implementing several NICFI funded projects, financed directly through Norad or the Amazon Fund, that focus on issues of forest legislation and commodities in the supply chain for smallholders.
The Institute for Conservation and Sustainable Development of the Amazon** (IDESAM)	Implementing projects and scientific studies about the conservation and sustainable development in the Amazon.	It is the national coordinator of the NICFI supported Governor's Climate and Forest (GCF) Task Force Network.
The Social and Environmental Institute*** (ISA)	Created in 1994, it works on environmental and social issues, and defends collective and human rights of traditional groups. ISA's main projects are with the indigenous peoples groups living in Rio Negro and Xingu.	ISA partners in several CSD Round III funded projects lead by Rainforest Foundation Norway (RFN), IPAM, Environmental Defence Fund (EDF) and Amazonia Network of Geo-referenced Socio-Environmental Information (RAISG). It is also implementing a few projects through the Amazon Fund with the indigenous peoples of the Xingu Indigenous Part, the Yanomami Indigenous Territories and the River Negro Basin.
The Nature Conservancy**** (TNC)	TNC Brazil is currently implementing a project (2014-2018) with direct funding from the AF. This project categorizes under the "Land Use Planning" and "Sustainable Production" components of the Amazon Fund.	Implemented CSD Round II projects in Brazil and Indonesia through their US based headquarters. The current Amazon Fund project is a follow-up to the previous CSD Round II project.
World Wildlife Fund***** (WWF)	Worked in Brazil since 1971, but officially opened its office there in 1996. It supports research, legislation, public policy, environmental education and communication. In particular, many conservation projects are aimed at stimulating sustainable economic alternatives that both involve and benefit local communities. WWF runs numerous projects in partnership with regional NGOs, universities and government agencies.	WWF Brazil is working with NICFI funding through an Amazon Fund project focusing on sustainable fishing as an economically sustainable alternative to deforestation in state of Acre.

^{*} http://www.ipam.org.br *** http://socioambiental.org

***** http://www.wwf.org.br

→ TABLE 2: SUMMARY OF MAIN NON-GOVERNMENTAL STAKEHOLDERS IN BRAZIL

Stakeholder	Description	NICFI Funding
Rain Forest Foundation (RFN)	Has been working in Brazil through local partners since 1991.	From the 2nd semester of 2016 onwards it is funded by CSD Round III funding. Until then it was funded through the Norwegian Ministry of Foreign Affairs and others.
Forest Trends	An international NGO that works to conserve forests and other ecosystems through the creation and adoption of a broad range of environmental finance, markets and other payment and incentive mechanisms.	It currently has one Agreement with CSD under the CFGS in which one of its two main components focuses on IPs and FDCs in the Amazon region.
Centre Life Institute (ICV)	An NGO that works to build shared sustainability solutions that reconcile agricultural and forestry production with the conservation and restoration of natural ecosystems and their services.	It is partnering with IPAM and the Institute of People and Environment of the Amazon (IMAZON) funded in CSD Round III where they have been involved in implementing a CSD Round II project together with the World Resources Institute (WRI) and IMAZON. They are also a partner in the IDH Sustainable Trade Initiative.
Institute of Man and Environment of Amazonia (IMAZON)	A non-profit research institution whose mission is to promote sustainable development in the Amazon through studies on problems with natural resource use, support for public policy formulation, broad dissemination of information and capacity building.	They have been partnering with WRI and ICV in a CSD Round II project, are leading a project in CSD Round III with ICV and some other institutions, and are implementing an AF project. The latter two projects do not have a specific focus on empowerment of indigenous peoples.

3.1.3 Projects selected for evaluation in Brazil

The following two projects were selected as case studies in order to conduct a detailed review and assessment of NICFI funding targeting IP/FDCs:

A. Governor's Climate and Forest (GCF) Task Force³⁴: (GCF Task Force project)

The GCF Task Force's project, GCF Task Force Support Network, was funded under the CSD Round II from 2013 to 2015 (NOK 12 m.). A follow-up project entitled "Advancing Jurisdictional Programmes for REDD+ and Low Emissions

Selection of these projects in the sample was based on the above-mentioned methodology and criteria set out in the ToR, together with consul-

Development"³⁵, is currently being financed by KEMF, Section for Climate, Forest and Green Economy (NOK 46.8 m. for 2016-2020).

³⁴ In order to avoid confusion to who referring, as GCF stands also for other institutions within the same sector, such as the Global Climate Fund or the Green Climate Fund, the evaluation has decided to use the word GCF Task Force, as this 'network' uses to call itself also.

³⁵ The GCF Task Force follow-up project has been identified as a strategic priority outside the 'frames' of the civil society portfolio and passed therefore to Norad's KEMF where it better fits with the larger, more strategic partners that KEMF manages grants to.

TABLE 3: SUMMARY OF PROJECTS AND BUDGETS SELECTED IN BRAZIL

Allocation	Desimient	Businest	Funding NOK million				
Allocation	Recipient	Project	Round I	Round II	Round III	Total	
CSD	Governor's Climate and Forest – GCF - Task Force	GCF Task Force Support Network	-	12.0	-	12.0	
KEMF	GCF Task Force	Advancing Jurisdictional Programmes for REDD+ and Low Emissions Development	-	-	46.8	46.8	
AF	Apiwtxa Association	Alta Jurúa	-	-	-	17.0	
Total			-	12.0	46.8	75.8	

Source: NICFI

tations with the CSD staff and the GCF Task Force Secretariat who informed about the steps already taken to engage IPs and FDCs in their activities. Although the two projects do not specifically focus on the empowerment of IPs and FDCs, it was selected for the following reasons:

- The GCF Task Force's 32 member states / provinces in Brazil, Indonesia, Peru, Mexico, Colombia, Ivory Coast and Nigeria all have significant populations of IPs and FDCs.
- It represented the only project within the CSD portfolio which specifically focuses on developing the capacity of state / provincial level governments to plan and implement ENRE-DD+, thereby making it potentially significant

as the link between national and grassroots efforts of the IPs and FDCs.

It was one of the few Round II interventions that also received funding in Round III, indicating that it was perceived by NICFI as being reasonably successful during funding Round II and allowing the evaluators to review an ongoing project on the basis of their performance since 2013.

B. The Associação Ashaninka do Rio Amônia Apiwtxa (Association Ashaninka of the River Amônia Apiwtxa) or the Apiwtxa Association project

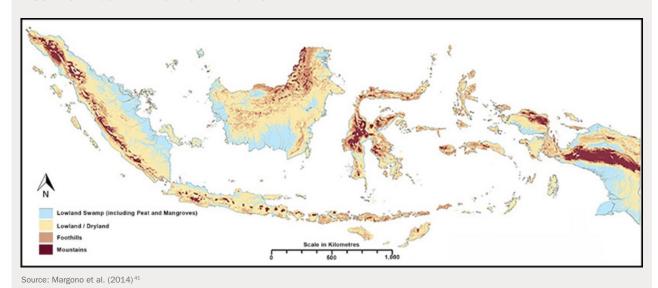
The Alto Juruá project implemented by the Apiwtxa Association is one of among many projects receiving funds from the Amazon Fund, which is supported by NICFI through the bilateral agreement between Norway and Brazil. The selection of this project for evaluation applied the above-mentioned methodology supported by discussions with NICFI staff on the assessment of a CSO project funded through bi-lateral cooperation outside of the CSD Rounds. This was agreed taking into account this project is the only one funded by Amazon Fund so far that directly supports an IP organization to manage its implementation. The project started in April 2015 (signing of contract) and runs for 36 months until April 2018. (US\$ 2,289,952.10 or approximately NOK 17 m.).

Further information on both case studies and on the Amazon Fund can be found in Appendix D.

3.2 INDONESIA

Indonesia is the World's largest archipelagic nation, consisting of an estimated 17,500 islands and islets, with a population of approximately 260 million people permanently inhabiting around 6,000 of these islands. At the beginning of the 20th Century, forests still covered almost 90% of Indonesia, whereas by the 1950s, 85% or 162 million hectares of the fledgling Republic remained forested. Rates of deforestation rose sharply with the dawn of industrial logging and large-scale transmigration programmes in the 1970s, followed in the





1980s by a surge in mining, road-building, and a domestic timber processing industry. In the 1990s, there was a rapid expansion of oil palm plantations and pulp-and-paper industries.

During the second half of the 20th century Indonesia lost an estimated 74 million hectares of forest.³⁶ However, Indonesia still has the world's third largest area of tropical rainforest, including around 82 million hectares of natural forest, or approximately 43% of its landmass, as well

Indonesia is ranked the fifth highest emitter of greenhouse gasses emissions in the world (estimated at around 1.6 Mt CO2 per annum⁴¹). Approximately, 62 per cent of Indonesia's emissions are derived from land-use change and Forestry (LUCF).

Estimates of the major sources of emissions from LUCF in Indonesia vary considerably depending upon the methodologies applied. For example, according to the World Bank⁴² (2010) these include deforestation and forest conversion (27%), drainage and decomposition of peat soils (20%) and forest and peatland fires (53%), whereas according to the Ministry of Environment and Forestry (2015) the four main sources of emissions from the Agriculture, Forestry and Land-use (AFOLU) sector were: peat decomposition (39%), peat fire (26%), forest conversion (23%) and rice cultivation (10%; including the use of nitrogen fertilizers, lime, etc.). Destruction of mangroves and sea grass meadows are believed to be another significant source of emissions, though these are not currently measured. 43 According to a

as approximately half of the World's carbon rich tropical peatlands³⁷ and almost a quarter of the World's mangroves.³⁸ Most of these forests are highly threatened due to land clearance for plantations, agriculture and other uses, with recent studies indicating that Indonesia has the highest tropical deforestation rate and the highest rate of increase in deforestation globally.³⁹.

³⁷ CIFOR 2012.

³⁸ Giri et al, 2010.

³⁹ Hansen et al., 2013; Margono et al., 2014.

⁴⁰ Nature Climate Change 2014. By: Margono et al. (2014). See http://dx.doi.org/10.1038/nclimate2277

⁴¹ WRI, 2015.

⁴² Cited in Ministry of the Environment, 2010.

⁴³ Alongi et al., 2015.

³⁶ The State of the Forest: Indonesia (2002.) By Forest Watch Indonesia (FWI) and Global Forest Watch (GFW). See http://pdf.wri.org/indoforest_full.pdf

recent study by the World Resources Institute,⁴⁴ 44% of global emissions from LUCF in 2012 were derived from Indonesia, surpassing even Brazil at 29%.⁴⁵ Furthermore, the 2015 forest and peatland fires in Indonesia alone resulted in an estimated 1.62 billion metric tons of carbon dioxide emissions,⁴⁶ temporarily pushing Indonesia's daily emissions rates above those of the US economy, and resulting in an estimated USD 16.1 billion (IDR 221 trillion) in economic losses, equivalent to 1.9% of 2015 GDP⁴⁷.

Indonesia is also one of the countries that is most vulnerable to climate change, primarily due to the effects of sea level rise, which threatens to inundate many of Indonesia's low-lying islands and coastal areas (see Figure 3), where as much as 70% of the population lives. Increased incidence and intensity of drought, fires, and flooding and other extreme weather events are already affecting agriculture, infrastructure and human health.⁴⁸

3.2.1 Indigenous peoples and forest dependent communities within the national REDD+ process

Indonesia's indigenous peoples or adat⁴⁹ communities are amongst the most numerous and diverse in the world, comprising an estimated 710 different major ethno-linguistic groups (and thousands of sub-groups) and 50-70 million people⁵⁰, or approximately 20% of the Indonesian population and around 10-15% of the estimated total number of indigenous groups and peoples globally. According to the Alliance for Indigenous Peoples of the Archipelago (AMAN), their customary territory encompasses as much as 112 million hectares.⁵¹

including much of Indonesia's forests, mountains, small islands and nearshore marine areas, including areas designated as national parks and nature reserves.

Indonesia's indigenous peoples suffer disproportionately from economic marginalization, with the poverty index for many indigenous peoples roughly twice the national average, whereas government development, basic services and social safety net programmes often fail to reach indigenous peoples for various reasons including remoteness, cross-cultural miscomprehension and weak engagement and participation in programme planning and implementation. Many are also highly vulnerable to natural resource depletion, climate change impacts and other natural and anthropogenic disasters.⁵²

Since 1999 the process of constitutional and legal reform and decentralization has generated opportunities for the legal recognition of indigenous peoples' rights to land and resources as well as increased participation in local governance and to apply their traditional ecological knowledge in community-based and collaborative natural resource management. However,

⁴⁴ WRI, 2015.

⁴⁵ Cited in Falconer and Glenday, 2016.

⁴⁶ GFED, 2016.

⁴⁷ World Bank 2016.

⁴⁸ Case, et al. 2005; Measey, 2010.

⁴⁹ Whilst the international concept of indigenous peoples and the Indonesian concepts of adat communities (masyarakat adat) or adat law communities (masyarakat hukum adat) bear many similarities, the latter epithets arguably encompass a broader range of societies than are generally considered IPs in international discourse. These range from rainforest and maritime nomads, tribal, chiefly and noble house societies, through to many of the subject communities of many of Indonesia's historical micro-kingdoms and proto-states, particularly traditionalist enclaves where a very strong sense of custom (adat) has been maintained. Given that almost all of Indonesia's rural communities can at some level be considered indigenous, but have also experienced varying degrees of social-economic change over the past 50 to 500 years, the normative and legal definitions of adat and adat law communities remains a central debate in relation to the recognition, protection and empowerment of IPs and FDCs in Indonesia.

⁵⁰ IWGIA 2011: 377. The indigenous world 2011. Copenhagen, Int. Working Group for Indigenous Affairs (IWGIA). Online version: www.iwgia.org/iwgia_files_publications_files/0454_THE_INDIGENOUS_ORLD-2011_eb.pdf

⁵¹ This estimate of the total area of customary territories in Indonesia is based on an Indicative Map of Customary Territories published by JKPP, SEKALA and AMAN in January 2014. According to this map there is a total estimated area of 112-141 million hectares as customary land (+/- 59-75% of Indonesia's total land area), which has been classified as: High certainty – 42 million ha (22%); Medium certainty – 70.5 million ha (37%); and Low certainty – 29 million ha

^{(15%).} AMAN has committed to mapping 40 million hectares of customary forest by 2020 (ie. Those areas considered to have a high certainty).

⁵² Safitri and Bosco, 2002, Hewat et al, in press.

the road to realization of such rights has been very slow and remains very limited.

On December 30th 2016 nine indigenous or adat communities, became the first communities in Indonesia to have their customary land formally recognized by presidential decree. The customary territory thus recognized covers a combined area of 13,122.3 hectares in six regencies (Kabupaten) in Banten (Java), Jambi, North Sumatera, South Sulawesi and Central Sulawesi provinces. This represents just a tiny fraction of customary land claims in Indonesia (around 0.01% of the total area of 112 million hectares which AMAN claims should be recognized as customary land). Engagement of indigenous peoples in planning and implementation of sustainable development and service delivery programmes, local governance and natural resource management also remains very limited.

Defining and quantifying Forest Dependent Communities in Indonesia is also a challenging task. According to a 2012 Ministry of Forestry study⁵³ there are more than 25,000 officially recognized villages within Indonesia's national forest estate, estimated to include 50 to 60 million people. There are 48.8 million people living within and around forested areas

in Indonesia which, given that an estimated one third of the forest estate has been deforested, appears to be a more reasonable estimate⁵⁴. Chao (2012:11) estimates that there are 30-70 million IPs and 80-95 million FDCs in Indonesia, though these seem likely to be overestimates. This wide gap in estimates presumably relates to differing definitions of forests and forest dwellers with state definitions of forest still including large areas which have already been converted to plantations.

Whilst there is a lack of clear data on the cultural identities of Indonesia's FDCs, it is presumed that over half of Indonesia's 50 million forest dwelling people may be considered indigenous peoples, living within their own customary territory. Others include indigenous communities who have voluntarily or involuntarily resettled from their customary territory and are now residing on forested land belonging to other groups. This may include groups resettled by the government in response to natural disasters or to make way for resource extraction or infrastructure development, or groups who have historically moved onto and occupied territory claimed by others for various reasons.

Still a significant percentage are people who have migrated into the area for a wide variety of reasons, though most commonly relating to a desire to avail themselves of access to land. resources or other economic opportunities available in less densely populated places. This includes participants in transmigration programmes as well as small traders, artisans, chainsaw operators, fishermen, hunters, artisanal miners, and others. In the plantation belts of Sumatra and Kalimantan in particular, there are also groups of settlers who have moved in large numbers to former logging concessions, conservation areas and other forested land with a view to converting it to plantations and/or agricultural land. Such groups are often organized and financed by brokers (cukong) who in turn have a web of relationships with local community leaders, regional government, plantations companies, the police and military and onshore and offshore companies and financial institutions.55

The interactions between groups claiming to be customary owners of forest areas and forest dwelling migrants from other areas are often highly complex, sometimes involving intermarriage and integration, in others leading

⁵³ Government of Indonesia 2014: 1.

⁵⁴ World Bank 2016b:1.

⁵⁵ McCarthy, Vel and Afif, 2012; McCarthy and Robinson, 2016; Cramb and McCarthy, 2016.

to mutual mistrust and violent conflict. Whilst some are itinerant or temporary residents, who often seek to exploit local people and resources for windfall profits, others have a deep sense of connection to the place where they live, and in many cases were born, and a deep sense of responsibility towards the communities they reside within. In many cases village government and/or customary leaders are complicit in inviting outside groups onto their land in return for cash payments, political support, etc., making the eviction of such groups morally and legally problematic.

The presence of such a wide variety of groups living within and depending upon resources from the forest, as well as the web of relationships between them, makes issues of customary tenure, social justice and sustainable natural resource management highly complicated. Whilst many Indonesian and international CSOs/NGOs argue that the rights of indigenous groups should be given priority, there are countervailing arguments that the rights of other people whose livelihoods depend on forest resources cannot simply be extinguished. As such a strong emphasis on conflict resolution, dialogue and compromise is required to ensure that the rights and livelihoods of all FDCs in Indonesia are secured and that forests and other ecosystems are protected.

3.2.2 Key stakeholders

The institutional context of REDD+ and the empowerment of IPs and FDCs in Indonesia is extremely crowded. For example, national level government stakeholders include the Office of the President, the Ministry of Environment and Forestry and a dozen other cabinet level institutions, as well as a dozen or more technical and advisory agencies, the anti-corruption and human rights commissions, constitutional court and other statutory bodies. Similar levels of institutional complexity also exist at the provincial and regency levels of government, with around 23 of Indonesia's 34 provinces and over 200 of 511 regencies and tens of thousands of villages that should be considered priority jurisdictions for the implementation of REDD+. In addition there are a large number of other stakeholder groups with a keen interest in this agenda, including: international, national and local NGOs, CSOs and IP/FDC organizations; private sector stakeholders; bilateral donors; and multilateral development organizations. An overview of the major stakeholder groups is provided in Appendix F.

3.2.3 Projects selected for evaluation in Indonesia

The CSD/Civil Society Support Scheme provides grant funding for international NGOs, research institutions, national CSOs and other

organizations. These projects are related to the forest and climate agenda, including work with indigenous peoples and other forest dependent communities, strengthening law enforcement and governance in the forestry sector, collaboration with private sector and forest and peat research including monitoring of forest cover. Three Indonesian NGOs (Samdhana, Friends of the Earth Indonesia and Transformation for Justice⁵⁶), as well as the Alliance of Indigenous Peoples of the Archipelago (AMAN), support the implementation of the project funded under CSD Round III through Samdhana. Furthermore, many smaller Indonesian CSOs and IP/FDC organisations also participate in NICFI-funded projects managed through Rainforest Foundation Norway, The Samdhana Institute and Rights and Resources Initiative (RRI).

In line with the above-mentioned work methodology the evaluation team selected the following three projects managed by Samdhana under CSD Rounds 1, II and III and by UNDP, listed in table 4, next page (see also Appendix C and H).

⁵⁶ Indonesian Friends of the Earth (WALHI) and Transformation for Justice (TUK) work with local communities. WAALHI for example, supports the strengthening of community-based forest management to support dialogue with local government on protecting the community-managed forests.

TABLE 4: SUMMARY OF PROJECTS AND BUDGETS SELECTED IN INDONESIA

Allocation	Recipient	Project	Funding NOK million				
			Round I	Round II	Round III	Total	
CSD Samdhana		Supporting preparedness and engagement of indigenous peoples, local communities, community based organizations and local NGO's in REDD policy development and pilot projects in Indonesia	13.5	-	-	13.5	
CSD	Samdhana	Community Engagement in Low Emissions Development	-	9.0	-	9.0	
CSD	Samdhana	Community Rights and REDD+ in Indonesia and Myanmar: Moving from recognition to Implementation	-	-	14.0	14.0	
UNREDD+	UNDP	Indonesia United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (UN-REDD Programme)	-	-	-	2.3	
Total			13.5	9.0	14.0	38.8	

A. The Samdhana Institute projects

The projects listed in table 4, managed by Samdhana, have been funded through the CSD Rounds. These projects' interventions focus on small-grant making and the provision of technical, facilitation and capacity building support to a network of local CSOs and IP/FDC organizations for activities including participatory mapping and support for legal recognition of indigenous territorial rights, as well as

indigenous institutional capacity building, conflict resolution, leadership training and community-based natural resource management.

B. The United Nations Development Programme in Indonesia (UNDP programme)

The UNDP Programme (2010-2015) has acted as the coordinating agency for the Indonesia United Nations Collaborative Programme on Reducing Emissions from Deforestation and

Forest Degradation in Developing Countries (UN-REDD Programme), which was primarily funded through NICFI.

These case study projects were selected on the basis that they have both been responsible for the implementation of a series of NICFI funded REDD+ Readiness projects in Indonesia since 2010, each of which had a focus on the empowerment of IPs and FDCs. The Samdhana institute through the Civil Society Grant Scheme and the UNDP programme through one of NICFI's multilateral partners. The selection of the Samdhana Institute further was based on the selection criteria laid down in the ToR. The sub-granting of the received grant to smaller CSOs and also to IPs/FDC organizations, who have fewer possibilities to assess directly these grants was one of these criteria.

This selection also facilitated exploration of the various modalities through which NICFI has supported the empowerment of IPs and FDCs, including direct support for local CSOs, multilateral organizations and the bilateral partnership under the Letter of Intent, which UNDP was responsible for coordinating. As such it enabled the evaluation to situate support for IP/FDC empowerment within the broader context of Norway's overall support for REDD+ and to look out how their approaches have evolved over

time in response to the experience gained from implementation of previous phases of their programmes and evolving political circumstances.

Background information on both case study projects can be found in Appendix D.

3.2.4 NICFI funding allocation

Together with Brazil, Indonesia⁵⁷ is considered the country with greatest potential for reduction of emissions from land use change and forestry, and as such has been a major target nation for the NICFI programme since its inception in 2010. Norwegian aid budgets to Indonesia have risen dramatically over the past seven years reaching 258.7 million NOK (30.5 million USD) in 2015, with over 80% of this assistance allocated for environment and energy, including REDD+ / climate change.

NICFI has supported its climate and forest initiative in Indonesia through a number of direct and indirect modalities including both bi-lateral and multi-lateral funding channels. Currently, NICFI supports REDD+ in Indonesia through four main avenues:

a) The Bilateral Partnership or "Letter of Intent" (LoI)

The "Letter of Intent" is a performance-based bilateral agreement through which Norway pays Indonesia for their results on progress towards reducing deforestation and readiness for implementation of REDD+. Norwegian contributions are based upon the successful completion of specific outputs, such as the development of national REDD+ strategies, Presidential Decrees on forest and peatland moratoriums, legal reforms and the performance of forest license reviews. Under the original terms of the agreement between Norway and Indonesia payments through this agreement would be directly linked to independently verified emission reductions by 2015. However, whilst Brazil has been able to establish the institutions and systems required to progress to the "independently verified contributions phase", progress towards establishment of a national REDD+ scheme in Indonesia has been slower than anticipated and payments under the Norway-Indonesia partnership remain linked to outputs on political milestones rather than emissions reductions outcomes.

b) Multilateral initiatives (UN-REDD Programme, World Bank Forest Carbon Partnership Facility (FCPF), Forest Investment Programme (FIP) and Dedicated Grant Mechanism (DGM), and Global Green Growth Institute (GGGI) Indonesia Programme)

Total multilateral ODA accounted for 50% of Norway's ODA in 2014 and over 63% of Norway's ODA allocations to Indonesia in 2015. A mix of multi-lateral and bilateral ODA funding has been channelled through the World Bank, UNDP, UNEP, FAO and the GGGI. This includes:

- > Up until the end of 2015 the Government of Norway had contributed USD 63.9 million to the World Bank managed FCPF and 269.9 million to the FIP. A percentage of these funds contribute to the USD 70 million FIP Indonesia Country Programme as well as grants and loans to Indonesia through the FCPF. The FIP also has a specific DGM or Indigenous Peoples and Local Communities Project. The DGM-Indonesia project will be executed by the Samdhana Institute commencing in 2017.
- > Projects funded through UN Agencies, most notably the Indonesia UN-REDD Programme, which was managed by UNDP within collaboration with UNEP and FAO.
- The GGGI was established in 2012 by a group of 18 countries to promote sustainable, low-carbon development, and in 2013 GGGI entered into a collaboration with the

⁵⁷ Land-use Change and Forestry – World Resources Report. Chapter 7. See also $\label{land-unitary} $$http://pdf.wri.org/navigating_numbers_chapter17.pdf$

Government of Indonesia, led by the National Development Planning Agency (BAPPENAS). The programme focuses on Central and East Kalimantan provinces, as two of the largest GHG emitters among Indonesia's provinces, and provides policy and technical support to the provincial and regency level governments regarding sustainable, low-carbon development planning options. To date Norway has contributed USD 72.1 million to support this programme with further support planned through until 2020.

c) Bilateral cooperation to CSOs funded under NICFI's Civil Society Grant Scheme.

The CSD in Norad is responsible for managing the vast majority of the CSOs that receive funding support for their programmes and projects supporting the engagement of civil society in REDD+ in Indonesia. According to Norad's website 47 interventions⁵⁸ have supported civil society in Indonesia to date (under CSD Rounds II and III).

d) Embassy-managed development cooperation grants.

The Norwegian Embassy in Indonesia directly manages a portfolio of other small projects

which are considered to contribute directly to the achievement of key outcomes relating to the development of a national REDD+ system.

3.3 PERU

Tropical forests convert more carbon from the atmosphere into biomass than any other terrestrial ecosystem on earth, yet tropical deforestation and forest degradation account for about 10% of the world's carbon emissions annually. Approximately 60% of Peru's land cover is made up of rainforests in the Amazon region, as demonstrated in Figure 4.

Peru lost 1,653,092 hectare of forest between 2000 and 2014. Forest loss or degradation was particularly high in the three departments located entirely in the Amazon region: Loreto, Madre de Dios and Ucayali (around 42%).⁵⁹

Peru is one of the most accurately carbon mapped countries in the world due to high resolution three dimensional mapping (based on a resolution of one hectare) conducted by Ministry of Environment (MINAM) in collaboration with the Carnegie Institute for Science. Analysis of the map indicates the volume of carbon stored in Peruvian rainforests amounted to almost 7 billion tonnes in November 2014,

which is more than the annual CO2 emissions of the USA (5.38 billion tonnes). The map and data on carbon storage are designed to support the country start negotiating in the carbon market on a far larger scale than before and to facilitate analysis of carbon stocks in the soil as well as conduct a forest inventory to support forest conservation and improve monitoring of land use changes.



⁵⁸ Includes three projects involving the Samdhana Institute mentioned in Table 4.

⁵⁹ MINAM.

The main threat to Peru's rainforests concerns land use change due to extension of the agricultural frontier. In 2014, agriculture accounted for 61% of Peru's carbon emissions according to the Forest Investment Programme. Other threats include fossil fuel exploration and extraction, cattle ranching, mining (especially illegal artisan gold mining) and the promotion of mega projects such as monoculture plantations to produce palm oil, bio-fuels, soya, etc. These threats are exacerbated by weak governance structures that do not enable the effective application of the law to protect the country's rainforests. For example, the majority of carbon stocks exist in 10 protected natural areas, but only four have law enforcement mechanisms in place using a team of trained park rangers and only one has a system of co-management in place with IPs and FDCs (Amarakaeri Communal Reserve in Madre de Dios).

The legal, political and institutional framework in Peru is also complex and lacks the coherence necessary to ensure the efficient and effective protection of its forests in which IPs and FDCs are recognized as legitimate proprietors who can manage and profit from forest resources in a sustainable manner. On the one hand, the Government of Peru (Government of Peru) is committed to reducing deforestation and supporting IPs and FDCs to gain their rights to live in, off and from

the forests they depend on through its National Strategy on Forests and Climate Change (ENBCC), approved by Supreme Decree No. 007-2016-MINAM. The ENBCC provides the framework under which Peru will implement REDD+ through a mix of funding channels that include:

- The FIP-Peru, managed by the WB and which receives funds from NICFI, provides finance under the framework of its investment plan to fund projects supporting among others the integrated management of forest landscapes in San Martin, Loreto, Madre de Dios and Ucayali departments and through the Dedicated Grant Mechanism in Peru; (DGM-Saweto);
- The DGM-Saweto⁶⁰ which represents a sub fund under FIP Peru was set up in 2014 to provide funding (USD 5.5 m.) specifically for IPs and FDCs to advance their land titling priorities and implement pilot interventions aimed at conserving their forests;
- The FCPF has provided a total of USD 8.6 m. to date through: the Readiness Fund, which is designed to aid the development of policies and systems to implement REDD+, establish reference emission levels (RELs), design MRV, introduce environmental and social safeguards

- for IPs, etc. FCPF funds are also planned to be channelled into The Carbon Fund (which is designed to facilitate purchasing agreements of verified emissions reductions from jurisdictional level between Peru and the FCPF Carbon Fund). However, no funds have been formally committed to the Carbon Fund to date.
- > The Joint Declaration of Intent (DCI), which is a political agreement between the Governments of Peru, Norway and Germany facilitating the launch of the Climate and Forest Partnership entitled, "Cooperation in reducing GHG emission from deforestation and forest degradation (REDD+) and promote sustainable development in Peru". The partnership is designed to reward the Government of Peru with payments up to USD 50 million for meeting policy targets and reforms such as improving forest governance, reducing the remaining forest area without land designation with 50%, increasing land tenure for native communities with 5 million hectares. and with payments up to USD 250 million for verified emission reductions from reduced gross deforestation by 2021. Initial funding under the partnership has been executed through UNDP to date.
- The National Programme on the Conservation of Forests to Mitigate Climate Change,

murdered by illegal loggers in September 2014.

⁶⁰ The DGM was named in homage to the Ashaninka community in Saweto, Ucavali. where four members of their community. including their leader, were

designed by MINAM to support the implementation of UN-REDD Programme following the approval of the National Strategy on Forests and Climate Change.

On the other, there are major legal, political and institutional deficiencies in Peru that limit the speed at which REDD+ can play a role relating to facilitating or speeding up the process gaining land ownership, which impedes the empowerment of IPs and FDCs in terms of actively participating in the political process. These include, amongst others:

There is no specific legal framework governing changes in land use and to support effective environmental planning in rural areas. However, the Law No. 29763 governing Forests and Wildlife (2011), which replaces Law 27308 of 1975, prescribes land use rights, provisions and duties in forested areas. Article 3 sets out the mandatory consultation process to be adhered to with IPs/FDCs (in line with Law on Prior Consultation described in the following subsection) where their forested territories may be affected by new legislation or government policies and programmes.

Ministry of Agriculture (MINAGRI) is the lead agency responsible for promoting and delivering land titles, including communal land titles in the Amazon region. However, the Law No. 22175 (1978) and its Regulation governing the demarcation of indigenous territories only provides for jurisdictional, organizational, administrative and economic jurisdiction of lands occupied for agricultural purposes (confirmed through soil sampling tests). The Peruvian Constitution spells out that forested lands are property of the State and require a separate use contract (contratos de cesión de uso) in line with the provisions of Law No. 29763 governing Forests and Fauna (2011).

