Rights and Resources Initiative (RRI) Mid-Term Evaluation

Final Report

Executive Summary

The Rights and Resources Initiative (RRI) was created in 2005 as a coalition of research, conservation and development organizations dedicated to advancing pro-poor forest and land tenure reforms.

The value proposition of RRI is that with a limited incremental investment in strategic planning, coordination and analysis, RRI Coalition Partners and Collaborators, together with the global Secretariat, could dramatically increase their contributions in favour of the rights, dignity and development of forest-dependent people, forest conservation, and more equitable economic and social development. Today, there are 13 Partner and some 150 Collaborators organizations in the RRI Coalition.

RRI commissioned a Mid-Term Evaluation (MTE) in 2015 to evaluate the Coalition's approach, review progress toward the results outlined in the Framework Proposal II: 2013-2017 (FPII), and make recommendations to improve performance in the remaining FPII period.

Methodology

This MTE was guided by an evaluation matrix outlining evaluation dimensions, questions, indicators and means of verification pursued. The approach pursued was utilization-focused, building on 7 years of Independent Monitoring reports, and notably that from 2014. It used a mix of methods that included document review, desk study, a global survey, and fieldwork in Indonesia, West Africa and Panama (virtually). Interviews were conducted with 61 stakeholders including RRI leadership, Partners, Collaborators, donors, key global, national and private sector actors. A survey of 61 key stakeholders yielded 22 complete responses (36%).

Findings

Relevance

Consulted stakeholders agree that RRI is perceived as a world leader in working towards the recognition of collective rights, particularly Indigenous Peoples' forest and land tenure rights. The RRI Coalition is perceived differently in different national contexts, and its adaptation to the unique complexities of each national context is a key source of its relevance at the national and international levels.

Progress toward results

The MTE team has found much information in support of RRI's effectiveness. There is some evidence of progress toward the FPII outcome, though more limited country data related to progress on RRI targets. There is ample evidence of progress toward the FPII outputs; RRI has met or exceeded expectations for the majority of its logframe outputs.

Effectiveness of RRI strategies

The majority of consulted Coalition members agree that RRI has contributed to the scaling up of reforms related to forest tenure and land rights. RRI has identified, engaged and mobilized new constituencies, including agrarian and land reform organizations, food security and anti-poverty organizaitons, and the private sector.

The Coalition pilots new initiatives and works to ensure their sustainability. The International Land and Forest Tenure Facility (the Tenure Facility) is largely perceived as a valuable strategic step forward for RRI, and has already contributed increased funding to the customary forest tenure and land rights agenda and movement.

RRI's Strategic Response Mechanism (SRM) has provided funding support to Coalition Partners and Collaborators, allowing them to respond quickly to emerging issues outside the constraints of the annual planning cycle. Awareness of the SRM differs significantly from one region to another, and Partners and Collaborators lack clarity on SRM selection and evaluation processes.

RRI has supported Partners and Collaborators in integrating gender mainstreaming into the customary forest tenure and land rights agenda. However, RRI's monitoring and evaluation framework does not yet include gendered objectives and indicators.

Effectiveness of RRI roles

Strategic analysis: RRI plays an important strategic analysis role through its publications, which build on knowledge provided by various Coalition members. RRI's strategic analyses have situated and established the terms of debate and informed key decision makers and policy makers in the field of tenure rights.

Convening: RRI has been most effective at communicating, networking and convening at the global level, somewhat less so at the national level, and far less so at regional and cross-regional levels, where interest and demand is increasing. RRI gives global visibility and access to national organizations, campaigns and people, which is perceived as valuable by Coalition actors.

Advocacy: At the global level, RRI advocacy is effective due to the diversity of Coalition participants and their own strategic practices (with some more advocacy oriented and others more dialogical in approach). RRI's ability to advocate effectively at the national level is partially based on its ability to adapt its strategies to national contexts.

Influencing:

- **Political will:** RRI has contributed to increased political will favouring customary forest and land tenure reform processes at national government levels, though less so at sub-national levels. Through the development and facilitation of MegaFlorestais, a network of public forest agency leaders, RRI has made a modest though important contribution to increasing political will.

- **Private sector:** The RRI Coalition works with the private sector through a complementary and strategic two-pronged approach rooted in advocacy and dialogical engagement. While working with the private sector is somewhat controversial (notably in the Global South), there is compelling evidence that it is both relevant and effective.

- **Community economic development:** RRI's work has translated into modest community economic development benefits and opportunities for local populations (e.g. China, Nepal and Colombia).

Sustainability

A review of RRI's financial situation demonstrates that it is financially healthy and stable. The MTE found room for improving the management and allocation of RRI's human resources in light of the Coalition's renewed focus on national level implementation. Cognizant of the need for doing so, RRI undertook an organizational talent review in 2015, and has since been reorganizing country, regional and cross-cutting human resources.

A certain measure of free-riding has been recognzed as a persistent problem facing the RRI Coalition, raising concerns both about efficiency and membership. The extent of the problem remains unclear and a strategic response has yet to be crafted.

RRI has attracted the attention and significant financial commitments of individual and institutional investors such as the Sequoia Capital/Acacia Fund. This is an important direct and reputational contribution to RRI.

RRI's annual planning cycle and project-based funding approach tends not to favour the sustainability and resilience of RRI Collaborators and their efforts. Collaborators would prefer biennial strategizing, planning and funding cycles. This stands in tension with the fact that RRI was not designed to provide long-term programmatic support. Additionally, RRI's current funding model limits its ability to commit funds for longer periods.

Conflict-affected environments pose a constant threat to the sustainability of RRI's work. Cognizant of this matter, the Coalition initiated a discussion in 2015 on the issue of conflict sensitivity (notably with respect to the Tenure Facility). This is an important step towards developing a clear policy and concomitant strategies for dealing with conflict related issues in its focal countries.

Governance and management

RRI regularly reviews its governance and strategic direction. RRI maintains an annual planning, implementation and reporting cycle, in line with its original purpose and design; to strategically complement existing organizations and their programs. Nonetheless, this cycle is seen to be both short and strategically limiting by Collaborators. This points to the ongoing challenge facing RRI, of balancing different Secretariat, Partner and Collaborator preferences and priorities.

Coalition members consider RRI's monitoring and evaluation system as adequate, but note that it is not yet fully geared to provide data for tracking progress on both land *and* livelihoods at national, regional and global levels.

RRI monitoring mechanisms provide data for high-level decision making and reporting, notably for the Secretariat. Partners and Collaborators feel that there is room for improvement, particularly with respect to national level data, SRM monitoring, and in terms of the accessibility of data throughout the Coalition. Notably, RRI has yet to build a strong culture of learning across the Coalition.

RRI uses confusing terminology for levels of results (outputs, outcomes, impacts), which affects the coherence of its operations as well as its clear reporting to donors.

Recommendations

The recommendations derive directly from the findings in this report. They are annotated according to S*trategic Priority, Urgency,* and *Feasibility* on a scale of 1-3, where 1 is the highest.

1. As RRI focuses its efforts and resources on fewer countries, the Secretariat and national level Coalition members should collaborate in developing theories of change and strategies for each focal country. These should take into consideration the national context in terms of strategic, political, capacity, governance and resource factors. *Strategic Priority 1, Urgency 1, Feasibility 2*

2. RRI should clarify and communicate to all Coalition members the objectives, parameters and eligibility requirements for the Strategic Response Mechanism (SRM). *Strategic Priority 1, Urgency 2, Feasibility 1*

3. RRI should consider engaging the diversity of its Coalition members more strategically and effectively in pursuit of its overall research, analysis, advocacy, convening and networking, monitoring, and other work. *Strategic Priority 2, Urgency 3, Feasibility 2*

4. RRI should continue to cultivate and expand its relationships with the private sector (including in its countries of focus). Partners and Collaborators should be part of related discussions and initiatives. *Strategic Priority 1, Urgency 2, Feasibility 1*

5. RRI should continue to cultivate and expand its relationships with the governance sector (e.g. MegaFlorestais and other actors of relevance to land, forest, infrastructure and livelihoods related to governance). Partners and Collaborators should be part of related discussions and initiatives. *Strategic Priority 1, Urgency 2, Feasibility 1*

6. In each of its focal countries, RRI should develop strategic partnerships with organizations that specialize in complementary areas of work, including community economic development. *Strategic Priority 2, Urgency 2, Feasibility 2*

7. RRI should review and plan the future governance and structure of the Tenure Facility within 12-18 months, and should communicate related developments to the Coalition as a whole at regular intervals. *Strategic Priority 1, Urgency 2, Feasibility 1*

8. RRI should consider developing a process to both ascertain the extent of free-riding underway among Coalition members and to reinvigorate member commitments to the Coalition. *Strategic Priority 3, Urgency 3, Feasibility 2*

9. RRI should consider the benefits of a biennial or multi-year planning cycle with funds disbursed annually. This could enhance strategic thinking, learning and resilience across the Coalition. *Strategic Priority 2, Urgency 2, Feasibility 3*

10. RRI should clarify the information, tracking and learning needs of the Coalition as a whole, Secretariat, Partners and Collaborators, and develop a monitoring and evaluation system that meets these needs. *Strategic Priority 1, Urgency 2, Feasibility 2*

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Acronyms

ADB	African Development Bank
AMAN	Indigenous Peoples Alliance of the Archipelago
ANR	Annual Narrative Report
APMR	Annual Program Monitoring Report
CCP	Communist Party of China
CED	Centre for Environment and Development
CFEs	Community Forestry Enterprises
CFS	(United Nations) Committee on World Food Security
CIFOR	Center for International Forestry Research
COONAPIP	National Coordinating Body of Indigenous Peoples in Panama
CSO	Civil Society Organization
CSR	Corporate Social Responsibility
DAC	Development Assistance Committee (of the OECD)
DRC	Democratic Republic of the Congo
FAO	Food and Agriculture Organization of the United Nations
FECOFUN	Federation of Community Forestry Users Nepal
FLEGT	Forest Law Enforcement, Governance and Trade
FPII	Framework Proposal II
GIZ	Gesellschaft für Internationale Zusammenarbeit
HUMA	Association for Community and Ecology-Based Law Reform (Indonesia)
IDRC	International Development Research Centre
IFRI	International Forestry Resources and Institutions
ILC	International Land Coalition
ILO	International Labour Organization
IPOP	Indonesia Palm Oil Pledge
IUCN	International Union for Conservation of Nature
KPA	Consortium for Agrarian Reform
Lao PDR	Lao People's Democratic Republic
M&E	Monitoring & Evaluation
MOU	Memorandum of Understanding
MTE	Mid-Term Evaluation
NGO	Non-Governmental Organization

Acronyms

Norad	Norwegian Agency for Development Cooperation
OECD	Organization for Economic Co-operation and Development
REDD (UN-REDD, or REDD+)	Reducing Emissions from Deforestation and Forest Degradation
RRG	Rights and Resources Group
RRI	Rights and Resources Initiative
SDC	Swiss Agency for Development and Cooperation
Sida	Swedish International Development Cooperation Agency
SMEs	Small and Medium Enterprises
SMFEs	Small and Medium Forest Enterprises
SRM	Strategic Response Mechanism
TEBTEBBA	Indigenous Peoples' International Centre for Policy Research and Education (Philippines)
UN	United Nations
UNFCCC	United Nations Framework Convention on Climate Change
US	United States
USD	US Dollars
VGGTs	Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security
WRI	World Resources Institute

1   Introduction

1.1   Background

The Rights and Resources Initiative (RRI) was created in 2005 as a coalition of five research, conservation and development organizations[1] dedicated to rights-based approaches to conservation and poverty alleviation, and who saw a need to advance pro-poor forest and land tenure reforms globally. The value proposition of RRI was that, with "a limited incremental investment in improved coherence and coordination, organizations can dramatically increase their contribution to the rights, dignity and development of forest-dependent people globally as well as to forest conservation and more equitable economic and social development." Today, there are 13 Partner organizations in the RRI Coalition and some 150 Collaborator organizations (see Chapter 2 Profile).