The legal demarcation of communal lands is the responsibility of the Regional Governments of Peru, which must sign all communal land titles together with the Regional Director of MINAGRI. However, there are neither common procedures in place to guide demarcation in each regional government, nor adequate resources to carry out the demarcation process. This situation has contributed to very slow delivery of communal land titles to date;

MINAM is the main government institution through which the DCI and other climate funding mechanisms such as the DGM-Saweto are managed. Thus there is a need to establish close coordination with MINAGRI and the Regional Governments to ensure climate finance is disbursed in accordance with the wishes and

needs of IPs and FDCs. However, MINAM has a limited presence at the regional level. Peru has an unstable political system in which the elected ruling government parties are consistently unable to carry out in-depth reforms because they lack a majority of deputies in the Congress. As a result, the country is largely run by presidential decrees.

3.3.1 Indigenous peoples and forest dependent communities within the national REDD+ process

In 2014 IPs and FDCs were reported to occupy over 77 million hectares (ha) of land of which 68 million ha are covered by forest (ENBCC). However, national and international recognition of their rights to own and manage these forests has never been fully achieved, despite the fact the country is approaching 200 years of independence in 2021. The main reason lies in the fact that international law has been founded on regulating relations between nation states. Thus, despite the new Constitution of 1993⁶¹, ratification of the Indigenous and Tribal Peoples Convention (ILO Convention 169) in February 1994, and the country's adoption of the UN Declaration on the Rights of Indigenous Peoples in September 2007, the Government of Peru

⁶¹ The Constitution guarantees the rights to ethnic and cultural identity of all Peruvians supported by bi-lingual and intercultural education. However, where land is abandoned ownership passes to the State.

does not recognize IPs and FDCs from Amazonia (or indeed from the Andean region) as a set of separate nations, through which they can defend their territorial rights and control land use in relation to logging, mining and conversion for commercial agriculture.

However, since the start of NICFI funding through CSOs from 2009, a number of developments have empowered IPs and FDCs to participate more actively in advancing their rights to self-determination in Peru. These include:

> Facilitating national dialogue in the wake of the Bagua massacre of IPs in Amazonas Department in 2009 which culminated in the approval of Law No. 29785: The Right of Indigenous and Aboriginal Peoples to Prior Consultation (2011) and its regulation (2012). This Law requires IPs/FDCs to be consulted on legislative and administrative measures that may affect their collective rights (such as REDD+ interventions) in conformity with the provisions in the ILO Convention 169⁶²;

- Approval of the Law No. 30215: Payments for Ecosystem Services, in June 2014, which provides a legal framework for voluntary agreements on the use of natural goods and services, including agreements to offset CO2 emissions;
- Approval of four regulations for Law No. 29763 on: Forestry and Wildlife, including a specific regulation on the management of forestry and wildlife in native communities and peasant communities (No. 021-2015-MINAGRI) in September 2015, which for the first time recognizes the country's forests are providers of not only wood, but a wide range of goods and services that can sustain the livelihoods of IPs and FDCs as well as promote new jobs in forestry, ecotourism, etc.;
- A number of Regional Governments in the Amazon region have begun to recognize communal land rights and include communal land titling in their public investment programmes. This has become increasingly evident since the COP20 in November 2014 and the launch of the DCI, which will help fund major communal land titling activities. According to WWF, Departments such as Loreto, San Martin and

- Ucayali have made formal commitments to start the land titling process in 2017;
- > Proposal of Amazon Indigenous REDD+ (RIA) by indigenous peoples' organizations, led by Association for the Development of the Peruvian Rainforest (AIDESEP) and Coordinator of Indigenous Organizations of the Amazon River Basin (COICA) in advance of the COP20 in Lima in November 2014, which represents a response by IPs to, among others, the National Readiness Preparation Plan for REDD+ launched in 2011 and updated in 2014. RIA supports the reduction of emissions from deforestation, but argues this cannot be achieved through the marketing of forests based on carbon credits. Instead, RIA proposes the official establishment of integrated territories (landscapes) for IPs, managed by collective Life Plans, as the best way to guaranteeing major reductions in deforestation and forest degradation in the Amazon region of Peru over the long-term.

IPs and FDCs remain highly dependent on CSOs and the international community to secure the government's approval of RIA through which they can advance their rights and meet their needs. Although RIA faces major challenges of acceptance at the national and local government levels of Peru, some impor-

⁶² A study by Environmental Law and Natural Resources (DAR) in December 2012 confirmed the Law contains a number of gaps. These include, among others: a) absence of clear rights of participation in and consent to legislative, administrative and policy developments that may affect IPs; b) the Law does not explicitly include "tribal peoples" (mentioned in the ILO Convention 169), or IPs in voluntary isolation (not mentioned in the ILO Convention 169), which means there is legal ambiguity over the rights of consultation of "native" peoples of the Amazon region; b) the Vice minister for Intercultural Relations is not required to consult IPs on decisions concerning environmental impact assessments to be conducted in communal reserves of IPs relating to the exploration and extraction

of petroleum or minerals from the subsoil; c) no regulations exist to ensure Congress applies the consultation process during the drafting of legislative laws or reforms of the Constitution.

tant developments have taken place since the COP20. One of the most significant has been MINAM's agreement following consultation with AIDESEP and other national CSOs of IPs and FDCs to apply aspects of RIA in areas conducive to advancing REDD+. These include supporting the development of indigenous roundtables for RIA ("Mesas de RIA") to support Regional Governments identify communal territories, gain recognition of such territories, apply the communal land titling process and promote communal forest management initiatives (including the application of communal forest governance and application of the National Programme on the Conservation of Forests to Mitigate Climate Change launched by MINAM in 2015).

3.3.2 Key stakeholders

The main stakeholders of NICFI funding in Peru that support the empowerment of IPs and FDCs in relation to communal land titling and participation in the preparation and implementation of the REDD+ process are summarised as follows: At the government level:

MINAGRI through its Directorate for Agricultural Land Titling and Rural Land Registry Services (DISPACR), which is the lead agency responsible for advancing communal land titles among IPs and FDCs. It is directly responsible for implementing phase III of the Project funded by the Inter-American Development Bank entitled, "Demarcation, Land Titling and Registration in the Andes and Amazon of Peru" (PTRT3);

- MINAM through its Directorate General for Climate Change, Desertification and Water Resources (DGCCDRH), is responsible for coordinating the preparation of the technical aspects of the REDD+ process in Peru, and oversees the implementation of the UN-REDD+ Programme in Peru. The National Plan for Forest Conservation (PNCB) is responsible for the implementation of all other initiatives funded through the DCI, DGM-Saweto, FIP-Peru, and FCPF funding channels.
- Ministry of Culture, through which the Vice minister for Intercultural Relations is responsible for overseeing the application of the Law No. 29785 (prior consultation). This includes the elaboration of suitable policies, programmes and projects that promote intercultural relations and cultural diversity and overall management of reserves and territories officially designated to uncontacted communities. The Ministry also houses the autonomous Ombudsman's Office, which is responsible for defending fundamental rights and supervising the fulfilment of State's obligations with respect to the rights of its peoples.

At the non-governmental level CSOs/international NGOs IPs and FDCs in Peru and which are engaged in the implementation of REDD+besides Rights and Resources Initiative and WWF are, among others:

- Coordinator of Indigenous Organizations of the Amazon River Basin (COICA), which consists of national IP organisations from the countries of the Amazon region, which includes AIDESEP from Peru, works on the promotion, protection and security of IP territories through its own forms of life, values, principles and values (social, spiritual and cultural) to guarantee the continuation of present and future generations. Among its activities has been the forging of coordinated responses to the management of communal forests of IPs living in Madre de Dios and Acre state in Brazil.
- International Work Group for International Affairs (IWGIA), which works at the national and regional level in Peru through partners such as The National Organization of Andean and Amazonian Indigenous Women of Peru (ONIMAP) and Intercultural Communication Services (SERVINDI) to further the understanding and knowledge of IPs through publications, audio visual material, etc. on their rights and needs and through international advocacy and local projects designed to empower IPs to build their own capacity to advocate their rights.

- Conservation International-Peru, which among its activities in Peru includes the development of national environmental policies, based on its work and experience with IPs in San Martin and Madre de Dios.
- Rainforest Foundation Norway, which has been supporting the recognition of IP/FDCs as guardians of the rainforest through its local partner in Peru, the Rights, Environment and Natural Resources NGO (DAR) under CSD Round II.
- > Amazon Network of Geo-referenced Socio-Environmental Information (RAISG). RAISG is currently providing data and analyses on the extent to which their territories are supporting forest conservation (CSD Round III) in the interests to developing policy dialogue of forests in Peru, Brazil, Colombia and Ecuador.;
- Helvetas (Switzerland), which conducts studies relating to the land titling process of communal lands in Peru.
- Centre for International Forestry Research (CIFOR/CGIAR), which supports the development of forest data, studies on rainforests and the development of MRV.

At the national IP and FDC level:

- Association for the Development of the Peruvian Rainforest (AIDESEP), which has grassroots affiliates at the regional and local levels. These include the federations of IPs, or their equivalent that represent IPs at the departmental level. AIDESEP has been a major beneficiary of the grant contracts with Rights and Resources Initiative and plays a key role in coordinating communal land titling activities through various projects;
- Confederation of Amazonian Nationalities of Peru (CONAP), which also plays a key role in coordinating communal land titling activities, especially through the DGM-Saweto.
- National Agrarian Confederation (CNA), which is instrumental in defending the rights of IPs in the Andean region, including communal land tiles (funded by the PTRT3 project funded by IADB).
- > The National Organization of Andean and Amazonian Indigenous Women of Peru (ON-AMIAP), which since the COP20 in 2014 has been named as a recognized participant in the COPs of the UNFCCC and which represents the main voice for indigenous women to articulate their specific needs and interests in relation to the application of REDD+ and the land titling process of communal lands.

At the departmental IP and FDC level:
The main stakeholders of IPs in each department are their federations. In Madre de Dios department this is the Federation of Native Peoples of the Madre de Dios River (FENAMAD) and in the San Martin department it is the Coordinator of Development and Defence of Indigenous Peoples of San Martin (CO-DEPISAN). In both these cases, WWF-Peru has supported their empowerment through training and promoting them as lead organizations in articulating their needs and aspirations to AIDESEP and CONAP.

3.3.3 Projects assessed

In line with the above-mentioned methodology the evaluation selected the following projects operating in Peru and funded by the Civil Society Department Rounds (see table 5, next page). Discussions with NICFI staff supported the selection of this sample on the grounds they were both working specifically with indigenous peoples and forest dependent communities organisations at the national and departmental levels.

TABLE 5: SUMMARY OF PROJECTS AND BUDGETS SELECTED IN PERU

Allo sotion D			Funding NOK million			
Allocation Recipient F		Project		Round II	Round III	Total
CSD	Rights and Resources Initiative – RRI	Supporting Effective Investments and Interventions in Climate Change Mitigation in Forest Areas While Promoting Rights and Development	28.5	-	-	28.5
CSD	Rights and Resources Initiative – RRI	Building Stronger Global Consensus and Accelerated Action on Forest Tenure and Governance Reforms as early and Essential Action to establish Effective REDD+ (Shortly: Effective REDD+ through Early Action on Forest Governance). Later extended to December 2016	-	19.0	-	19.0
CSD	Rights and Resources Initiative – RRI	Promoting forest tenure and governance reforms as pre-requisites to the effective implementation of REDD+	-	-	30.0	30.0
CSD	Worldwide Fund for Nature – WWF	REDD+ for People and Nature, Phase I	33.0	-	-	33.0
CSD	Worldwide Fund for Nature – WWF	REDD+ for People and Nature, Phase II	-	40.0	-	40.0
CSD	Worldwide Fund for Nature – WWF	From REDD+ agreements to REDD+ results: Generating results to secure consensus	-	-	77.0	77.0
Total			66.0	59.0	107.0	227.5

A. Rights and Resources Initiative (RRI projects) 63

The case study project was selected for its specific approach to empowerment of IPs and FDCs, whereby RRI (based in Washington DC) supports

members of its coalition in Peru to build capacity through annual actions designed and agreed with local partners. This intervention was also selected because it builds on the CSD Round I intervention (see Appendix D) and because RRI has prioritised efforts to advance forest tenure of IPs and FDCs from 2017 onwards.

B. Worldwide Fund for Nature (WWF projects) This intervention was selected for evaluation

due to its direct work with IPs and FDCs in Madre de Dios Department in Peru, in particular empowerment of IPs organizations at the regional level in the co-management of the Amarakaeri Communal Reserve with the national services responsible for protected natural areas (SERNANP). The project also builds on a former project funded under CSD Round I (see Appendix D). Furthermore, it is now being consolidating its intervention in the CSD Round III

⁶³ RRI coalition partners in Peru include the following organisations of indigenous peoples: Interethnic Association for the Development of the Peruvian Rainforest (AIDESEP), Confederation of Nationalities of the Peruvian Amazon (CONAP), National Agrarian Confederation (CNA) and National Organisation of Andean and Amazonian Indigenous Women of Peru (ONAMIAP), plus national partners including HELVETAS (Switzerland), the Centre for International Forestry Research (CIFOR/CGIAR), the Institute of Common Good (IBC) and the Peruvian Society for Environmental Rights (SPDA).

by working in the same countries as in the CSD Round II project.

In addition, the project offered the opportunity to develop synergies with the evaluation under "Call-off 2: An evaluation of the coordination within and across multilateral and bilateral partners." In particular, it was agreed with Norad's Evaluation Department that WWF's role in co-ordinating funds from multilateral sources (which includes contributions from NICFI through the CSD/Civil Society Grant Scheme) and KEMF in Norad (which manages a specific project also implemented by WWF Peru that is directly linked to the DGM-Saweto funded by FIP), provided a good case study to determine how far NICFI funding is coordinated through the different funding channels in Peru.

Further information on the projects selected can be found in Appendix D.

3.3.4 NICFI funding allocations

NICFI supports its climate and forest initiative in Peru through a number of direct financial contributions to CSOs, and indirect through multi-lateral channels.

Multi-lateral channels include among others:

UN REDD Programme (UNDP/UNEP/FAO):
 Peru is considered by NICFI to be a strategic

pilot country in which to advance REDD+ given its large and biodiversity rich rainforests cover up to 60% of the country's landmass;

- > FCPF (WB): funding is designed to support complementarity with the UN-REDD Programme's efforts on preparing for the implementation of REDD+ (mainly through the Readiness Fund);
- > FIP-Peru (WB): the fund has agree to finance three projects dedicated to the integrated management of forest landscapes mentioned above (see sub section 3.2.3).
- > DGM-Saweto (funding from FIP): this responds to the specific demands of IPs and FDCs to have their own funds from FIP to advance communal land titling priorities. The DGM-Saweto is based on a Steering Committee made up of five members from AIDESEP and from CONAP WWF-Peru was nominated as the Executing Agency by the Steering Committee, which lead to a grant contract with the WB in September 2015. As part of the contract WWF has agreed to provide technical assistance to support the implementation of projects agreed by the Steering Committee from 2016. Currently, funding is concentrated on land recognition and titling and forest management projects designed to support

income generation and food security in 10 department;

- > Joint Declaration of Intent (DCI): a partnership agreement between Government of Peru, NICFI and the German Federal Ministry for Economic Cooperation and Development (BMZ). Through the DCI NICFI has agreed to provide the majority of funds (USD 300 m.) to support the implementation of REDD+ in Peru. The DCI is based on three phases as follows:
- Preparation phase (2014-2015), including implementation of MRV for gross deforestation; design and implementation of the Funding Mechanism to pay contributions for verified emission reductions; key instruments to implement the above-mentioned Law on Forestry and Wildlife; define the Forest RELs/Forest Reference Level for approval by UNFCCC; establish a system to monitor, report and guarantee REDD+ safeguards;
- Transformation phase (2016-2017) with eligible finance up to USD 50 m.: including the cease of authorisations of conversion of forest land to agricultural use; produce an assessment of the impact of deforestation and forest degradation on Peruvian Amazon;

reduce by 50 per cent the area of remaining undesignated forest covered land (2017) in a manner that avoids the conversion of forest lands to plantations; increase by at least 5 m. hectares the regularisation of indigenous lands; cover at least 2 m. hectares in the payment for conservation performance (conditional direct transfers under the Forest Conservation Programme, and other schemes); support Implementation of the FIP Investment Plan projects); and

 Payments for verified emission reductions phase from 2018 with eligible finance up to USD 250 m. from the DCI Instrument.

Direct funding of NICFI managed by Norad:

- > CSD/Civil Society Grant Scheme: since 2009 has managed a total of 11 international projects associated with the empowerment of IPs and FDCs in Peru through CSOs (NOK 30 m.).
- > KEMF: supports kick-off activities designed to reach early milestones in the REDD+ process. In Peru this is based on agreements with WWF Peru (NOK 47.5 m.) and the first disbursement under the DCI for results under phase 1 of NOK 50 million, channelled through UNDP. In addition, KEMF manages other NICFI funding streams to Peru that focus on among others the development of the green economy,

such as through the Global Green Growth Institute (GGGI) or the Partnership for Action on Green Economy (PAGE).

4. Main findings of the evaluation

4.1 RELEVANCE

4.1.1 Relevance of the Theory of Change (ToC) applied by NICFI

NICFI and the vast majority of implementing partners evaluated share a similar Theory of Change (ToC) that empowerment of IPs/FDCs through capacity building and other actions is instrumental to reducing deforestation and forest degradation in the territories they occupy. However, the intrinsic value of empowerment to advance human rights is not explicit in its ToC.

Currently the ToC⁶⁴ applied by NICFI does not specifically refer to the empowerment of IP/FDCs, although both NICFI and CSD officially recognise that supporting and advancing the rights of IPs and FDCs is essential to meeting NICFI objectives. This is most clearly demon-

strated in the Call for Proposals for CSD Round III, where NICFI and the CSD agreed for the need to establish a specific thematic theme on IP/FDC rights.⁶⁵

At the project level the evaluation found all projects except one emphasise the instrumental value of empowerment; namely that empowering IPs and FDCs to develop their political space at both the international and national levels is required if they are to successfully advocate the policy, legal and institutional changes needed to secure their territorial rights. For example:

 Brazil: the Apiwtxa Associations' project in Acre promotes the engagement of IPs and FDCs in territorial and environmental management through effective land-use planning.
 A major aim is to establish designated areas to promote sustainable agricultural production

- Indonesia: the ToC of the Samdhana project focuses on assisting FDCs to document their customary land and resource tenure claims and to engage in dialogue with provincial and local levels in order to change the public mind-set to accept their rights and adopt concrete actions that support adaptive management of their forest resources. Meanwhile, the UN-REDD Indonesia Programme developed a strategic framework, based on: a) political commitment to REDD+; b) political will and finance availability for REDD+ implementation; and c) willingness to engage in comprehensive multi-stakeholder consultative processes.
- Peru: the RRI project aims at facilitating IP and FDC organizations to develop their political space in order to advocate their needs and build up the political case to justify their territorial land rights.

⁶⁴ Ministry of Climate and Environment. Budget proposition for budget year 2015-2016 NICFI Budget Proposal, Figure 7.1, page 150. See also Inception report.

as a means to enhancing livelihoods and forest conservation.

⁶⁵ Preliminary meetings with CSD confirm this decision was supported by studies such as one by RRI-WRI in 2015, which stated, "...experience shows that strengthening the forest rights of Indigenous Peoples and local communities has other development benefits. These include helping communities adapt to climate change, securing livelihoods, conserving biodiversity, cultural survival, political inclusion, and avoiding or reducing conflicts. Therefore, measures to protect and promote the rights and interests of peoples living in and from the forest are crucial to ensure establishment of successful REDD+ mechanisms as well as for implementation of national REDD+ strategies".

Nonetheless, one project (GCF Task Force programme in Brazil) adopted a different ToC that focuses on capacity building of sub-national leaders to apply the jurisdictional approach, through which the rights of IPs and FDCs are to be upheld at the State level.

4.1.2 Relevance of the selected projects in terms of meeting NICFI objectives

The majority of the selected projects were highly relevant because they recognise securing the territorial rights of IPs/FDCs is a prerequisite to them becoming effective guardians of forests.

The evaluation identified all projects (excluding the GCF Task Force project in Brazil) had a clear focus on empowering IPs and FDCs through capacity building to secure their territorial rights and retain access to its resources. Thus, securing these rights is promoted as a central theme in order to reduce deforestation and forest degradation in the territories they occupy and depend upon to survive.

For example, the projects implemented were found to adopt the following common approaches dedicated to the empowerment of IP/FDCs:

- Increasing internal planning, organization, management and leadership of the target IP and/or FDC organizations (at the national, departmental/provincial and local levels);
- Increasing the awareness and understanding of the target IP and FDC organizations on their rights and needs relating to forest tenure and management;
- > Facilitating opportunities for IP and FDC organizations to collaborate and coordinate in order to advocate their interests and rights to forests as a means to sustaining their livelihoods and way of life;
- > Securing the political space needed to ensure IP and FDC organizations are consulted, participate in and give their consent to decision-making that affects their livelihoods and rights to self-determination;
- Increasing the capacity of IP and FDC organizations to develop good governance and management of the forests territories where they have territorial rights claims formally registered with, or already granted by the state.

In the case of the GCF Task Force project in Brazil, the jurisdictional approach emphasised

the importance of empowering state governments first as a more effective way of engaging IPs and FDCs in the application of REDD+ frameworks and linkages with national and international efforts to reduce deforestation.

4.1.3 Incorporation of lessons learned in each new NICFI funding Round

The evaluation found that NICFI and Norad are learning lessons from the projects on the needs and interests of IP and FDC organizations using a number of channels and that this is clearly demonstrated in CSD Round III where theme 1 is now explicitly dedicated to advancing the rights and Interests of IPs and FDCs. However, the learning process does not engage Norad staff in research and analysis of NICFI funding, nor is there effective internal monitoring of the intermediary actions and targets that have to be met before IPs and FDCs can command greater control over their territories and claimed carbon credits from Norwegian and other sources of funding.

Interviews and desk reviews conducted by the evaluation identified that NICFI currently learns through the following main channels:

- > Evaluations: for example, the 2012 evaluation of NICFI⁶⁶ recommended the need to support both non-indigenous as well as indigenous people dependent on forests. This led to the inclusion of the term 'forest dependent populations' within the Call for Proposals launched under CSD Round III in 2016. In addition, the recommendation to improve communication between projects lead to the adoption of in-country meetings, which the evaluation found have taken place in Peru and Indonesia.
- > Visits by NICFI delegations to partner countries: the evaluation found this offers CSOs the opportunity to enter into direct dialogue with NICFI on lessons learned relating to implementation and best practices. This was confirmed in Peru, where WWF confirmed such dialogue took place with a NICFI delegation that visited Peru at the same time as the evaluation (December 2016).
- > Progress and Final reports: the evaluation found the final reports of projects completed

in all three countries visited include a specific component on lessons learned,

- > Bi-annual REDD+ Exchange Conferences in Oslo: According to CSOs interviewed in Peru (WWF and RRI) this has facilitated the exchange of perspectives, experiences and forward-looking ideas among a broad community of REDD+ policy makers and practitioners.⁶⁷
- > Norad website: according to interviews with CSD this serves as an important tool for enhancing communication between recipients as the website enables them to identify other relevant projects operating under the NICFI CSD Round, in particular in the same thematic category. However, the evaluation was unable to substantiate this in interviews with CSOs in the field. Furthermore, it found that the Norad website did not contain up-to-date information about the latest CSD Round III to support improvements in communication, or inform personnel in the Norwegian Embassies about the number and type of CSD/Civil Society Grant Scheme projects currently operating in the partner countries:

Evidence that the learning process has evolved within NICFI and CSD through the CSD Rounds is demonstrated by the evolution of the thematic area addressing empowerment of IP and FDCs. For example, in NICFI's CSD Round I (2009 -2012) the emphasis was on an open call based on the prior submission of concept notes. In CSD Round II (2013 – 2015) stakeholders (national or regional authorities, IP/FDC, NGO's or private sector entities) were encouraged to cooperate with civil society partners under the thematic area No. 3 entitled 'Analysis, concept and methodology development that contributes to planning and implementation of REDD+'. However, this was a broad category that contained several different projects, ranging from testing of different forest monitoring tools to advocacy for IPs and FDCs rights. According CSD staff it was intended that projects funded under this thematic area would contribute to issues such as participation and rights of IP/FDCs, land tenure, gender considerations. However there was not an exclusive thematic area for IPs/ FDCs. This has changed in CSD Round III (2016-2020) where a specific thematic area has been assigned to: 'Indigenous and Other Forestdependent Populations' Rights and Interests' and thus endorsing the evaluation's abovementioned finding on the instrumental value of empowerment. Nonetheless, the full integration of gender equality as a cross-cutting

⁶⁶ LTS International (2012) Real-time Evaluation of Norway's International Climate and Forest Initiative 2012: Lessons learned from support to civil society organisations

⁶⁷ The evaluation was informed by NICFI that bi-annual conference in 2016 involved more than 500 participants including IP and FDC organizations, CSOs, government officials, etc. from partner countries.

objective in this thematic area has so far not been explicitly prioritised under CSD Round III, which women from IP and FDCs confirmed is important in order to gain greater access to land titles and advance the intrinsic value of empowerment.

Based on the desk review and discussions with CSD staff, it appears that IP/FDC issues were mainly addressed under thematic area 3 in NICFI CSD Round II, although of the 14 organizations that were approved for funding only one (Tebtebba) was an IP organization. Similarly, under the AF in Brazil, the evaluation only identified the Apiwtxa Association project was directly supporting an IP organization.⁶⁸ Interviews with a number of the IP/FDC organizations indicated the current procedures and rules governing NICFI funding has, de facto, excluded them from directly accessing and managing funds from NICFI. Interviewees confirmed that the continuation of funding through international or national CSOs has reduced their scope to develop capacity in areas such as project management, developing negotiation skills, etc. that are also relevant in developing their political space relating to key

issues such as forest conservation and management. According to CSD this situation is primarily due to the inability of most IP/FDC organizations to meet the fiduciary standards required for NICFI funding. As a result, IP/FDC organizations continue to be supported through CSOs or other implementing partners many of which come from non-indigenous backgrounds and whose core interests are not always aligned specifically to empowering IPs and FDCs and their organisations. So far three national IP organizations have secured funding under thematic area 1 under NICFI's CSD Round III.69 They are OPIAC (Colombia), AMAN (Indonesia) and AIPP (Vietnam and Myanmar).70 The evaluation found no evidence that the UNDP programme in Indonesia or the AF have plans to increase their support directly with IP or FDC organizations.

The evaluation found important gaps remain in the learning process by NICFI that affect project relevance. The evaluation identified the following gaps are currently the most pertinent in relation to the CSD Rounds and which are also applicable to AF, UNDP and other implementing partners:

The absence of baseline indicators and targets to track progress in meeting intermediary milestones relating to the REDD+ plus Readiness and Implementation Phase. Although CSD has made a concerted effort to adopt and apply standard indicators in line with the recommendations of the real-time evaluation of NICFI in 2012, CSD and NICFI are unable to learn from the tracking of these indicators because in most cases they are designed to track progress in the final phase of REDD+ (application of carbon credits) as opposed to the readiness and implementation phases of REDD+. This was identified in Brazil, Indonesia and Peru where gaps in advancing the land titling process of communal lands restrict the application of the REDD+ process. In Brazil, Indonesia and Peru NICFI is committed to supporting IPs and FDCs secure territorial rights⁷¹;

⁶⁸ The evaluation found that of the 21 projects approved for funding (covering over 50% of the IP/FDC territories in the Brazilian Amazon) and amounting to USD 54 million (NOK 428 m.), which is equivalent to 9% of the total budget of the Amazon Fund, only the Apiwtxa Association project was actually being implemented by IPs (the Ashaninka people).

⁶⁹ Norad (2015) New agreements with climate and forest organisations from 2016. [Online] Available from: https://www.norad.no/en/front/about-norad/news/2015/final-selection-of-nicfi-2016-2020/ [Accessed 09 February 2017.]

⁷⁰ With regard to AMAN (national indigenous peoples' alliance in Indonesia), four project outcomes are expected: a) the Government of Indonesia has advanced the existing policies and legal frameworks that recognise and protect the rights of indigenous peoples; b) FDCs effectively participate in the development of laws and policies related to sustainable forest management; c) FDCs are able to monitor the implementation of law, policies and programs related to forests and REDD+; and d) indigenous peoples, including women and youth in target areas, are able to implement self-determined development based on the indigenous maps. In previous CSD Rounds AMAN, did not have direct access to NICFI funds to promote themselves as the best option for frontline management of forests. Therefore Samdhana coordinated closely with AMAN's national secretariat and was one of the main conduits for the funding of AMAN's regional branches, with around 40% of Samdhana's sub-grants awarded to provincial and regency level branches of AMAN.

⁷¹ CSD has begun to address this problem by supporting CSO projects that are addressing land disputes, such as the CSO the International Work Group for Indigenous Affairs (IWGIA) in Peru.

- > NICFI employs CSD primarily to administer the implementation of projects, but few resources are allocated to engage CSD in analytical work through which feedback on lessons learned and best practices can be are communicated and which aid the development of greater synergies with projects funded under the bi-lateral programme of the Ministry of Foreign Affairs. In addition, CSD have limited resources to maintain adequate coordination between themselves and with staff from other departments in Norad that are currently managing NICFI funding (such as KEMF), as well as staff responsible for the implementation of NICFI in MCE. This situation is not aided by high staff rotation rates in the government institutions concerned;
- The project selection process in each CSD Round has been based on a global approach in which there are four thematic themes. This approach has resulted in the funding of a number of projects that support the application of the theme, but which pay little or no attention to supporting the development of other themes. For example, a number of interviewees stated that projects operating under different thematic areas should either be better coordinated, or projects should be encompass more than one theme where it responds to IP and FDC priorities such as

- linking the IP/FDC rights (thematic area 1 under CSD Round III) with needs of income generation to sustain their livelihoods (thematic area 2 under CSD Round III);
- > CSOs may conduct their own learning exercises together with the IP and FDC organizations involved, discussing the lessons learned and identifying new interventions under the CSD Rounds, but they continue to elaborate the project proposals and define budgeting needs. As a result in some cases the needs of IP/FDC organizations has been underestimated. For example, in Brazil, the GCF Task Force was found to have under emphasized the importance of IP/FDC rights and empowerment issues, despite the existence of guidelines on IPs based on the Rio Branco Declaration.

4.2 EFFICIENCY

4.2.1 Cost efficiency – results in relation to the financial and institutional resources committed by NICFI to CSOs to support IPs and other FDCs

The evaluation was in most cases unable to assess the cost efficiency of NICFI funding at the country level, because CSOs maintain centralised accounting systems that do not have procedures to track expenditure at the country level. However, in the few cases where CSOs were able to breakdown NICFI expenditure at the country/thematic level the country level expenditures were marginal.

Following an analysis of the budget allocations for the CSD Rounds, the evaluation found there has been a substantial increase in funding allocations. Most significant is the increase in budget allocations under CSD Round III in relation to CSD Round II. Most significant is the budget allocation to thematic area 1 of CSD Round III (Securing the rights and interests of IPs/FDCs) which totals NOK 427.83 m. which represents an increase of over 44% on the funding allocation for thematic area 3 of CSD

Round II where empowerment of IPs and FDCs was only one area of support to CSOs. None-theless, the evaluation found it is very difficult to assess the trickle-down effect in terms of how much NICFI funding actually reaches IPs/FDCs and their grassroots organizations.

Furthermore, the desk review and case studies confirmed that the international CSOs and other partners receive funds from a variety of sources to support the implementation of their programmes that in the vast majority of cases cover more than one country, which encourage CSOs to maintain a centralised accounting system to manage expenditure. Indeed, the majority of CSOs confirmed it would be very time consuming to identify how much of their funding at the national level is related to NICFI funding. For example, the evaluation requested RRI to attempt to provide total expenditure of NICFI funds in Peru. Figures provided showed that just 1.5% of total NICFI expenditure of USD 2.6 m. (approximately NOK 19.5 m.) was actually spent in Peru. This situation was due to a small mainly demand-driven programme in Peru and the use of alternative funding sources, but also demonstrates that NICFI is able to support the IPs/FDCs at relatively low cost.

In contrast, the GCF Task Force project in Brazil reported 60.4% of NICFI funds received under CSD Round II were used to cover operational costs associated with running the GCF Task Force network (travel costs, country coordination, database development, knowledge transfer, document translation, consultants, and general staffing). Meanwhile, approximately 14% of the total grant actually reached the national GCF Task Force coordinators (approximately USD 100,000 per country/annum) and no resources were used to empower IPs, FDCs or any other civil society group directly or indirectly.⁷²

4.2.2 Efficiency of CSOs in the delivery of NICFI resources to IPs/FDCs

The evaluation found the calls for proposals under the NICFI CSD Rounds is increasing the reliance on CSOs (in particular international CSOs) to manage NICFI funds, which in effect restricts the space for alternative implementing partners such as IP/FDC organizations to participate directly in these Rounds. This situation also means the operational costs of projects that are managed from international CSO headquarters or regional offices have to be covered by NICFI funding. Several IP and FDC organizations interviewed believe this situation reinforces the inter-dependency between NICFI and CSOs to manage resources and reduces the potential of the trickle-down effect that is needed to support the empowerment process of IP/ FDC organizations.

The preceding sub-section found that the majority of the international CSOs engaged in implementing NICFI funds in the project sample operate from headquarters. The evaluation observed that a significant percentage of

⁷² The evaluation acknowledges that the GCF project did not include empowerment of IPs/FDCs as an objective.

NICFI funding to these CSOs is used to cover headquarter-level transactions. IP/FDC organizations argue that this reduces the amount of resources that can be dedicated to them at the country level. In response to this finding the international CSOs interviewed argue these transactions include support services, such as backstopping and external technical assistance which can be mobilised when needed at the country/local level.

In the case of the projects that have managed NICFI funding through the IP organizations (the Apiwtxa Association project) or through national CSOs that have a core interest in IPs and FDCs (such as the Samdhana project) the evaluation found evidence of satisfactory delivery of outputs that at the same time have developed greater internal capacity to manage donor funds at the country and local level. For example, the Samdhana project successfully disbursed 30 small sub-grants ranging between USD 3,000 and USD 50.000 of which over 40% were allocated to IP/FDC organizations at the provincial and district levels of AMAN.⁷³ Furthermore, the evaluation found that sub-grants to IP/FDC organizations were in many cases more, or as successful, in terms of producing results as the grants managed by international CSOs

supporting IPs and FDCs. This was both in terms of delivering planned outputs and in achieving expected outcomes such as increasing tenure security, improving the management of community based resources and facilitating changes in policy at the local government level.

4.2.3 Efficiency of co-ordination between CSD Rounds and other funding channels of NICFI

The evaluation found NICFI uses a wide range of different funding channels that makes coordination of its funding very difficult at all levels, in particular at the country level where some multilateral channels are coordinated from another country or their office headquarters.

The learning mechanisms in place within NICFI (see 4.1.2) were found to pay inadequate attention to developing effective coordination and communication between projects administered by Norad (by CSD and more recently by KEMF) and projects funded through other bi-lateral and multi-lateral channels. This was confirmed in interviews with Norad and in the three countries visited where there was general consensus that the coordination of bi-lateral

and multi-lateral funding was found to be very complex, especially in countries where there a Norwegian embassy is not present in the country. For example, in Peru NICFI funding has been channelled through, among others, WWF and RRI, the Forest Investment Programme for Peru (FIP-Peru) and its Dedicated Grant Mechanism (DGM) both managed by the World Bank from Washington DC and through the initiative, "Supporting the implementation of the Peruvian-Norwegian-German Joint Declaration of Intent on REDD+" (which since the end of 2014 aims at advancing the land titling of IP/FDC territories in the Amazon region).

To date the main attempt at improving the coordination of these different initiatives dedicated to advancing the land titling process of IP/FDC territories in the Amazon region, has been the decision of national IP organizations to nominate WWF to be the executive agency of the DGM and one of the land tenure projects to be funded directly by FIP-Peru in Madre de Dios Department (where WWF is currently implementing the CSD Round III project). In addition, WWF is responsible for supporting the implementation of the first grant of the DCI⁷⁴ dedicated to land tenure of IP/FDC territories in

 $^{73\,\,}$ The other 60% of Samdhana's sub-grants went to CSOs.

⁷⁴ Joint Declaration of Intent (DCI) - partnership agreement between Government of Peru, NICFI and the German Federal Ministry for Economic Cooperation and Development (BMZ).

several Departments in the Amazon region. However, at the same time NICFI has agreed to fund a separate project administered by KEMF to speed up the land tenure process under the DCI over an 18-month period from 2016. In response to this highly complex situation the national IP organization AIDESEP has with support from the RRI project requested the adoption of a common agenda designed to coordinate the implementation of the 11 main land tenure projects currently operating in Peru of which at least four receive NICFI funds.

In Indonesia, a similar situation was identified during the evaluation of the UN-REDD Programme where 87% of funding contributions are provided through NICFI's multi-lateral funding channel with the remaining 13% contributed by the EU and the Governments of Denmark, Spain, Japan, Luxembourg and Switzerland. In Indonesia funding from NICFI is channelled to the three UN agencies involved in the implementation of the UN-REDD country programme (UNDP, FAO and UNEP) through a global Multi-Partner Trust Fund (MPTF). As a result, NICFI has to both coordinate with UNDP as the lead implementing partner and ensure UNDP coordinates effectively with FAO and UNEP in Indonesia.

Current indications are that the division of roles between the three agencies makes it far more challenging (and therefore expensive in terms of transaction costs) to ensure the sociopolitical and technical aspects of the programme are coordinated and integrated. Furthermore, UNDP's role as executor of the results-based payments under the bilateral agreement (Letter of Intent) between the governments of Norway and Indonesia requires finding a balance between maintaining the interest of the Government of Indonesia in REDD+ whilst promoting performance and accountability. According to interviews in Indonesia NICFI's "hands-off" approach in coordinating these developments has been described as risky⁷⁵ as it could jeopardise the achievement of NICFI objectives. 76 This is particularly the case since the decision of the incoming president in late 2014 to disband the REDD+ Agency, which is a major setback for the bilateral agreement. However, in response to this situation UNDP/UN-REDD have developed a more strategic approach and strengthened their coordination and cross-funding with Samdhana,

AMAN and other national and sub-national level CSOs since 2015 to date, which has helped empower IPs and FDCs to take up a more proactive role in advocating their rights with the current government.

The complex nature of NICFI funding in Brazil was also endorsed by the Norwegian embassy, which was unable to ascertain the exact number of NICFI projects and funding channels in operation. In summary, there is clear evidence in the countries visited that CSOs and/or their IP/FDC partner organizations have had to take on an increasingly hands-on approach to coordinating NICFI funding in order to avoid the inefficient use of funds in the form of duplication of efforts or funding overlaps. However, it may be noted that the engagement of IP/FDC organizations in enhancing this process confirms the projects have been effective in empowering them to advocate the need for coordination as a means of achieving greater cost efficiency.

⁷⁵ LTS, 2011; McNeill, 2015; and Howell and Bastiansen, 2015:

⁷⁶ For example the approval of performance-based payments to the Government of Indonesia based on outputs which many considered flawed, such as the forestry and peatland moratoria, has been contentious. Also the Norway Agreement to reduce GHG emissions from deforestation and forest degradation (Greenpeace, 2012). See http://www.greenpeace.org/seasia/id/Page-Files/469161/Full%20Report.pdf

4.2.4 The contribution of internal monitoring to enhancing project efficiency

The absence of an efficient and effective internal monitoring system supported by baselines and intermediary indicators and targets is not conducive to measure progress and achievements of NICFI funding channelled through CSOs and other partners. This has made it difficult to track progress, especially in relation to the implementation of phases I and II of REDD+ at the country level. This has reduced the opportunities to identify lessons learned and best practices at the country level or to assess the added value of NICFI funding through CSOs and its other implementing partners working with IP and FDC organizations.

In the case of the CSD Rounds, the 'Menu of Common Indicators' requires all projects funded from 2013 to track and report on these indicators. However, only two indicators specifically relate to IP/FDC organizations,⁷⁷ and a num-

ber of other indicators remain redundant until intermediary actions relating to REDD+ phases I and II have been fulfilled (such as the provision of data on deforestation). Furthermore, the evaluation found the current indicators did not facilitate efficient and effective monitoring of progress and results in the countries evaluated. The lack of monitoring on key issues such as the institutional, legal/regulatory, or policy reforms needed at the country level before IPs/ FDCs can participate actively in land tenure programmes means NICFI funding does not adequately capture what needs to be done at the country level in order to deliver positive outcomes relating to deforestation and forest degradation, or on livelihoods.

Interviews with CSOs in all three countries visited confirmed the view that the indicators applied since 2013 in the CSD Rounds are mainly relevant for measuring results in the final phase of REDD+ (such as deforestation rates). As such they do not focus on monitoring the milestones to be attained at the country level before the third phase of REDD+ becomes relevant, i.e. during the readiness and implementation phases. The same interviews also revealed that NICFI has tried to address this situation in CSD Round III, by requiring grant recipients to report on more specific indica-

tors⁷⁸ that are designed to measure achievements in relation to three main expected outcomes. For example, Outcome 2 (Governments in targeted developing countries have implemented REDD+ related policies, measures and safeguards, such as policies for green growth, sustainable livelihoods, land use-planning, the rights of indigenous peoples and local communities, and women's rights) was seen to support the monitoring of progress relating to empowerment of IPs/FDCs and, at the same time, to learn lessons and identify best practices. Nonetheless, the evaluation was also informed by a large number of interviewees that the three outcomes lack a country focus, which means in some country contexts they may not support the identification of actions designed to enhance efficiency and effectiveness.

In addition, the evaluation found the specific indicators adopted to support project monitoring are difficult to apply given there is generally a lack of adequate baseline data and planned targets. The, evaluation found that projects sampled under CSD Round III projects continue to focus primarily on tracking operational

⁷⁷ Indicator 8 (Adoption of REDD+ safeguards) requires grant recipients to report against safeguards which include the following: a) respect for the knowledge and rights of indigenous peoples and members of local communities; b) the full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities; and Indicator 9 (Hectares of land which Indigenous Peoples and forest dependent communities gain rights over).

⁷⁸ Currently the indicators against which CSOs must report that are most relevant to the achievement of empowerment are:

^{2.1.}a: Scale: Level of implementation of REDD+ related policy/measure; 2.1.b: Gender equality; 2.1.c: Transparency and/or law enforcement; 2.1.d: Sustainable livelihoods; 2.1.e: Reduced deforestation; 2.2: Cancun safeguards; and 2.3: Hectares of land gained and accessed.

progress and outputs (intermediate results). For example:

- > Brazil: The Amazon Fund has developed several indicators for project monitoring of which only some are relevant for the CSD/Civil Society Grant Scheme. These indicators include outputs such as the number of sustainable forest management plans developed, number of nurseries established and seedlings planted and the total number of women and men from IPs and FDCs trained in applying sustainable economic practices, etc.;
- Indonesia: the Samdhana project is monitoring the number of hectares of IP territories mapped, registered and/or officially demarcated, training completed on forest management and legal protection and changes in the legal and institutional framework that supports good governance in forested areas;
- Peru: the WWF project is monitoring progress relating to the application of the roundtable on Environmental Services and REDD+ (MSAR), the regional authority for the environment (ARA) and the elaboration and implementation of the regional development plan designed to establish a low carbon economy in Madre de Dios department.

In the case of the UNDP programme in Indonesia, the evaluation found it applies its own set of 10 indicators to measure progress towards the achievement of three above-mentioned expected outcomes. Of these, two specifically relate to IPs/FDCs empowerment (Indicator 3.2: empowered local stakeholders are able to benefit from REDD+; and Indicator 3.3: multistakeholder engagement in Regency Level REDD+ implementation plans). As a result there is more scope to assess the empowerment of IP and FDC organizations, although it was unclear how far IP and FDC organizations participate in this assessment and induce changes in planning and programming of UNREDD+ in Indonesia.

4.3 EFFECTIVENESS

4.3.1 What have been the intended and unintended results of the empowerment of IP/FDCs so far?

The majority of the projects evaluated provided concrete evidence that they have empowered IP/FDC organizations to identify their needs and interests and this has helped them participate more effectively in policy dialogue to defend their territorial rights and other priority interests. However, policy dialogue did not integrate a gender focus and has generally not translated into the policy, legal and institutional reforms needed to secure their territorial rights and long-term access to forest goods and services.

The evaluation found that the empowerment of IP/FDC organizations has not brought about the instrumental changes identified in the ToC (see section 4.1.1), in particular securing communal land titles. For example:

The Rights and Resources Initiative and WWF projects in Peru have facilitated both national and regional IP/FDC organizations to articulate their needs and priorities through, among

others advocacy campaigns, consultation in line with Law 29785 and the identification of "Amazon Indigenous REDD+" (RIA). However, these actions have resulted in only a relatively small number of communal land titles being conceded by national governments so far. In most cases this is due to the lack of adequate reforms in the policy, legal and institutional framework governing the land titling process. For example, in Peru, the Ministry of Agriculture is responsible for the application of the land tenure process and at the same time can grant the implementation of agro-industrial megaprojects, such as oil palm plantations in the Amazon region in the interests of supporting economic growth and external debt servicing. Furthermore, in the cases where official commitments have been made to start the land demarcation and titling of IP/FDCs territories important funding gaps remain, in particular concerning the resolution of land disputes, the logistical costs associated with land disputes and country-specific requirements, such as soil analysis to determine forested and agricultural lands in IP/FDC territories before land titles and concessions can be granted (Peru).79 In addition, other

ministries usually retain legal powers that allow them to grant concessions to private companies engaged in mining, petroleum, logging, etc. to carry out exploration and extraction of natural resources, such as the Ministry of Energy and Mines in Peru.

The Samdhana project in Indonesia has contributed to empowering IPs and FDCs at the regional and local levels between 2010 and 2016, but the project has been unable to obtain the necessary reforms to ensure they secure land titles that facilitate the establishment of a low carbon economy and the reduction of deforestation and forest degradation rates. This has not been aided by the recent statements of the government to pull out of the REDD+ process if forest conservation has a negative impact on economic growth.

Nonetheless, the empowerment of IP/FDC organizations has resulted in the following results (intended or unintended), which indicate the securing of land titles requires a longer timeframe before they can be attained and which imply a number of conditions have to be met beforehand:

The development of linkages and networking between the different levels of organization of IPs and FDCs at the national, regional and local levels is strengthening the articulation

of interests and priorities within the REDD+ process. For example, WWF in Peru has increased articulation between AIDESEP and the federation of IPs at the departmental levels. The Apiwtxa Association is doing the same by linking up with other Ashaninka communities living outside the Juruá region, with other IP tribes, and Ashaninka communities who live in Peru. In Indonesia, the Samdhana Institute has supported interventions to articulate IPs/FDCs voices at the national, provincial, regency and community levels, including providing funding and capacity building support to the regional branches of AMAN and other IP organizations. However, these developments have not translated into securing territorial rights.

> The use of CSOs and multi-lateral institutions has facilitated the coming together of IP/FDC organizations to develop their organizational capacity, raise awareness on their needs, define priorities and enter into negotiations with the public, private and non-governmental sector. However, the continued use of CSOs and multi-lateral institutions as the main drivers in the CSD Rounds has resulted in insufficient transfer of responsibilities such as project elaboration, the management of funds and reporting to IPs/FDCs. This situation has also contributed to increasing the

⁷⁹ All land use in the Peruvian Amazon must be determined through a very expensive soil analysis undertaken by the Ministry of Agriculture, as defined in the legal decree No. 22175 (1979). All land that is used for agriculture once tested can be titled. But forested land remains property of the State, as is the case in Brazil. IPs can have a right of use to forested lands, but cannot own it.

CSOs dependency on NICFI (and other external funding sources) to continue their programmes and agendas relating to IP and FDCs, which in turn strengthens the dependency of IP/FDCs on CSOs and multi-lateral partners.

> The CSOs that are dedicated to and/or run by IP/FDC organizations have developed a strong commitment and better understanding of the empowerment needs and interests of IP/ FDCs. In these cases the evaluation found IP/ FDC organizations have become more proactive in developing their political space. For example, the RRI project in Peru has successfully established itself as a facilitating mechanism through which collaborating partners (IP/FDC organizations) are required to develop a demand-driven approach to the grants provided by RRI to support advocacy campaigns at any given moment,80 in order to respond immediately and is not tied to annual plans and budget allocations required by the CSD. As a result, RRI has adapted to ensure it can respond to the immediate needs of its collaborating partners at any given time, which increases the opportunities for IPs and FDCs to respond and act more decisively

in the political process than traditional project approaches where pre-defined outputs usually become the focus of planning and implementation, often regardless of political, social, economic and/or environmental developments. In other cases the CSOs funded by NICFI were not specialised in the empowerment of IP/FDC organizations, such as GCF (Brazil) which is primarily dedicated to the empowerment of state actors, or WWF (Peru) which is mainly dedicated to nature conservation. In such cases the risk remains that these CSOs will refocus resources on their core interests when if and when external resources are no longer available;

The projects where CSOs and IP/FDC organizations have developed alliances with organizations specialised in legal and institutional matters, has enabled IPs/FDCs to clarify the legal and institutional constraints that have prevented them from securing territorial rights. This was clearly identified in the projects managed by Samdhana, RRI and WWF (during CSD Round II). For example, Samdhana established an alliance with a network of national level indigenous and human rights and environmental organizations, as well as a network of fellows and associates, who over time occupied many strategic positions within the office of the

president and other key REDD+ related agencies. Consequently the REDD+ Safeguards project was able to achieve considerable traction on promoting national and subnational level policy dialogue and legal reform, culminating in a Presidential Decree in December 2016 recognising the customary territorial rights of nine indigenous/forest dependent communities. Although these communities cover a relatively small area of forest (13,000 ha. in six regions) it has established an important precedent for other IPs and FDCs in Indonesia and sends a clear signal of presidential support for further recognition of IP/FDC rights. In Peru, WWF has established alliances with CSOs specialised in legal affairs (such as the Peruvian Society for Environmental Rights (SPDA) and CAR), which has facilitated the establishment of a legal capacity within both national and regional IP organizations (AIDESEP and FENAMAD);

> The projects, in response to the thematic areas established in CSD Rounds II and III have focused primarily on bringing about instrumental change that secures territorial rights. As a result the majority of projects assessed in the case studies did not cover capacity building of IP/FDC organizations in other key activities that are needed to sustain

 $^{80\,}$ This includes access to RRI's own Strategic Response Mechanism (SRM) when NICFI funds cannot be used because they have already been allocated in annual work plans.

their livelihoods while pursuing their rights (such as promoting sustainable agriculture to secure food security or income-generation to support family and communal needs). This situation has reduced the effectiveness of some of the projects assessed when compared to others (such as the Samdhana projects) both in terms of engaging IPs/FDCs in project activities and developing awareness and learning on the benefits of attending to the more than one thematic area of need to meet the objectives of the funding rounds and NICFI objectives in general;

> The projects in most cases had not integrated an adequate gender focus into their main activities and as a result were not found to be developing a more inclusive empowerment process within the IP/FDC organizations concerned. This was also the case in projects such as RRI in Peru and Samdhana in Indonesia, where the specific empowerment of the women's organization representing IPs and FDCs (ONAMIAP in Peru and Perempuan in Indonesia) has increased their participation in local, national and international political spaces, but been unable to secure agreements to support positive discrimination of women, including access to land titles, on the grounds that they also have rights and perform important activities

linked to forest conservation and management. A similar finding was also identified regarding the empowerment of youths within IP/FDC organizations. One exception concerns the Samdhana Institute, which initiated an indigenous youth leadership development programme in 2016 to help to prepare the next generation of indigenous men and women to develop leadership skills and community organization. S2

Specific unintended results identified in the field are summarised as follows:

- In Indonesia: The BERSAMA Project (funded by UN-REDD and implemented by a consortium of CSOs led by Samdhana) resulted in the drafting of a special autonomy regulation regarding the "Provincial Conservation Commitment" in West Papua Province. This regulation mandates that all land-use and development programmes throughout West Papua will be committed to low carbon development and respect for the rights of IP communities.
- > Support through the BERSAMA Project in Jayapura Regency, Papua Province, has also contributed to an innovative experiment in

rolling out customary village government, customary tenure mapping and registration and participatory sustainable village development planning on a regency-wide scale. However, the extent to which this results in improved forest governance and livelihoods of IPs (rather than empowering indigenous elites only), its effect on non-indigenous FDCs, and the extent to which it is scalable in other part of Papua and Indonesia will not be fully apparent for several years to come.⁸³

The recognition of the customary forest rights of 9 IP communities in Sumatera, Java and Sulawesi is a major breakthrough, which many doubted could be achieved just a decade ago. This can be related to the processes of increasing government openness and the empowerment of IPs and FDCs which has been fostered through NICFI and other donors. However, the rate and extent of recognition of the rights of other IPs and FDCs, and how this will translate into actual improved forest management and livelihoods remains to be seen.⁸⁴

⁸¹ Includes their role in applying primary care and gatherers of forest products.

⁸² In collaboration with AMAN, LifeMosaic and indigenous facilitators from Colombia.

⁸³ These are considered unintended outcomes because at the outset of the BERSAMA Project these were not stated project goals, but arose in response to the interest expressed by the Governor of West Papua Province and the Regent of Jayapura in supporting IPs empowerment and improved governance and management of forests and other natural resources.

⁸⁴ This is considered as an unintended outcome, on the grounds far greater time was expected before it would be attained.

- In Peru, the agreements reached with the former regional GOREMAD and FENAMAD in 2014 to establish the framework for a low carbon economy have not translated into forest conservation and management, or an advance of land tenure agreements with IP and FDC organizations. Indeed, the new administration has frozen all decisions on the latter, which has severed all relations between the regional government and FENAMAD through the roundtable (MSAR). Nonetheless, this has provoked FENAMAD to build partnerships with alternative partners, including provincial and municipal governments;
- In Peru, AIDESEP, through its advocacy for the common agenda to coordinate all 11 land titling projects covering the Amazon region, the RRI project has found itself working much closer than expected with WWF which is supporting AIDESEP as executing agency of the Saweto Dedicated Grant Mechanism and implementation of funds allocated by NICFI to the Joint Declaration of Intent at the end of 2014. This has unintentionally facilitated the coordination of key elements of NICFI funding in Peru relating to land titling of IP and FDC territories in Departments such as Loreto and Ucayali.

4.3.2 How has empowerment manifested itself and what are the main factors at stake?

The empowerment of IPs and FDCs manifests itself primarily through greater awareness and understanding that active participation is crucial to securing their territorial rights and other priorities. This has helped IPs and FDCs develop their political space in most cases. However, they have been largely unable to influence the decision-making process so far relating to major policy reforms. In a few cases the projects have not facilitated the development of political space as this is not a core interest or objective of the CSO.

The evaluation found that in the majority of projects evaluated, empowerment was clearly being manifested through an increased awareness of the problems and challenges facing IPs/FDCs and their organizations and how they applied this awareness through the application of advocacy, participation in roundtables and meetings (at all levels) and through communication channels including mass media. The following factors were identified with IP and FDC organizations interviewed as instrumental in bringing about change both at the local and

- national levels with respect to reducing deforestation and forest degradation and increasing forest conservation and effective management:
- > Trust: the level of trust both within the IP/FDC organization and with their constituency. For example, AIDESEP in Peru had established a high level of trust, but rumours of an internal corruption scandal in 2016 has affected this trust and, thus, the potential to be effective.
- > Leadership: the ability of leaders to galvanise support and commitment of IPs and FDCs members and at the same time deal with internal conflicts is crucial to developing advocacy and reaching milestones. In the WWF project in Peru, the president of FENAM-AD is both highly respected as a committed environmentalist (winner of the Goldman Prize, 2007), and a recognized leader having also worked in AIDESEP. His recognition as a leader has been instrumental in developing support with the provincial authorities in MDD following the change of the regional government in 2015 which openly supports the expansion of mining in the department as good for economic growth. This is also the case with the project of the Apiwtxa Association: the Ashaninka leaders and the project coordinator of the Alto Juruá project in particular, have strong leadership skills. He has been

the Secretary and Advisor of the Indigenous Peoples in the Government of Acre and also Advisor to the Presidency of the National Indian Foundation (FUNAI).

- > Transparency: all organizations need to be consulted and/or informed on planning, budgets and expenditure, results and lessons learned and good practices. This was found to be well developed and applied by Samdhana and the Apiwtxa Association, where decisions are made with the people rather than for them.
- > Understanding of the national legal, institutional and policy framework: in the majority of the projects visited, the IPs and FDCs showed that by understanding this framework they are able to advocate more clearly their needs relating to the demarcation and official registration of their territories. However, despite on-going commitments to reforms within this framework and the granting of some territorial rights, to IPs and FDCs in all three countries share a similar problem in that they must advocate their rights against powerful interests relating to mining, logging, petroleum, etc.;
- The marginalisation of IPs and FDCs: in all three countries IPs and FDCs face sociocultural barriers and a general lack of public

understanding and recognition that they are important knowledge holders. However, in none of the projects evaluated was there an effective communication strategy in place to educate the general public and targeted audiences on the need to address these problems and promote the role of IPs and FDCs in areas such as safeguarding environmental services.

4.3.3 Were the policies strategies, modalities and tools applied in the projects effective?

The evaluation found that each project established its own specific strategies and tools to empower IPs and FDCs under the framework of the ILO Convention No 169, in particular Article 2 (protection of rights and integrity) and the Cancun Safeguards for REDD+. This was found to be an effective approach to advancing longer-term interests such as the development of longer-term land-use planning and development (taking into account each project operates in a specific context).

The evaluation identified the following strategies, modalities and tools in the six projects evaluation:

- > The UN-REDD Indonesia Programme placed a strong emphasis on implementation of the provisions of UNDRIP and ILO Convention No.169 (though Indonesia is not yet a signatory of the latter) and the implementation of the Cancun Safeguards, particularly through the promotion of FPIC and multi-stakeholder engagement in the development of the national REDD+ strategy and other REDD+ related policy dialog processes. However they initially struggled to overcome horizontal and vertical conflicts within government levels and failed to promote bottom-up empowerment and as such the programme experienced a number of failures to connect with IPs and FDCs. This improved considerably in 2015 when they commenced collaboration with 7 national government agencies to implement the National Programme for the Recognition and Protection of IPs rights through REDD+, which included the BERSAMA Project, which was jointly planned and implemented by Samdhana, AMAN, Epistema Institute, the Indonesian Participatory Mapping Network (JKPP) and the conflict mapping and resolution processes in Tesso Nilo and 4 other national parks.
- In Indonesia, Samdhana applied a twopronged approach focusing on: (a) de jure empowerment through legal recognition and protection supported by policy developments

designed to increase the inclusion of IPs and FDCs into the planning, governance and natural resource management systems; (b) de facto empowerment through the development and dissemination of tools and building capacity and accountability of IPs and FDCs and the network of IP/FDC organisations and CSOs that aim to support and represent them (men and women). Tools applied at the grass roots level include, among others: participatory mapping of customary territories, documentation on culture and heritage, participatory land-use maps, forest cover data collection and maps, environmental and social safeguards, networking with other donors and CSOs, and elaboration of low carbon development plans;

In Brazil: GCF Task Force focuses its implementation on the development of the architecture needed to implement jurisdictional programmes designed to reduce emissions from deforestation and land use. This is supported by the empowerment of sub-national governments in low emissions dialogue at the national and international levels and technical capacity building and exchange among its members. The strategy to implement these actions focuses on first empowering state governors to work with a variety of stakeholders including second level organization of IPs and FDCs (termed

traditional communities – TC). Tools and instruments to support the strategy include the Rio Branco Declaration and the IP&TC-GP, both of which are considered as 'binding' instruments to be used to facilitate the empowerment of IPs. The IP&TC-GP draw from ILO Convention No. 169. In a similar way, the GCF Task Force's IP&TC-GP recognize IP rights and the principle of self-determination.

> The Ashaninka project focuses on training as key to capacity building and empowering IPs and FDCs on self-determination relating to their concept of 'the project of life'. The management and implementation of the project by the IPs themselves is also seen as key to IP and FDC empowerment. The strategy of the Ashaninka people towards the rubber tappers is to first empower the rubber-tapper themselves through awareness raising activities and capacity building, and later to work also at the level of their institutions. In this way they hope the rubber tappers will support forest conservation. The PPCDAM85 and the PNGATI⁸⁶ are seen by the AF as key instruments to promote policy reform and action as well as to empower IPs and FDCs in this

> In Peru: the empowerment strategy of the RRI project is to facilitate its collaborating partners – IP/FDC organizations at the national level (AIDESEP, ONAMIAP and CAN) – identify and develop their advocacy and analytical skills through collaborating agreements. These agreements aim at enhancing the capacity of the collaborating partners to develop their negotiation skills and develop political space relating to their territorial rights with the Government of Peru as well as improve coordination and dialogue with donors on the delivery of land titles. Important areas of advocacy supported by RRI include the need to create communal land reserves for IPs in voluntary isolation (4.0 million hectare), advocating the need for a common agenda to

process. The AF is fully in line with the principles of the ILO Convention 169. The AF team sees the model that prioritises training and sharing of knowledge as an important strategy applied by the Apiwtxa Association by which service providers are hired to carry out their tasks in association IPs and FDCs. In this way, these skills are retained and developed within the Apiwtxa Association. This logic applies to planning support as well as to communication support services. Thus gradually the Ashaninka people are being prepared to independently address those needs.

⁸⁵ Plan for Prevention and Control of Deforestation in the Legal Amazon.

⁸⁶ National Policy of Territorial and Environmental Management of Indigenous Territories.

coordinate all land titling projects in Peru and advocating the rights and specific needs of indigenous women in all land titling to ensure they greater access to land titles and participate actively in the implementation of REDD+ (including access to carbon credits). Tools and instruments to support the strategy include application of Elinor Ostrom's "Principles on Forest Rights", global and country-based analysis on land tenure rights and specific publications such as "Who owns the Land" and most recently in December 2016: "Recognising communities' rights to forests is crucial to combating global climate change.

> The implementation strategy of the WWF project in Peru places great emphasis on establishing a highly participatory approach with FENAMAD in order that the main components are planned and implemented mainly through or in close association with FENAM-AD. Key to developing empowerment of FENAMAD has been data collection, interpretation and validation to support thematic mapping exercises such as carbon and deforestation maps. These tools are then used to support policy dialogue through MSAR and development of the regional development plan incorporating the priority needs of IPs and FDCs represented by FENAMAD. WWF places importance on tools such as SWOT

to promote critical analysis as a key element in empowerment of IPs and FDCs.

4.3.4 Have the projects contributed to meeting NICFI and REDD+ objectives?

None of the projects evaluated is in a position so far to document reduction in deforestation to secure the payment of carbon credits for emissions reductions. However, there have been some positive preliminary developments on this in at least one country evaluated.

The evaluation found some projects have produced tangible results in relation to forest conservation that have contributed to achieving territorial rights.⁸⁷ These are summarised as follows:

The Samdhana project has helped IPs and FDCs map over 8 million hectare of customary territories which has so far led to the formal recognition of 9 communal territories amounting to over 13,000 ha. Samdhana has also invested in broad range of collaborative and community-based forest, land and natural resource management planning, sustainable livelihoods and climate change adaptation approaches. Whilst the outcomes of these approaches remains quite modest and localized, Samdhana's support for national and sub-national learning and action networks offers opportunities for sharing lessons learned and replicating or scaling up successful approaches in the future.