1.2   Purpose and Scope of the Assignment

In its Framework Proposal: 2013-2017 (FPII), RRI committed to conducting a Mid-Term Evaluation (MTE) of progress achieved at its midway point.

The mid-term evaluation is intended to inform the RRI Coalition's strategic thinking about responding to the changing global environment, help guide decision making based on RRI's strengths, capacities, constraints and opportunities, and provide recommendations to improve performance for attaining FPII objectives in the remaining period.

As described in the Terms of Reference (see Appendix I), the scope of work for the MTE was to:

- Evaluate the overall approach of the RRI coalition in advancing enhanced global commitment and action on tenure and policy reforms in the global context;

- Review RRI's outcomes to date;

- Identify the cause of discrepancies (including bottlenecks) between outputs and outcomes sought and those actually being delivered by RRI; and

- Produce options for the development of RRI to increase chances of reaching the FPII output and outcome targets.

The MTE did not assess impacts, which will be examined at the end of the FPII period.

1.3   Methodology

The following is a summary of the methodology. The full methodology is presented in Appendix II.

Guided by OECD-DAC's Evaluation Quality Standards and Guidelines, the evaluation was utilization-focused, building on 7 years of Independent Monitoring reports, and notably that from 2014. It used a mixed methods approach that included document review, extensive desk study, a global survey, and fieldwork in Indonesia, West Africa and Panama.[2]

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[1] Center for International Forestry Research (CIFOR), Forest Trends, International Union for Conservation of Nature (IUCN), International Development Research Centre (IDRC), and the Ford Foundation

[2] Fieldwork in Indonesia and in West Africa was undertaken on location. In Panama, it was undertaken virtually.

Data collection and analysis were guided by an evaluation matrix (see Appendix III) outlining the main evaluation dimensions, key questions and sub-questions, indicators, and means of verification.

Document review was pursued in two stages: 1) a review of documentation related to RRI generally and FPII more specifically (including donor reports, quarterly updates, annual strategy and workplan reports, and external monitoring and evaluation reports); and 2) a desk review of country-specific documents for all FPII countries, notably Annual Progress Monitoring Reports (APMRs). A list of documents reviewed is presented in Appendix IV.

Semi-structured interviews were conducted with 61 stakeholders including RRI leadership, Partners, Collaborators, donors, key global, national and private sector actors. Appendix V presents a list of stakeholders consulted.

Country Visits: Three countries/regions were selected for either in-country or virtual visits: Indonesia, West Africa, and Panama.

A global survey was sent to 61 key stakeholders; 47 responses were received, 22 of which were complete (including 5 from Partners, 12 from Collaborators, 1 from the private sector, 2 from donors, and 2 from "others"). The response rate overall is high, at 36%. However, as explained in Appendix II on Methodology, the actual sample of private sector actors, donors and "others" to which the survey was sent is too low as a percentage of total RRI members per category of stakeholder to be statistically robust. Therefore, reporting on survey data could only specifically be disaggregated robustly for Partners and Collaborators (which is in line with RRI priorities). Survey data are presented in Appendix VIII.

Following the data collection phase, the evaluation team shared preliminary findings with RRI leadership on 14 August 2015. The draft report was submitted on 28 August 2015. Following two rounds of comments, the final report was submitted on 18 December 2015.

1.4   Report Overview

Following this introduction, the report is organized as follows:

- Chapter 2 presents a profile of RRI
- Chapter 3 discusses the context and relevance of RRI and its programs
- Chapter 4 examines RRI's progress towards its intended results (outcomes, outputs)
- Chapter 5 assesses RRI's effectiveness in terms of its strategies
- Chapter 6 assesses RRI's effectiveness in terms of its roles
- Chapter 7 discusses RRI's sustainability
- Chapter 8 reviews RRI's governance and management systems
- Chapter 9 provides recommendations for RRI and the Secretariat.

This final report has been revised in collaboration with RRI leadership following the Secretariat's initial review.

2   Profile of RRI

2.1   The RRI Coalition Structure and Approach

RRI is a global coalition of organizations. It is supported by the Washington-based Rights and Resources Group (RRG), which serves as the Coalition's Secretariat (and referred to throughout this report as 'the Secretariat'). At the time of writing, RRI comprised 13 Partners and 150 Collaborators around the world (with some 90 Collaborators actively engaged).[3]

RRI Partners (see sidebar) are politically visible in the Coalition, having formally agreed to the FPII Memorandum of Understanding (MoU). Their logos appear on major RRI publications and they take part in Coalition governance.

While RRI Collaborators are less formally connected to the Coalition than Partners, they are nonetheless directly engaged at the level of national implementation through program and strategic activities.

RRI maintains a close relationship with its donors (see sidebar).

Finally, RRI has informal associations with a wide group of actors, referred to in this report as the RRI constellation. This includes private sector organizations involved in the Interlaken Group (e.g. Nestlé, Stora Enso) and government ministers comprising the MegaFlorestais Network.

The RRI Coalition is a communication system through which relevant and timely information is shared and acted upon. RRI is also a networking mechanism that provides ongoing opportunities for diverse and multi-sectoral and multi-level actor interaction. The RRI Coalition also acts as a convenor, creating opportunities for Coalition members and the wider RRI constellation to network, communicate strategically, and engage in processes to advance customary forest and land tenure rights. While most of its work is pursued through planned programs, the Coalition also responds to emerging opportunities through its Strategic Response Mechanism (SRM).

RRI Coalition Partners

Centre for Environment and Development (CED)

Center for International Forestry Research (CIFOR)

Civic Response

FECOFUN

International Forestry Resources and Institutions (IFRI)

Helvetas Swiss Intercooperation

Forest Trends

World Agroforestry Centre

Prisma

TEBTEBBA

The Samdhana Institute

The Center for People and Forests

Forest Peoples Programme

RRI Donors

Department for International Development (DFID)

Ford Foundation

Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)

Ministry of Foreign Affairs for Finland

Norwegian Agency for Development Cooperation (Norad)

Omidyar Network

Swedish International Development Cooperation Agency (SIDA)

Swiss Agency for Development and Cooperation (SDC)

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[3] A list of RRI Partners and Collaborators is available at: http://www.rightsandresources.org/who-we-are/partners-collaborators/ (Consulted 2 November 2015).

2.2 Results Framework

In April 2012, RRI published its Framework Proposal: 2013-2017 (FPII), articulating its evolving contextual challenges, strategic structure, and programmatic approach. It elucidated strategies and practices for responding to the challenges and advancing collective forest and land rights recognition at global and national levels and across public and private sectors around the world.

Integrating a results-based approach and results targets, the FPII logical framework (logframe) specifies the results to be achieved for the period of 2013-2017 (overall impact, outcomes, outputs, activities) and provides indicators for the measurement and monitoring of results. The complete logframe is presented in Appendix VI. The following is a summary of intended results.

Impact: Improved governance of forest areas in developing countries for poverty reduction, biodiversity conservation and climate resilience

Outcome: Tenure, governance and market reforms that secure local rights to own, control and benefit from natural resources.

Outputs:

- Tenure legislation, policy and regulatory frameworks recognize and strengthen the rights of local communities and Indigenous Peoples in a subset of countries in Africa, Asia and Latin America.

- Market, trade, investment or conservation legislation and policies adopted or implemented by governments that strengthen Indigenous Peoples' and local communities' rights, enterprises, benefits and incomes in a subset of countries in Africa, Asia, and Latin America.

- Strategic national-level coalitions of CSOs or global climate or forest trade initiatives actively committed to and engaged in advancing national-level tenure and governance reforms.

- Private sector entities actively support tenure and governance-related reforms, and support community-governed production and management in the countries where they operate.

Quantifiable results[4]

- An increase of 100 million hectares of forest owned or administered by Indigenous Peoples and other local communities, which will bring the total such forest area in developing countries to 35% of the total developing country forest estate, up 8% from the 2008 baseline of 27%.

- Over the five-year FPII period, RRI seeks to play a central role in improving the livelihoods and income of 500 million forest-dependent people.

2.3 RRI Revenue and Budget

Overall revenue

Over the past four years, RRI's overall revenue has grown annually, from USD 7,352,640 in 2011, to USD 10,606,715 in 2013, to projected revenue for 2015 of USD 12,948,764.

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[4] Rights and Resources Initiative Framework Proposal II 2013-2017, p. ii

For the past three years, RRI has carried over a sizeable surplus of accumulated funds in its balance sheets. The end-of-year cash equivalents were USD 2,755,693 in 2012, USD 2,798,000 in 2013, and USD 2,410,325 in 2014.[5]

The 2015 budget contained USD 462,297 of unfunded activities, representing 3.6% of the Coalition's budget.

Donor contributions

DFID remains the largest donor to RRI, contributing USD 4.3 million in projected revenue for 2015, which is almost 40% of RRI's budget, excluding the Tenure Facility. Ten other framework donors and contributors were projected to provide USD 6.2 million in 2015, again excluding the Tenure Facility, for a total project revenue of USD 10.5 million.

Annual program budget

According to the 2015 Program Book, the proposed Framework Program budget for 2015 was USD 12.8 million, excluding the Tenure Facility. Of this total, just under USD 7 million was allocated to Partner and Collaborator activities (including for collective agreements, SRM, participant travel expenses, and collaborating program consultants) with the remaining proposed funds (USD 5.7 million) allocated to Secretariat expenses.

The 2015 budget represents an increase from previous years of 10.9 million (2014), and 11.4 million (2013). Exhibit 2.1 provides a breakdown of the country and regional programming budget in 2015, for a total of USD 4.9 million.

Exhibit 2.1 RRI Country and Regional Program Budget (2015)

Country & Regional Programs	Budget (USD)	Country & Regional Programs	Budget (USD)	Country & Regional Programs	Budget (USD)
Africa (total)	**1,952,269**	**Asia (total)**	**1,659,925**	**Latin America (total)**	**1,247,495**
Cameroon	288,000	China	210,000	Peru	130,000
DRC	305,000	Nepal	231,116	Colombia	126,000
Liberia	100,000	India	283,000	Guatemala	110,000
Senegal	200,000	Indonesia	290,000	Bolivia	65,000
Mali	195,000	Lao PDR	20,000		
Burkina Faso	115,000				
Ghana	50,000				
Africa Regional	90,000	Asia Regional	50,000	Latin America Regional	280,000
Africa Facilitation	165,000	Asia Facilitation	165,000	Latin America Facilitation	173,000
RRG Africa Coordination & TA	444,269	RRG Asia Coordination & TA	410,809	RRG Latin America Coordination & TA	363,495

[5] Figures for 2011 and 2012 are from RRI's FPI (and not FPII) period. They are included to provide perspective over time, showing both progression and consistency.