- The RRI has contributed to the Government of Peru's official recognition and land registration of 4.0 million hectare of communal territories belong to PIAVCI;
- > WWF-Peru has facilitated the on-going process of demarcating and establishing land titles of communal territories belonging to IPs and FDCs in Loreto, Madre de Dios, San Martin and Ucayali and amounting to over 5 million hectare in total. Unfortunately land titles are ready to be signed in Madre de Dios, but the regional government has refused to sign them on the grounds they risk restricting economic growth.
- > To date the UN-REDD Indonesia Programme has not invested significantly in grass-roots level forest management and sustainable livelihoods activities. A number of small grants

⁸⁷ The Norad report, 'Norwegian Climate and Forest funding to civil society – Key results 2013 – 2015' report notes that "13 organizations reported that Indigenous Peoples and forest dependent communities gained land rights with support from the CSOs". Furthermore "Twenty-six of the NICFI-supported organizations reported that they particularly contributed to, change in the development, policy change or implementation of Cancun safeguards in forest countries during the period 2013-15.

- were made to CSOs for small-scale REDD+ and Livelihoods Activities and UN-REDD has supported collaborative capacity building between government and CSOs to support the strengthening of tenure security and assist with forest conflict resolution processes and sustainable forest management planning.
- > UN-REDD's support for the development of the Indonesia's Moratoria on new Forestry Licenses and the clearance and conversion of peatlands has supported the protection of large swathes of carbon rich forests. However, many Indonesian CSOs and other organizations, including major NICFI funding recipients such as RFN and CIFOR, have been critical of the moratorium on the grounds that it is full of loopholes, still leaves vast scope for deforestation and does not recognize the rights of IPs and FDCs. Their targeted support for the Indonesian Peatlands Restoration Agency (BRG) during 2016, including subgrants to CSOs working with IPs and FDCs in peatland areas of Sumatra and Kalimantan, indicates some modest outcomes in terms of peatland restoration and alternative livelihoods. However, it is too early to properly evaluate either the emission reduction or improved livelihoods outcomes of these efforts.

The evaluation did not identify sufficient evidence to indicate how far NICFI can be attributed to improvements in forest conservation or livelihoods of IP/FDCs. However, the Ashaninka people have demonstrated that they are contributing to forest conservation by working with neighbouring rubber tapping communities on establishing sustainable practices that do not lead to forest degradation.

4.4 SUSTAINABILITY

4.4.1 Are the main outcomes achieved so far sustainable?

The evaluation found that NICFI funding through its different channels, in particular the CSD Rounds, has helped sustain support to the empowerment process of IPs and FDCs and that this may be increased in CSD Round III due to more resources directed at IP/FDC rights. However, the majority of implementing partners have not yet succeeded in ensuring that the IP and FDC organizations they work with directly access and manage donor funding.

The IP/FDC organizations remain committed to consolidating their political space through improved communication and advocacy, as well as further capacity building in order to secure their territorial rights and sustain their livelihoods.

In Indonesia, Samdhana and their partners have sought to engage directly with various regency level governments to support legal recognition and integration of participatory mapping and land-use planning processes into spatial and low-carbon development planning processes. and various other forms of community-based and collaborative forest management. The rate of uptake by local level governments is one of the major factors influencing the sustainability of project activities and outcomes. Another important factor relates to the ability to convert legal rights into tangible economic benefits which help to raise living standards amongst IP and FDCs whilst maintaining forests and carbon stocks. Samdhana and actor actors might need to devote additional resources to planning, implementation and documentation of community-based and collaborative forest management/ community-based natural resources management approaches in order to provide tangible benefits to IPs and FDCs.

In Peru, RRI's main objective is to facilitate IP organizations such as AIDESP and ONAMIAP

increase the effectiveness of their negotiation skills in order to widen their political space and engage more actively in decision-making. The application of the common agenda on land titling is intended to support national partners to agree to a more effective and sustainable mechanism of coordination concerning all main land titling activities in the country involving projects funded by different sources (including government funds).

WWF-Peru is also supporting the sustainability of MRV in communal territories that have already been formally registered and strengthened through the introduction of credit payments from MINAM/UNDP under the National Programme for the Conservation of Forests to Mitigate Climate Change (starting in 2016). This has started the first round of credit payments to IP communities to finance communal projects, which are planned to be replicated throughout the Amazon region. 88

In Brazil, the Apiwtxa Association believes a follow-up project of three additional years will

be needed to continue the empowerment and outreach of the association into neighbouring communities. According to the Association it will be important to involve other groups, IPs and non-IPs, and also other Ashaninka communities, in the project. In addition, the development of economic opportunities through the sustainable use of forest resources is contemplated.

4.4.2 Issues that affect the long-term sustainability of main actions and benefits derived from the projects

There is a risk that by funding international CSOs in each funding round NICFI is contributing to developing a growing dependency, both between IPs/FDCs and CSOs, and CSOs and NICFI on external funding as the solution to meeting needs. This risk has implications on the both the sustainability of interventions funded by NICFI and on maintaining progress in the REDD+ process.

IPs and FDCs need a stronger voice or role in the projects in order to create ownership and make them less dependent on CSOs. The evaluation identified the following issues that are increasing the risk of dependency of IP/FDC organizations on CSOs and of CSOs on NICFI:

- The GCF Task Force Network is not a self-funding initiative and will require significant levels of funding from different donors on an ongoing basis. Assessment of the strategic and sustainability of this initiative is likely to be required in the long-term.
- > There is a lack of alternative suitable sources of funding for capacity building of IP leadership and strengthening of IP organizations.
- The AF's portfolio support to empowerment of IPs and FDCs within the context of REDD+ is still very limited, especially in regard to direct funding opportunities to IP/FDC organisations.
- The sustainability of outcomes from the Samdhana project remains contingent upon:

 a) rationalization and consolidation of national legal and policy frameworks and the development of implementing regulations by provincial and local level governments;
 b) the Institutionalisation of participatory mapping and land-use planning approaches

⁸⁸ For example, the native communities that have established technical units reporting to the Executor of the Administrative Council for the Amarakaeri Communal Reserve (ECA) will receive NS 10 per hectare of forested land protected and managed under the MRV system established during phase II. The payments are designed to support the development of investment plans to implement the community's life plans in the interests of empowering IPs and FDCs to identify priority community projects that can be funded with the payments and support maintenance of the MRV system for the Reserve.

and mainstreaming of IPs rights and sustainable forest management issues in government and private sector development planning processes, and environmental and social safeguards policies; c) supporting the roll out of the 12.7 million hectare social and customary forest scheme, the agrarian reform programme and the establishment of Forest Management Units (FMUs) and strengthening their capacity for collaborative management through mapping and sustainable communitybased forest management activities; and d) the continuous effort to build the capacity of IPs and FDCs and their IP/FDC organisations and CSO support networks, particularly in terms of internal accountability, their capacity to negotiate with external parties and to revitalize and adapt their customary forest and resource management systems.89

The key determinant of the sustainability of outcomes from the UN-REDD Indonesia Programme will be the ability of UNDP, NICFI, WB, etc. to adapt their approach to REDD+ in Indonesia so as to align it with the government's current broader development agenda and take maximum advantage of opportunities provided by the current political climate. In particular greater support is required to consolidate gains in the legal and regulatory frameworks protecting the rights of IPs and FDCs and to ensure the effective roll-out of the national customary and social forestry scheme during the current president's incumbency.

> In Peru, there is a lack of champions responsible for driving the land titling process forward at all levels. In part, the advocacy strategy among IPs and FDCs has focused too much on the need for land titling as the main means of recognising their rights. As a result, discussion on the social, cultural, environmental and economic opportunities linked to land titling (back up by concrete data) have largely been put on the back burner. Thus despite credible actions and efforts by MINAM to push the REDD+ process forward, other parts of Government of Peru, including MEF, Energy and Mines and MINAGRI itself, still sees land tenure in the Amazon as a barrier to economic growth driven by the extraction of wood, oil, gas and minerals, or through mega agroindustry projects. Currently, there is a major lack of communication between GOREMAD and FENAMAD and at the national level between AIDESEP and the Ministry of Energy

and Mines and the Vice Ministry of MINAGRI responsible for promoting mega agro-industrial projects in the Amazon region of MINAGRI. Experiences show that involvement of all key stakeholders is key to developing transparency and securing consensus and that the "forest economy" represents a viable and sustainable development alternative in the Amazon region, as it can generate and sustain far greater profits than mining, petroleum and logging in communal reserves.

⁸⁹ The achievement of these outcomes is likely to be beyond the capacity of Samdhana and their network of national and sub-national level partners and will require a concerted and coordinated effort by various institutions including NICFI and other bilateral donors, multi-lateral organizations such as UN-REDD and the WB, as well as international NGOs with an interest in the empowerment of IPs/FDCs and sustainable forest management.

5. Conclusions and recommendations

5.1 CONCLUSIONS

- NICFI funding provided to CSOs through the CSD Rounds and other channels has directly contributed to the empowerment of IPs and FDCs in terms of increasing their political space at all levels of policy dialogue to combat deforestation and forest degradation and advance local forms of forest conservation and management. The CSOs are well-aligned with the goals of the Norwegian initiative.
- NICFI and CSD are learning from experience. CSD Round III is the first to explicitly support the empowerment of IP and FDCs through the securing of their rights (especially territorial rights). A similar explicit prioritisation was not confirmed in the AF bi-lateral initiative in Brazil and the UNDP Programme in Indonesia. However, the learning potential is constrained due to gaps in horizontal and vertical exchange of experience-based knowledge and information at the country level, and between the country level and Oslo.
- Coordination of NICFI actions with other donors committed to NICFI/REDD+ objectives varies according to the ability and willingness

- of the CSOs and other implementing partners in the project countries.
- NICFI has mobilized and established long-term partnerships with well renowned international CSOs to support capacity building of IP and FDC organizations. There is evidence that these partnerships facilitate IP and FDC organizations to develop political space through which they can defend their rights to own and participate in the sustainable management of forests.
- It is difficult for the beneficiaries or the donor to monitor and assess the targeting or efficiency of NICFI funding at the country/thematic levels. In most cases grant recipients have neither been required, nor have procedures in place to track specific country/thematic use of NICFI funding. In cases where this information was estimated, the trickle-down of funds has been marginal. The evaluation understands this has been addressed in CSD Round III although it was not possible to evaluate this as projects had either not started or just started.
- > Grassroot organizations of IPs and FDCs have developed greater capacity to manage NICFI funding through grants provided by the implementing partners. However, their ability to do so varies depending on a number of internal factors, including organization, leadership skills and transparency in decision-making, as well as external factors such as political instability and the willingness of decisionmakers to allow IP and FDC organizations to participate in the decision-making process.
- > CSOs and other implementing partners continue to function as facilitators for channelling Norwegian funding to IPs and FDCs and their organizations, but there is a risk this is increasing the dependency of IPs and FDCs on CSOs (and CSOs on NICFI). This is likely to constrain the empowerment of IPs and FDCs in areas such as project formulation and management, the development of negotiation skills with stakeholders and donors, etc.
- Gender equality was not found to have been fully integrated as a cross cutting objective in the projects evaluated and this is likely to

constrain the intrinsic value of women's empowerment, in particular advancing women's rights.

5.2 RECOMMENDATIONS

The Ministry of Climate and Environment should:

- > Strengthen knowledge and information sharing between stakeholders at the country level, and the country level and Oslo as a means to fully align its programme priorities with policy and legal context and specific needs in the partner countries;
- Prioritize analytical work that draws on information at the country level, in the interests of identifying lessons learned and good practices to support programming and facilitate project implementation and monitoring through its implementing partners;
- > Create a dedicated funding window for direct financing of IP and FDC organizations at the country level. This should be identified after a review has been conducted on NICFI rules and procedures governing grant management;
- Fully integrate gender equality as a cross cutting objective in all thematic areas of NICFI funding.

The Civil Society Department in Norad should revisit its project selection and monitoring procedures to:

- > Strengthen its information base concerning the tracking of expenditure and assessing the value added of the supported interventions at the country level. In particular, the CSD should have information about the complementarity of Norwegian funding in relation to the existing portfolio of the recipient CSO, and ensure the trickle down of the Norwegian funding to the country level meets the needs of recipients as agreed in the project proposal.
- Establish baselines and intermediary output and outcome indicators at country level (and where appropriate at the local level), to facilitate learning through the project cycle and use the information to support programming of NICFI;
- Facilitate direct financing of IP and FDC organizations at the country level, based on a review of current procedures and rules governing NICFI funding.

Appendix A: Terms of reference

Real Time Evaluation of Norway's International Climate and Forest Initiative (NICFI) Call-off- 3: Evaluation of empowerment of the forest dependent local communities⁹⁰ through support to civil society organizations.

1. BACKGROUND AND RATIONALE

Participation of the forest dependent local communities in decisions that affect their access and rights to forest is crucial if REDD+ is to succeed. They have a strong incentive in securing sustainable management and protection of the forest resources. There is growing evidence that use of forest dependent local communities in surveillance of deforestation and forest degradation is a cost-effective means of exercising surveillance of forest resources. The review of REDD+ undertaken under the first call-off under the RTE framework, recommends further analysis of the conceptual issues and results related to empowerment of the forest dependent local communities through NICFI allocations to civil society organizations."

Civil society funding represents a major area of NICFI support for REDD+ development. This support is administered by the Norwegian Agency for Development Cooperation (Norad) through its Civil Society Support Department. A number of civil society projects aim at greater involvement and empowerment of forest dependent local communities in decisions that affect their access and rights to forest. Interventions to achieve empowerment outcomes include capacity development, advocacy measures, conflict-resolution mechanisms etc. to secure forest dependent local communities' rights.

2. PURPOSE

The main purpose of this evaluation is to assess the effectiveness of NICFI funding in terms of observable improvements in empowerment of the forest dependent local communities. The evaluation shall provide lessons for future programming of NICFI assistance targeting empowerment of the forest dependent local communities.

3. OBJECTIVE

The evaluation has a dual objective: to determine to what extent have NICFI allocations to

civil society organizations led to the empowerment of forest dependent local communities and secondly, what are the resulting outcomes in terms of forest conservation and improvements in welfare of the forest dependent local communities who live off, in, and around the forests.

4. SCOPE

The evaluation will aim to cover projects in some case countries of Call-off 2 if and/or where relevant (Indonesia, Ethiopia and Liberia), together with a selection of forest dependent local communities from other countries, which may include a country in South and Central America. The evaluation will focus on outputs and outcomes identified from a sample of projects agreed with the Evaluation Department.

5. EVALUATION OUESTIONS

The main questions posed in this evaluation are:

 What have been the motivation, objectives and strategies of NICFI and the Civil Society Department of Norad for empowerment of forest dependent local communities and how

⁹⁰ $\,$ The term includes indigenous people (IP) as per ILO-convention 169 and the UN Declaration on the Rights of indigenous Peoples (UNDRIP).

- are these linked to MFA's overall policy for supporting the rights of indigenous people?
- 2. How has the forest dependent local community issues been incorporated into the planning of NICFI supported civil society organizations (CSOs) interventions and to what extent can these issues be observed in the implementation of the different stages of CSOs programme/ project cycle?
- 3. What has been the level of financial and institutional resources committed to implement forest dependent local community issues and has these been used efficiently?
- 4. What has been the outputs and outcomes in terms of preservation of forests and improvements in welfare of the forest dependent local communities and are the outcomes sustainable?

The consultants will need to develop a series of sub-questions to guide the evaluation team. Indicative questions may include, among others:

> What are the current understandings of the concept of empowerment in the literature, including understanding of empowerment as an end in itself or as a means to an end? (the scope shall cover gender-related empowerment);

- How does NICFI and Norad's understanding of the concept relate to the current literature?
- > What are the relevant and reliable indicators for measuring empowerment and tracking change? This will aim to identify both quantitative and qualitative indicators. Included herein are the indicators to assess the extent to which forest dependent local communities (men and women) effectively participate in the decision-making process concerning the ownership/allocation of resources in relation to, for example, access to information and training, local organizational capacity and accountability.
- How to determine the extent to which empowerment has been achieved? This will assess empowerment and power relationships according to different stakeholders.⁹¹
- How does the empowerment manifest itself? This will be supported by case studies through which observable change must be triangulated;
- > What kind of factors have contributed to empowerment and for whom? This will include economic, social, cultural and environmental factors;

- > What are the factors that limit empowerment? Attention will be given to determining whether they apply to all community members or to specific groups within/outside the community.
- > What are the lessons learned regarding empowerment of forest dependent local communities that are relevant for future programming of NICFI assistance?
- Have the lessons learned from the previous phase been used? In particular, the types of lessons learned used by NICFI/Norad will be reviewed.

6. METHODOLOGICAL COMMENTS

The evaluation shall be conducted in accordance with the prevailing DAC OECD Evaluation Quality Standards. The evaluation will be based on desk, field and synthesis phases in which emphasis will be given to:

- Adopting both a qualitative and quantitative approach to analysis;
- A participatory approach to field research and case study development
- > Triangulation of findings based on official statistics, documents, NICFI archives, a questionnaire supported by semi-structured inter-

⁹¹ A relevant reference with respect to the participation of indigenous communities is the UN Declaration of Indigenous Peoples' Rights. For more details see http://www.ohchr.org/EN/Issues/IPeoples/Pages/Declaration.aspx

views with key informants, forest dependent local community members and other relevant stakeholders. Emphasis will also be given to integrating cross-cutting issues into the analysis to ensure women in particular are fairly represented throughout the field phase.

- Comparing findings obtained from the project country visits.
- The synthesis of findings in order to justify and develop informed conclusions supported by realistic and viable recommendations relating to the empowerment of forest dependent local communities in future projects and programming, and where relevant in existing projects.

The main phases of the evaluation will be:

A. Desk Review

The team shall undertake a survey of the current literature with an objective of identifying indicators for measuring empowerment.

The team shall review the project database and identify relevant projects for this study in consultation with the Evaluation Department.

The Norad project database, as well as other sources, will be consulted for the final selection of the projects targeting forest dependent local communities.

The selection criteria to establish a short-list of projects shall take account of the nature, importance and risk profiles of the activities in the project portfolio. The sample shall provide a fair representation of all thematic areas of round II and III of funding to CSOs among the selected projects. A preliminary short-list includes following:

- Sustainable landscapes: topic 1 round II: 2013-2015
- REDD+ relevant commodity chain: topic 2 round II: 2013-2015
- Analysis, concept and methodology development for planning and implementation: topic
 3 round II: 2013-2015
- Creating Global consensus on REDD+: topic
 4 round II: 2013-2015
- Efforts directed at private sector: topic 1 round III: 2016-2020
- International Climate negotiations: topic 2 round III: 2016-2020
- Rights of Indigenous people and other local populations: topic 3 – round III: 2016-2020

- Combating illegalities and corruption in forestry sector: topic 4 – round III: 2016-2020
- > Some additional criteria for identification of the sample include:
- Relevant activities in order to achieve empowerment, such as capacity development, advocacy measures and conflict-resolution mechanisms, etc.
- > Periods (years) of support (funding)
- > Variety in (implementing) partners
- Modality of funding, considering project partners that work with sub-granting.

The Norad project database, as well as other sources, has been consulted for the drawing up of the short-list of projects working with forest dependent local communities, see Annex 1. The final list will be narrowed down after discussions with relevant stakeholders and agreed on with Norad during the inception phase. This will provide an opportunity to identify and justify the most relevant and appropriate projects for this important evaluation. No projects under the thematic area 'Efforts directed at private sector' are selected as no projects with forest dependent local communities under this category are identified yet.

The desk review shall inform project selection and lay the groundwork for field visits for assessment of the issues and results related to empowerment of the forest dependent local communities at the project/ programme level.

B. Field visits

Key expert informants shall be identified and interviewed before, during and after the field visits to understand the factors that determine the extent and successes/failures of empowerment and lessons learned. A questionnaire will be developed to establish a consistent set of questions and a template to synthesise findings from the field visits to aid development of the draft final report.

Apart from individual interviews, focus group discussions will be conducted at the programme/ project level. Constitution of the groups (for example mixed groups, men and women together), will depend on the context and cultural issues in the different countries covered in the study.

A small, but a relevant number of case studies will be identified to support the identification and consolidation of lessons learned and good practices for sharing and scaling-up successful activities financed by NICFI and reduce the

scope/remove those practices where performance has been poor.

7. DELIVERABLES AND TIMETABLE

The main deliverables are as follows:

- Inception report
- > First, second and final draft versions of the evaluation report, in which case studies in the annexes will form an integral part
- > Final report not exceeding 40 pages.

The indicative timetable of Call-off 3 will be between the months of July and December. The project shall be completed by December 2016.

Appendix B: Key people consulted

Name	Institution	Date
Mr. Kim Morten Smeby	Norad CSD	17 Oct 2016
Ms. Elli Susann Borge	Norad CSD	17 Oct 2016 22 Nov 2016
Ms. Frida Skjæraasen	Norad CSD	25 Oct 2016 , 13 Jan 2017 and 21 March 2017
Mr. Per Fredrik Pharo Mr. Andreas Tveteraas Mr. Simon Rye Mr. Leif-John Fosse	NICFI Management	31 Oct 2016
Ms. Elisabeth Forseth	Norad KEMF	21 Dec 2016
Ms. Inger Brodal	Norad CSD	13 Jan 2017 21 March 2017 3 May 2017
Mr. Knut Nyfløt	Royal Norwegian Embassy Sri Lanka (formerly Norad CSD)	19 Jan 2017
Ms. Hege Ragnhildstvet	NICFI - Indonesia desk officer	10 Nov 2016
Ms. Ellen Henrikke - Aalerud	NICFI - Peru desk officer	10 Nov 2016 23 Nov 2016
Ms. Livia Costa-Kramer	NICFI - Brazil desk officer	10 Nov 2016 17 Nov 2016
Mr. Tore Langhelle	Norad KEMF _WWF-Peru manager	25 Nov 2016 20 Dec 2016
Mr. Mads Halfdan Lie	Norad KEMF head of section for climate forest and green economy	23 Jan 2017 25 April 2017
Mr. Free de Koning	World Resource Institute	6 Oct 2016 26 Oct 2016

Name	Institution	Date
Brazil fieldwork		
Mr. Guilherme Arruda Accioly	Amazon Fund Rio de Janeiro – Brazil	29 Nov 2016 15 Dec 20116
Ms. Angela Albernaz Skaf	Amazon Fund - Communication & Institutional Relation Rio de Janeiro – Brazil	29 Nov 2016 7 De 2016 15 Dec 2016
Mr. Daniel Rossi Soeiro	Amazon Fund Rio de Janeiro – Brazil	29 Nov 2016
Ms. Claudia Nessi Zonenschain	Amazon Fund – Project project manager Alto Juruá project Rio de Janeiro – Brazil	29 Nov 2016 7 Dec 2016
Mr. Bernardo Von Haehling Braune	Amazon Fund – M&E expert Rio de Janeiro – Brazil	7 Dec 2016
Ms. Magaly Medeiros	GCF stakeholder and Chief Executive Officer at the IMC Rio Branco -Acre, Brazil.	30 Nov 2016 5 Jan 2017
Ms. Ana Luiza Melgayo Ramalho	Pro-Indian Commission-Acre (CPI in Portuguese). Coordinator of the Programme Territorial and Environmental Management. Rio Branco – Acre, Brazil	30 Nov 2016
Mr. Marcelo Piedrafita Iglesias	Advisor of Indian Affairs Department of Governor's Office Rio Branco – Acre, Brazil	1 Dec 2016
Mr. Mariano Cenamo	GCF National Coordinator GCF and Senior Researcher at IDESAM	1 Dec 2016 8 Dec 2016 4 Jan 2017
Ms. Carolina Schneider Comandulli	Project coordinator Alo Juruá project of the Apiwtxa Association of the Ashaninka People	3 Dec 2016
Mr. Francisco Piyãko	General project coordinator Alo Juruá project of the Apiwtxa Association of the Ashaninka People and Indigenous leader/Ashaninka	4 Dec 2016
Ms. Dora Piyãko/ Ms. Pepita and other Ashaninka women	Apiwtxa villa of the Ashaninka people Habitans	4 Dec 2016
Mr. Kleber Karipuna	COIAB	7 Dec 2016
Ms. Ferrnanda Barbosa	IDESAM - National Coordinator GCF	8 Dec 2016
Mr. Helcio Marcelo de Souza	The Nature Conservation - Indigenous Strategy Coordinator Brazil Programme, Brasilia, Brazil.	9 Dec 2016
Mr. Fernando Bittencourt	The Nature Conservation - Institutional Development Specialist Amazon Programme	9 Dec 2016
Ms. Carolina Santana	FUNAI- Advisor for International Affairs.	9 Dec 2016
Mr. Alberto Coelho	World Bank - Programme Manager Brazil FIP/DGM programme	12 Dec 2016

Name	Institution	Date
Ms. Daniella Ziller Arruda	World Bank – Operations Analyst for Environment and Natural Resources	12 Dec 2016
Mr. Raul Xavier de Oliveira	Ministry of Environment – Deputy Manager Department of Policies to Combat Deforestation (DPCD), Secretariat of Climate Change and Environment Quality (SMCQ) + Member of COFA.	12 Dec 2016
Ms. Gunhild Santos-Nedrelid	Norway Embassy Brazil – Special Envoy Climate and Forest, Brasilia	13 Dec 2016
Mr. Kristian Bengtson	Norway Embassy – Programme Officer Indigenous Peoples	13 Dec 2016
Mr. André Guimarães	IPAM – Executive Director	13 Dec 2016
Ms. Fernanda Bortolotto	IPAM – Researcher Resp. for Indigenous Peoples Issues	13 Dec 2016
Ms. Adriana Ramos	ISA – Coordinator of the Social and Environmental Law and Policy Programme + Representative of Brazilian Forum of NGOs and Social Movements for The Environment and Development – FBOMS	14 Dec 2016
Ms. Colleen Scanlan Lyons	GCF – Project Director (Colorado)	4 Jan 2017
Ms. Priscilla Santos	Norway Embassy – Programme Officer – Climate Change, Environment & Peace, Brasilia, Brazil	
Mr. Tião Viana	GCF – Governor of Acre, Brazil	5 Jan 2017
Peru fieldwork		
Ms. Omaira Bolanos	RRI – Project coordinator, Washington	28 Nov 2016
Mr. Matt Zimmerman	RRI – Finance administrator, Washington	28 Nov 2016
Ms. Josefina Brana	WWF – Senior director, Forest and Climate, Washington	28 Nov 2016
Ms. Vanessa Dick	WWF – Deputy director, forest and climate, Washington	28 Nov 2016
Mr. Naikoa Aguilar-Amuchastegui	WWF – Director Forest Carbon Science, Washington	28 Nov 2016
Mr. Daniel Sumalavia	WWF – Representative office, Lima - Peru	30 Nov 2016 2 Dec 2016
Ms. Claudia Zuleta	Helvetas – Specialist in Forest and Climate Change Peru	30 Nov 2016
Mr. Roberto Kometter	Helvetas – Coordinator Forest Management Practices of the Andean Forests Programme	30 Nov 2016
Ms. Maru Arroyo	WWF office - project coordinator) and: DGM and agenda (WWF)	30 Nov 2016
Ms. Cinthia Mongylardi	WWF – Director Dedicated Grant Mechanism	30 Nov 2016
Mr. Nelson Gutierrez	WWF – Carbon Stock Specialist	30 Nov 2016
Mr. Bernabe Impi Ismino	RRI – (Secretary of AIDESEP)	1 Dec 2016
Ms. Nery Zapata Fasbi	RRI – (member)	1 Dec 2016

Name	Institution	Date
Ms. Esther Diguez	RRI, Speaker (member)	1 Dec 2016
Mr. Esteban Morales	RRI – (Coordinator FIP-Peru)	1 Dec 2016
Mr. Segundo Chinguipiando	RRI – (communications)	1 Dec 2016
Mr. Marco Lescano	RRI – (technical advisor)	1 Dec 2016
Representative from DISPACR	Ministry of Agriculture – responsible for land tenure (PTRT3/IAD) linked to RRI project (and indirectly to WWF)	2 Dec 2016
Mr. Antolin Huascar Flores	National Agrarian Federation (CNA) - meeting with President, and (Legal Adviser): questionnaire (RRI)	5 Dec 2016
Ms. Yovana Garfías Damiano	CNA – Executive Director	5 Dec 2016
Mr. Valetin Torres Palacios	CNA – Legal Advisor	5 Dec 2016
Ms. Ketty Marcelo	Organization of Andean and Amazonian Indigenous Women (ONAMIAP) - President	5 Dec 2016
Ms. Gladis Vila	ONAMIAP ex-president	5 Dec 2016
Ms. Norma Aguilar	ONAMIAT member	5 Dec 2016
Ms. Patricia Luna	Coordinator of the Declaration of Intent with Norway & Germany in the Ministry of Environment (WWF and RRI)	6 Dec 2016 7 Dec 2016
Mr. Antonio Ramirez Miana	Confederation of Amazon Nationalities of Peru (CONAP) Secretary	6 Dec 2016
Ms. Miluska Carhuauika	CONAP – Legal Adviser	6 Dec 2016
Mr. Julio Cusurichi	FENAMAD	6 Dec 2016
Ms. Marleni Canales Rubio	FENAMED (Legal Adviser)	6 Dec 2016
Ms. Marlene Rama Chávez	FENAMED (Secretary),	6 Dec 2016
Ms. Nadia Medalit Pacaya	President Indigenous Forestry Associaton of Madre de Dios	6 Dec 2016
Mr. Jilberto Yojaje Shanowa	WWF - Prosecutor - WWF	6 Dec 2016
Mr. Eusebio Rio Iviche	FENAMED – Vice President	8 Dec 2016 9 Dec 2016
Mr. José Antonio Duma	FENAMED – Treasurer	8 Dec 2016 9 Dec 2016
Mr. Ruben Aviana	WWF-Madre de Dios.	8 Dec 2016
IP community leaders	Boca Pariamanu	8 Dec 2016
Mr. Alfredo Garcia	FENAMAD anthropologist	9 Dec 2016

Name	Institution	Date
Mr. Hector Sueyo	Ministry of Culture	9 Dec 2016
Ms. Karina Salas	WWF/REDD+	9 Dec 2016
Mr. Juan Carlos Lara	WWF – forest protection	9 Dec 2016
Ms. Rosa Hareakabut	WWF – forest protection	9 Dec 2016
Mr. Maguo Huaylinas	Municipality of Tambopata – Head of Technical Cooperation	9 Dec 2016
Mr. Gustavo Salhuana	Municipality of Tambopata – Technical Assistant	9 Dec 2016
Mr. Alsonso Cordova	WWF coordinator for Madre Dios	10 Dec 2016 12 Dec 2016
Mr. Jorge Paucar	Ministry of Environment – National Forests Programme	10 Dec 2016
MR. Jose Antonio Dumas	FENAMAD coordinator with WWF in Madre de Dios	10 Dec 2016 12 Dec 2016
Mr. Fermin Chimatani	President of ECA - the Contract to Administrate the Amarakaeri Communal Reserve (WWF)	10 Dec 2016
Mr. Moises Manqueriapa Ramos and Mr. Jorge Quispe	Community members of the Queros indigenous community at Santa Rosa in the Ameakaeri Community Reserve	11 Dec 2016
Mr. Mareo Jicca Corito,	Local shaman at San Miguel de Shintuya	11 Dec 2016
Mr. Ruben Avila	WWF – Madre de Dios	12 Dec 2016
Mr. Jaime Tapullima	Coordinating Council for the Development and Defence of Indigenous Peoples in San Martin (CODEPISAN)- President	13 Dec 2016
Mr. Janio Sangama Apagueño	CODEPISAN – Legal Adviser	13 Dec 2016
Mr. Walter Sangama Sangama	CODEPISAN – Secretary	13 Dec 2016
Mr. Marco Antonio Sangama Cachay	President of the Ethnic Council of Kichwa Peoples of Amazonia - CEPKA	13 Dec 2016
Mr. Larsson Ipanama	Technical Adviser and GIS expert	13 Dec 2016
Mr. Luis Macron Sangama Cachique	Bi-lingual education and inter-cultural development); and (member).	13 Dec 2016
Mr. Francisco Sangama Tuanoma	CODEPISAN – member	13 Dec 2016
Mr. Millet Rojas,	Regional Government of San Martin	14 Dec 2016
Mr. Gustavo Suárez de Freitas	Former Executive Director of National Programme for Forest Conservation	15 Dec 2016
Mr. James Leslie	UNDP – Peru	15 Dec 2016 16 Dec 2016
Ms. Roxana Ramos	Ministry of Environment (MINAM) – National Forests Programme	15 Dec 2016 16 Dec 2016

Name	Institution	Date
Mr. Aitor Las/ Hector Cisneros Velarde	FAO – Peru	15 Dec 2016 16 Dec 2016
Ms. Roxana Ramos	Former employee in the Ministry of Environment	25 Jan 2017
Mr. Marco Chiu	UNDP Peru (responsible for the development of the UNREDD Programme in Peru)	25 Jan 2017
Mr Gerardo Segura	World Bank (responsible for FIP in Peru)	25 Jan 2017
Indonesia fieldwork		
Mr. Yunus Yumte	Samdhana Institute – Papua Programme Manager	27/11/2016
Mr. Geir Erichsrud	Rainforest Foundation Norway – Jakarta Indonesia	27/11/2016
Mr. Ramadhani Torheim	Rainforest Foundation Norway – Jakarta Indonesia	27/11/2016
Mr. Zeth Eddy Ohoiwutun	Port Numbai (Jayapura) Customary Consultative Council - Papuan Indigenous Peoples Leader	28/11/2016
Mr. Jurist Tan	Office of the President – Senior Advisor to the President	28/11/2016
Mr. Nus Ukru	Baileo Network Maluku / AMAN Maluku / World Bank DGM Steering Committee	29/11/2016
Mr. Simon Lolonlun	AMAN Maluku (Tanimbar)	29/11/2016
Mr. Leny Patty	AMAN Maluku (Ambon)	29/11/2016
Mr. Simon Kamsy	AMAN Maluku (Aru Archipelago)	29/11/2016
Mr. ndreas Lagimpu	National Forestry Council (DKN) Central Sulawesi Indigenous Peoples Rep.	29/11/2016
Ms. Rukmini P. Toheke	Perempuan AMAN (Indigenous Women's Association) Head of the Ngata Toro Women's Organization Member of the UN-REDD FPIC Working Group	29/11/2016
Mr. Abdon Nababan	AMAN – Secretary General	29/11/2016
Ms. Rukka Sombolinggi	AMAN	29/11/2016
Mr. Abdul Situmorang	UNDP	29/11/2016
Mr. Hadi Irawan	National Forestry Council (DKN) Kalimantan Indigenous Peoples Representative Dayak Meratus Community Leader AMAN South Kalimantan	29/11/2016
Ms. Cristi Nozawa	Samdhana Institute – Executive Director	29/11/2016
Ms. Nonette Roto	Samdhana Institute – IP Empowerment Programme Director	29/11/2016
Ms. Marisa Savitri Kamili	Samdhana Institute – Grants Manager	29/11/2016
Ms. Andhika Vega Praputra	Samdhana Institute – Monitoring & Evaluation Coordinator	29/11/2016

Name	Institution	Date
Mr. Leonard Imbiri	National Forestry Council (DKN) Papua Indigenous Peoples Representative	30/11/2016
Mr. Lyndon Pangkali	Papuan CSO Leader – Community-Based Forestry Expert	30/11/2016
Ms. Ita Natalia	Samdhana Institute – Senior Advisor on IP Rights and Empowerment	30/11/2016
Ms. Mina Setra	AMAN – Deputy I	30/11/2016
Mr. Christophe Bahuet	UNDP – Country Director	01/12/2016
Mr. Budhi Sayoko	UNDP – Assistant Country Director, Head of Environment Unit	01/12/2016
Mr. Abdul Wahib Situmorang	UNDP – Technical Advisor for Forest Governance	01/12/2016
Mr. Tomoyuki Uno	UNDP – Asia Manger - Green Commodities Programmeme (GCP)	01/12/2016
Mr. Roy Rahendra	UNDP – National Project Manager - Environment Unit	01/12/2016
Mr. Anton Probiyanto	UNDP – Staff	01/12/2016
Mr. Pramudita Lestari	UNDP – Staff	01/12/2016
Mr. Mark Smulders	FAO Representative – Indonesia & Timor L'este	01/12/2016
Mr. Bambang Arifatmi	FAO – National Forestry Consultant (UN-REDD)	01/12/2016
Mr. Erwinsyah	FAO – Forest Management Specialist	01/12/2016
Mr. Benja Mambai	WWF Indonesia – Country Director	01/12/2016
Ms. Martua Sirait	Samdhana Institute – Policy Development Director	01/12/2016
Ms. Lisetta Marrie Trebbi	Embassy of Norway – Counsellor, Climate Change and Forest	02/12/2016
Ms. Nita Irawati Murjani	Embassy of Norway – Advisor for Forestry and Climate Change	02/12/2016
Mr. Suhandri	WWF – Sumatera Programme Coordinator	02/12/2016
Mr. Tom Walsh	Birdlife Indonesia & Advisor to Samdhana Institute	02/12/2016
Mr. Mathias Awoitauw	Head of Jayapura Regency, Papua	03/12/2016
Mr. Enda Ginting	Office of the President – Financial Advisor	05/12/2016
Mr. Abetnego Taringan	Office of the President	05/12/2016
Mr. Bob Purba	Forest Watch Indonesia (FWI) – Executive Director – Bogor Indonesia	05/12/2016
Mr. Sulton Busetya	Forest Watch Indonesia (FWI) – GIS Staff	05/12/2016
Mr. Mufti Ode	Forest Watch Indonesia (FWI) – Campaigns Manager	05/12/2016
Mr. Kasmita Widodo	Customary Domain Registry Agency (BRWA) – Executive Director	05/12/2016
Mr. Denny Rahadian	Indonesian Participatory Mapping Network (JKPP) – Executive Director	05/12/2016

Name	Institution	Date
Mr. Ichsan Malik	Former BP-REDD Conflict Resolution Specialist	05/12/2016
Mr. Nazir Foead	Indonesian Peatlands Restoration Agency – (Badan Restorasi Gambut – BRG) - Head	6/12/2016
Mr. Muzayin Zahrina	UNDP – Programme Support	06/12/2016
Mr. Yance Arizona	Epistema Institute – Director	06/12/2016
Mr. Nur Samsu	WWF Indonesia – Eyes on the Forest Coordinator	06/12/2016
Mr. Fajar Argo Djati	World Bank Indonesia	06/12/2016
Ms. Lily Hoo	World Bank Indonesia	06/12/2016
Mr. Matheus Pilin	Pancur Kasih Association – Executive Director	07/12/2016
Mr. Richardus Giring	Pancur Kasih Association – Secretary	07/12/2016
Ms. Haidi	Pancur Kasih Association – Staff	07/12/2016
Mr. Tatang	Pancur Kasih Association – Staff	07/12/2016
Ms. Susana	Pancur Kasih Association – Finance	07/12/2016
Ms. Andhika	Samdhana Institute	07/12/2016
Mr. Masiun	AMAN West Kalimantan	08/12/2016
Mr. Agustinus	Lembaga Belah Banua Talino (LBBT)	08/12/2016
Mr. Yohanis Janting	Lanting Borneo – Executive Director	08/12/2016
Mr. Fransiskus Lilek	Lanting Borneo	09/12/2016
Ms. Lusiana	Lanting Borneo	09/12/2016
Mr. Darius Doni	Lanting Borneo	09/12/2016
Mr. Dominikus Uyub	Lanting Borneo	09/12/2016
Various	Community Members in Sungai Utik Village	09/12/2016
Mr. Serge Marti	LifeMosaic – Founder / Director	10/12/2016
Mr. Eny Setyaningsih	LifeMosaic – Indonesia Programme Coordinator	10/12/2016
Mr. Acel Ulimpa	Malamoi Customary Consultative Organization (West Papuan Youth IP Leader)	10/12/2016
Mr. Viktor Urini	Malamoi Customary Consultative Organization (West Papuan Youth IP Leader)	10/12/2016
Mr. Abe Ngingi	AMAN North Maluku Tobelo Dalam Youth IP Leader North Halmahera (North Maluku)	10/12/2016
Mr. Arwan Oscar	AMAN Indragiri Hulu (Riau) – Talang Mamak Indigenous Youth Leader	10/12/2016

Name	Institution	Date
Mr. Pipi Supeni	AMAN East Kalimantan – Dayak Women / Youth Leader	10/12/2016
Mr. F. Kamyau	Sungai Utik Indigenous Youth Leader	10/12/2016
Mr. Eusto Bis	AMAN West Kalimantan	10/12/2016
Ms. Nadine Helena Sulu	AMAN North Sulawesi	10/12/2016
Ms. Kristina	SAINS	10/12/2016
Ms. Andhika	Samdana Institute	10/12/2016
Mr. Neville Kemp	USAID-LESTARI – Deputy Chief of Party	12/12/2016
Mr. Butet Manurung	Sokola – Executive Director	12/12/2016
Mr. Dodi Rokerdian	Sokola – National Programme Staff	12/12/2016
Ms. Martua Sirait	Samdhana Institute – Policy Development Director	13/12/2016
Ms. Myrna Safitri	Indonesian Peatlands Restoration Agency - Badan Restorasi Gambut (BRG) - Deputy III - Community Engagement	13/12/2016
Ms. Lucy Mitchell	World Bank Jakarta – Indigenous People & sustainable development specialist	13/12/2016
Mr. Reed Merrill	USAID-LESTARI – Chief of Party	14/12/2016
Mr. Timothy Jessup	GGGI – Senior Green Growth Advisor	14/12/2016
Ms. Wahyu Pamuji	Kemitraan Foundation	14/12/2016
Mr. Sigit Widodo	MCA-I Green Prosperity Project - Associate Director, Participatory Land-use Planning	15/12/2016
Ms. Deniz Sercane	German Embassy / GIZ ForClime	15/12/2016
Mr. Fauziah Rasad	National Human Rights Commission	15/12/2016
Ms. Jois	Scale-Up Riau	16/12/2016
Mr. Harry Oktavian	Scale-Up Riau	16/12/2016
Ms. Widya Astuti	Yayasan Hutan Riau – Executive Director	16/12/2016
Mr. Melki Rumania	Yayasan Hutan Riau – GIS Officer	16/12/2016
Mr. Nuskan Syarif	Kampar Kiri Indigenous community member	16/12/2016
Mr. Yuliantony (Toni)	Tesso Nilo Foundation – Executive Director	16/12/2016
Mr. Tengku Effendi	Head of the Tesso Nilo Community Forum	17/12/2016
Hamencol	Lubuk Kembang Bunga (LBK) Village Community Leader & Community Patrol Leader – Tesso Nilo NP	17/12/2016

Name	Institution	Date
Sumardi	LBK Village Community Member & Community Patrol Member – Tesso Nilo NP	17/12/2016
Mr. Edi Putra Irawan	WWF – Tesso Nilo Field Station Manager	17/12/2016
Mr. Irwan Ruswanto	WWF – Elephant Flying Patrol Leader	17/12/2016
Mr. Tansi Sitorus	Head of Air Hitam Village	18/12/2016
Various	Meetings / discussions with various forest settlers in Bukit Horas hamlet, inside Tesso Nilo National Park	18/12/2016
Mr. Mochtar Mahfudz	Head of the Centre for Natural Resource Management – Riau	19/12/2016
Supartono	Centre for Natural Resource Management - Riau	19/12/2016
Mr. Akwan Binawan	Hakiki Foundation – Executive Director	19/12/2016
Mr. Juwindra	Head of AMAN Riau	19/12/2016
Mr. Samsul Komar	WWF Riau – Forest Crime Unit	20/12/2016
Mr. Riko Kurniawan	WALHI Riau	20/12/2016
Mr. Woro Supartinah	Jikalahari	20/12/2016
Mr. Taufiq Haryadi	Tesso Nilo National Park Authority	21/12/2016
Mr. Yuliantoni (Toni)	Tesso Nilo Foundation – Executive Director	21/12/2016
Mr. Steven Krecik	Rainforest Alliance	23/12/2016
Mr. Gede Nyoman Bayu Wirayudha	Forum Friends of National Parks	23/12/2016

Appendix C: Methodology

C.1. KEY RESEARCH QUESTIONS TO ADDRESS

The management of the CSO-programme

This included roles and responsibilities between NICFI and Norad's Civil Society Department regarding the Civil Society Grant Scheme, as well as the importance of empowerment as a topic in the application rounds. Key questions are:

- > To what extent does NICFI 'manage' the CSO-programme? Does NICFI draw up the Terms of Reference, set out the criteria for the Application Form and Assessment Form (grid), assess/comment/ recommend proposals, or is this the responsibility of the Civil Society Department (CSD)?
- Did the NICFI/CSD guidelines (Call for Concept Notes) or Application Form for CSOs for CSD Round II and Round III include empowerment of IPs/FDCs as a specific objective, requirement or criteria for the projects?

Relevance

> To what extent are the lessons learned from past experiences used by Norad in its funding allocation decisions?

- How does the case study project aim at empowering IPs and FDCs to help achieve NICFI objectives through their targeted support to CSOs (reduction of GHG emissions /deforestation and forest degradation, that should also promote sustainable development and reduction of poverty)? What where/are the strategies and/or interventions to reach this?
- > What is the theory of change (TOC) regarding empowerment as articulated by NICFI and/ or the CSD? Do they see empowerment as an end in itself or as a means to an end? What are the theories of change of the projects within the sample to be covered by the evaluation? How do they relate to the NICFI and/or the CSD theories of change?
- How measurable are the current indicators used by the programme (NICFI CSO-Programme) for monitoring empowerment or tracking change? What is the practical approach for measuring empowerment? How do CSOs measure empowerment of IPs/ FDCs? What are the key elements they use?

- How are activities and forms of coordination relevant to: stakeholders; to the country context; and to NICFI?
- How have IPs/FDCs issues been incorporated into NICFI-supported CSO interventions and to what extent can this be observed in the different stages of CSO programme/ project cycle?

Efficiency

- > What are the actual financial and institutional resources committed to implement the projects in, relation to planned commitments? How much of the grant reaches the local level? Were the resources that reached the local level meant for working with IPs/FDCs? Were the resources that reached the local level converted into outputs that enabled IPs/FDCs to secure their rights to own, control, and benefit from forest resources and/or improve their livelihoods in another way?
- > What have been the resources devoted specifically to indigenous people issues and/ or empowerment? How far have the resources been converted into planned outputs to date?

How could the project improve its value for money before closure, if needed?

How does co-ordination between different funding channels actually manifest in terms of effort (time, capacity, monitoring and use of resources) for empowering IPs/FDCs to bring about positive change regarding forest conservations and improvements in welfare?

Effectiveness

- Has the empowerment of IPs and FDCs contributed to meeting NICFI objectives of reducing deforestation and mitigating CO2 emissions?
- > Are CSOs proving to be an effective means through which NICFI can empower IPs and FDCs to help meet REDD+/NICFI objectives?
- Has the empowerment of IPs and FDCs represented an effective means to delivering changes that result in the extension of their rights and the meeting of needs of IPs and FDCs? How do stakeholders feel NICFI/the project has empowered/is empowering IPs/ FDCs? What does empowerment look like in practice, how is empowerment (change) being manifested? What factors are at stake?

- > What are the main factors that determine whether empowerment becomes effective or not and for whom?
- > What are the factors that limit empowerment?
- > What policies, strategies, processes, modalities and tools are used by different key informants (all type of stakeholders) to support the empowerment of IPs/FDCs?
- > [For more mature projects:] To what extent has the NICFI funding through CSO led to improvements in forest conservation and the livelihoods of IPs/FDCs?
- > [For more mature projects:] What have been the unintended outputs and outcomes in terms of preservation of forest and improvements in welfare of the IPs/FDCs?
- Sustainability
- Are outcomes likely to be sustainable and if yes how sustainable are they?
- > What needs to be done to increase the long-term sustainability of main actions and benefits derived from the previous project(s) and the project being funded under CSD

Round III or through the indirect funding of bi-/multilateral partners?

C.2. LITERATURE REVIEW PROTOCOL

Search strategy

The search strategy covered the resources to be searched and the search terms to be employed. The aim of the search strategy was to:

Select the project sample to be covered in this evaluation, and

Identify as many relevant sources of information as possible in order to ensure that the research questions can be fully addressed.

Attention was paid to a compromise between the sensitivity of the search strategy (in order to identify as much material as possible), and the need to focus the search in order to exclude irrelevant material and to constrain the amount of information retrieved.

Resources to be searched

With the key research questions in mind, the search strategy covered a variety of sources including websites, published documents (reports, presentations), unpublished material provided by key stakeholders or held in the archives maintained by Norad and/or the Norwegian Ministry of Environment and Climate. Key sources of information to be searched included:

Search strategy A (to select the project sample):

- > Norad statistical database
- Norad webpage on Climate and Forest Funding for Civil Society
- > Websites of different multilateral and bilateral funding of NICFI funds in the three focus countries, such as Forest Carbon Partnership Facility (FCPF), Amazon Fund (AF), Forest Investment Programme (FIP), United Nations Development Programme (UNDP), UN-REDD or other national REDD+ coordinators

Search strategy B (to inform the evaluation):

- > FCPF, BioCF-ISL and UN-REDD websites to obtain information for the relevant country projects and relevant documentation (e.g. co-operation agreements / memoranda of understanding, notes on joint meetings, including reporting of these partners to the NICFI secretariat).
- World Bank country pages and published information relating to carbon finance at the country level (e.g. letters of intent)

- NICFI and Norad webpages and documentation (e.g. CSD reports from previous funding rounds and evaluations)
- > Literature on empowerment
- Websites of the grant recipients and implementing (partner) organizations and/or the REDD+ Secretariat in the three countries covered by this evaluation
- Audits, reviews and evaluations of the CSO projects under review
- > The REDD Desk
- Documentation from previous and ongoing evaluations
- > Policy briefs
- > Unpublished ('grey') literature

It was anticipated that additional sources would be identified through these primary resources.

Search terms

The evaluation relied extensively on the archives of Norad and the use of the internet to both identify and obtain relevant documentation. A selection of search engines (e.g. Google) and

databases was examined to identify relevant literature using a range of keywords. Some examples of search terms used either singularly or in combination, include:

- > World Bank / FCPF / Readiness / Carbon Fund / BioCarbon ISFL
- UN-REDD Programme and REDD+ Secretariat in the three targeted countries
- > Brazil / Indonesia / Peru
- > Funding flows
- > Projects / portfolio
- Empowerment and indicators for measuring empowerment
- > Coordination / climate funds / Climate and Forest Funding Scheme for Civil Society / World Bank / FIP / FCPF / Readiness / Carbon Fund / BioCarbon ISFL / UNDP / Amazon Fund

Study selection criteria

Study selection criteria were developed to assist a coherent and manageable review. The aim of study selection criteria was to:

- A. develop a short-list of projects and later on to select the final sample of projects to be covered by the evaluation; and
- > B. identify those documents that help to answer the research questions. These study selection criteria will complement the search terms listed above in limiting the number of documents initially identified.

The study selection procedure consisted of several stages. Initially, the criteria were applied to the document titles and abstracts (or summaries) generated from searching, in order to make a decision about whether the document was likely to be relevant.

Search strategy A (to select the project sample):

The selection criteria to establish a short-list of projects has taken account of the nature, importance and risk profiles of the activities in the project portfolio. The sample provided a representation of all thematic areas of Round II and III of funding to CSOs. A preliminary short-list includes following:

- Sustainable landscapes: topic 1 round II (2013-2015)
- REDD+ relevant commodity chain: topic 2round II (2013-2015)

- Analysis, concept and methodology development for planning and implementation: topic
 3 round II (2013-2015)
- Creating Global consensus on REDD+: topic
 4 round II: 2013-2015
- Securing Indigenous and other Forestdependent Populations' rights and interests: topic 1 – round III (2016-2020)
- Deforestation-free commodity supply chain and green growth: topic 2 – round III (2016-2020)
- Improved transparency, governance and legality: topic 3 – round III (2016-2020)
- Improving international consensus on REDD+: topic 4 – round III (2016-2020)

Additional criteria for identification of the sample include:

- Activities designed to achieve empowerment, such as capacity development, advocacy measures and conflict-resolution mechanisms
- > Years of funding support
- > Variety in implementing partners

Modality of funding, considering project partners that work with sub-granting.

In order to facilitate the final selection of the project sample, project proposals were reviewed and preliminary interviews were carried out, mainly by email and when necessary supported with an additional call, with the main grant recipients.

Search strategy B (to inform the evaluation):

- Concept and understanding of empowerment – The search primary focused on available literature on 'empowerment' in general and also gender-related empowerment.
- > Indicators for measuring empowerment
- The literature search focused on available literature on monitoring and indicators specifically related to the study topic. Also de indicators in use by the Climate and Forest Funding Scheme for Civil Society (CFFSCS) as reporting requirements for the grant recipients of NICFI funding.
- Policies, strategies and related instruments or tools used by CFFSCS in each funding round. The search focused on existing policies and instruments in place and used over the years over the three funding rounds.

Inventory of retrieved studies

Each of the studies identified through the search were recorded in an Excel-based database. This database has been structured to allow it to store the studies concerning the selected projects and other supporting documents. The database included meta-data about the study (e.g. authors, dates, publication type, language, geographical area of study, study subject) and any other information considered relevant. For documentation retrieved from online sources, the database also contained hyperlinks to the original source. The database was also annotated with information regarding whether or not each of the documents contained within it is considered relevant to the evaluation.

The format for recording this information (i.e. the database) has been issued to the team at the same time as the research protocol.

Synthesis of information

Information obtained from search strategy B has been used to supplement the results from the field work that were presented in country study reports. Where there were lessons to be learnt or best practices to be shared, case studies were developed. The Field Work protocol contains further information regarding the synthesis of information collected during this phase of the evaluation.

C.3. INTERVIEW PROTOCOL

Introduction

[Most of the information below is contained in the information pack to be sent to stakeholders in advance of the interview. The interviewee should offer to provide an introduction and can gauge from the response how best to tailor the information below to suit the audience]

AECOM Europe, in association with Madano, has been commissioned by the Norwegian Development Agency (Norad) to undertake the second phase of real-time evaluation of Norway's International Climate and Forests Initiative (NICFI). The purpose of the real-time evaluation is to enhance accountability by sharing knowledge about the design, implementation and effects of NICFI with the public and the recipients, as well as to facilitate learning so that future investments can become more effective in reducing carbon emissions and delivering on the overall objectives of NICFI.

The first phase covered the period 2010-2014 and was conducted through a framework agreement with LTS International. Several evaluation reports were published under this contract and are available on Norad's website. The second phase of the real-time evaluation covers the period 2015-2017.

To date, we have conducted a review of research relevant for REDD+ and a study of the programme theory/theories behind NICFI/ REDD+. At this moment we are carrying out two evaluations. Call-off 2 concerns an evaluation on the relevance, effectiveness and efficiency of the coordination within and across the main NICFI multilateral and bilateral partners to achieve results at national and local scales. With the current evaluation, Call-off 3. we are engaged to evaluate the effectiveness of NICFI funding, through support to civil society organizations (CSOs), directly through the Climate and Forest Funding Scheme for Civil Society as well as other more indirect funding through either NICFI multilateral and bilateral partners, in terms of observable improvements in empowerment of Indigenous Peoples (IPs) and forest dependent communities (FDCs) and how far this leads to improvements in forest conservation and their livelihoods.

The evaluation has two main objectives:

- > To determine to what extent NICFI allocations to CSOs have led to the empowerment of IPs and other FDCs, and
- To assess the resulting outcomes in terms of forest conservation and improvements in welfare of the IPs and other FDCs who live off, in, and around the forests.

The evaluation will cover six (6) projects in three of the major forest countries with which NICFI has established partnerships: Brazil, Indonesia and Peru.

Ultimately, the outcomes of the evaluation are expected to provide valuable conclusions, recommendations, lessons learnt and best practices to the management of NICFI and, where appropriate, it's implementing partners in order to enhance the aggregate outcomes of NICFI at both the portfolio and country level.

Confidentiality

- Let respondents know how you intend to record the interview (notes / audio) and check that they are comfortable with this arrangement.
- Ask respondents if they're happy for information to be attributed to them in their capacity/ role or whether they would prefer to remain anonymous.
- Ask respondents to inform you of any comments / information that they wish to keep off record.
- Offer to send sections of the draft report that relate specifically to them for review and provide input to support the case study write ups.

C.4 INTERVIEW QUESTIONS

Background information on the project

- > Please state the country in which the project is being evaluated
- > Please provide the name(s) of the local implementing partner(s) for and contact (e-mail and telephone number if available)
- Please confirm the main funding channel through which you receive funding from NICFI to support CSOs
- > Please indicate the exact start and end dates of the projects in Brazil/Indonesia/Peru

Relevance

- Did you participate in planning and interaction with different actors during the formulation of the project?
- How does the project aim at empowering indigenous peoples (IPs)/forest dependent communities (FDCs) to help achieve NICFI objectives through their targeted support to CSOs (i.e. reduction of greenhouse gas emissions /deforestation and forest degradation, that should also promote sustainable development and reduction of poverty). What were/are your strategies and/or interventions to achieve this?

- Have lessons been learned from the previous project/other projects funded by NICFI and used to support achievement of current project objectives?
- > What is the theory of change regarding empowerment as articulated by NICFI and/or the CSD? Do they see empowerment as an end in itself or as a means to an end? What are the theories of change of the projects within the sample to be covered by the evaluation? How do they relate to the NICFI and/or the CSD theories of change?
- > What (de jure and de facto) strategies, policies, processes, modalities and tools are used by different key informants (all type of stakeholders) for empowerment of forest dependent local communities? How has empowerment been seen or used in this context? Is empowerment considered an end in itself or a means to an end? How does this relate to current political frameworks at (inter) national level, especially in regard to the adaptation and/or rectification of the ILO Convention No. 169?
- How measurable are the current indicators used by the programme (NICFI CSO-Programme) for monitoring empowerment or tracking change? What is the practical

- approach for measuring empowerment? How do CSOs measure empowerment of IPs/ FDCs? What are the key elements they use?
- How can the extent (the level or degree) to which empowerment has been achieved be determined?
- How are activities and forms of coordination relevant to: stakeholders; to the country and the context; and to NICFI?
- How have IPs/FDCs issues bene incorporated into NICFI-supported CSO interventions and to what extent can this be observed in the different stages of CSO programme/project cycle?
- > Any other comments on relevance and design?

Efficiency

- > Please provide total fund allocated by NICFI for your project (in Brazil/Indonesia/Peru) and how much has been spent to date? How much of the total budget has reached or will reach the local level (IPs and FDCs)? For which activities? Can you mention any outputs the project has achieved from this?
- > What are the actual financial and institutional resources committed to implement the

- projects in relation to planned commitments? How much of the grant reaches the local level?
- > Were the resources that reached the local level meant for working with IPs/FDCs? Were the resources that reached the local level converted into outputs that enabled IPs/FDCs to secure their rights to own, control, and benefit from forest resources and/or improve their livelihoods in another way?
- > What have been the resources devoted specifically to indigenous people issues and/ or empowerment?
- How far have the project's resources (financial, human) been converted into planned outputs to date?
- > Would you say the project represents value for money? How could the project improve its value for money before closure (if needed)?
- > Would you say that co-ordination between different funding channels supports efforts (time, capacity, monitoring and use of resources) for empowering IPs and other FDCs to bring about positive change regarding forest conservation and improvements in welfare?

Effectiveness

- > What policies, strategies, processes, modality, tools, etc. have been/are used so far for empowering IPs and FDCs?
- How do you monitor (measure) the project's progress in terms of empowerment of IPs/FDCs?
- Can you give examples of how the project has lead/is leading to empowerment of IPs and FDCs? What are the factors that have contributed to empowerment and for whom?
- > What have been/are the main limitations to the empowerment of IPs/FDCs?
- > What policies strategies, processes, modalities and tools are used by different key informants (all type of stakeholders) for empowerment of IPs/FDCs? How has 'de jure' and/or 'de facto' empowerment been manifest in relation to forest conservation, reducing emissions and improving livelihoods of IPs/FDCs?
- To what extent has the NICFI funding through CSOs led to improvements in forest conservation and the livelihoods of IPs/FDCs?
- Have there been any unintended outputs and outcomes in terms of preservation of forest and improvements in welfare of the IPs and FDC?

> How effective has the co-ordination been? What were the outcomes of coordination? What are key factors that are important in the achievement of appropriate and successful coordination? Do these factors vary across cases and levels and how? (i.e. are there differences in the strength of coordination at corporate and country levels)?

Sustainability

- > To what extent are the benefits derived from previous NICFI funded project(s) (funded under CSD/NICFI Rounds I and/or II, or funded through NICFI bilateral and multilateral partners), sustainable and/or continue in the present project (funded under Round III or through bi-/multilateral partners)?
- Are the benefits (outcomes) likely to continue after the project has finished (will finish). Please specify with examples. Regarding environmental and financial sustainability: To what extent did the benefits of the project continue after donor funding ceased? What are the major factors which have influenced the sustainability of project activities? To what extent have IPs/FDCs been able to continue financing key activities after NICFI funding ceased?
- Are 'new' rights or arenas for participation institutionalized?

- > Will livelihoods interventions require further external input?
- > What needs to be done to increase the longterm sustainability of main actions and benefits derived from the previous project(s) and the project being funded under Round III?

Lessons learned

- Is the issue of empowerment of IPs/FDCs still relevant to the NICFI Programme and how does policy on this issue relate to the practice (on the ground)?
- > What does NICFI need to do to ensure IPs/ FDCs can sustain their participation in forest conservation and improve their livelihoods?

What are the lessons learned regarding empowerment of IPs and FDCs that are relevant for future programing of NICFI assistance? Which factors are contributing to empowerment and which are limiting empowerment?

Do you think NICFI funding can contribute (more) effectively to the application of the Indigenous and Tribal Peoples Convention (ILO Convention 169) and the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) in future?

Final remarks and questions

- Is there anything else that you would like to comment on in relation to the empowerment of IPs and FDCs through CSO support, particularly any other lessons or recommendations for NICFI?
- Are there any other stakeholders with whom you think it might be useful for us to engage?
- Are there any key expectations you have regarding this evaluation?
- Should we have any further questions or clarifications following this interview, may we follow up by email?
- > Do you have any further questions for me/us?

Questions/Topics for the Focal Group Discussion

- Do the IPs/FDCs⁹² think the support of XX organization to their community has brought about some changes to their life, with respect to forest conservation and livelihoods? In a positive or negative way? Can they give examples?
- > What has resulted in terms of observable changes from activities since the project/

⁹² These questions are put in the third person, but will adapted to the specific audience (men and women, boys and girls) the questions will be addressed.

support of XX organization aimed at empowerment of IPs and FDCs, from both male and female perspective?

- > How does empowerment (change) look like in practice? What factors are at stake? (In particular we are interested to know if they are able to fully and effectively participate in the decision-making processes concerning the ownership/ allocation of resources in relation to, access to information and training, local organizational capacity and accountability that affect their access and rights to forest)? Is this equal for all community members or to specific groups within / outside the community. Are there differences in this respect for indigenous peoples or other forest dependent communities (non-indigenous peoples) What kind of activities has the project implemented at local level in order to work towards empowerment? For which community members? Is this the same for each project activity?
- Do they (differentiated by gender) consider themselves empowered in relation to, e.g. their political position in the decision-making process that affects IPs/FDCs at the local, regional and national levels, capacities to demand one's rights, improvement in livelihoods through increase in income (activities), etc., or other ways described by them. Is

this equal for all community members or to specific groups within / outside the community. Are there differences in this respect for indigenous peoples or other forest dependent communities (non-indigenous peoples)

- > What have been/are the main limitations to empowerment? Does this count for all community members, or certain groups within/ without the community. Which ones? Are there notable differences in this aspect between indigenous and non-indigenous peoples?
- > Are IPs/FDCs involved in the design, planning and monitoring of the project? in case yes, whom participates? Men, women, etc.