Administrative and other costs

According to the 2015 Program Book, the proposed budget for finance and administration was USD 1.65 million, or 13% of the proposed 2015 budget. This cost includes facilities, accounting, auditing and financial compliance, human resources and IT systems management, staff development and capacity building, fundraising and so forth (including for the Tenure Facility).

RRI's latest available audited financial statements (Year Ended 31 December 2014) indicated the following administrative and other 'functional' expenses. The audited financial statements did not provide a breakdown of specific finance and administration expenses.

Exhibit 2.2 Expenses for Year Ended December 31, 2014

Line Items	Program Expenses [6]	Management, General and Fundraising Expenses	Total Expenses	
	USD	USD	USD	% of total
Grants	3,424,694	90	3,434,784	33%
Salaries and related expenses	1,711,271	1,296,873	1,310,360	13%
Consultants	1,567,499	100,895	1,668,394	16%
Publications	467,019	--	467,019	4%
Office expenses	42,553	166,799	209,352	2%
Occupancy	273,008	55,054	328,062	3%
Staff travel	346,659	262	346,921	3%
Participant travel	425,232	--	425,232	4%
Conference	288,222	2,378	290,600	3%
Depreciation	82,247	16,586	98,833	1%
Miscellaneous	6,974	106,011	112,895	1%
Total Expenses	**8,635,378**	**1,758,345**	**10,393,723**	**100%**

RRI Funding

RRI Coalition Partners and Collaborators receive financial support as part of their RRI involvement, either through program funding or the SRM. At least 90% of all funded work undertaken by the RRI Coalition is programmatic. It is planned for annually and responds to strategic and operational needs articulated by RRI Coalition members. In addition, up to 10% of all non-administrative funds are disbursed through the SRM. In 2014, USD 582,650 was allocated to Partners and Collaborators to undertake 11 SRM activities, out of an annual program budget of USD 12.8 million.[7]

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[6] Includes: Communications, Coordination, Country/Regional Programs, Networks, Strategic Analysis, Strategic Initiatives

[7] This will change for the remainder of the FPII period, as RRI's Board approved an increase to the SRM budget in September 2015, from a maximum of 10% to no more than 20%. This matter is discussed below in Chapter 5.

Overall, funding available to Partners and Collaborators has steadily increased over the last eight years, as shown in Exhibit 2.3.

Exhibit 2.3 Division of Expenditures (2008-2015)
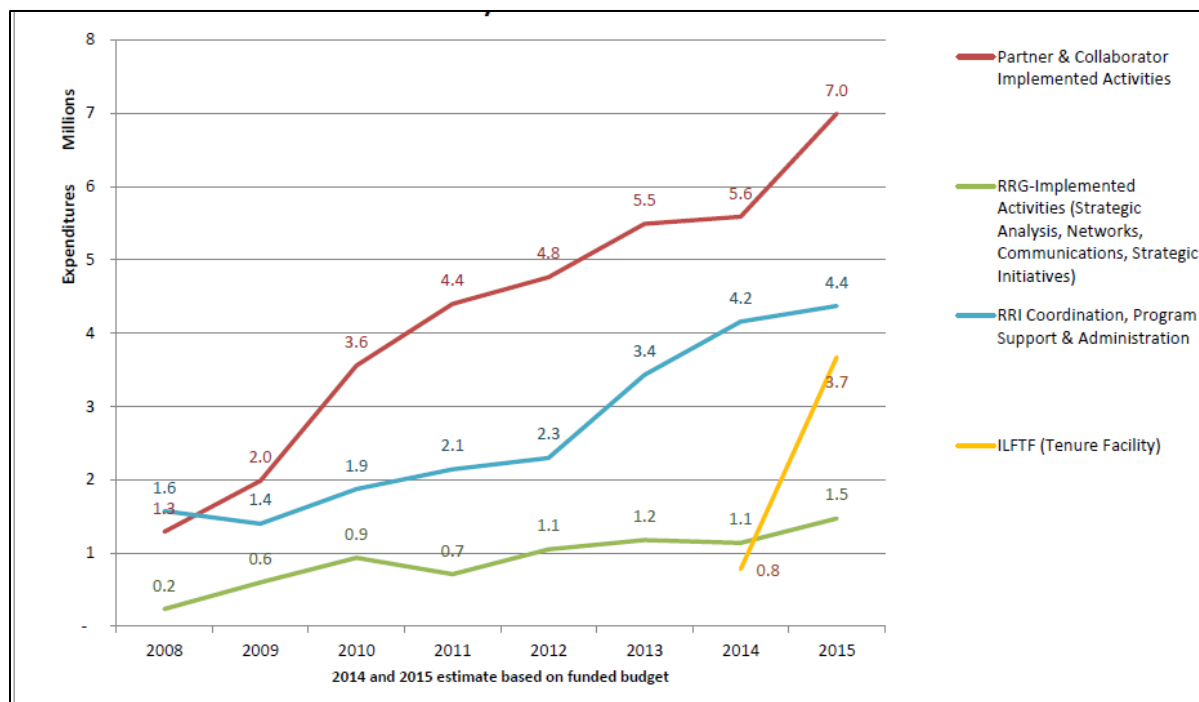
Partners & Collaborators include all collaborative agreements, program consultants, and participant travel/lodging paid or reimbursed by RRG.

3 Context and Relevance of RRI

3.1 Context

In 2015, forest areas covered 31% of the world's surface.[8] They are located mostly in the equatorial region, namely in Brazil, Congo and Indonesia (Exhibit 3.1). From an ecological perspective, forests are a critical resource. They concentrate over 80% of the global terrestrial biodiversity[9] and are important for carbon storage. "As of 2005, 67% of the world's carbon was stored in forests and drylands."[10]

Forests are also vital for global sustainable development. On the one hand, forests are connected to water, energy, food security and climate and represent a key pillar of the Earth's well-being. On the other hand, forests, as a major economic asset, provide ecological goods and services and livelihoods opportunities that enable human societies to address many development challenges. These include poverty alleviation and eradication, environmental sustainability, food security and agriculture, energy, clean water and watershed protection, biodiversity conservation, climate change mitigation and adaptation, combating desertification and land degradation, and disaster risk reduction.

Exhibit 3.1 The World's Forest Cover Density (%) (2010) — FAO
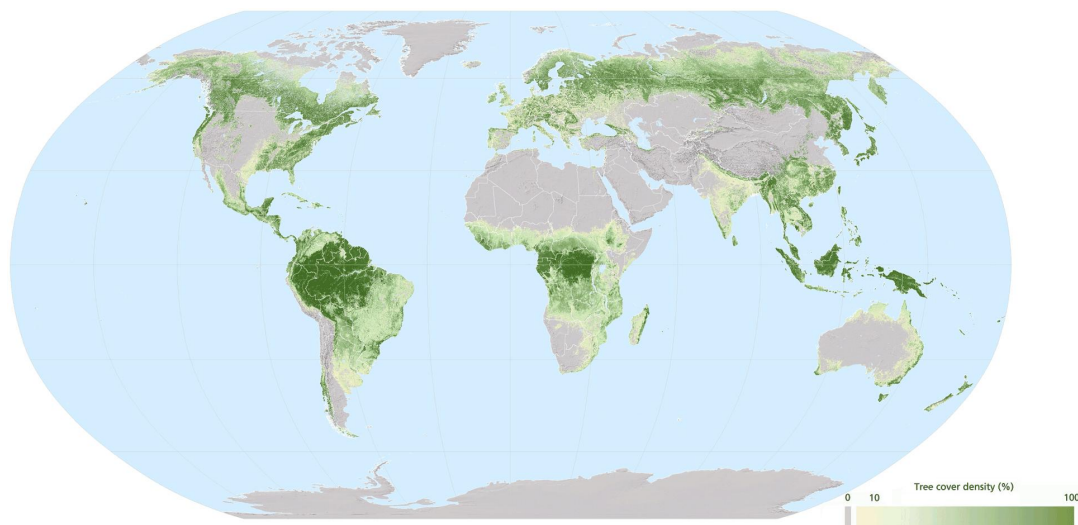
More than 1.6 billion people worldwide rely on forests for ensuring their basic needs, namely food, medicines and fuel, as well as jobs and livelihoods. Nearly 60 million indigenous peoples are almost completely dependent on ecological goods and services provided by forests.[11] The World Bank

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[8] FAO (2010). Global Forest Resources Assessment 2010. FAO Forestry Paper 163. Document available at http://www.fao.org/docrep/013/i1757e/i1757e.pdf (Consulted on 15 August 2015).

[9] Hassan, R., Scholes, R. & Ash, N. (eds) (2005). Ecosystems and Human Well-Being: Current State and Trends, Volume 1. Washington, D.C.: Island Press. Document available at http://www.millenniumassessment.org/documents/document.766.aspx.pdf (Consulted on 15 August 2015).

[10] Rights and Resources Initiative, Framework Proposal II, http://www.rightsandresources.org/wp-content/uploads/Framework-Proposal-II-for-2013-2017.pdf (Consulted on 15 August 2015).

[11] The International Bank for Reconstruction and Development & the World Bank (2004). Sustaining Forests: A Development Strategy.

estimates that approximately 90% of the 1.2 billion people living in extreme poverty depend on forests. It is estimated that nearly 80% of the world population use medicine from forest resources and approximately 90% of the consumption of fuel wood and charcoal takes place in developing countries.[12]

Further, forests generate significant incomes for people, countries and global trade, and over 10 million jobs in the formal forest sector[13] and many more employment opportunities for seasonal and informal workers around the world. In 2009, it was estimated that the formal forest sector accounted for 1% of global gross domestic product (GDP) (from round wood production, wood processing and pulp and paper) with a total value of nearly USD 468 billion.[14]

Despite this, deforestation and forest degradation are underway. Worldwide, in the period 2000-2010, around 13 million hectares of forest were converted to other uses or lost through natural causes each year, including some of the most biologically diverse habitats on Earth. While the deforestation rate was particular high in the 1950s, 1960s and 1970s as a result of economic growth and the increasing needs of the world's population, deforestation, mainly the conversion of tropical forests to agricultural land, has registered a decreasing trend in the last few years.

Afforestation and the natural expansion of forests (primarily temperate and boreal forests) have reduced the net loss of forests, which fell from an average of 8.3 million hectares annually in the 1990s to 5.2 million hectares per year between 2000 and 2010. This reduction in deforestation can be attributed to important measures undertaken at global and national levels. Countries such as Brazil, Costa Rica, Chile, Rwanda, China and Viet Nam have worked to combat deforestation and to increase opportunities for sustainable management of forests, primarily through forest and land tenure reform. However, other countries continue to record alarming deforestation rates.