C.5. FIELDWORK AND FIELDWORK PROTOCOL

Meetings took place in offices of the key stakeholders of the selected projects, starting at a more national level and eventually with collaborating partners of the projects, if this was the case. These first meetings where followed with partner organizations and/or other stakeholders at the regional level with the respective field visits.

For Brazil this meant first in Rio de Janeiro with the Amazon Fund (AF) managed by the Brazilian National Development Bank (BNDES), and also from the GCF Task Force. Followed by meetings and field visits in the State of Acre. Additionally meetings took place in Brasilia, with relevant governmental representatives, such the Norway Embassy, the Ministry of Environment (MMA), responsible for the formulation of forest policies, awarding rights in the sustainable forest production sector and for signing forest concession contract, and the National Indigenous Peoples Foundation (FUNAI), what has the role to safeguard indigenous rights, interests and culture, and responsible for mapping out and protection of Indigenous Lands, and the promotion of their sustainable development.

In the case of Indonesia, it involved interviews and focus group discussion in with a wide range of stakeholders in Jakarta and Bogor and West Kalimantan Province (Borneo) and Riau Province (Sumatra), as well as telephone and Skype interviews with stakeholders in other parts of Indonesia. Field visits to Samdhana Institute and UNDP field project sites included: a field visit to meet with local CSOs in Pontianak, the capital city of West Kalimantan Province (Borneo) and Putussibau, the administrative capital of Kapuas Hulu Regency, and to attend an indigenous youth leadership training workshop conducted by LifeMosaic with support from The Samdhana Institute in a jungle training centre near Sungai Utik Village and afield visit to meet with relevant government agencies, local NGOs and communities in Pekanbaru, Pangkalan Kerinci and the

Tesso Nilo National Park in Riau Province, Sumatra. Additionally meetings and interviews took place with a variety of government, CSOs, IPs and FDCs level stakeholders in Papua and West Papua, Central and South-East Maluku, Central Kalimantan and Nusa Tenggara Timur (NTT) to develop a well-rounded understanding of progress and challenges across most of Indonesia's major regions.

In the case of Peru, meetings took place in Lima with key implementing partners of both projects. For RRI this commenced with an interview of the coordinator of RRI communications the Peruvian members of its coalition, followed by individual meetings with each of these members; all of whom are based in Lima. For WWF, meetings took place with the project coordinator within WWF-Peru followed by meetings with key stakeholders and government officials from the Ministry of Agriculture (MINAGRI), responsible for pushing forward the land titling agenda of communal lands of IPs and FDCs and the Ministry of Environment (MINAM), responsible for the conservation of forests. Field visits were undertaken in Madre de Dios and San Martin.

Introduction Protocol

This document sets out the protocol – or critical procedures - that was adopted in the course of preparing for, conducting and concluding field

work. The procedures were followed as closely as possible to ensure that:

- the information collected is relevant and of high quality
- > the different evaluators collect information in a consistent manner such that the findings are comparable
- > the fieldwork is minimally intrusive, particularly in cases where members of local communities are involved
- confidentiality and other necessary protections are maintained.

It covers:

- Logistical and procedural guidance, including which and how many members of the evaluation team will conduct the country visits, how many days will be spent in-country, who will be consulted and how, whether real-time translation services will be required and health and safety risk assessments and mitigation measures.
- Research questions to be answered, as determined by the evaluation matrix and further elaborated following the desk-top review.
- Stakeholders to be consulted, including Civil Society Organizations (CSO) that have re-

ceived NICFI funding, their implementation partners, Norwegian embassy representatives for the target countries, NICFI country officers for the target countries, representatives of the Norad Civil Society Department (CSD), World Bank/FIP country offices, and representatives of UN-REDD programmes and/or National REDD+ Coordination Committees and the Amazon Fund. Individual stakeholders will be identified through participant lists in joint mission completion reports, consultation with country focal points, and review of programme and project documents.

- Target number of individuals to be consulted in each country between 10 -15 through interviews with policy and project key informants such as CSOs, NGOs, Indigenous Peoples representatives, World Bank/FIP, Embassy staff, government officials, project managers and coordinators, targeted communities, and if relevant observers. In addition to the interviews, focal group discussion will be hold with members, men and women, of the targeted communities
- An outline for pre-mission and back-to-office country mission report, including detailed agendas and meeting schedules, lists of individuals consulted and project sites visited, preliminary findings based on interviews and document review, and overall observations.

Logistic arrangements

Scheduling site visits and interviews

Meetings were arranged in advance, as far as possible. Initial contact with stakeholders should be made in writing (via email) by the Team Leader. The introductory email should include an information pack containing:

- The NICFI RTE factsheet (available from AECOM)
- The Terms of References containing background to, scope and objectives of the current evaluation
- The formal letter of introduction from Norad (see Appendix A).

Once the initial contact was made by the Team Leader and had been acknowledged by the recipient, the team member responsible followed up (copying the Team Leader) to make more detailed arrangements for the meeting date, time and venue.

To maximize the effectiveness of the meeting, an outline of the items to be discussed was provided in advance of the meeting / interview. This allowed the stakeholder to assess whether or not they were the most appropriate person to speak to and/or whether there was anyone else

that may be able to contribute information and would also allow them to provide more considered responses during the meeting / interview and/or to collate relevant documentation.

A meeting invitation (e.g. through Outlook or Google Calendar) was issued to confirm the meeting, including the time and venue.

Key contacts

A database of key contacts in each country and at programme level was available as a separate Excel file and was saved in the online document management system (Box). This is a live document and was updated as new contact information was received.

In addition, the database was used to record each time contact is attempted or made (and via what means, e.g. email, telephone, face-to-face) and the outcome of that contact (e.g. no response, meeting arranged, meeting held).

Schedule

The itinerary and meeting schedule was clearly documented. This included details of:

- Time and place of meeting
- Meeting participants
- > Meeting objectives

Where possible, courtesy visits were made to the Norwegian Embassy in each of the target countries soon after arrival and, if requested by the Embassy, before departure. Arrangements for the visit on arrival were made in advance following the procedure outlined above. The purpose of the meeting on arrival was to explain the purpose of the visit, provide the schedule, and seek advice on additional contacts / projects to visit (where appropriate) and to offer a follow-up visit before departure to report back on findings.

Conducting fieldwork

Preparation

In advance of meetings with stakeholders, team members ensured that they have a good understanding of the context and background, including familiarity with the evaluation subject. The purpose of the desk-based review was to develop this understanding and identify gaps in knowledge and information that could be addressed through the fieldwork. Team members were expected to have also a thorough understanding of:

> What NICFI is and how it operates, specifically how NICFI funding is channelled and how NICFI funding relates to other Norwegian Development Assistance targeted at environment, climate change and poverty alleviation.

- The institutional set up (i.e. the relationships between NICFI, the Ministry of Climate and Environment, the Ministry of Foreign Affairs and the relevant departments within Norad).
- Have familiarized themselves with the interview protocol (see below) and be clear on the information that needs to be obtained to inform the evaluation.

Collecting and recording information

Introduction to the interview

Information about the objective of the interview and overall study was provided to each participant at the commencement of each session. Confidentiality and anonymity was explained. In cases where the field worker wished to record the interview, permission was sought from the participant(s) before the interview started.

Confidentiality

As some respondents might wish for some or all of the information that they provided to be treated in confidence, before the interview started:

It was confirmed to the respondent(s) that information will be used confidentially and that anonymity will be assured should this be requested. Explanation on what 'confidentially' means was also given, by referring to 'repre-

- sentatives of XX organisation' and not referring to individuals by name in our reporting.
- Make clear that respondents can request certain responses / information to be provided off-record.
- If any documentation is provided, check with the provider whether or not the document is to be treated with confidence and/or whether there are any other measures / conditions that should apply.

Interview protocol

The interview protocol was adapted as appropriate to the context / respondent, in consultation with the Team Leader and AECOM Project Director. The evaluation questions included in the protocol were met as closely as possible to ensure that the information obtained from the interviews was consistent and comparable with regard to the type of information and the detailed level

Recording interviews

During each interview, the interview protocol was followed. The field worker made notes of the responses and chose to record the interview or not.

Where possible, the distinction between factual and anecdotal information provided by the respondent(s) was made clear.

After the interview

At the end of the interview, the interviewee informed the respondent(s) of next steps and the timetable for the project. Offered to notify them once the report has been published on Norad's website.

As soon as possible after the interview:

- > Email the respondent(s) to thank them for their time, to seek any clarifications and to ask them to review and confirm that it is an accurate interpretation of the information shared.
- Offer to send a copy of the specific or relevant material (e.g. case study/report section) to the respondent to review how the information they have provided has been used.

Focal group discussions

> Focal group discussions will be organized with the targeted indigenous peoples (IPs) and/ or forest dependent community (FDCs) of each project. Constitution of the focus groups (for example mixed groups, men and women together), will depend on the context and cultural issues in the different countries covered in the study.

- The list of topics to discuss is based on the interview questions with a specific focus on those for IPs and FDCs. It should be noted that these are overall topics/questions to be addressed, but discussion should commence with more general issues about their community, livelihoods, relationship to forest resources, etc.
- > Observations in the field, or storytelling, where relevant, will also be used to collect information.

Data maintenance and analysis

Detailed transcripts were to be prepared and copied to the Team Leader.

The Team Leader provided a report structure to allow the consultant to write up a structured analysis. This allowed the Team Leader to review and identify gaps and areas requiring further information in a timely fashion.

Analysis of information obtained through stakeholder consultation and field visits

The data collected during the interview with different stakeholders and from focus group discussions was analysed by using different methods depending on the nature of data. The use of mixed methods and triangulation of data contributed to the credibility of the

findings. To guide this analysis the evaluation identified an agreed definition of empowerment with NICFI and Norad staff.

The interviews and focus group discussions have been analysed through a combination of content analysis, thematic coding and narratives. An actor linkage matrix allowed further to assess relationships between stakeholders.

Triangulation

Triangulation of results was carried out to corroborate the results from the methods across the evaluation, such as findings based on official statistics, documents, NICFI archives, a questionnaire supported by semi-structured interviews with key informants, indigenous community members and other relevant stakeholders. Emphasis was also given to integrating cross-cutting issues into the analysis, in particular ensuring women were represented throughout the field phase.

Feedback analysis

Feedback analysis has provided the opportunity for key stakeholders to provide feedback and input on the findings, conclusions and recommendations. For example, feedback results to NICFI to corroborate findings and to verify the data regarding the promotion of empowerment successes and challenges.

We based on OECD-DAC Guidelines Principle 8.1 and 8.2 for quality assurance to ensure incorporation of key stakeholders' comments on aspects of the evaluation and to ensure quality control.

Reporting

Each country lead collated interviews and transcribed these in the field, source background information, and collate secondary data. We analysed the transcripts of interviews, focus group discussions and other field study material and mapping against the framework criteria established in the desk study. Each country study provided a structured analysis of the particular context and outcomes of their field studies.

The TL prepared the report, drawing on the synthesis document as per the Evaluation Department's guidelines. Lessons learned on empowerment of IPs and FDCs were collated in the report.

Appendix D: Projects assessed

This appendix presents more detailed information on each of the projects assessed within this evaluation. The presentation of these projects follows the line as in section 3.

Besides, more information on the Amazon Fund will provided as one of the study case projects is funded through this bilateral agreement.

D1. BRAZIL

D-1.1. Governor's Climate and Forest Task Force – GCF Task Force project

The GCF Task Force's project GCF Task Force Support Network (CSD Round II) was funded through the CSD Round II (2013-2015 / NOK 12 m.). A follow-up project, known as Advancing Jurisdictional Programmes for REDD+ and Low Emissions Development: The GCF Task Force'93, is financed by Norad's Department for Climate, Energy and Environment (KEMF), Section for Climate, Forest and Green Economy (NOK 200.0 m for 2016-2020).

- The GCF Task Force includes states and provinces, spearheading the building of comprehensive, jurisdiction-wide approaches for low emissions development and REDD+, as well as the only jurisdiction in the world (California) that is considering provision that would recognize offsets from REDD+ as part of its GHG compliance system.
- The GCF Task Force⁹⁴ seeks to contribute to climate protection, conservation of bio-diversity, sustainable development, good governance, and improved livelihoods by supporting jurisdictional programmes for REDD+ and low emissions development in key tropical forest states and provinces. With their work and actions they try to respond to the fundamental problems of tropical deforestation and climate change, and the related problems of ecological disruption, biodiversity loss, food/energy/water insecurity, and rural poverty. According to the GCF Task Force the "problematic state"

- of society at large today is the lack of leadership, political will, and institutional capacity (at all levels of governance) needed to deal with these problems.⁹⁵
- > The State of Acre is one of the most advanced GCF Task Force members in terms of applying the jurisdictional approach. Some of the State of Acre historical events have contributed to this leading role. During the 2014 GCF Task Force Annual Meeting the Rio Branco Declaration was signed, with the aim to put the GCF Task Force on the world stage. For this they are inviting the international community and partner organizations to work with them to develop clear and transparent mechanisms for securing and delivering performance-based benefits to forest-dependent communities, smallholders, and indigenous peoples. Additionally, the Declaration is a clear commitment to reduce deforestation in

⁹³ The GCF Task Force follow-up project has been identified as a strategic priority outside the 'frames' of the civil society portfolio and passed therefore to Norad's KEMF where it better fits with the larger, more strategic partners that KEMF manages grants to.

⁹⁴ CFI 2013 Soknad – GCF Governor's Climate and Forests Secretariat – Thematic category 4 Consensus. CFI2013 GCF Secretariat Proposal.

⁹⁵ CFI 2013 Soknad – GCF Governor's Climate and Forests Secretariat – Thematic category 4 Consensus. CFI2013 GCF Secretariat Proposal.

- is estimated that this is equivalent to 4 billion tons of avoided carbon dioxide (CO2) emissions on top of the 3 billion tons of emissions already avoided.97
- > The CSD Round II project mainly focused on the design and delivery of a training programme and the establishment of the GCF Task Force Network. This initiative included two main components: (1) a training programme tailored to the needs of major GCF Task Force regions, and (2) an online network mapping tool, the GCF Task Force Support Network. Over the last three years the initiative has advanced capacity for jurisdictional low emissions development, promoted state-national alignment, provided regional platforms for cross-jurisdictional learning and exchange, and increased the visibility of, and collaboration among, key network actors on the frontlines of low emissions development in GCF Task Force states and provinces.

- 13 states⁹⁶ by 80% between now and 2020. It > Furthermore the GCF Task Force established the Governors' Climate and Forests Fund (GCF Fund or GCFF), an independent non-profit organization supporting subnational leadership, innovation, and partnerships to reduce deforestation and mitigate climate change in GCF Task Force member states. This GCFF. operational since 2013, is a member-driven funding mechanism that aims to promote concrete action on the ground by enabling GCF Task Force member jurisdictions to achieve the objectives outlined in the Rio Branco Declaration. GCF Task Force member jurisdictions can present proposals to GCFF in partnership with accredited institutions through four funding windows: 1) Enhanced landscape governance and capacity; 2) Jurisdictional partnerships for forests, climate, and agriculture; 3) Community and civil society engagement; and 4) Jurisdictional policy innovation.
 - > The follow-up project 2016-2020 focuses mainly on supporting the GCF Task Force Secretariat in its ongoing efforts to advance the work of member states and provinces in Brazil, Peru, and Indonesia as they continue to build robust programmes for REDD+ and low emission development. The project seeks support for a broader set of activities such as high-level political engagement by GCF Task Force Governors and their staff in various

- events and processes; ongoing development of jurisdictional programmes for REDD+ and low emissions development in GCF Task Force members; and regional coordination activities in Brazil, Indonesia, and Peru. Other activities in the project include the development of regional policy and priorities and engaging with national decision-makers; regional workshops to build capacity and strategic partnerships; internal and external communications among GCF Task Force members and between members and key stakeholders; key input and support to the GCF Fund; and maintenance of the GCF Task Force website, database, and support network (to the extent they continue to serve the GCF Task Force, its members, and stakeholders).
- > The GCF Fund's own strategic plan, developed in 2015, dedicates 80% of its budget over the next two years to enhancing capacity and building skills within GCF Task Force member jurisdictions. In order to prevent duplication of efforts and to ensure the continuity of GCF Task Force Secretariat's essential core activities, the Secretariat did not request additional funding for the Training Programme in its Round III proposal, but will instead rely upon the GCF Fund as the primary vehicle to support training and capacity-building in GCF Task Force member jurisdictions. This follow-up

⁹⁶ At the moment of funding, 2008, the GCF Task Force was a collaboration between 9 states across the US, Brazil and Indonesia. In 2014, when the Rio Branco declaration was signed, the GCF Task Force had grown into a network of 22 states and provinces from Brazil, Indonesia, Mexico, Nigeria, Peru, Spain, and the United States. At present, end 2016, the network consists of 35 states and provinces from Brazil, Colombia, Indonesia, Ivory Coast, Mexico, Nigeria, Peru, Spain, and the United States Governors from all new member states compromised to also sign the declaration.

⁹⁷ http://www.ecosystemmarketplace.com/articles/governors-in-rainforestnations-continue-to-step-up-on-deforestation-will-the-rest-of-the-world-follow/

project is still in its early stages and has thus dedicated most of its time and efforts to date on the development of principles and strategies regarding the involvement of IPs and FDCs as well as on planning.

- > NICFI funding (through KEMF) combined with funds from other sources, will allow the GCF Task Force Secretariat to meet its operating costs and support ongoing work with other member states as well as to expand training opportunities through the Support Network and the GCF Fund. In 2016, the Training Programme, which had been operated by the GCF Task Force Secretariat for the last three years, shifted to the GCF Fund with ongoing coordination and support from the GCF Task Force Secretariat. Since it began operations in 2013, the GCF Fund has focused on building capacity in GCF Task Force member states by financing projects that bring together leading technical experts, civil society organizations, and government agencies.
- The GCF Task Force in Brazil works closely with the Earth Innovation Institute (EII– USA), and IDESAM, its national coordinator. It also collaborates with Forest Trends, and IPAM, though their work does not specifically involve the GCF Task Force or directly impact their project. Where these projects overlap and

have synergistic objectives, they are however interested in working together to co-ordinate and/or integrate activities to the extent possible. The GCF Task Force is also financially supported by the Gordon and Betty Moore Foundation and the Climate and Land-use Alliance (CLUA).

D-1.2. Apiwtxa Association project

It is difficult to indicate the amount of NICFI funding to the Alto Juruá project of the Apiwtxa Association because it concerns indirect funding through the Amazon Fund (AF). The grant awarded by the AF to the Apiwtxa Association is BRL 6,597,581.00 / USD 2,289,952.10 (estimated NOK 17 m). To date, the AF has made four disbursements totalling BRL 5,556,087.06 (corresponding to USD 1,714,090 / NOK 14 m), reflecting approximately 84% of the budget since the project commenced. See for further details also the AF website.

The main objective of the this project is to adopt practices that are more aligned with sustainable development and to preserve the common territory. The project involves also the rubber tappers from the Extractive Reserves in the area surrounding the Indigenous Territories of the Rio Amônia in order to achieve its objectives.

The first component of the project involves advice, training and implementation of agroforestry systems, with a focus on improving the economic attractiveness of agroforestry in traditional and indigenous communities. Through capacity building on this, the project aims to build economically sustainable alternatives to deforestation. To date, the project employs experts (consultants) to deliver training sessions, which include content based on the traditional knowledge of the Ashaninka people, and two of the three training modules have already been delivered. Six months after the first module, an evaluation took place and training materials were adapted. The training is now provided within the extractive reserve, providing also more opportunities for women to participate in the trainings and invitations have been extended to ten more surrounding communities. This has resulted in improvement of local organization.

The second component's aims to provide support for territorial and environmental management in indigenous and traditional communities in the Alto Juruá region, based on environmental educational strategies and participatory surveillance. Training focuses on environmental management and supporting the rubber tappers from the extractive reserves with issues such as security on land tenure:

"So they will also know what their rights are! They receive only the traditional education which is politicised, and different from the 'real life' education as the Ashaninka people get." 98

The project also undertakes activities that are aimed to achieve cross-sectional institutional development and community organization, in order to support the sustainable development of the Alto Juruá region. This involves among others community meetings in which IP rights, community history and 'life' education are discussed. Project management training courses are provided for a mixed group of community members such as traditional leaders, young people, men and women, teachers, health agents and IPs from other indigenous territories, including Peru.

Project governance is organized into two groups, a Consultative Committee and an Executive Group. The technical team is comprised of two people together with an Ashaninka leader. ⁹⁹ The Apiwtxa Association monitors the performance of the technical team. Additionally,

office support staff has been employed to assist with the successful delivery of the project. Currently the Ashaninka people of the Apiwtxa Association are being trained, by learning-on-the-job, so that they can replace in the future the external consultants. The project management is under responsibility of the Apiwtxa Association.

The Amazon Fund

In December 2008, the Brazilian President announced Brazil's commitment to sustainable development based on the Sustainable Amazon Plan (PAS) and the Plan for Prevention and Control of Deforestation in the Legal Amazon (PPCDAM) and to reduce Amazon deforestation by 80% in the Amazon Rainforest, and by 40% in the savannah area by 2020. At the same time, Norway and Brazil signed a Letter of Intent, for the climate and forest project in which Norway pledged to contribute up to 1 billion USD to the Amazon Fund (AF) in Brazil until 2015, if Brazil could demonstrate a decrease in the rate of deforestation in the Amazon. To support this goal a decree was passed by the Brazilian government creating the AF and committing government support to the fund. This PAS has been replaced in 2016

by the National REDD+ Strategy (ENREDD+)¹⁰⁰. The Amazon Fund decree¹⁰¹ has been updated last year, making now reference to the ENREDD+ Strategy.

The AF is a performance-based fund aimed at raising donations for non-reimbursable investments in efforts to monitor and combat deforestation, as well as to promote the preservation and sustainable use of forests in the Amazon biome. Whilst the creation of the AF was a Brazilian initiative, the financial support provided by NICFI can be seen to have produced a significant stimulus to policy debates in the country regarding deforestation, emission reductions and alternatives to REDD+.¹⁰² The fund is managed by the Brazilian Development Bank (BNDES), in close coordination with the Ministry of the Environment (MMA). The BNDES also undertakes action to raise funds, facilitate contracts and monitor

⁹⁸ Personal communication with the Executive Coordinator of the project.

⁹⁹ General coordinator is an Ashaninka leader, he also has been Secretary and Advisor of the Indigenous Peoples in the government of Acre and also Advisor to the Presidency of the National Indian Foundation (FUNAI). The executive coordinator and coordinator of articulation are non-indigenous peoples who had already a long-lasting relationship with the Ashaninka.

¹⁰⁰ This Strategy that substituted in 2016 the PAS, an important former plan guiding the implementation of Brazils plan for sustainable development in the Amazon, will guide Brazil's efforts in the prevention and control of deforestation and degradation, the promotion of forest recovery and the promotion of sustainable development. See http://redd.mma.gov.br/en

¹⁰¹ Amazon Fund Decree http://www.planalto.gov.br/ccivil_03/_ato2007-2010/2008/decreto/d6527.htm

¹⁰² Real Time Evaluation NICFI Contributions to national REDD+
Processes 2007-2010 Country Report: Brazil. See https://www.norad.no/en/
toolspublications/publications/2011/real-time-evaluation-of-norways-international-climate-and-forest-initiative-contributions-to-national-redd-process-es-2007-2010-country-report-brazil/

support projects and efforts that are granted support by the AF.

The Fund supports projects around four main operational aims:

- 1. The promotion of sustainable production activities
- 2. Conservation and protection of protected areas
- 3. Scientific and technological development
- 4. Modernisation and institutional development of agencies working in a region

The final Memorandum of Understanding (MoU)¹⁰³ between Norway and Brazil states that Norwegian support for the Fund is to be based on four major pillars of cooperation:

- > A systematic political dialogue to facilitate regular exchanges of views regarding global climate change, related environmental issues and issues of sustainable development
- > Contributions from Norway to the AF
- Cooperation regarding monitoring, reporting, assessment and verification of greenhouse gas emissions resulting from deforestation and forest degradation

> Cooperation to stimulate the development and implementation of Clean Development Mechanism (CDM) project activities

NICFI describes the rationale for support as follows: 104

- > 23 million people live in the Brazilian Amazon, and the lives of these people – most of them poor – are hugely affected by both deforestation and climate change. Contributing to reducing deforestation and thus climate change is one important development objective in itself, especially for those living in and from the forest.
- Norway's contributions to the AF are invested in activities aimed at reducing deforestation. Some of these activities have direct impact on the people living in the Amazon, such as alternative livelihoods, payments for ecosystem services, land tenure rights; indigenous peoples rights etc.
- > Reduced emissions at such a significant scale have, in itself, a development effect.

104 Real Time Evaluation NICFI Contributions to national REDD+

The governance of the Fund is under the charge of the Guidance Committee of the Amazon Fund (COFA), which is responsible for the guidelines and criteria for the fund's operation and monitoring the results obtained. This COFA is composed of representatives from three segments: the federal government (nine representatives), the Legal Amazon states (nine representatives), and civil society (six representatives). Each group carries one vote in the decision-making process of the COFA, guaranteeing an equal balance of power between the three groups. It is also responsible for ensuring that project activities are in tune with the fund's objectives, and that projects follow the guidelines of the PAS and the PPCDAM.

The Technical Committee of the Amazon Fund (CTFA), consisting of experts appointed by the MMA, has the task of certifying the reductions in emissions derived from deforestation of the Amazon Forest. Participation in the CTFA is considered of public interest and is not rewarded with any form of payment. 105 The CTFA, as referred to above, will verify the calculations made by the MMA concerning the effective reductions of carbon emissions from

Processes 2007-2010 Country Report: Brazil, See https://www.norad.no/ en/toolspublications/publications/2011/real-time-evaluation-of-norways-103 www.regjeringen.no/upload/MD/Vedlegg/Klima/klima_skogprosjektet/ international-climate-and-forest-initiative-contributions-to-national-reddprocesses-2007-2010-country-report-brazil/

¹⁰⁵ Real Time Evaluation NICFI Contributions to national REDD+ Processes 2007-2010 Country Report: Brazil, See https://www.norad.no/ en/toolspublications/publications/2011/real-time-evaluation-of-norwaysinternational-climate-and-forest-initiative-contributions-to-national-reddprocesses-2007-2010-country-report-brazil/

MoU_Norway_Brazil.16.09.08.pdf

deforestation, and evaluate the methodologies for calculating the deforested areas and the amount of carbon per hectare used in the respective calculation of emissions.

All the projects supported by the AF are part of Brazil's general plan to reduce deforestation, while also promoting sustainable development in the Amazon region. The projects have a broad scope. They can range from supporting indigenous peoples to continue to take care of the forest, land planning at the municipal and state level, sustainable and more efficient agricultural practices, improved fire protection, enforcement of legislation, knowledge and technological development, etc. Several projects also concern property registration/ surveying with assessment of environmental status. Improvements in this area will be a precondition to establishing who is actually responsible for deforestation at the local level. A total of 80 projects worth 566 million USD had been approved by the end of 2015. Of this amount, 9% (54 million USD committed + 7 million USD under analysis) is for support to Indigenous Peoples. Around 55% of all Indigenous Territories in the Amazon host projects supported by the AF.

The AF has entered into agreements with governmental institutions in Brazil, universities and research institutions and NGOs. In addition, the AF approved its first international project at the end of 2013 under the auspices of the Amazon Cooperation Treaty Organization.

The AF supports the following areas: a)
Management of public forests and protected areas; b) Environmental control, monitoring and inspection; c) Sustainable forest management; d) Economic activities created with sustainable use of the vegetation; e) Ecological and economic zoning, territorial arrangement and agricultural regulation; f) Preservation and sustainable use of biodiversity; and g) Recovery of deforested areas.

Besides this, up to 20% of the Fund's disbursements may support the development of systems for monitoring and controlling deforestation in other Brazilian biomes and in biomes of other tropical countries. The efforts of the AF should abide by the guidelines of the PAS and by the PPCDAM.

The AF's main donor is Norway through the Climate and Forest Initiative providing 97% of the total funding. Germany's contribution is 2.5% and the remaining 0.5% comes from the Brazilian Petrobras. The AF website (www.amazonfund.gov.br) shows detailed information on the donations made to date.

TABLE 6: OVERVIEW OF DONATIONS COMMITTED AND RECEIVED FROM DONORS

	Donations Committed	Donations Received (R\$10)	Donations Received (USD)
Norway's Government – NICFI	NOK 6,469,496,000.00	2,444,920,993.75*	1,002,322,969.65
Federal republic of Germany - KfW11**	EUR 21,000,000.00	60,697,500.00*	28,323,270.40
Petrobras	USD 6,788,152.85	14,221,982.31	6,788,152.85
Total		2,519,840,476.06	1,037,434,329.93

^{*} Sum of instalments received by the Fund. Values converted to US\$ using the average exchange rate published by the Central Bank of Brazil, at the date of each instalment, as provided in grant diplomas.

^{**} German Development Bank

In order to access funds from the AF, Brazil has to demonstrate reduction of emissions of greenhouse gases from deforestation. Based on data of emission reductions calculated by the MMA and attested by the CTFA, the BNDES is authorised to disburse funds from the AF and to issue certificates recognising the contribution of the donors to the Fund. Each certificate identifies the donor and the amount of the contribution to the effort to reduce carbon dioxide emissions. These certificates are nominal, non-transferable and do not generate rights or credit of any nature.

The Donation Agreements of the Government of Norway indicates clearly that the amount of funding is linked to the reduction of gas emissions from deforestation and forest degradation. The first agreement entered into force in 2009 a second Donation Agreement was signed in 2013 by the Norwegian government to consolidate the previous agreements and extend this cooperation until December 2021. This new Donation Agreement provides that the donated funds will be used in the AF projects until the end of 2020.

In the period 2015-2016 there have also been two Calls for Proposals a) Projects of Territorial and Environmental Management in Indigenous Territories, and b)) Sustainable Production Projects Sustainable Production Projects.
All project proposals must fit within COFA's guidelines and the focus must be aligned to one or more of the thematic areas according to the PPCDAM. Coordination of the Indigenous Organizations of the Brazilian Amazon Basin (COIAB), BNDES and National Indian Foundation (FUNAI) assessed the proposals.

Projects can also be supported by selection through calls-to-submission. In addition to the calls-to-submissions run directly by the AF (the BNDES), support for partner institutions will be admissible to promote calls-to-submissions for projects. Partner institutions must prove experience, knowledge and operational capacity to offer quality and scale in calls-to-submission. Partner institutions are understood as third-sector entities and those from federal and state governments.

The AF, at any time, will receive requests presented by partner institutions for financial collaboration which seek support for structuring projects or to run calls-to-submissions for projects.

However the recognition of the Indigenous Territories is a pre-requisite for getting granted a project. In order to increase the management of Indigenous Territories by the IPs there is a need for support from the government and recognition and guarantee of the IP rights to those tasks. Unfortunately the Congress has presented a proposal that wants to revise the recognized Indigenous Territories. The CSO world is opposing to this Bill of Law. Discussions are going on and no decisions have been made on this proposal yet. This situation shows how fragile recognized rights can be.

Furthermore, at the end of 2016 an important decree came in force indicating that part of the funds of the AF may also be used in the Legal Amazon which comprises most of the Cerrado. The reason for this adaptation is the recognition that it was not sufficient to protect the Amazon alone; and that efforts were also needed to protect the immediate surroundings in order to create a kind of buffer zone.

The preliminary deforestation figures in 2016 - the second rise in three years – has caused a big impact in the amount of funding the AF will receive in 2017.

D-2 INDONESIA

D2.1 Samdhana Institute projects

The Samdhana Institute implemented the following projects with funding through the Civil Society Grant Scheme:

- > Supporting preparedness and engagement of IP and FDC-based organizations and local NGO's in REDD policy development and pilot projects in Indonesia (CSD Round I / NOK 13,5 m.);
- Community Engagement in Low Emissions
 Development (CSD Round II / NOK 9 m.); and
- > Community Rights and REDD+ in Indonesia and Myanmar: Moving from recognition to Implementation (CSD Round III / NOK 14 m.).

The Samdhana Institute is an Indonesian NGO which was founded in 2003 and has programmes in Indonesia, the Philippines, Myanmar and Lao PDR. Their work includes projects in all seven of Indonesia's major regions with a focus on selected regencies including Kapuas Hulu in West Kalimantan (Borneo), Riau and Jambi (Sumatera), Lombok and Sumba (Nusa Tenggara), Sigi in Central Sulawesi and Papua and West Papua Provinces. Samdhana is very closely affiliated with AMAN and a network of national and regency¹⁰⁶ level CSOs and IP/FDC

organisations who have been working on indigenous rights and environmental justice advocacy since the early 1990s.

The Samdhana Institute describes itself as a community of fellows who, after learning with farmers and indigenous peoples, are committed to inter-generational and universal values of nurturing people, nature and culture. Their stated purpose is to:

- Enhance and enrich understanding of innovative approaches to sustainable resource management and broaden options for local communities.
- > Support efforts to increase understanding, development and implementation of appropriate methods for conflict management and mediation, with a focus on conflict over access to and management of natural resources.
- Facilitate individual, inter-group and community learning and skills sharing.
- Provide small grants for community members, groups, their partners and support organizations to implement key activities related to these purposes.

Samdhana was formally established in 2003 by a group of community development practitio-

ners who had previously been involved in the USAID initiated BSP-KEMALA (Biodiversity Support Programme), which had provided small-grants and technical support to various local CSOs and communities working on participatory mapping of customary land, community-based natural resource management and other grass-roots empowerment and nature conservation initiatives in Indonesia between 1993 and 2001, including support for the formation of AMAN and the Indonesian Participatory Mapping Network (JKPP).

Their key areas of expertise are:

- Institutional Strengthening Samdhana provides organizational self-assessment services and follow up technical assistance to partner institutions active on rights, rural livelihoods and community-based natural resource management. These services include visioning, strategic institutional and programme planning, financial management and staff development, leadership training, monitoring progress and communication development.
- > Small Grants Programme The Institute provides grants of USD\$ 5000 up to USD\$ 20,000 to local and indigenous peoples organizations and their support groups, for activities directly related to above institutional strengthening, rights and policy reform.

¹⁰⁶ In Indonesia, both **regency** and **city** are at the same administration level, each having their own local government and legislative body. The difference between a regency and a city lies in demography, size and economy. Generally, a regency comprises a rural, larger area than a city. These governments are the most responsive to the voices of local constituents, and have a crucial role to play in the implementation of laws, regulations and other policies promulgated at the national and provincial levels.

Samdhana has a small staff and maintains a network of around 30 loosely affiliated "Fellows" who can be called upon to provide specific expertise as required. It also works in close collaboration with a number of national level CSOs including the AMAN, the JKPP, the Customary Lands Registration Agency (BRWA), the Epistema Institute, the Earth Innovation Foundation (INOBU), Indonesian Friends of the Earth (WALHI), the Association for Transformation for Justice (TUK), and UK-based NGO Life Mosaic. Most of their programmes are delivered through a broad network of provincial and regency level CSOs and grassroots communities across Indonesia, to whom they provide small-grants as well as technical assistance through facilitation, mentoring and training, to build and strengthen the capacity of IP/FDC organizations and their communities. These grants focus upon establishing equitable access and control over natural resources.

Samdhana's programme is organized according to eight overlapping thematic areas: a)
Safeguards in Climate Change; b) Conflict resolution; c) Gender equality; d) Institutional Strengthening; e) Indigenous Peoples and Natural Resources; f) Civil Society Strengthening and Renewal; g) Next Generation Leadership Development; and h) Rural Livelihoods and Green Economy.

D-2.2 UNDP Programme

Alongside the WB, UNDP has been one of the leading international agencies working on REDD+ Readiness in Indonesia since the inception of the UN-REDD Indonesia Programme in October 2009. The UN-REDD Indonesia Programme is mandated to support the development of a fair, equitable, and transparent REDD+ architecture through facilitation and capacity building. It seeks to ensure that the Indonesian REDD+ structure and processes respect the rights of all stakeholders including the rights of IPs, FDCs, women and other marginalized groups to land and forests and to share in the benefits arising from REDD+. To this end UN-REDD-IPs has facilitated the development of National and Provincial level REDD+ Strategies and action plans, developed various technical tools, operational guidelines and safeguards, and supported the implementation of a number of REDD+ pilot activities. Most importantly of all they have promoted public dialogue and policy reform relating to land and forest rights, conflict resolution, forest law enforcement and empowerment of IPs and FDCs.

UNDP was also chosen by Indonesia and Norway as the channel for support to the bilateral partnership on forest and climate between Indonesian and Norway (LoI, 26 May 2010), and thus became the channel to

support the establishment and operations of the Indonesian REDD+ Task Force, followed by the REDD+ Agency (BP-REDD+). When BP-REDD+ was dismantled in late 2014, and the responsibility for national REDD+ development was moved to the Ministry of Environment and Forestry, Norway's support to Indonesia continued to be channelled through the UNDP up until October 2016. During 2016 UNDP has also acted as a funding conduit and technical advisor for Norway's support to the initial phase of the work of the Peatlands Restoration Agency. The work under the bilateral agreement has focused on 12 provinces: Aceh, Riau, Jambi, West Sumatra, South Sumatra and Lampung in Sumatra, West, Central and East Kalimantan, Central Sulawesi and Papua and West Papua Provinces. As part of this agreement, UNDP tendered and channelled a total of USD 2,737,315 to local and international CSOs, including USD 2,337,315 in small grants to support indigenous community empowerment, peatland restoration and fire prevention programmes. It has also managed a USD 400,000 sub-contract with a consortium led by the Samdhana Institute to support efforts towards legal recognition of indigenous territorial rights.

During phases I and II of the programme, UNDP received just over USD 6.5 million in direct funding through NICFI, whereas a total of USD

63.7 million was channelled to the Government of Indonesia as results-based payments under the terms of the REDD+ bilateral partnership spread across three implementation phases. These were originally conceived as the Preparation Phase (2010-2013), Transformation Phase (2014-2017) and Verified Contributions Phase (2017-2020). However, progress towards the establishment of a workable REDD+ system in Indonesia has been much slower than originally envisaged. This has been caused by a series of political set-backs and repeated government restructurings, and vertical and horizontal conflicts between the different ministries and levels of government, as well as limited headway on MRV systems, benefit sharing mechanisms, the legal the recognition and protections of the rights of IPs and FDCs, and other key elements of REDD+ Readiness. Therefore the implementation phases were renamed the Preparation, Interim and Transition Phases, whereas the planned "Verified Contributions Phase," during which REDD+ activities would be rolled out on a nation-wide scale, has been pushed back at least until 2020, amidst further government restructuring and general uncertainty regarding the new President's degree of commitment and approach to implementing REDD+.

Resources which have been specifically devoted to IPs/FDCs issues and empowerment include:

- Small-grants to CSOs for small-scale REDD+ and Livelihoods Activities (Total value - USD 799,365)
- Central Sulawesi FPIC trial Focused on developing government/multi-stakeholder capacity and protocols for engaging with IPs and FDC communities to obtain their free, prior and informed consent in relation to REDD+ projects.
- National Programme for the recognition and protection of IPs through REDD+, an inter-agency programme in collaboration with the National Human Rights Commission (Komnas HAM) and 7 other government agencies aimed at strengthening the rights of IPs/FDCs.
- BERSAMA Project support to Samdhana Institute, Epistema Institute, JKPP and AMAN to conduct participatory mapping and (Sub-Contract value = USD 400,000)
- Support for the National Inquiry into tenurial conflict in the national forest estate (2015-2016) covering IPs, FDCs and women;
- Conflict mapping and resolution process in Tesso Nilo and 4 other national parks

3.3. PERU

D-3.1 Rights and Resources Initiative projects

RRI-Peru is a coalition of 14 formal partners committed to reducing deforestation and advancing tenure and policy reforms around the developing world. At the start of CSD Round II in 2013, RRI was actively collaborating with over 120 CSOs. The coalition's prime purpose is to add value to the efforts of these CSOs by empowering them to act more decisively in areas such as planning and coordination, identifying strategic gaps and opportunities, monitoring and analysing forest tenure and governance reforms, etc. RRI recognizes that Peru has the second largest area of unrecognized community forest land in Latin America (approximately 20 million hectares) after Brazil. With the support of funding from CSD Round I, RRI increased its commitment to empowering CSOs in Peru through the project: Supporting Effective Investments and Interventions in Climate Change Mitigation in Forest Areas While Promoting Rights and Development.

Following Peru's formal agreement to participate in REDD+ in 2011 and the launch of CSD Round II soon after, RRI submitted the project proposal entitled, Building Stronger Global Consensus and Accelerated Action on Forest tenure and Governance Reforms as Early and Essential

Action to establish Effective REDD+. In Peru the project has provided grant contracts with collaborating CSOs designed to empower them to participate actively within the REDD+ process by advocating the territorial rights of IPs and FDCs on the grounds the granting of communal land titles represents an important milestone in securing the country's formal recognition of their legitimate rights to self-determination and the establishment of secure territories in which to sustain their livelihoods. In 2016, in response to CSD Round III. RRI has submitted a new project proposal designed to support the implementation of REDD+ entitled: Promoting forest tenure and governance reforms as pre-requisites to the effective implementation of REDD+ which was approved under CSD Round III with a budget allocation of NOK 30 million. In addition, RRI has been invited by NICFI to submit a full proposal for the development of "The International Land and Forest Tenure Facility" (November 2016).

Overview of the project Building Stronger Global Consensus and Accelerated Action on Forest tenure and Governance Reforms as Early and Essential Action to establish Effective REDD+.

The project was approved by NICFI with a total budget of NOK 19.0 m. under Thematic Area 4:

Creating Global consensus on REDD+ for a period of three years starting in 2013, which has subsequently been extended to December 2016. It covers the following countries: Bolivia, Burkina Faso, Cameroon, Democratic Republic of Congo (DRC), Ghana, Guatemala, India, Indonesia, Laos, Liberia, Mali, Nepal, Nicaragua, Peru, and Thailand. The project builds on the first CSD Round as mentioned. The main objective of the project is to secure forest tenure rights of local communities, households and Indigenous Peoples to help reduce GHG emissions from deforestation and enhanced restoration of degraded lands and livelihoods in key REDD+ countries

In Peru RRI has implemented the project through collaborating agreements (grant contracts) with CSOs representing IPs and FDCs at the national level (AIDESEP, ONAMIAP and CNA) and technical support from its partners in Peru (such as HELVETAS/Switzerland, CIFOR/CGIAR). The collaborating agreements (totalling around USD 38,500 (NOK 320,000) are designed to add value to the on-going capacity building process taking place within AIDESEP, ONAMIAP and CNA in order that they become more effective in advocating their rights to communal land titles that are considered a prerequisite to establishing secure territories.

AIDESEP was formed largely in response to Law No. 22-175 on Native Communities and Agricultural Development in the Amazon region. The main objectives of AIDESEP are:

- Represent the immediate and historical interests of IPs in the Amazon region of Peru;
- > Guarantee the conservation and develop the cultural identity, territory and values of IPs;
- Secure the rights to self-determination within the national and international rights framework;
- > Promote sustainable human development of the IPs.

AIDESEP is based around six decentralised entities covering the northern, central and southern areas of the Amazon region in which it represents 48 second level federations and territorial organizations covering 1,340 communities made up of 64 different ethnic groups of IPs and FDCs. AIDESEP is recognized in Peru to be the main national representation of IPs and FDCs from the Amazon region, because of its strong grassroots base. AIDESEP has been the subject of support and capacity development by a number of projects funded by international donors which have included the integration of a gender focus. In particular,

the Board of Directors includes two female members and maintains a strong commitment to respecting traditional leaders and elders. The Board is strongly committed to training and promoting youths to assume positions within AIDESEP at the national, regional and local levels in the interests of reducing dependency on external consultants and experts.

ONAMIAP was established in June 1995 following a national workshop unifying indigenous women of Peru from the Amazon and Andean regions prior to the Fourth World Conference on Women in Beijing in September 1995. Its main objective is to exercise the individual and collective rights of indigenous women, based on principles of respect and recognition of their ethnic diversity and activities dedicated to strengthening their base organizations, promoting their proposals and requests and participate in the public agenda in order to establish their own political space at the local, regional, national and international levels.

ONAMIAP is managed through a national council of seven representatives from the Andean and Amazon regions. Regional coordinators in 15 Departments are responsible for maintaining contact with indigenous women at the grass roots level represented through local CSOs organized primarily as federations or associa-

tions of indigenous women and youths involving over 190 women.

CNA was established in October 1974 in the aftermath of the Law on Agrarian Reform No. 17716 (1969). Its main objectives are to:

- Promote the establishment of sustainable agriculture and local markets to guarantee national food security and sovereignty, based on farmer associations;
- Strengthen the organization and leadership of peasant and native communities, and their agrarian associations, in order to influence public policies;
- > Elaborate, propose and monitor public policies that promote sustainable agriculture and food sovereignty, legal territorial security, cultural identity, self-determination and the collective rights of peasant and native communities and small producers;
- Strengthen the institutional management of the CNA and its sustainability.

CNA is managed through a national executive council supported by a technical team that coordinates the implementation of an Institutional Strategic Plan (currently for the period 2011-2020). Planning and monitoring of

activities is managed by the National Management Council, which is linked to the regions through a series of alliances with peasant and native CSOs responsible for representing grassroots organizations, in particular farmer associations. The CNA is predominantly run by men. For example, the National Management Council has only two women members out of 16.

The main limitations of all three abovementioned CSOs are that they lack well-trained staff and financial resources to maintain a strong presence in the international and national arenas. The main threats to advancing the rights and interests IPs and FDCs in Peru identified by RRI relate to:

- A complex legal and institutional framework that places low importance on allocating funding and human resources to the demarcation and land titling process;
- > IPs and FDCs are not allowed to own forest lands, which are property of the State. Instead they must take out use contracts with the government;
- The Ministry for Energy and Mines can grant concessions for oil exploration/extraction and mining because the State owns the subsoil;

 Colonisation and illegal logging and mining continues largely unabated due to weak governance structures and institutionalised corruption.

D-3.2 World Wildlife Fund projects

WWF-Peru has been active on nature conservation in Peru since 1969, although the WWF Peru Programme Office was not established until 1998. WWF organizes its work within three geographic programmes: Amazon, Freshwater and Marine that encompass both biodiversity and ecological footprint goals and within which mitigation and adaptation to climate change have been incorporated as cross-cutting objectives. WWF's commitment to Madre de Dios Department (MDD) has increased significantly since the completion of the Inter-Oceanic Highway in 2007, which has led to a major increase in deforestation, in particular from illegal gold mining which has devastated tens of thousands of hectares of forests, especially since the gold rush which started in 2010. With the help of CSD Round I funding, WWF-Peru became actively engaged in advancing the REDD+ process in Peru through the project: Towards REDD+ readiness: Ensuring Norway's engagement benefits the climate, nature and people (NOK 37.5 m.). The project helped WWF become increasingly committed to supporting and promoting the rights and needs of IPs and

FDCs in the REDD+ process, in particular focusing on IPs and FDCs in MDD. Indeed, WWF-Peru increasingly saw REDD+ as an important vehicle through which it could secure its objectives of conservation of the country's rich biodiversity in the Amazon region. Under CSD Round II, WWF secured finance for a second phase entitled: *REDD+ for People and Nature - Phase II*¹⁰⁷. Key actions in Peru have focused on:

- > WWF-Madre de Dios, 2013-2015: Support the Regional Government of Madre de Dios (GORE-MAD) implement a low carbon development strategy based on, among others the establishment of an Environmental Services and REDD+ Regional Roundtable (MSAR), a Regional Environment Authority (ARA), and a Regional Biomass map and validation of a regional MRV system compatible with the National MRV;
- > WWF-Madre de Dios, 2013-2015: Support FENAMAD's participation in the design of RIA in the interests of establishing an alternative intercultural adaptation of REDD+ in line with the rights and cosmovision of IPs and FDCs in which carbon capture is seen as playing only a small part in the wider task of forest conservation and its sustainable use.

107 Financed under the Thematic Area 1 of NICFI II: Sustainable Landscapes.

Overview of the project Building Stronger Global Consensus and Accelerated Action on Forest tenure and Governance Reforms as Early and Essential Action to establish Effective REDD+

The project was approved by NICFI with a total budget of NOK 40.0 m (USD 5.65 m.) under the Thematic Area 1: Sustainable landscapes, for the period July 2013 to December 2015. It builds on phase I of the project implemented between 2010 and 2013 and covers the following countries: Colombia, DRC, Guyana, Indonesia and Peru. The main objective of the project in phase II was to establish REDD+ governance and financing systems that provide incentives for replicating sustainable forest management and low carbon development at scale.

The main outcomes expected from phase II were to:

- Consolidate jurisdictional REDD+ (by 2015 jurisdictional frameworks are developed in at least three priority landscapes and nested within national REDD+/Low Carbon Development (LCD) frameworks that support payments for performance-based incentives);
- Replicate jurisdictional REDD+ (by 2015 replication has started in two additional landscapes nested within national REDD+/Low Carbon Development frameworks);

- Link national REDD+ frameworks to low carbon development frameworks (by 2015 at least two national REDD+/ LCD frameworks meet WWF5 Principles and integrate sub-national REDD+ programs that support performance-based incentives);
- > Up-scale regional consensus on REDD+ (by 2015 at least two REDD+ agreements support regional coordination and learning to improve the implementation of REDD+ and to manage cross border risks);
- > Use REDD+ lessons to influence REDD+ policy and implementation (by 2015, lessons on what works and doesn't work in REDD+ countries on priority REDD+ issues (MRV, drivers, nested approaches, safeguards) have been gathered with scientific partners, shared and applied in REDD+ global policy and in key forested countries).

In Peru the project focused on developing a low carbon economy in the department of Madre de Dios. Key partners in bringing this about were the GOREMAD and the Native Federation of the Madre de Dios River and Tributaries (FENAMAD). FENAMAD was established in 1982 as an umbrella organization for seven IPs covering 34 communities in the MDD and two communities in Cuzco department. FENAMAD's main purpose

is to channel the demands and proposals of the IPs it represents to the Government of Peru and CSOs such as AIDESEP in the interests of defending their rights and improving their livelihoods. FENAMAD works closely with AIDESEP at the national level.

The Steering Committee (SC) of FENAMAD has six members, two of which are women. The current president of the SC (since 2015) was formerly president of AIDESEP and received the Goldman Environmental Prize in 2007. 108

¹⁰⁸ The Goldman Environmental Prize honours grassroots activists for their outstanding work on protecting and conserving endangered ecosystems and species. Julio Cusurichi received the prize in 2007 for his work on securing the formal creation of a territorial reserve for isolated IPs in Madre de Dios spanning 7.688 Km² in one of the most untouched areas of the Amazon basin.

Appendix E: Background information on Brazilian context

E-1 INSTITUTIONAL ARRANGEMENTS REGARDING FORESTRY SECTOR AND RELEVANT POLICIES, STRATEGIES AND ACTIONS ASSOCIATED WITH REDD+ IN BRAZIL

Brazil has developed and implemented a variety of policies, strategies and action plans. Some of these, listed in Table 7, are most relevant to the REDD+ process.

Brazil has further continued to make important progress in promoting forest conservation and addressing the drivers of deforestation and degradation, see Table 4 for an overview.

TABLE 7: INSTITUTIONAL ARRANGEMENTS FOR FOREST MANAGEMENT AT THE VARIOUS LEVELS OF GOVERNMENT

Responsibilities	Federal	State	Municipality
Forestry Policies / Granting Agencies	Ministry of the Environment (MMA)	State Secretary for the Environment	Municipal Secretary for the Environment
Control and environmental Monitoring of forest	Brazilian Institute of Environ- ment and Renewable Natural Resources (IBAMA)	State Agency or Secretary for the Environment	Municipal Agency for the Environment
Forest conservation	Chico Mendes Institute for Bio- diversity Conservation (ICMBio)	State Agency or Secretary for the Environment	Municipal Agency for the Environment
Public forest management / Forest concessions	Brazilian Forestry Service (SFB)	State Agency for Public Forest Management	Municipal Agency for Public Forest Management
Collegial bodies for participation in forest	National Councils (Conama, Conaflor/ Cgflop)	State Environmental Council	Environment Municipal Council
Source: Pereira et al. (2010). ¹⁰⁹			

¹⁰⁹ Scenarios for Global Biodiversity in the 21st Century. See http://science.sciencemag.org/content/330/6010/1496.

TABLE 8: SUMMARY OF POLICIES, STRATEGIES AND ACTIONS ASSOCIATED WITH REDD+

Policy, strategy, action	Known as	Date or Period
AT FEDERAL LEVEL		
Action Plan for the Prevention and Control of Deforestation in the Amazon Region, prepared by an inter-ministerial working group in consultation with civil society organizations in 2004, recently renewed for 4 years (2016-2020). It is the fundamental action plan of the federal government to reduce deforestation in the Brazilian Amazon. It is structured along 4 major axes—territorial management, environmental monitoring and control, the support of viable productive activities, and normative and economic incentives.	PPCDAM	2004 4th phase 2016-2020
Public Forest Management Law, had four main objectives—establish sustainable management of public forest, create a Brazilian Forestry Service, create the National Fund for Forestry Development (NFFD), and decentralise forestry management.		2006
National policy on Climate Change, is the national policy that formalises Brazil's commitment in COP-15 to reduce GHG emissions.	NPCC	2010
National Policy on Territorial and Environmental Management, a national policy focusing on the management of the indigenous lands, including their populations and lifestyles, as well as its natural resources. Its objectives, among others, are 1) to promote the conservation and sustainable use of the natural resources of the indigenous lands, 2) to ensure the integrity of indigenous heritage and 3) to improve indigenous peoples' life quality.		2012
New Brazilian Forest Code. The development of the new code was marked with conflicts between farmers and environmentalists. Farmers pushed for an update of the previous code, created during the military government in 1965, which would allow them to harvest their land with less restriction from environmental laws. During the elaboration of the new code, environmentalists and civil society groups reacted trying to reduce the proposed changes without success. The new law grants amnesty to landowners who deforested illegally before 2008, and reduces the area to be reforested from 500,000 km² to 210,000 km². To be effective the Forest Code must be tied to economic incentives that reward landowners who conserve native vegetation, as agricultural productivity depends on the conservation of native ecosystems and the climate stability they provide."*		2012
ntended Nationally Determined Contribution, Brazil's climate pledge aims to reduce emissions in all sectors.	INDC	2015
National REDD+ Strategy. The general objective established by the ENREDD+ is to contribute to the mitigation of climate change by eliminating illegal deforestation, promoting conservation and recovery of forest ecosystems and a Low Carbon Forestry Sustainable Foundation economy, generating economic, social and environmental benefits.		2015
AT STATE LEVEL		
The Bolsa Floresta Programme is the first Brazilian initiative to pay the communities living in the protected areas of the State of Amazonas directly for their environmental services, and aims to reduce carbon emissions due to deforestation. The BFP is the largest reward programme for environmental services in the world.	BFP	2007 launched, start April 2008
Acre's State System of Incentives for Environmental Services is known as the world's first jurisdictional REDD+ programme	SISA	

 $^{* \}quad \text{Untangling Brazil's Controversial New Forest Code. See} \ \underline{\text{http://whrc.org/untangling-brazils-controversial-new-forest-code/}}\\$

E-2 INDIGENOUS PEOPLES AND INDIGENOUS LANDS OR TERRITORIES

More than 25 million people live in the Brazilian Amazon, many of whom are dependent on the forest for survival, and also contribute to land-use change. Brazil's indigenous tribes are as diverse as they are numerous: from the south-western state of Mato Grosso do Sul to the impenetrable northern jungles of the Amazon to the eastern Atlantic seaboard. There's one thing, perhaps above all others, these tribes have in common - the relentless, insatiable pressure on their lands and resources. In the context of Brazil, the focus of the evaluation on the empowerment of IP and other FDCs who live off, in, and around the forests means focusing on the group of 'indigenous peoples and traditional communities', including 'quilombolas', all with different cultural backgrounds and traditions and thus with a lot of diversity also in relation to their surroundings.

Brazil is known as probably the most dangerous country for "defenders" of land or the environment. Many indigenous leaders have been killed and many more have been injured for trying to protect their land from illegal loggers and miners. 110 A recent report from

Global Witness¹¹¹ states that 50 people were killed in 2015 in Brazil, the highest death toll yet recorded anywhere in the world. The report indicates further that Indigenous peoples are the ones that have been hit hardest for defending their ancestral land, representing almost 40% of victims. In the vast majority of cases, the perpetrators are thought to be connected to powerful business or logging interests and, as such, enjoy the protection of 'corrupt' public officials and law enforcement agencies. This phenomenon has also been reported by international media channels showing that it is not just indigenous communities who are losing out to outsiders who like to get their hands on the Amazon's valuable resources. 112

The ability of IPs and FDCs to sustainably manage forests and carbon stocks and realize the full benefits from REDD+ is highly dependent upon the IPs and FDCs attainment of secure territorial rights – to assure both for providing the necessary resource security as a basis for long term investment in sustainable NRM, and also as the basis upon which mechanisms for the equitable sharing of cash and in-kind benefits can be designed.

The Forest Peoples' Alliance (FPA) movement led by Chico Mendes a rubber tapper (seringueiro), united indigenous peoples and rubber tappers (FDCs) in their quest to gain tenure of the rubber-rich rainforest. There was a natural relation between IPs and rubber tappers, as all were and still feel themselves victims of an 'outside' system or, as they used to call it, the 'work' of the capitalist. It was a joint fight of IPs and FDCs in the 1990s during which the FPA movement proposed the conservation of the forests as a means to resolving social conflict, particularly in the Amazon.

The Brazilian category of protected area 'Extractive Reserves' is one example of a solution stemming from the social alliance of local trade unions and forest peoples with the national and global environmental and social move-

The development of alternatives for the communities that depend on forests is, according to the Brazilian Forest Service (2009), one of the greatest challenges to the structuring of community-based forest management. Moreover, in the absence of secure land tenure, it is hard for land managers to commit to long-term contracts to reduce deforestation and to access to the potential benefits of REDD+.

^{111 &#}x27;On Dangerous Ground'. By Global Witness(2016).

¹¹² Brazil's indigenous leaders risk their lives fighting for survival. By Wyre Davies. See http://www.bbc.com/news/world-latin-america-36573075

¹¹⁰ http://www.bbc.com/news/world-latin-america-36573075

ments¹¹³. Through meetings, publications and protests, indigenous peoples have increasingly tried to gain recognition of their roles in policy development and implementation. According IPs and FDCs representatives, the FPA movement has been a learning process for all, despite the individual problems of each of them. Based on these experiences, there have been important achievements, such as the acquisition of rights over Indigenous Lands.

Another example is the Coordination of the Indigenous Organizations of the Brazilian Amazon Basin (COIAB), which now has a permanent seat on the executive committee of the AF with important influence over the Fund's decisions. Other examples includes the Amazon Working Group (Grupo de Trabalho da Amazônia; GTA), a confederation of more than 300 grassroots organizations in the region, which has been developing principles for REDD+ policies and projects and the National Council of Rubber Tappers (CNS), which participated in national and international conferences on REDD+, thus influencing the debate.¹¹⁴

The Brazilian Constitution recognizes the inalienable right of indigenous peoples to lands they "traditionally occupy" and automatically confers them permanent possession of these lands. Brazil ratified the International Labour Organization (ILO) 169 Convention on the Rights of Indigenous and Tribal Peoples in 2002 and which came into force in 2004. In 2007 Brazil also signed the United Nations Declaration on the Rights of Indigenous Peoples. The National Policy of Territorial and Environmental Management of Brazilian Indigenous Lands (PNGATI), establishes, Indigenous Lands as protected areas, where development should proceed alongside the sustainable use of the natural resources and, settles the fundamental role of the effective participation of indigenous peoples in building territorial and environmental strategies for the management of their lands. 115

To date, there are about 672 legalised Indigenous Territories in Brazil, representing about 13% of the national territory, located on all biomes, with a concentration in the Amazon. During the past process of colonisation and economic exploitation of the forest lands in

the other regions of the country, the remaining small and sparse areas of these indigenous territories have already been recognized. However, with these areas, the necessary requirements for the physical and cultural reproduction of Indigenous Peoples is not recognized. These areas lie mainly in the Northeast, Southeast and South regions, besides the state of Mato Grosso do Sul.

Progress in demarcating these territories has been slow and therefore many Indigenous Territories are still not legally defined. In practice, a formal process of demarcation is required for an Indigenous Land (Territory) to gain full protection, and this has often brought with it prolonged legal battles. Even after demarcation, they are frequently subject to illegal invasions by settlers and mining and logging companies. There is little security and the system is very fragile such that IPs need to continue their fight for land rights. 117 IPs have rejected the 'Proposal of Constitutional Amendment 215' (PEC 215), that would shift the power to demarcate indigenous land from the executive to the legislature. Such a move would take power away from the Indigenous Government body, the National Indian Foundation

^{113 &}lt;a href="http://wwf.panda.org/?213371/Chico-Mendes-nominated-Patron-of-the-Brazilian-Environment">http://wwf.panda.org/?213371/Chico-Mendes-nominated-Patron-of-the-Brazilian-Environment

¹¹⁴ The context of REDD+ in Brazil. Drivers, agents and institutions. A study of May and Millikan, a CIFOR study 2011. See http://www.cifor.org/library/3287/ the-context-of-redd-in-brazil-drivers-agents-and-institutions/

¹¹⁵ Territorial and environmental management of indigenous landsthe Brazilian case. By Carolina Comandulli. University College London.

¹¹⁶ https://en.wikipedia.org/wiki/Indigenous_territory_(Brazil)

¹¹⁷ See http://www.telesurtv.net/english/news/Brazil-Indigenous-Groups-Continue-Their-Fight-for-Land-Rights-20151105-0028.html

(FUNAI), the Ministry of Justice and the President to make decisions about indigenous land rights and shift it over to Congress – many of whom are linked to agro-business and the timber, mining and energy industries. Indigenous groups in Brazil have taken to the streets to protest against the proposed reforms that would modify the Constitution, changing the definition and demarcation of Indigenous territories. Many CSOs have also expressed opposition to PEC 215.

¹¹⁸ http://www.redd-monitor.org/2015/07/15/nao-a-pec-215-proposed-change-to-brazils-constitution-would-leave-indigenous-peoples-in-the-hands-of-the-multinational-corporations/

Appendix F: Major stakeholders in REDD+ in Indonesia

Stakeholders	Discussion
National Government Ministries & Directorate Generals > Secretariat of the Office of the President > National Planning Agency (BAPPENAS) > Ministry of Environment and Forestry (MoEF)	> At least 14 cabinet level institutions have important roles to play on different aspects of REDD+, most notably the MoEF, MoASP, BAPPENAS & the Office of the President > Lack of effective inter-agency cooperation has been one of the major factors which has undermined progress on REDD+ over the past 8 years. > The merging of the Ministries of Forestry & the Environment as well as the National Climate Change Council (NCCC) & REDD+ Agency (BP-REDD+) in late 2014 signified a downgrading of & a setback to implementation of REDD+, though it may help to mainstream REDD+ in the longer term. > MoEF is currently in the process of restructuring & the replacement of regency level Forestry Services with Forest Management Units (KPHs). > The MoA has an important role to play in terms of promoting sustainable agriculture, agroforestry & land-use practices, including through strengthening of the Indonesian Sustainable Palm Oil (ISPO) Standard; > The legacy of Suharto-era government culture & concerns over impacts on the economy &b national unity have posed challenges in terms of promoting multi-stakeholder processes & mainstreaming of environmental & climate change issues & empowerment of IPs, FDCs, women & other marginalized groups. > Misconnect between national and sub-national policy frameworks & conflict over decentralization/recentralization processes is a major issue.
Technical Agencies, Trust Funds & Advisory Bodies > Peatlands Restoration Agency (BRG) > The Forest Research and Development Agency (FORDA) > National Geospatial Information Agency (BIG) > Indonesian Climate Change Trust Fund (ICCTF) > Indonesian Institute of Sciences (LIPI) > National Institute of Aeronautics and Space (LAPAN) > National Disaster Mitigation Agency (BNPB) > National Forestry Council (DKN)	 > The BRG, FORDA & BIG have crucial roles to play on peatland restoration, SFM and delivery of the OneMap Policy (OMP). > ICCTF was established in 2009 to provide finance for mitigation & adaptation, but funding levels remain low. > LIPI provides scientific information on social-ecological aspects. > LAPAN provides data analysis including the impact of fires, early warning systems, etc. > BNPB has a role in fire management, awareness raising & adaptation > DKN is a multi-stakeholder advisory body on forest policy to the MoEF. Their 5-yearly congress provides an opportunity for government, private sector, CSO & community stakeholders to exchange ideas on SFM.