Since its inception, RRI's work has focused on forests at two levels. First, it has advocated for increased recognition of the customary land and resource rights of forest dwelling Indigenous Peoples and local communities. Second, it has worked to hold governments to account, where they have made commitments related to forests. Overall, RRI has provided support to Indigenous Peoples and local communities in securing and managing forests, land, and natural resources. Framing its objectives, which include improving local livelihoods through tenure reform, RRI notes in its Framework Proposal II (FPII) that:

> *Forests and drylands in developing countries constitute almost 40 % of the Earth's land surface (almost 6 billion hectares) and house over 40% of the Earth's population. These more than 3 billion people are among the world's poorest and most marginalized, with legally unrecognized customary land and resource rights and thus vulnerable to land grabbing, deforestation and ecosystem degradation.*

In response, RRI's FPII makes the following points, which explain and support its mandate to "*establish a world with more just and secure access to land and natural resources*":[15]

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[12] Lele, U., Karsenty, A., Benson, C., Festiveau, J., Agarwal, M. & Goswami, S. (2012). Changing Roles of Forests and their Cross-Sectoral Linkages in the Course of Economic Development. Background paper prepared for the United Nations Forum on Forests. Available at http://www.un.org/esa/forests/pdf/aheg/aheg2/Forests_and_Cross-%20Sectorial%20Linkages_draft21Dec.pdf (Consulted on 15 August 2015).

[13] FAO (2010). Global Forest Resources Assessment 2010. FAO Forestry Paper 163. Available at http://www.fao.org/docrep/013/i1757e/i1757e.pdf (Consulted on 15 August 2015).

[14] FAO (2009). State of the World's Forests. Rome: FAO. Available at ftp://ftp.fao.org/docrep/fao/011/i0350e/i0350e.pdf (Consulted on 25 September 2015).

[15] RRI website, http://www.rightsandresources.org/ (Consulted on 2 November 2015).

- There is unprecedented global interest in community lands and resources that threatens local, national and global security and development.

- Insecure and unjust tenure and weak governance undermine progress on global goals of alleviating poverty, advancing women's rights and gender equity, and reducing illegal logging, conflict and greenhouse emissions.

- There is unprecedented demand from key governments, conservation and development organizations, and private investors for technical support and investment on tenure and governance reforms.

- There has been significant progress in recent decades in recognizing local tenure rights, addressing illegal logging and trade, and transforming forestry and agricultural supply chains to adhere to social and environmental standards.[16]

3.2   RRI's Relevance in the Global Context

Finding 1:   Consulted stakeholders agree that RRI is perceived as a world leader in working towards the recognition of collective, and particularly Indigenous Peoples' forest and land tenure rights.

Some 10 years ago, collective forest rights issues were not on the agenda. Arguably, RRI was (among) the first to highlight and advocate for their recognition. This view is widely shared by people across the RRI network, including Partners, Collaborators, governments, and key donors. As one RRI donor expressed it, "*[t]hey [RRI] were among the first to strategically emphasize the need for forest and community tenure. That was not a big issue 10 years ago… My impression is that they are avant-garde.*"

In this respect, 77.2% of survey respondents fully agreed and 18.2% somewhat agreed that RRI's overall approach to advancing pro-poor forest and land tenure has been relevant to the present global context. This reflects a general endorsement of RRI's work and relevance. Data disaggregation supports this perception (75% of Collaborators fully agreed and 17% somewhat agreed; 60% of Partners fully agreed and 40% somewhat agreed).

Despite RRI's contributions in this area, there remains much to be done towards achieving greater formal recognition of customary forest and land rights and enforcement of these rights for Indigenous Peoples and local communities (see Exhibit 3.2).

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[16] Framework Proposal II, *op.cit.*

Exhibit 3.2 Current state of tenure rights in selected countries where RRI operates[17]

High % of collective land ownership (30% or more)	Low % of collective land ownership (less than 30%)	Data not available
Bolivia (36%)	Guatemala (17%)	Burkina Faso
China (49%)	Nepal (13%)	Mali
Colombia (34%)	Cameroon (9%)	Senegal
Liberia (32%)	DRC (0%)	
Peru (35%)	India	
	Indonesia (0.19%)	
	Lao (0.10%)	
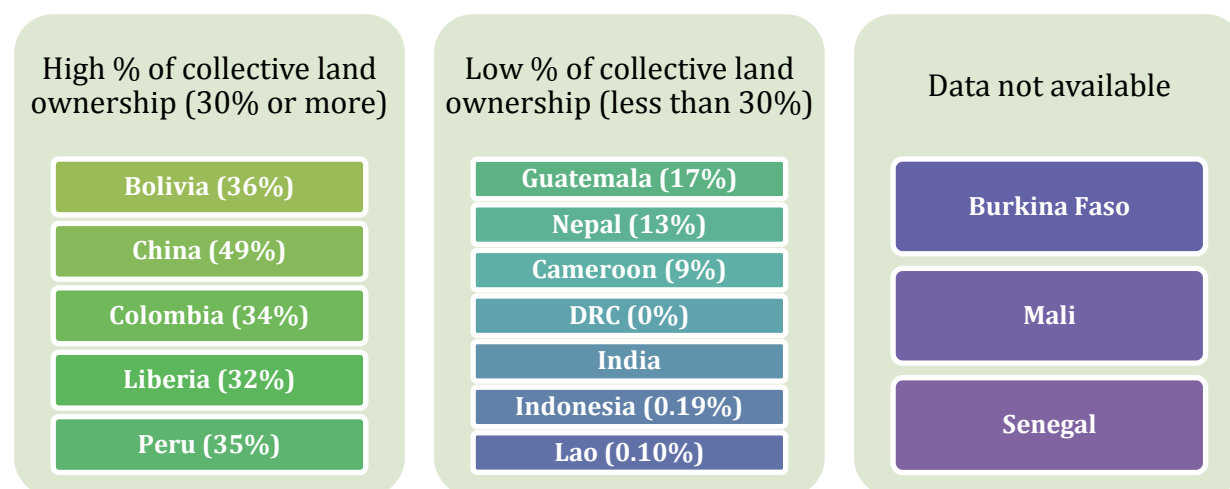
3.3   RRI's Relevance in National Contexts

Finding 2:   **RRI's adaptation to the unique complexities of each national context is a key source of its relevance at the national level.**

In recent years, RRI has been increasingly deepening its engagement at the national level in its efforts to obtain legal recognition and enforcement of customary forest and land rights.

In 2015, RRI leadership decided to focus its resources on six countries in which the RRI Coalition has a strong potential to influence major national tenure reform. While the selected priority countries will be reassessed annually, for 2016 RRI has selected Indonesia, India, DRC, Liberia, Peru, and either Colombia or Mexico. From a strategic perspective, this refocusing reflects the Coalition's appreciation that global recognition of forest and land tenure rights does not automatically translate into concrete implementation of these rights at the national level; this requires a concerted drilling down of efforts.

RRI's recent reorientation is understood as a shift from focusing on global rights recognition to national rights implementation, as well as "*holding actors accountable at national level for global commitments*", as explained by RRI leadership.

> "*I think RRI has a special strength in the way they adapt and develop new approaches and initiatives at pace with a changing environment. They are well-informed, innovative and dare to take calculated risks.*" – RRI Donor

This shift is perceived as strategically important across the Coalition. Indeed, 96% of survey respondents expressed clear support for the statement that "RRI's overall approach with respect to advancing pro-poor land tenure remains relevant to the changing global context" (68.2% fully agreed and 27.8% somewhat agreed). Data disaggregation supports this perception: 66.7% of sampled Collaborators fully agreed and 25% somewhat agreed; 60% of Partners fully agreed and 40% somewhat agreed.

The shift in orientation stems from an awareness that, in some countries, there has been important and significant progress on rights implementation (e.g. Indonesia, Colombia, China), in others there

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[17] Source**:** RRI, *Who Owns the World's Land? A global baseline of formally recognized indigenous and community land rights*, September 2015. Available at: http://www.rightsandresources.org/publication/whoownstheland/ (Consulted on 2 November 2015)

has been little progress (e.g. India, Peru), and in yet others there has been what is characterised as 'roll-back' (e.g. Lao PDR). The MTE Team finds that RRI is striving to use available resources to support tangible outcomes in the countries where it is involved.

RRI Partners, Collaborators and the wider constellation are engaged in and committed to their participation in the Coalition. RRI programming was understood to be relevant to the work of Collaborators and Partners. Indeed, 92% of Collaborators and 100% of Partners who answered the survey fully agreed or somewhat agreed with the statement that, "RRI's FPII programming is relevant to my organization's priorities."

Finding 3:   The RRI Coalition operated and is perceived differently in different national contexts.

The RRI Coalition has operated in and is perceived quite differently in different national and regional contexts. This is particularly evident in the contextually relevant way the Coalition leverages the RRI brand and its visibility in different national contexts.

In Cameroon, for example, the national level movement has reported experiencing greater credibility and increased political weight when leveraging the RRI brand publicly. Comparatively, in Indonesia, RRI has been most effective when operating behind the scenes, given the recent government's suspicion of foreign actors and foreign-led movements (noting that RRI's Secretariat is Washington based).

Given this range in perceptions of RRI, the diversity of RRI's practices and visibility, and in line with the statements of the vast majority of interview respondents, it is fair to say that RRI understands and effectively responds to the challenges arising from a national-level implementation orientation. It does not, however, have explicit national-level theories of change for each of the countries in which it works.

4 RRI Progress toward Planned Results

4.1 Overview

This chapter discusses RRI's effectiveness in terms of progress towards the results outlined in the FPII logframe presented in Appendix VI.

The following findings and Appendix VII (a summary of progress at the country level with respect to tenure legislation reforms) provide evidence that the RRI Coalition and its Partners and Collaborators contribute to the outcome and outputs outlined in the FPII Logframe.

Information on progress towards outcomes was taken from and validated through various sources, including the annual RRI Program Strategies report, the annual RRI progress reports, independent monitoring reports and RRI publications. Of note, RRI has only recently begun to systematically track the percentage and number of hectares of land under collective/Indigenous ownership through the 2015 *Who Owns the World's Land* report. Information presented below is therefore rather disparate, but lays the groundwork for more systematic monitoring in the future as RRI continues to monitor collective tenure rights around the world.

Finding 4:   There is much information in support of RRI's effectiveness in contributing to the recognition and enforcement of forest and land tenure reforms.

RRI reports provide ample evidence that the Coalition is contributing to progress towards recognition and enforcement of forest and land tenure reform legislation – although the link between RRI outputs and outcomes at the country and global level is somewhat difficult to demonstrate. The evidence of progress towards RRI's outcome and outputs is discussed in the sections that follow.

At the same time, some RRI members noted that they do not have sufficient information to assess whether RRI is adequately making progress towards its objective of supporting the legal recognition of collective forest and land rights, and scaling up of tenure reforms.

According to survey data, nearly 1 out of 4 (23%) Coalition member respondents answered that they "do not know" whether RRI has effectively contributed to the scaling up of reforms (40% of Partners and 16.6% of Collaborators). In semi-structured interviews, some Coalition members (notably Collaborators and Donors) indicated they did not yet have adequate or sufficient information to pass judgment about RRI's contribution to scaling up and acceleration of reforms. This speaks to RRI's monitoring and evaluation system, a matter addressed in Chapter 8.

4.2 Progress towards FPII Outcome

Finding 5:   There is some evidence of progress toward the FPII outcome, but limited country data related to progress on RRI targets.

The FPII Logframe's main outcome – "Tenure, governance and market reforms that secure local rights to own, control and benefit from natural resources" – sets out two ambitious targets to be achieved by 2015 (based on an updated baseline from 2008):

- An increase of 35 million hectares of forest lands under formally recognized ownership or control of Indigenous Peoples, forest communities.