Human Rights	& Anti-Corruption	Bodies & Courts
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- > National Human Rights Commission (KomNas HAM)
- > National Women's Commission (KomNas Perempuan)
- > Corruption Eradication Commission (KPK)
- > Constitutional Court (Mahkamah Konstitutsi MK)
- > Other national level courts

- > KomNas HAM & Perempuan recently conducted a national inquiry into tenurial conflict & IP & women rights in the forestry sector
- > KPK have a vital role to play in monitoring & exposing forest related crime
- > The Constitutional Court (MK) has played a vital role in ruling that several aspects of the 1999 Forestry Law were unconstitutional, particularly the establishment of the National Forest Estate without clear demarcation of boundaries & with insufficient respect for the pre-existing rights of IPs.
- > Other courts have a vital role in prosecuting forest related crimes, but prosecution & conviction rates currently remain very low.

Security Services

- > National Police (POLRI)
- > Army & Navy
- > Anti-Illegal Logging Task Force

- > Indonesia's security services have a crucial role to play in forest law enforcement.
- > Many security services personnel are currently engaged in various forms of forest related crime.

Provincial & Regency Level Government

- > Governors, Regency Heads and Mayors
- > Provincial & Regency level legislatures (& Political Parties)
- > Regional Development Planning Agencies (BAPPEDA)
- > Local Government Services Forestry, Agriculture, Fisheries, Lands, etc.
- > Natural Resource Management Agencies (BKSDA)
- > Environmental Protection Agencies (Bapedalda)
- > National Park Management Authorities
- > Forest Management Units (KPHs)
- > Local security Service (Police, Army, Navy)

- > Effective engagement & capacity building with Provincial & Regency level governments is crucial to the success of REDD+ & empowerment of IPs & FDCs as this is the level of frontline action & has potential to develop programmes that are pro-poor, gender sensitive & locally appropriate.
- > Conflict between national and sub-national governments over decentralization and recentralization, including natural resource exploitation licensing & REDD+ cost-benefit sharing have been one of the key factors which have undermined progress on REDD+.
- > Around 23 of Indonesia's 34 Provinces & 200+ of 511 Regencies & Municipalities should be considered priority areas for REDD+, including:
- · Sumatera: Riau, Jambi, Lampung, Aceh, Bangka-Belitung, South, West & North Sumatra
- · Kalimantan: West, Central, East & North Kalimantan
- · Sulawesi: Gorontalo, West, Central & SE Sulawesi,
- · Papua: Papua and West Papua
- · Maluku: Maluku & North Maluku
- · Nusa Tenggara: East & West Nusa Tenggara
- · Java: Banten
- > Government cultures of top-down decision making, patriarchy, nepotism & ethnicity based politics are even more pronounced at local levels.
- > Much higher levels of funding are required for REDD+ related policy development & implementation at the provincial & regency levels.

Private Sector - Natural Resources

- > Logging Sector
- · Indonesian Assoc. of Forest Concessionaires (APHI)
- · Indonesian Assoc. of Plywood Manufacturers (APKINDO)
- > Oil Palm Producers (25 major business groups) & Consumers
- · Indonesian Palm Oil Association (GAPKI)
- > Pulp and Paper Companies Primarily APP & APRIL
- > Rubber Sector Michellin, Sampoerna Group, Bakrie Group, etc. majority produced by smallholders
- > Cocoa Sector predominantly smallholders
- > Mining Coal, minerals, artisanal & small-scale mining/ASM
- > Indonesia Business Council for Sustainable Dev. (IBCSD)
- > Non-Timber Forest Product (NTFP) industries, including Rattan, sago, honey, incense & oils, crocodile skins, etc.
- > Ecotourism enterprises
- > Renewable energy sector (Hydro, wind, geothermal & solar)
- > Sustainability Consulting Companies (MacKinsey, Starling Resources, Demeter, AECOM, TetraTech ARD, & others)
- > Other Sectors (Sugar, Bottled water & beverages, etc.)

Private Sector – Financial Institutions

- > Tropical Landscapes Finance Facility (TLFF)
- > Banks financing logging & plantation development in Indonesia HSBC (UK), OCBC, DBS & UOB (Singapore), CIMB (Malaysia), Mitsubishi, Sumitomo & Mizuho (Japan), Mandiri, BNI & BRI (Indonesia), ANZ, CBA, NAB & WestPac (Australia) & other European, US and Asian banks.

- > The private sector has a crucial role to play in REDD+ & SFM, including reducing the negative social & environmental impacts of their operations, developing sustainable forest industries, contributing to REDD+ & SFM policy development & financing.
- > Around 29 tycoons with strong ties to political parties and governments at various levels dominate the palm oil industry in Indonesia.
- > Cocoa, rubber, nutmeg & various other crops have potential for sustainable agroforestry systems.
- > NTFPs currently make up a small proportion of Indonesia's forest sector production, though they are locally important for IPs & FDCs. Sago has huge under-utilized potential as a sustainable wetland forest crop particularly in Eastern Indonesia & parts of Sumatra & Kalimantan.
- > Many sustainability consulting companies have played an important role in the development, dissemination & implementation of best practices in SFM, REDD+ & LEDS.
- > Ecotourism enterprises such as diving, bird watching, ecolodges, homestays & voluntourism have considerable potential for income generation & to promote SFM, particularly at the local level, but benefit sharing is often an issue & it can lead to mass tourism with significant environmental & social impacts particularly in coastal zones.
- > Indonesia corporate law requires investment in CSR programmes, but little of this supports SFM & REDD+ activities.
- > Private sector financial institutions have a crucial role to play in scaling-up investments in climate finance
- > Research identifies a total of US\$ 17.8 billion of new debt that has been provided to 25 palm oil groups in the period of 2009-2013
- > TLFF was established in October 2016 as a joint initiative of the GoI, UNEP & private-sector bank BNP Paribas, in order to leverage public-funding for affordable finance for smallholders & other forest users to invest in sustainable landscapes.

United Nations Organizations

- > UN Framework Convention on Climate Change (UNFCCC)
 - · Clean Development Mechanism (CDM)
- > UN-REDD Programme
- · United Nations Development Programme (UNDP)
- · Food and Agriculture Organization (FAO)
- · United Nations Environment Programme (UNEP)
- > UN Office on Drugs and Crime (UNODC)
- > International Labour Organization (ILO)
- > International Fund for Agricultural Development (IFAD)
- > UN Education Scientific & Cultural Organization (UNESCO)
- > UN Permanent Forum on Indigenous Issues (UNPFII)
- > UN Indigenous Peoples' Partnership (UNIPP)
- > Expert Mechanism on the Rights of IPs (EMRIP)
- > Special Rapporteur on the rights of indigenous peoples

Multilateral Development Banks (MDBs) & Trust Funds

- > The World Bank (WB)
- · Forest Carbon Partnership Facility (FCPF)
- · Forest Investment Programme II (FIP II)
- · Dedicated Grant Mechanism (DGM)
- · Adaptation Fund (AF)
- > Asian Development Bank (ADB)
- · Climate Investment Funds (CIF)
- > Global Environment Facility (GEF)
- > Green Climate Fund (GCF)
- > International Finance Corporation (IFC)

- > UNFCCC plays a central role in international negotiations & reporting on climate policies including REDD+.
- > UN-REDD, led by UNDP in partnership with FAO & UNEP, has been responsible for managing the UN-REDD Indonesia Country Programme 2008-2012 & for providing targeted support for REDD+ readiness from 2013 to the present.
- > UNODC, ILO & IFAD have made contributions to forest law enforcement, indigenous empowerment & sustainable NRM.
- > The ILO continues to lobby the GoI to ratify ILO Convention 169, which is the strongest international legal instrument on the rights of IPs & FDCs.
- > UNESCO has supported IP empowerment & SFM through Man & Biosphere (MAB) programmes in several of Indonesia's World Heritage Areas including the Siberut Island & Gunung Leuser Biosphere Reserves in Sumatra.
- > UNPFII, UNIPP, EMRIP & the Special Rapporteur on IP Rights provide avenues through which indigenous voices & concerns can be raised in international fora.
- > In 2015, the MDBs collectively committed more than USD 25 billion in climate finance globally, & cumulatively more than USD 131 billion since 2011. The MDBs have been applying jointly developed transparent methodologies for climate finance accounting, and environmental & social safeguards as well as producing various other studies on REDD+ & SFM.
- > The World Bank is one of the main agencies supporting REDD+ & SFM in Indonesia, including national & provincial level policy dialog through the FCPF & establishment of Forest Management Units through the FIP II. Commencing in 2017 they will also provide small grants to CSOs for empowerment of IPs and FDCs through the DGM. WB also supports Sustainable landscapes & fire management, One Map Policy implementation, analytical support for the implementation of the 2014 village law & development of geothermal energy.
- > ADB has also made significant contributions including USD 100 million through the Low-Carbon and Resilient Development Programme 2012-2015 as well as contributions to the FIP II.
- > GEF invests in businesses that support the environment and promote clean energy and sustainable natural resources uses.
- > GCF invests in CCM/CCA efforts in developing countries.

Other Multilateral Development Organizations

- > Association of South-East Asian Nations (ASEAN)
- > Global Green Growth Institute (GGGI)
- > Governors' Climate & Forest Task Force (GCFTF)
- > International Tropical Timber Organization (ITTO)
- > International Union for Conservation of Nature (IUCN)

Bilateral Donors

- > Norway / Norad
- > US Embassy / USAID
- · USAID LESTARI / APIK
- Tropical Forest Conservation Act (TFCA)
- > Millennium Challenge Account Indonesia (MCA-I)
- > Danish Embassy / Danida
- > DFID / UK-CCU
- > German Embassy / GIZ Foreclime Programme
- > Korean International Cooperation Agency (KOICA)
- > Japanese International Cooperation Agency (JICA)
- > French Development Agency / AFD
- > European Union (EU)
- > Dutch Humanitarian Institute for Dev. Cooperation (HIVOS)
- > Canadian International Development Agency (CIDA)
- > Australian Aid
- > NZ AID

Private Donor Foundations

- > The Asia Foundation (TAF)
- > Climate and Land-Use Alliance (CLUA)
- > Ford Foundation, Walton Foundation, & others

- > ASEAN support for climate change has mostly focused on climate resilience & adaptation & mitigating smoke haze through peatland restoration in Indonesia & Malaysia.
- > GGGI has been working with the government of Indonesia since 2013, providing technical & policy support for green growth strategies in East & Central Kalimantan. Former Indonesian President Yudhoyono is the current chair of GGGI.
- > Since 2008 the governors of six of Indonesia's most heavily forested provinces have joined the GCFTF, which promotes a provincial level jurisdictional approach to LEDS & SFM.
- > ITTO has a thematic programme on Reducing Deforestation and Forest Degradation and Enhancing Environmental Services (REDDES) and a REDD+ pilot project in the Meru Betiri NP, East Java
- > IUCN has been collaborating with Samdhana Institute & local partners in Papua & West Papua Provinces on the 'Towards Pro-Poor REDD+ Project.'
- > The Norwegian & US governments are the largest donors supporting REDD+ & Green Growth / LEDS respectively through major bilateral programmes, contributions to multilateral agencies & the ICCTF.
- > The Denmark, UK, Germany, Korea, Japan & France have also all made significant investments in REDD+, SFM, Green Growth / LEDS & empowerment of IPs & FDCs through bilateral & multilateral channels.
- > Between 2010-2013 the Australian government were a major donor through the Indonesia-Australia Forest Carbon Partnership (IAFCP), but following a change of government funding was abruptly cut.
- > Other nations such as the Netherlands, Canada, New Zealand & others have also made more modest contributions through bilateral aid, multilateral agencies such as UN-REDD, WB, ADB or through trust funds such as the GEF, GCF & ICCTF.
- > In November 2015 an Indonesia-EU voluntary partnership agreement came into effect, allowing Indonesia to export FLEGT certified legal origin timber to EU member nations, supporting improved forest governance.
- > Whilst much more funding is required to roll-out REDD+ Projects at the sub-national level in Indonesia it is not clear if major donors will be able to sustain current levels of support for REDD+ let alone increase funding
- > Since 2011 TAF has been implementing the Setapak Programme, which supports decentralization of Indonesian Government to ensure transparency and accountability in sustainable and fair management, protection, and distribution of natural resources benefits.
- > CLUA is a collaborative initiative of five US-based private philanthropic foundations, which has been a major source of funding for local CSO initiatives relating to SFM & the empowerment of IPs & FDCs.
- > The Ford, Walton & other private donor foundation have also contributed funding for forest governance, SFM & empowerment of IPs & FDCs.

International Conservation NGOs > World Wide Fund for Nature (WWF) > Conservation International Indonesia (CII) > Birdlife International / Burung Indonesia > The Nature Conservancy (TNC) > Wildlife Conservation Society (WCS) > Wetlands International > Fauna & Flora International (FFI) > Environmental Investigation Agency (EIA) > Greenpeace > Environmental Defence Fund (EDF) > The Borneo Initiative (TBI) > Orangutan, Tiger & Primate Conservation Societies (BOS, BOSF, SOCP, OFI, etc.) > Zoological Society London / Zoological Society Frankfurt > Rare Conservation	> WWF, CII, TNC, WCS & a number of other major conservation NGOs have been working in Indonesia for decades, whereas many others have established programmes more recently; > From 2008 onwards many established REDD+ pilot activities, often redesigning existing projects to include carbon conservation elements; > International conservation NGOs are often perceived local CSOs & communities as being more concerned about fauna & flora than the wellbeing of communities, & few specifically target IP & FDC empowerment; > As significant carbon finance hasn't yet materialized, many NGOs are shifting their focus away from carbon conservation & back to co-benefits; > Birdlife International has been supporting the Hutan Harapan Rainforest Project, a REDD+ / Ecosystem Restoration Concession in Jambi, including engagement with indigenous 'Batin Sembilan' people & other FDCs; > There are around a dozen different foundations focusing on conservation of orangutans, tigers & other charismatic species, including several, such as the Borneo Orangutan Survival Foundation (BOSF) which have initiated integrated habitat restoration & carbon conservation projects. & Orangutan Foundation International (OFI), who are a major partner in the Rima Raya REDD+ Project; > WWF, Greenpeace & others have also engaged with the plantations & forestry sectors to improve governance standards & forest management practices.
International Humanitarian NGOs Interchurch Organisation for Development Cooperation (ICCO) Care International Oxfam Siemenpuu Foundation (Finnish Foundation for Social Movement Cooperation) Swisscontact	 > Several international humanitarian NGOs such as ICCO, CARE, Oxfam & Siemenpuu have also supported IP & FDC empowerment & SFM activities. > CARE has been closely involved in the UN-REDD pilot programme in Central Sulawesi & the KFCP in Central Kalimantan, including facilitating FPIC & community conservation agreement making activities. > Swisscontact & Oxfam have supported agroforestry, ecotourism & fair-trade; > Many other international humanitarian NGOs also operate in Indonesia, though they usually focus on community development, service delivery, child protection, etc rather than IP & FDC empowerment, SFM &/or REDD+.
Certification & Sustainable Supply Chain Organizations > Rainforest Alliance (RA) > The Forest Trust (TFT) > Tropical Forest Foundation (TFF) > Roundtable on Sustainable Palm Oil (RSPO)	> Certification & Sustainable Supply Chain Organizations such as RA, TFT, TFF & RSPO have played a critical role in promoting sustainability standards & certification processes & promoting best practices in the forestry, plantations & agriculture sectors.
Applied Forestry / NRM Research Institutes > Centre for International Forestry Research (CIFOR) > World Agroforestry Centre (ICRAF) > The Centre for People & Forests (RECOFTC) > World Resources Institute (WRI)	> Applied forestry & NRM research institutions including CIFOR, ICRAF, RECOFTC & WRI provide highly important economic, ecological & social scientific analysis relating to SFM, REDD+ & IP & FDC empowerment, as well as the dissemination of information, training & capacity building.

International Indigenous Rights Organizations

- > Asia Indigenous Peoples Pact (AIPP)
- > International Working Group for Indigenous Affairs (IWGIA)
- > Forest Peoples Programme (FPP)
- > The Rights and Resources Initiative (RRI / RRG)
- > Rainforest Action Network (RAN)
- > Int. Centre for IP Policy Research & Education (Tebtebba)
- > LifeMosaic
- > Rainforest Foundation Norway (RFN)

National Indigenous Rights Advocacy Organizations

- > Alliance of Indigenous Peoples of the Archipelago (AMAN)
- > The Samdhana Institute
- > Participatory Mapping Network (JKPP)
- > Customary Territories Registration Board (BRWA)
- > Numerous other IP organizations at the national, provincial, regency & community levels

- > IP organizations & advocacy groups such as AIPP, IWGIA, FPP, RRI, RAN & Tebteba support policy advocacy, awareness raising and representing IPs and FDCs in international REDD+ policy debates;
- > LifeMosaic has produced audio-visual toolkits for awareness raising on IP rights, climate change & REDD+, oil palm & land grabs, etc. & are working with AMAN & Samdhana on IP youth leadership training;
- > RFN has played a particularly valuable role, using funding from NICFI & other sources to provide long-term financial & capacity building support to a network of Indonesian CSOs working on IP empowerment & CBNRM.
- > AMAN was originally established as the Network for Indigenous Peoples Rights Advocacy (JAPHAMA) in 1993 & reconstituted as AMAN in 1999, & has since grown into Indonesia's largest IP representative organization.
- > JKPP was established in 1996 to provide support for participatory mapping;
- > Samdhana was established in 2003 to provide financial & capacity building support for participatory mapping & empowerment of IPs & FDCs;
- > BRWA was established in 2010 as a registry of customary territory maps;
- > AMAN in cooperation with Samdhana, JKPP, BRWA, Epistema Institute & others have played a key role in advocating for the rights of IPs, including supporting mapping of over 8.3 Mha of customary territory & development of the draft law on recognition & protection of adat law communities.
- > Whilst AMAN continue to harbour concerns regarding the potential negative impacts of REDD+ on IPs rights, since 2010 they have worked with the GoI, UN-REDD, various bilateral donors & others to ensure that REDD+ includes strong safeguards & recognition of IP rights to land, forests & resources.
- > Numerous other IP organizations have been established at the national, provincial, regency & community levels, though in many cases these organizations appear to represent the interests of political elites more than grassroots communities & in some cases have been complicit in the dispossession of IP communities.

National Agrarian Reform Organizations

- > Consortium for Agrarian Reform (KPA)
- > Coalition for Democratization of Natural Resources (KUDETA)

National Environmental Organizations

- > Indonesian Forum for Environment (WALHI)
- > Indonesian Biodiversity Foundation (KEHATI)

- > Since the 1990s CSOs including KPA & KUDETA have lobbied for legal & policy reform to democratize access to land & natural resources, including recognition & protection of the rights of IPs, FDCs & other rural communities.
- > WALHI is Indonesia's largest environmental organization, with branches throughout Indonesia & is affiliated with UK-based NGO Friends of the Earth;
- > WALHI were instrumental in the establishment of AMAN & are strong supporters of empowerment of IPs & FDCs & their engagement in CBNRM;
- > KEHATI provides small grants to CSOs/CBOs for CBNRM & livelihoods activities through funding from the Tropical Forest Conservation Act (TFCA) & other donors.

National Organizations focusing on Social Transformation & Good Governance > Partnership for Governance Reform (Kemitraan) > Indonesian Society for Social Transformation (INSIST) > TIFA Foundation > Association for Transformation for Justice (TUK)	> Organizations such as Kemitraan. INSIST, TIFA & TuK focus on building a more open, democratic & pluralistic society in Indonesia through promoting governance reform, democratization & decentralization, rule of law, civil society strengthening & grassroots empowerment. They have been strong advocates on IP & FDC empowerment, CCM & REDD+ safeguards. > Kemitraan's 'Sustainable Environmental Governance (SEG)' programme has a strong focus on IP/FDC empowerment, REDD safeguards & CBNRM.
National Legal & Human Rights Organizations > Assoc. for Community & Ecology-Based Law Reform (HuMA) > Epistema Institute > Sajogyo Institute > Indonesian Centre for Environmental Law (ICEL) > Pusaka Foundation Indonesia (Pusaka) > Natural Resources Law Institute (IHSA) > INOBU – Earth Innovation Institute	 Various legal & human rights advocacy organizations such as HuMA, Epistema, Sajogyo, ICEL, Pusaka & IHSA have been strong advocates of IP & FDC rights & ecological justice, including conducting investigations, producing & disseminating reports & policy papers & providing legal representation to IPs & FDCs. INOBU, the Indonesian branch of the Earth Innovation Institute, currently acts as the secretariat for the GCFTF in Indonesia
National Organizations Focusing of Forest Management > Indonesian Eco-labeling Institute (LEI) > Forest & Nature Conservation Consortium (KONPHALINDO) > Telapak > Consortium Community-based Forest Management (KpSHK) > Communication Forum on Community Forestry (FKKM) > Indonesian Institute for Forest and Environment (RMI) > Indonesian Tropical Nature Institute (LATIN)	 LEI was established with support from the GoI in 1994 & aims to improve NRM and biodiversity through a credible certification & eco-labeling system; KONPHALINDO aims to collect & disseminate information on sustainable development including forestry, agriculture, fires, peat & mangroves; Telapak, KpSHK, FKKM, RMI & LATIN focus on promoting good governance of forests & natural resources including community-based forestry, eco-tourism & the empowerment of IPs & FDCs.
National IP Education Organizations > Customary Community Education Network (JaPKA) > The Jungle School (SOKOLA)	> JaPKA & Sokola focus on empowerment of IPs & FDCs through basic education, including the training & placement of teachers, development of locally appropriate curriculum materials & the provision of books, etc.
National Environmental Watchdog Organizations > Forest Watch Indonesia (FWI) > Indonesian Mining Advocacy Network (JATAM) > Oil Palm Watch (SawitWatch)	 > FWI focused on monitoring forest cover & analysis of forest policies such as the forest & peatland moratoria; > JATAM & SawitWatch focus on monitoring the mining & palm oil sector including advocacy on social safeguards & the rights of IPs and FDCs.
Regional CSOs & CBOs > Provincial & Regency level organizations, networks & coalitions focusing on environment / ecological justice, community, human & women's rights, good governance & sustainable development	> At the provincial & regency levels there are thousands of CSOs & CBOs, many with a focus on SFM, CBNRM & empowerment of IPs & FDCs. Engagement with these organizations is crucial to develop sub-national level consensus & capacity for action on REDD+ & IP/FDCs empowerment.

Regional Adat Organizations > Regional branches AMAN > Dayak Adat Council (DAD) > Papuan Adat Council (DAP) > Adat Consultative Organizations (LMA)	> Since 1998 provincial & local level organizations claiming to represent IPs have proliferated. Many were formed with support from government, security services & even the private sector, & many have become aligned with political parties. Identification of credible adat organizations & strengthening their accountability & capacity is an important element of IP empowerment.
Community Level Organizations > District & Village Governments > Community Based Organizations (CBOs) > Religious organizations, Scout groups, sporting groups, etc. > Primary & Secondary Schools & Universities > Farmer / Fisher Groups (ie. Cooperatives, Irrigation groups, etc.)	> As far as possible a broad range of community level organizations also need to be engaged in awareness raising, advocacy & action on SFM & REDD+, including district & village level governments, CBOs, religious organizations, schools & universities, etc.

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Appendix H: Summary of the project sample and budgets

County	Allocation	Bosiniant	Project	Funding NOK mill.				
County	Allocation	Recipient	Project	Round I	Round II	Round III	Total	
Brazil	CSD	GCF Task Force	Governor's Climate and Forest (GCF) Task Force[1]: (GCF Task Force.)		12.00		12.00	
Brazil	KEMF	GCF Task Force	Advancing Jurisdictional Programs for REDD+ and Low Emissions Development:				46.80	
Brazil	Amazon Fund	Apiwtxa Association	The Associação Ashaninka do Rio Amônia Apiwtxa (Association Ashaninka of the River Amônia Apiwtxa)				17.00	
Indonesia	CSD	Samdhana	Supporting preparedness and engagement of indigenous peoples, local communities, community based organizations and local NGO's in REDD policy development and pilot projects in Indonesia	13.50			13.50	
Indonesia	CSD	Samdhana	Community Engagement in Low Emissions Development		9.00		9.00	
Indonesia	CSD	Samdhana	Community Rights and REDD+ in Indonesia and Myanmar: Moving from recognition to Implementation			14.00	14.00	
Indonesia	UN-REDD	UNDP	Coordinating agency for the Indonesia United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (UN-REDD Programme) and main implementing partner of the bilateral partnership on forest and climate between Indonesian and Norway (LoI, 26 May 2010).				2.34*	
Peru	CSD	Rights and Resources Initiative	Supporting Effective Investments and Interventions in Climate Change Mitigation in Forest Areas While Promoting Rights and Development	28.50			28.50	
Peru	CSD	Rights and Resources Initiative	Building Stronger Global Consensus and Accelerated Action on Forest tenure and Governance Reforms as Early and Essential Action to establish Effective REDD+ (Effective REDD+ through Early Action on Forest Governance) (CSD Round II, but later extended to December 2016 (NOK 19 m.)		19.00		19.00	

^{*} Consists of small grants managed by UNDP to support IP/FDCs in capacity development, promote peatland restoration and improve forest fire protection. Other direct grants to IP/FDCs were not identified/evaluated.

Peru	CSD	Rights and Resources Initiative	Promoting forest tenure and governance reforms as pre-requisites to the effective implementation of REDD+			30.00	30.00
Peru	CSD	Worldwide Fund for Nature - WWF	REDD+ for People and Nature, Phase I	33.0			33.00
Peru	CSD	Worldwide Fund for Nature - WWF	REDD+ for People and Nature, Phase II, funded under CSD		40.00		40.00
Peru	CSD	Worldwide Fund for Nature - WWF	From REDD+ agreements to REDD+ results: Generating results to secure consensus			77.00	77.00
TOTAL				75.00	80.00	121.00	342.14

Acronyms and Abbreviations

AF	Amazon Fund	DGCCDRH	Directorate General for Climate Change, Desertification and Water Resources	IDESAM	Institute for Conservation and Sustainable Development of the Amazon
AIDESEP	Association for the Development of the Peruvian Rainforest	DGM	Dedicated Grant Mechanism	IMAZON	Institute of Man and Environment of
AMAN	Alliance for Indigenous Peoples of the	DRC	Democratic Republic of Congo		Amazonia
	Archipelago	EDF	Environmental Defence Fund	IMC	Institute of Climate Change
ARA	Regional Environment Authority	ENCB	National Strategy for Forest Conservation	INDC	Intended Nationally Determined
BNDES	Brazilian Development Bank		(Peru)		Contribution
CIFOR	Centre for International Forestry Research	ENREDD+	National REDD+ Strategy (Brazil)	IP	Indigenous People
CLUA	Climate and Land-use Alliance	FAO	Food and Agriculture Organization	IP&TC-GP	Indigenous Peoples and Traditional
CNA	National Agrarian Confederation	FCPF	Forest Carbon Partnership Facility	IPAM	Communities Guiding Principles Amazon Environmental Research Institute
CNS	National Council of Rubber Tappers	FDC	Forest Dependent Communities		
C02	Carbon Dioxide	FENAMAD	Federation of Native Peoples of the Madre	ISA	Social and Environmental Institute
CODEPISAN	Coordinating Council for the Development and		de Dios River	IUCN	International Union for Conservation of Nature
	Defence of Indigenous Peoples in San Martin	FIP	Forest Investment Programme	ICV	Centre Life Institute
COFA	Committee of the Amazon Fund	FPA	Forest Peoples' Alliance	JKPP	Indonesian Participatory Mapping Network
COICA	Coordinator of Indigenous Organizations of	FUNAI	National Indian Foundation	KEMF	Department of Climate, Energy and Environ-
	the Amazon River Basin	GCF	Governor's Climate and Forest	IVEIVII	ment (in Norad)
CONAP	Confederation of Amazonian Nationalities of Peru	GGGI	Global Green Growth Institute	LCD	Low Carbon Development
СОР	Conference of the Parties	GHG	Greenhouse Gases	Lol	Letter of Intent
CSD	Civil Society Department	GOREMAD	Regional Government of Madre de Dios	LUCF	Land Use Change and Forestry
CSOs	Civil Society Organizations	GTA	Grupo de Trabalho da Amazônia (Work	MCE	Ministry of Climate and Environment
CTFA	Technical Committee of the Amazon Fund		Group for the Amazon)	MDD	Madre de Dios Department
DCI	Declaration of Intent	IBAMA	Brazilian Institute of Environment and Renewable Natural Resources	MFA	Ministry of Foreign Affairs
DISPACR	Directorate for Agricultural Land Titling and	ICMBio	Chico Mendes Institute for Biodiversity	MINAGRI	Ministry of Agriculture
DISPACK	Rural Land Registry Services	ICIVIDIU	Conservation	MINAM	Ministry of Environment (Peru)

MMA	Ministry of the Environment (Brazil)	PPCDAM	Action Plan for the Prevention and Control	UNICEF	United Nations Children's Fund
MRV	Measurement, Reporting, and Verification		of Deforestation in the Amazon	UNDP	United Nations Development Programme
MSAR	Madre de Dios Environmental Services and REDD+ Regional Roundtable	PTRT3	Demarcation, Land Titling and Registration in the Andes and Amazon of Peru	UNDRIP	United Nations Declaration on the Rights of Indigenous Peoples
NGO	Non-Governmental Organization	RAISG	Amazonia Network of Geo-referenced Socio-Environmental Information	UNEP	United Nations Environment Programme
NIPP	Norwegian Indigenous Peoples Programme	REDD	Reduced Emissions from Deforestation and	UN-WOMEN	United Nations Entity for Gender Equality
NOK	Norwegian Kroner		Forest Degradation		and the Empowerment of Women
Norad	Norwegian Agency for Development	REDD+	Reducing Emissions from Deforestation	USD	United States Dollars
	Cooperation		and Forest Degradation and the role of	WALHI	Indonesian Friends of the Earth
NICFI	Norway's International Climate and Forest		conservation, sustainable management of forests and enhancement of forest	WB	World Bank
0500 040	Initiative		carbon stocks in developing countries	WRI	World Resources Institute
OECD-DAC	Organization for Economic Co-Operation and Development - Development Assistance	RELs	Reference Emission Levels	WSSD	World Summit on Sustainable Development
	Committee	RFN	Rainforest Foundation Norway	WWF	World Wildlife Fund for Nature
ONAMIAP	National Organization of Andean and	RIA	Amazon Indigenous REDD+		
	Amazonian Indigenous Women of Peru	RRI	Rights and Resources Initiative		
PAGE	Partnership for Action on Green Economy	RTE	Real-Time Evaluation		
PAS	Sustainable Amazon Plan	SERVINDI	Intercultural Communication Services (Peru)		
PC	Partner Countries	TL	Team Leader		
PEC 215	Proposal of Constitutional Amendment 215	ToC	Theory of Change		
PGTAs	Territorial and Environmental Management Plans	ToR	Terms of Reference		
PNCC	National Policy on Climate Change	UN-REDD			
PNGATI	National Policy of Territorial and Environ- mental Management of Brazilian Indigenous Lands	Programme	e United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries		

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