- An increase of 175 million people in indigenous territories and forest communities in developing countries that benefit from strengthened rights to forest lands and resources.

These are *global targets*. Neither the Logframe nor the country/regional work-plans of 2013, 2014 and 2015 provide specific regional/country targets to achieve in terms of hectares formally recognized or number of peoples benefitting from strengthened rights. These targets are not mentioned either in the yearly strategic priorities or in the global programs work-plan.

Data on progress towards these two targets is limited and quantified information on these two key indicators is available for only a limited number of countries (e.g. Burkina Faso, Cameroun). Most annual country progress reports describe activities conducted and progress achieved, but not on the number of hectares of forest land formally recognized as collectively owned,[18] nor on the number of people who have benefitted from strengthened tenure rights.

The limitations of RRI's data collection and progress reporting are further discussed in section 8.3.

Exhibit 4.1 summarizes progress toward RRI's intended outcome targets.

Exhibit 4.1 Progress towards FPII Outcome Targets

Planned Results (2013-2017 period)	Progress toward FPII outcome from 2013-2015
Outcome: Tenure, governance and market reforms that secure local rights to own, control and benefit from natural resources.	
Two quantifiable results (outcome indicators)	
An increase of 100 million hectares of **forest** owned or administered by Indigenous Peoples (IP) and other local communities (LC), which will bring the total such forest area in developing countries to 35% of the total developing country forest estate, up 8% from the 2008 baseline of 27%.	A 2015 baseline report (Who Owns the World's Land?) shows that, of 15 countries where RRI was active: • In 5 countries, the percentage of collective land ownership is 30% or more (Bolivia, China, Colombia, Liberia, Peru) • In 7 countries, the percentage of collective land ownership is less than 30% (Guatemala, Nepal, Cameroon, DRC, India, Indonesia, Lao). This data was not available for Burkina Faso, Mali and Senegal. However, RRI annual monitoring and progress reports show that the following has been achieved stemming in part from RRI interventions: 50 hectares of forest land under formal local ownership in Burkina Faso. 30,000 ha in Cameroon (in 2012), and 41,672 ha in 2014 (through participatory mapping). Of 64 countries assessed in the 2015 baseline report, the latest available data shows that 18% of these countries' area is designated for or owned by Indigenous Peoples and local communities. However, the report does not systematically track whether these numbers are rising or falling. In the 2014 annual progress report, Peru provided an estimate of expected achievements if RRI-supported initiatives are successful: • In Peru in 2013, RRI collaborators AIDESEP (Asociación Interétnica de Desarrollo de la Selva Peruana) successfully worked with the Peruvian Government to formally get

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[18] In RRI's annual monitoring reports and the 2015 global baseline report, *Who Owns the World's Land?,* no data are available on the total number of hectares of **forest** owned or administered by Indigenous Peoples and other local communities, but data are available on the hectares of **land** owned or administered by Indigenous Peoples and local communities. It is not clear whether the land owned and administered is restricted to forest land or simply "land" which we assume to be a broader category than forest land.

Planned Results (2013-2017 period)	Progress toward FPII outcome from 2013-2015
	approval for the creation of five new territorial reserves covering around 4,285,985.94 hectares in the Peruvian Amazon. The creation of these 5 new reserves – which was threatened by the discovery of oil in these regions – should benefit Indigenous Peoples who voluntarily avoid contact with mainstream society (aka "uncontacted" Indigenous People).[19]
	Once gained, collective land rights are not always secured. The following examples are illustrative:
	• In Bolivia, extractive industries and infrastructure development are threatening the recognition of indigenous rights over 22 million hectares of land.
	• In Nepal (where only 13% of land is "designated" but not owned by Indigenous Peoples), enshrinement of community ownership rights in the new constitution remains uncertain as the draft constitution does not include communal rights (at the time of writing).
	Finally, China is a unique case, where 49% of land is currently owned by local communities due to China's history of collective tenure regime.[20] The country is transitioning towards various forms of property rights, including more private ownership. Although China is one of the countries with the greatest percentage and total hectares of collectively owned land, the RRI Coalition cannot claim to have meaningfully contributed to this situation.
In addition, over the five-year FPII period, RRI has sought to play a central role in improving the livelihoods and income of 500 million forest-dependent people.	• RRI Annual Monitoring Progress Reports do not provide global data on the number of forest-dependent people whose livelihoods and incomes are increasing, but certain countries provide indications that progress is being made, for instance:
	– In Guatemala, new Pro-Forest Law initiative would benefit close to 25,000 people according to estimates from the Asociacion de Comunidades Forestales de Petén (ACOFOP).
	– Mali provides data on the number of people who benefited from RRI interventions, although these numbers seem to come from participatory mapping activities rather than actual progress achieved. At least 45,500 stand to benefit from the creation of land commissions, although estimates vary widely, since a potential 170,000 other people stand to benefit from improvements in land management through the establishment of local conventions with Indigenous Peoples.[21]

Sources include: RRI (September 2015), *Who Owns the World's Land?*; RRI Report to DFID on Private Sector Focus (March 2015).

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[19] Norad (2015), "New reserves for "uncontacted people" established", Available at: http://www.norad.no/en/front/funding/climate-and-forest-initiative-support-scheme/grants-2013-2015/achievements/new-reserves-for-uncontacted-people-established/ (Consulted on 2 November 2015)

[20] Rights and Resources Initiative (2015), "Who Owns the World's Land", p. 21.

[21] Rights and Resources Initiative, Independent Monitoring Report (IMR) 2014 (for results in 2013), p. 44

4.3 Progress towards FPII Outputs

Finding 6: **There is ample evidence of progress toward the FPII outputs. RRI has met or exceeded expectations for the majority of its logframe outputs.**

The Coalition has contributed to important results at national and global levels. While there is no counter-factual data available, RRI progress reports provide plausible evidence that the RRI Coalition has made significant contributions to the collective forest and land tenure agenda.

According to the 2014 Independent Monitoring Report, "RRI has met or exceeded targeted result expectations in all but one of the Log Frame Outputs, for which notable contributions were nevertheless made."[22] See Appendix IX.

RRI appears to have surpassed its objectives, particularly with respect to the Outputs 1 and 4 (see Exhibit 4.2). With respect to its Output 1, RRI has surpassed its target of 3 tenure legislation or policy frameworks that work in favour of collective land ownership. With respect to Output 4 (engaging the private sector), RRI has surpassed its target of influencing one leading company so that it engages in international initiatives and mechanisms to secure community land rights. RRI's overall progress towards outputs is impressive.

RRI's progress toward its stated output targets from 2013 to 2015 is shown in Exhibit 4.2 and then discussed with supporting examples. Subsequent chapters delve more deeply into RRI's effectiveness with respect to how it has tried to achieve its planned results.

Exhibit 4.2 Progress towards FPII Output Targets [23]

Planned Results (2013-2017)	Progress toward FPII outputs (targets) from 2013- 2015
Outputs	
1. Tenure legislation, policy and regulatory frameworks recognize and strengthen the rights of local communities and Indigenous Peoples in a subset of countries in Africa, Asia and Latin America	1.1. Number of instances of tenure legislation or regulatory or policy frameworks in favour of Indigenous Peoples and local communities adopted or implemented, at least partially as a result of engagement with RRI. Targeted for 2014 = 3 Achieved = 4 1.2. Number of instances of regressive tenure legislation and exploitative industrial land grabs halted or modified to benefit Indigenous Peoples and local communities, at least partially as a result of engagement with RRI. Targeted for 2014 = 2 Achieved = 3
2. Market, trade, investment or conservation legislation and policies adopted or implemented by governments that strengthen Indigenous Peoples' and local communities' rights, enterprises,	2.1. Number of instances of land, agriculture, forest, trade, conservation, or carbon-market policies, regulations, or standards for investment that strengthen the land rights of Indigenous Peoples and local communities.

[22] The exception is Output 2.1. ("Number of instances of land, agriculture, forest, trade, conservation, or carbon-market policies, regulations, or standards for investment that strengthen the land rights of Indigenous Peoples and local communities") where no results were achieved.

[23] Source: Frechette, A. (March 2015) 2014 Independent Monitoring Report; RRI Report to DFID on Private Sector Focus.

Planned Results (2013-2017)	Progress toward FPII outputs (targets) from 2013- 2015
benefits and incomes in a subset of countries in Africa, Asia, and Latin America	Targeted for 2014 = N/D Achieved = 0 2.2. Number of instances of economic, fiscal or industrial development policies that strengthen Indigenous Peoples, local community or household forest management or enterprises. Targeted for 2014 = N/D Achieved = 1
3. Strategic national-level coalitions of CSOs or global climate or forest trade initiatives actively committed to and engaged in advancing national-level tenure and governance reforms	3.1. Number of national-level CSO platforms actively engaged in advising or implementing national- level tenure, governance and market reforms, as a result of engagement with RRI. Targeted for 2014 = N/D Achieved = 7 3.2. Number of key global initiatives (e.g. FLEGT, UNREDD, FCPF, FIP, adaptation, food security) committed and actively engaged in promoting national- level reforms in tenure, regulatory and governance arrangements, at least partially as a result of engagement with RRI. Targeted for 2014 = 1 Achieved = 1
4. Private sector entities actively support tenure and governance-related reforms, and support community-governed production and management in the countries where they operate	4.1 Number of tenure or governance-related commitments, or systems of standards, adopted or implemented by investors or firms operating in the agribusiness, infrastructure or extractive industry sectors, as a result of RRI's engagement with them. Targeted for 2014 = 2 Achieved = 2 4.2 Number of new mechanisms or initiatives that leverage public and private capital for tenure reforms, and/or actively promote community or household production, conservation or enterprises in the forest areas of the developing world, at least partially as a result of engagement with RRI. Targeted for 2014 = 1 Achieved = 2

Output 1: Tenure Legislation Reforms

Output statement: "Tenure legislation, policy and regulatory frameworks recognize and strengthen the rights of local communities and Indigenous Peoples in a subset of countries in Africa, Asia and Latin America."

When asked whether "RRI's programs advance tenure legislation, policy and regulatory frameworks which recognize the rights of local communities", 86% of respondents (with 80% of Partners and 84% of Collaborators) agreed; 9% neither agreed nor disagreed, and 5% did not know.

Results Achieved:

- Improvement in tenure legislation and policies in at least 6 of the 15 countries where RRI operates (new laws drafted/voted or decentralization processes adopted in Bolivia, Burkina Faso, Cameroon, Colombia, DRC, Indonesia).

- RRI surpassed its 2014 target (3 countries where favourable policies were adopted), by contributing to progress in 4 countries where tenure legislation or regulatory or policy frameworks in favour of Indigenous Peoples and local communities adopted or implemented:
  - **Cameroon**: Successful collaboration between REFACOF Cameroon and the Réseau des Parlementaires pour la gestion durable des Ecosystèmes Forestiers en Afrique Centrale (REPAR) leads to the integration/recognition of women's rights in the national land and forest tenure reforms.
  - **DRC**: A decree on the Concessions Forestières des Communautés Locales (02 août 2014) is signed into law after a decade long effort by DRC civil society.
  - **Senegal**: CSOs' proposals for securing collective tenure rights are discussed and adopted by the Senegalese national commission on land reform (CNRF), following a series of studies and workshop on community tenure.
  - **Indonesia**: Strategic analysis of the national regulations relative to forest gazettement and customary forest recognition (in support of the Indonesia constitutional court ruling) is incorporated in the Ministry of Law and Human Rights and KPK's legal review instruments.

> **Informing Land Reform Processes in Senegal**
>
> The President of Senegal's National Commission on Land Reform (CNRF) committed to taking local communities' concerns into account in the land reform process: RRI analyzed the 1964 land law and disseminated its findings at a workshop with the CNRF and other key stakeholders as well as through a policy note to be used in 2015 to further RRI's advocacy on the importance of land and forest tenure rights of local communities in land reform. Senegal's Land Governance Assessment Framework (LGAF) Module on forests has now been added, bridging a critical gap in the land and decentralization reform process in Senegal.
>
> **Annual Narrative Report, 2014**

- RRI contributed to progress in 3 countries where regressive tenure legislation and exploitative industrial land grabs were halted or modified to benefit Indigenous Peoples and local communities, at least partially as a result of engagement with RRI.
  - **Cameroon**: Institutionalisation process of participatory mapping in Cameroon by Cameroun Écologie results in the retrocession of 41,672.7 hectares to local communities by the Ministère des Forêts et de la Faune.
  - **Burkina Faso**: Advocacy by TENFOREST of Burkina Faso convinces mayor of Ouahigouya to put a stop to land partitioning for development purposes and returns 25 hectares of arable land to its original farmer/owner.
  - **Peru**: The Peruvian government recognizes the existence of Indigenous People in Voluntary Isolation and Initial Contact (PIAVCI) in four territorial reserves and issues the Supreme Decree No. 001-2014-MC, which declares the protection of the said territories in the Peruvian Amazon, including Madre de Dios, Isconahua, Murunahua, Mashco Piro, and Kugapakori.

Output 2: Market Reforms

Output statement: "Market, trade, investment or conservation legislation and policies adopted or implemented by governments that strengthen Indigenous Peoples' and local communities' rights, enterprises, benefits and incomes in a subset of countries in Africa, Asia, and Latin America."

When asked whether "RRI's programs contribute to pro-poor market-related reforms in local communities", 64% of respondents (with 60% of Partners and 67% of Collaborators) agreed, 5% disagreed, 14% neither agreed nor disagreed, and 18% did not know.

Results Achieved:

- Between 2012 and 2015, RRI surpassed its target and **influenced at least six countries** (Indonesia, Peru, Colombia, Mali, DRC, Guatemala) to make significant progress on reforms to secure community land rights, enabling it to develop lessons on market reform. Selected examples include:
  - **DRC:** RRI collaborators participated in efforts to convince the National Land Commission and Ministry of Land Affairs to use the RRI tenure baseline studies to inform the land reform process.
  - **Mali**: Dialogue on non-timber forest products (NTFP) in Mali yielded 14 recommendations on ways to sustainably promote NTFP enterprises and a verbal promise by Government officials to look into the factors that hinder their adoption.
  - **Guatemala**: ACOFOP and its partner organizations contribute to the improvement of administrative processes within the Ministry of the Environment to accelerate and simplify the approval of management plans for non-timber forest products, allowing categorisation to change from A to C. This category minimizes the cost of the license for the extraction of non-timber forest products.

Output 3: Coalitions Engagement

Output statement: "Strategic national-level coalitions of CSOs or global climate or forest trade initiatives actively committed to and engaged in advancing national-level tenure and governance reforms."

When asked whether "RRI's work in developing national level coalitions of CSOs advances pro-poor land reforms", 81% of survey respondents agreed (60% of Partners and 84% of Collaborators), 14% neither agreed nor disagreed, and 5% did not know. (No one disagreed.)

Results Achieved:

- RRI did not set a target for the number of national-level CSO coalitions that it wanted to engage, but it appears that much progress has been made in this output area, as 7 national CSO platforms were actively engaged in advising or implementing national-level tenure, governance and market reforms, as a result of collaboration with RRI: Regional-West and Central Africa; DRC, Mali, Indonesia, Nepal, Lao, Bolivia.

- In 2014, the RRI Coalition built CSO capacity on the national REDD+ process in order to inform future advocacy actions to influence REDD+ in Burkina Faso.

- During the 12th UN-REDD Policy Board Meeting held in Peru, RRI played an active part in getting the REDD+ Policy Board to "fully support the evaluation recommendation to 'prioritize tenure/resource/carbon rights' in the future."

- RRI's forest tenure database was used by Climate Focus (working in collaboration with the Environmental Defense Fund, Forest Trends, The Global Alliance for Clean Cookstoves, and the Global Canopy Program) to inform the development of an assessment framework used

to track progress on 2014 New York Declaration on Forests (NYDF) goals [24], including Goal 10: "empowering communities and recognizing the rights of indigenous peoples, especially those pertaining to their lands and resources."[25]

Output 4: Private Sector Engagement

Output statement: "Private sector entities actively support tenure and governance-related reforms, and support community-governed production and management in the countries where they operate."

When asked whether "RRI's work in developing pro-poor land tenure reforms is strengthened through its partnerships with supportive private sector entities", 59% of survey respondents agreed (60% of Partners and 50% of Collaborators), 5% disagreed, 23% neither agreed nor disagreed, and 14% did not know.

Results Achieved:

- RRI has surpassed its target of influencing one leading company so that it engages in international initiatives and mechanisms to secure community land rights. At least 3 companies (Nestlé, Coca Cola and Stora Enso) are actively engaged through the Interlaken Group and have committed to adopting more stringent guidelines on land acquisition and supply chains (targeted: 1 by 2015).

- Three leading enterprises have incorporated new RRI tools (due diligence and risk management methods) into their management methods. (5 planned by 2016). For instance, Nestlé has adopted a new land policy and undertaken an independent global assessment of the land tenure of its commodity supplies, using tools from RRI.

- RRI Secretariat successfully delivered on its 2014 project plan to appraise the Tenure Facility, and develop the Facility's organizational design. The Facility emerges as one of the most innovative and consequential new initiatives in the area of tenure reform, providing new means of advancing tenure through a multi-stakeholder, multi-sectorial mechanism.

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[24] UN Secretary General Climate Summit 2014, *Forests Action Statements and Action Plans*, Available at: http://www.un.org/climatechange/summit/wp-content/uploads/sites/2/2014/07/New-York-Declaration-on-Forest-%E2%80%93-Action-Statement-and-Action-Plan.pdf (Consulted on 2 November 2015)

[25] Climate Focus (2015), *Progress on the New York Declaration on Forests – An Assessment Framework and Initial Report*. Prepared by Climate Focus, in collaboration with Environmental Defense Fund, Forest Trends, The Global Alliance for Clean Cookstoves, and The Global Canopy Program. available at: http://www.climatefocus.com/publications/progress-new-york-declaration-forests-assessment-framework-and-initial-report-0 (Consulted 2 December 2015)

5   Effectiveness of RRI Strategies

5.1   Overview

This chapter examines the effectiveness of RRI's strategies with respect to scaling up, engaging new constituencies, piloting new initiatives, the Strategic Response Mechanism (SRM) and gender mainstreaming.

5.2   Scaling Up

At RRI, scaling up is understood to comprise three elements. First, it refers to the quantitative ramping up and acceleration of efforts intent on advancing the tenure and land rights and reform agenda. Second, it speaks to the lateral expansion of constituencies engaged in such efforts (discussed in section 5.2.1). And finally, it also refers to increasing the impact this work is having.

While an impact assessment of RRI's work was beyond the scope of the MTE, the short- and medium-term results of RRI's work in the previous chapter and below provide evidence that RRI is moving towards impact with respect to ramping up and lateral expansion.

Finding 7: **RRI has increased its efforts to ramp up and advance the forest tenure and land rights and reform agenda, and accelerate reforms.**

The RRI Coalition has made an important contribution to scaling up of efforts around the world. More tempered is the assessment of RRI's contribution to the acceleration of reforms, which must be considered in specific national contexts.

The MTE team had two sets of relevant data. The first were the perceptions of Coalition members with respect to RRI's contribution to the scaling up and acceleration of reforms. The second was a compilation of RRI monitoring and evaluation reports, including those of Partners and Collaborators, reporting from RRI Secretariat to donors, and Independent Monitoring Reports.

Progress achieved: Perceptions of Coalition members

Coalition Partners and Collaborators have a somewhat different perspective than the Secretariat on the effectiveness of RRI's work. Based on surveys and interviews with stakeholders, the Secretariat seems to have the most complete picture of what is happening across the Coalition, followed by Partners, and then Collaborators.

According to survey data, the majority of Coalition members generally, and Partners and Collaborators specifically, agree that RRI has effectively contributed to the scaling of reforms:

- 17.6% of Coalition members who answered the survey fully agreed that RRI has effectively contributed to the scaling up of reforms and 41.2% somewhat agreed; 17.6% neither agreed nor disagreed and 23.6% do not know (see also section 4.1).

- Similarly, 58% of Collaborators and 60% of Partners who answered the survey agreed with the statement. Among Collaborators, 25% neither agreed nor disagreed and 16.6% said they don't know; 40% of Partners said that they don't know whether RRI has effectively contributed to scaling up reforms.

Progress achieved: Highlights from Monitoring Data

To understand RRI's effectiveness in scaling up and accelerating reforms, it is important to refer to the monitoring data presented in Chapter 4. RRI's contributions to the scaling up and acceleration of land tenure and market reforms are numerous. To name but two, key achievements include influencing five countries (Indonesia, Peru, Colombia, Mali, DRC) to make significant progress on

land ownership reforms, and influencing leading companies so that they commit to adopting more stringent guidelines on land acquisition and supply chains (through the Interlaken Group).

Appendix VII provides a country-by-country summary of progress towards scaling up reforms, including tenure legislation changes, in selected countries where the RRI Coalition has operated.

5.2.1 Engaging New Constituencies

New constituency development is perceived as an important strategic move across the RRI Coalition, notably in terms of bridging land rights, Indigenous rights, food security/sovereignty, agrarian reform, anti-poverty, community and human rights discourses, organizations and networks.

Since its inception, RRI has sought to expand the number of organizations and people in the Coalition (and in the movement more broadly), as a means of generating momentum for the customary forest tenure and land rights agenda. At its origins, RRI focused much of its work on forests and forest-dwelling people, including Indigenous Peoples and local communities. Lately, it has also been aware of the limitations involved in focusing solely on collaborating with a narrowly defined group of organizations and networks involved in advancing the customary tenure and pro-poor land rights agenda. As such, it has made important efforts to reach out beyond its traditional base of Indigenous rights/forests groups to build strategic alliances with new constituencies, such as land reform and anti-poverty advocates.

Finding 8:   RRI has identified, engaged and mobilized new constituencies.

The development of relationships with new constituencies is generally perceived to be a positive strategic move, although some actors cautioned that RRI must be selective in developing new alliances.

In the survey, 72% of respondents agreed that RRI has taken effective steps to identifying new constituencies and strengthening alliances with a wider range of stakeholders, including representatives from local communities, Indigenous Peoples organizations, governments, private investors, food and resource companies, and development and conservation NGOs. These groups appear to have a common interest in ensuring that the ownership of community lands and resources is secured, although some questions were raised among Indonesian Collaborators about conflicting private sector interests.

RRI's engagement with the private sector was one of the most frequently discussed strategic engagements with a new constituent group, with respondents both agreeing that this was a smart strategic move, and cautioning that the way in which this engagement occurs must be carefully thought through.

When asked whether "RRI's work in developing pro-poor land tenure reforms is strengthened through partnerships with supportive private sector entities", 59% of respondents agreed, 5% somewhat agreed, and 23% neither agreed nor disagreed. One representative from a Partner organization noted that

> *RRI has brought private sector people to global meetings and I've been quite impressed with them. It's helped us to understand the point of view of the private sector; it's a huge issue… RRI's pretty good at helping with these things.*

In 2013, the Secretariat reached out to two constituencies: the agrarian and land reform constituency and the anti-poverty and food security constituency. In particular, and in manifestation of its convening power, RRI hosted the September 2013 conference on *Scaling-up Strategies to Secure Community Land and Resources Rights* in Interlaken, Switzerland. This led to the

creation of a number of other forums and initiatives. Notably, this resulted in a strategic new initiative – involving RRI, the International Land Coalition (ILC), Oxfam, and to a lesser extent Helvetas –referred to as the 'Global Call to Action on Indigenous and Community Land Rights'. A few words about RRI's engagement with new and specific constituencies follow.

New constituency 1: Agrarian and Land Reform Organizations

RRI has established a formal MOU with the International Land Coalition (ILC) in the framework of the Call to Action on Indigenous and Community Land Rights. ILC is a global alliance of more than 150 member organizations that work in sustainable rural development, with a focus on agriculture, agrarian reform and Indigenous communities. Consulted stakeholders agree that this partnership makes sense, as the networks have complementary strengths. RRI's comparative advantage lies in its strong and credible research and knowledge products as well as its reputation as a global advocate, while ILC has strong mobilization ability and is present in most areas of the world (as compared with RRI, which has more limited country presence.)

New constituency 2: Food Security and Anti-Poverty Organizations

RRI also established a formal MOU with Oxfam in the framework of the Call to Action. Oxfam is a member of the Interlaken Group and is a strong advocate of food security and community development, as well as women's rights. RRI's collaboration with Oxfam is seen to be strategically correct, as RRI has chosen to work more closely with progressive companies and INGOs that are already engaged in global discussions about how the private sector can be respectful of human rights and pro-poor development. Noteworthy, Oxfam has been supportive of Nestlé's adoption of a policy on land and land rights in their agricultural supply chains (as discussed in section 6.4.3).

New constituency 3: The Private Sector

RRI has sought to engage the private sector as part of its strategic and transformative agenda, notably since the Interlaken Conference. Increasing private sector engagement has been a challenging, at times controversial but overall valuable development for RRI. [26] This matter is discussed in section 6.4.3 on market reform.

Opportunities to engage with other constituencies

In all interviews conducted with RRI Coalition members, it was evident they are supportive of strategically and cautiously broadening engagement with a wide range of networks. Two constituencies where this is slowly underway include:

- **Conservation community**: Two organizations with conservation mandates that have recently engaged with RRI are the International Union for Conservation of Nature (IUCN), a large network with more than 1,200 government and NGO members as well as six Commissions with some 15,000 individual members, and the United States Forest Service, the federal department that manages and protects national forests and grasslands in the US. There is an opportunity for further engagement here, notably since IUCN was one of the founding organizations of RRI.

- **Human rights community**: RRI's focus on land tenure rights is very much aligned with the broader human rights and pro-poor agenda. Several stakeholders interviewed for this assessment mentioned that engagement with human rights advocates would strengthen RRI's position, in particular with respect to Indigenous People's rights.

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[26] Indigenous Peoples have experienced countless conflicts with private sector organizations, particularly some extractive industries and multinational corporations.

5.2.2 Piloting New Initiatives

RRI's approach has been described as based, in part, on a 'midwifery' approach, where it pilots strategically relevant initiatives and then works to ensure their independent governance and sustainability. The Tenure Facility is a case in point.[27]

Finding 9: **The International Land and Forest Tenure Facility is largely perceived as a strategic step forward for RRI, and has already contributed increased funding to the customary forest tenure and land rights agenda.**

RRI secured USD14 million in funding from SIDA to create and pilot the Tenure Facility. The Facility has been conceived as an independent funding mechanism to provide "a convening space for Indigenous and community leaders, development agencies, public officials and private investors to coordinate commitment and develop shared strategies to promote community land rights across the developing world."[28]

Though the Facility is still in its pilot phase, it has garnered significant interest in the forest tenure and rights communities. For the time being, it remains an RRI initiative, and is envisaged as such until but not beyond the pilot phase. MTE informants indicated that it would be valuable to build this into an independent organization and financing mechanism to support national implementation of customary land rights.

Scoping design on the Tenure Facility was pursued in 2012-13. Currently, the initiative is in various stages of

> "*RRI is quite clear of its limits and what it can do and not do… The Tenure Facility is the logical consequence of that. RRI doesn't want to evolve into a big implementation agency but sees the need for evolution of tenure reform.*" – Donor

being piloted in Indonesia and Panama, as well as Liberia, Cameroon, Mali, Colombia and Peru. Full implementation is anticipated for 2016, along with full independence of the Facility at that stage. Indeed, much appreciated preparatory work has gone into identifying the strategic need and positioning of the Facility.

Panama is a good example of this. The inception stage (design) of the pilot project was completed in six months (January to July) and is now ready to move into implementation. Key stakeholders there are positive about the value and potential of such an initiative in a country that has made significant efforts in the last 15 years towards recognizing Indigenous Peoples rights to collective land titles. The Facility is expected to provide a strategic and timely push to these efforts, which have recently been backed by a landmark ruling from the Inter-American Court of Justice compelling the government of Panama to apply its own existing laws to grant titles to Indigenous communities.

In the survey, 76.6% of RRI Partners and Collaborators consulted agreed that developing the Tenure Facility was a positive strategic move on RRI's part. Disaggregated data both supports and nuances this perception: Among Collaborators who responded, 58.4% "fully agree" and 25% "somewhat agree", 8.3% "fully disagree" and 8.3% "do not know"; among Partners who responded, 60% "fully agree" and 40% "neither agree nor disagree".

The Facility's anticipated independence has been noted as a matter of interest by Coalition members, including RRI leadership at Secretariat. Some respondents expressed concern that the

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[27] Some years ago, RRI similarly played a key role in the development of the CSAG – Civil Society Advisory Group of the International Tropical Timber Organization. Available at: http://csagweb.com (Consulted 2 November 2015)

[28] Factsheet on the International Land and Forest Tenure Facility, (July 2015), http://www.rightsandresources.org/wp-content/uploads/ILFTF-two-page-7-22-updated.pdf

Facility might drain resources away from RRI, and that the Facility would become part of a larger process of scaling up RRG, at the expense of the Secretariat's traditional and effective roles.

However, to ensure the relevance of the Facility beyond its direct association with RRI, and to fully exercise its capacity as a fund issuing body, Coalition members recognised the value of continued RRI input finding its way into the Facility beyond incubation; so as to take advantage of the knowledge, networks and overall capacity within RRI. One Coalition respondent captures the overall Coalition sentiment in saying:

> *My suggestion here is the knowledge in RRI should be best utilized by the Facility, and the Facility can be improved by RRI. But RRI shouldn't direct implementation of the Facility because of potential conflicts of interest. There is an issue of the 'morality' of the organization therein…It is key to maintain the credibility of RRI in this regard.*

The picture that emerges is of a very promising initiative, with many lessons to learn from its pilot phase. This speaks to the challenge and importance of finding the right balance in terms of RRI's involvement in a project that is incubating on the premise that it will become an independent entity in the future. Since the Facility is still in the pilot stages, it is not clear how the funds available through the Facility will be managed. The pilots will provide important information to RRG and RRI about management and operational aspects of the Facility.

5.2.3 Strategic Response Mechanism (SRM)

The Strategic Response Mechanism (SRM) seeks to address one-off needs to help Partners and Collaborators respond quickly to emerging opportunities. While most funded work undertaken by RRI is programmatically planned on an annual basis, up to 10% of all non-administrative funds have been disbursed through the SRM in the first half of the FPII period.

In October 2015, an RRI Board decision was taken to increase the SRM allocation to up to 20% of all non-administrative funds.[29] This reflects a convergence of Partner and Collaborator perspectives on the matter – during MTE interviewing, both categories of Coalition participants consistently called for such an increase.

> **In 2014, allocations were made for four types of SRMs:**
>
> 1. Activities to influence key legislation, e.g. convening discussions with representatives from local and national government, Indigenous Peoples and local communities to discuss forestry law reforms
>
> 2. Activities to guarantee time-bound participation or consultation (e.g. enabling wider consultation of Indigenous Peoples organizations in response to time-sensitive consultation on legislation development)
>
> 3. Activities for direct advancement of tenure rights (e.g. national enquiries on the state of Indigenous People's tenure rights)
>
> 4. Activities exploiting key opportunities in the private sector (e.g. promotion of Indigenous People's green enterprises and sustainable development initiatives)

The SRM is an opportunistic funding and support mechanism, deployed to respond strategically to specific and timely needs and to opportunities as they arise. It is light on the bureaucratic front and funds are made available quickly (within a few weeks or a month at most).

In 2014, out of an annual program budget of USD 12.8 million, USD 582,650 was allocated to Partners and Collaborators to undertake 11 SRM activities (see sidebar). Grant amounts vary from USD 20,000 to USD 100,000 and activities typically last from 2 to12 months.

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[29] The Board approved an increase to the SRM budget on 3 October 2015. See Board minutes, point 4.3.

Finding 10:   The Strategic Response Mechanism has provided funding support to Coalition Partners and Collaborators to respond quickly to emerging issues outside the constraints of the annual planning cycle.

According to consulted stakeholders, the four main advantages of the SRM are:

- Flexible funding mechanism that is not administratively burdensome

- Offers timely support to partners to face new challenges as they emerge (rather than waiting for new issues to be addressed in the next cycle of the strategic planning process)

- Fills a gap in donor funding, in that the SRM can support certain types of interventions that are not normally funded by donors (e.g. developing an informed response to time-sensitive government consultations on new laws/policies)

- Contributes to growing RRI's network, by providing support to new Collaborators or by fostering new types of collaboration.

Most SRM recipient Partners and Collaborators lauded the merits of the mechanism, and noted in particular that they appreciate that it supports their ability to meet new and unexpected challenges.

When asked if the SRM is a strategically effective and responsive funding mechanism, 23% of survey respondents (25% of Collaborators and 40% of Partners) fully agreed, 41% somewhat agreed (33% of Collaborators and 20% of Partners), 5% were on the fence, and 32% did not know (see discussion of SRM awareness in the following finding).

One Secretariat staff member explained that the SRM is also used to ensure an "opportunistic presence" in countries where RRI is less active but where it seeks to maintain activities for strategic reasons. Another RRG staff member noted that the SRM also helps avoid aid dependency.

SRM Results

SRM funding has led to important results on RRI Coalition priorities, particularly in supporting timely advocacy efforts of the Coalition. Some examples are described below:

- In Indonesia, Partners and Collaborators have found SRM funding strategically useful and organizationally valuable. Three SRMs were provided to Indonesian organizations in 2014. For instance, RRI provided SRM support for Civil Society Organization (CSO) involvement into the National Inquiry on the Indigenous People's Rights in the Forest Areas of Indonesia, which examined state violations of Indigenous rights related to forestry and land tenure. HUMA and Partners working in 9 provinces were thus able to participate in the Inquiry and collect supporting evidence in 15 different communities.

- Peru passed a new forest law in 2014, and set a short timeline for consultation with the population. SRM funding was issued within 5 days to the country's Indigenous People's coalition to produce and submit the required documentation by the requisite deadline. The SRM mechanism allowed this to happen within days.

- In Nepal, SRM funding was used to challenge a unilateral government decision to develop a conservation area in the Chure Area, and to defend community property rights for some 5.5 million people. A three-pronged strategy was pursued involving ground-level organizing, targeted parliamentary work, and a media strategy, effectively mobilizing the

RRI Coalition. This work stopped the development of the conservation area. As a result, a parliamentary group of members from the Constituent Assembly was formed to move an examination of this dossier forward.

Finding 11: **Awareness of the Strategic Response Mechanism differs significantly from one region to another, and Partners and Collaborators lack clarity on Strategic Response Mechanism selection processes.**

Awareness of the Strategic Response Mechanism

Across the Coalition there is varied awareness and understanding about the SRM. Interviews with Partners and Collaborators revealed consistent awareness of the SRM in Asia and little awareness in West Africa, especially Mali. It was not uncommon for Coalition members in the Sahel to say that they had never heard of the SRM.

> "*SRM is a valuable mechanism to mobilize funding quickly. While criteria are clearly identified, the assessment of these by RRG is not always consistent... The fact that the SRM budget is limited and that all countries are competing for this fund does not help... Maybe there should be country-based SRM mechanism to avoid some problems.*"
> – RRI Partner

Survey results also suggest that the Coalition as a whole would benefit from sharing and receiving more information about the SRM, the initiatives and outputs it supports, and the types of results that can be associated with it.

- 32% of respondents don't know whether the SRM has been strategically effective for the Coalition (40% of Partners and 33% of Collaborators)

- 32% don't know whether the SRM has been an effective mechanism for piloting innovative activities (40% of Partners and 33% of Collaborators)

- 27% don't know whether there are clear criteria for supporting an SRM (20% of Partners and 33% of Collaborators)

- 32% don't know whether RRI monitoring mechanisms of the SRM provide useful data for their organization (60% of Partners and 17% of Collaborators).

Those who were familiar with the SRM know how it works and highlighted the value-added contribution to their efforts. Partners in West Africa who were not aware of the existence of SRM funding were interested in learning more about the mechanism, which is an important opportunity for the RRI Coalition.

Clarity on the SRM application process

There is some tension across the Coalition regarding the allocation of SRM funds. Given this is a limited fund that is deployed opportunistically, there is significant competition for these funds. While competition is not unhealthy, some consulted Partners felt that the criteria and priorities for SRM allocations are not clear. A survey respondent observed

> *While criteria are clearly identified, the assessment of these by RRG is not always consistent (power play, manage balance within coalition, between regions and partners...) and the fact that SRM budget is limited and that all countries are competing for this fund does not help...*

5.3 Gender Mainstreaming

Finding 12: **RRI has supported Partners and Collaborators in integrating gender mainstreaming into the customary forest tenure and land rights agenda. However, RRI's monitoring and evaluation framework does not yet include gendered objectives and indicators.**

As part of FPII programming, RRI has made a concerted effort to pursue a gender strategy in forest tenure and resource rights under the programmatic and thematic rubric of Gender Justice. It has sought to produce and disseminate materials aimed at sharing experience related to gender, using these as part of regional and international campaigns, while engaging strategically with diverse population groups in an effort to mainstream gender into customary tenure and land rights efforts.

RRI's activities in this respect are laudable, some of which are noted in the sidebar, reflecting their strategic diversity.

Specifically, one of RRI's Collaborators in West Africa, REFACOF, has been recognized regionally and internationally as having played a leadership role in advancing and integrating a gendered analysis into forestry legislation processes in Mali and Cameroon.

In Burkina Faso, RRI Collaborators have driven efforts to improve the legal recognition of women's land rights by supporting women's groups in the acquisition of local land certificates (attestations de possession foncière, or APFs)—a new type of land use certificate recognizing women's customary rights to land.

Other RRI Partners and Collaborators, including FECOFUN, CED, and Helvetas Swiss Intercooperation (Nepal) pursue significant gender programming.

Nonetheless, there remains much room for progress on this dossier. According to Collaborators working on gender and tenure, funding for gender programming work is inadequate and distributed on an ad hoc basis, and there are few inter-regional efforts on gender.

A number of stakeholders interviewed as part of this MTE – including two of 11 respondents from West Africa – expressed the opinion that gender issues need further integration into RRI's projects and overall activities.

One Collaborator suggested, "*RRI should develop tools to support women's organizations in their struggle to increase the recognition of women's land rights.*" For the time being, RRI's monitoring and evaluation system does not adequately reflect Gender Justice priorities in the forms of gendered objectives and indicators.

- RRI collaborated with the **Centre for International Environmental Law** produce a ground-breaking paper, 'Using International Law to Advance Women's Tenure Rights in REDD+', containing a set of tools to advance the advocacy efforts of women's networks engaging in the gender rights agenda. The paper was published June 2015. (Annual Narrative Report, 2014, p. 19)

- RRI hosted the **International Indigenous Women's Forum, Land and Climate Change** in Lima, Peru in June 2014. The 1st ever global event focused on women's land rights, the recommendations therein contributed to the CSO inputs to the COP 20 meetings that year. (Annual Narrative Report, 2014)

- RRI supported the **3rd Regional Workshop on Gender, Land and Forest Tenure Rights and REDD+ in Africa**, hosted by African Women's Network for Community Management of Forests (REFACOF) in March 2013 and held in Liberia. It brought together over 50 participants from Cameroon, CAR, Burkina Faso, Chad, Liberia, Madagascar and Ivory Coast. The workshop presented President Sirleaf with REFACOF's declaration and launched a media campaign and petition encouraging the Government of Liberia to recognize women's land tenure rights. (Annual Narrative Report 2014)

6 Effectiveness of RRI Roles

6.1 Overview

This chapter examines the effectiveness of RRI's roles in strategic analysis, convening and influencing.

6.2 Strategic Analysis Role

Finding 13: **RRI plays an important strategic analysis role through its publications, which build on knowledge provided by various Coalition members. RRI's strategic analyses have situated and established the terms of debate and informed key decision makers and policy makers in the field of tenure rights.**

RRI publishes papers on a range of tenure reform issues, with the intention of informing advocacy and policy making to support the legal recognition and enforcement of collective land and tenure rights.

RRI provides strategic analysis and data on major tenure rights issues in several forms, including the following:

- Through its interactive "Tenure Data Tool", RRI tracks global progress on the ownership of the world's forests. This tool allows users to compare changes in legal forest ownership in 52 countries from 2002 to 2013.

- Publications produced by RRI: RRI's website provides access to policy briefs, reports, workshop recommendations, presentations and other documentation produced by the Coalition. Documents are classified by issues (alternative enterprise models, gender, realizing rights, rights and climate), initiatives (measuring progress, networking support, strategic initiatives) and by region (Africa, Asia and Latin America).

- Quarterly updates: Through quarterly email updates, RRI updates Coalition Partners, Collaborators and the wider public about important developments relating to tenure rights.

- External publications: RRI's website also provides a list of external resources on community land rights, climate change, and natural resource management.

The process of knowledge generation, production and circulation engages RRI Coalition members as data providers for the publications. RRI Coalition members report annually on their progress and this global and national level information feeds into RRI's strategic analyses. Partners and Collaborators have expressed strong appreciation for this process, which gives visibility to their work. In the words of one collaborator involved in an Indigenous Peoples' rights group, "*RRI publications makes our research more visible*" which in turn contributes to Collaborators' advocacy efforts.

Coalition members from Mali and Burkina Faso describe this as 'action research', highlighting the importance of local dialogues and national and regional meetings that form the basis for contributing to the strategic analysis pursued at and with the Secretariat. Viewed in this way, RRI publications are a collective exercise in knowledge generation and construction.

RRI has managed to assemble a great deal of information, particularly given the immense difficulties involved in collecting data on forest and land tenure in developing countries. One respondent stated, "*the RRI's forest tenure database provides by far the most comprehensive and robust data/analysis on the issue.*"

RRI publications have been useful to RRI Coalition members and other stakeholders such as donors. Overall, 82% of survey respondents fully agreed, and 12% somewhat agreed, that RRI's publications/analytical work has been useful to their organization. Data disaggregation supports this perception (83.3% of Collaborators fully agreed and 16.7% somewhat agreed; 60% of Partners fully agreed and 40% somewhat agreed).

According to Secretariat staff, RRI publications (i.e. analytical work) orient the Secretariat's strategic thinking and inform its global advocacy work,

More broadly, RRI publications have been used by donors and other entities to inform and guide their decision-making. One donor noted that:

> *The strategic analytic work has been important to [our donor organization]. Notably, this has helped [us] to appreciate that the space for national and local level action is decreasing, that it is dangerous for [some] civil society actors to advocate [for enforcement of collective land rights], and that RRI and other Coalition participants tend to operate in a hostile environment.*

RRI strategic analyses have influenced policy making on the climate change agenda. For example, donors such as Norad and SIDA have used RRI publications as a key reference to inform their positions and work on land tenure rights related to climate change. Further, RRI publications and reports have provided some organizations with a platform from which to open dialogue with their governments regarding land tenure, most notably in Indonesia.

Views on the relevance and effectiveness of RRI publications

"[RRI] are among the first to raise awareness [about forest tenure issues]… they are good at communication at global level. They have excellent publications." – Donor

"[F]rom our company perspective, RRI has had a strong impact. When they published their first reports, there were significant reputation issues…My colleagues weren't eager to open the door to RRI. But, having an open and transparent dialogue turned out to be the best way to work." – Private Sector stakeholder

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Case Study: RRI's strategic analysis supports advocacy on climate change

RRI has influenced the global climate agenda and policy-making – specifically with respect to REDD+ – with its strategic analyses. The RRI Independent Monitoring Report 2014 (42) stresses the impact of two reports in particular:

> *In terms of carbon rights and climate mitigation, the WRI/RRI study on 'Securing Rights, Combating Climate Change'[30] was characterised as being hugely influential and critically important ... [It had] influence on key donors, ...which have vowed to include tenure security in their development assistance contributions. It has received major press coverage and caught the attention of business people in the process (e.g., reaction from PepsiCo, Inc.).*

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[30] Stevens, C. et al. *Securing Rights, Combating Climate Change: How Strengthening Community Forest Rights mitigates Climate Change.* World Resources Institute and Rights & Resources Initiative, July 2014, Available at: http://www.wri.org/securingrights

In a similar vein, the publication of the 'Status of Forest Carbon Rights and Implications for Communities, the Carbon Trade and REDD+ Investments'[31] [contributed] to placing the issue of carbon rights on the REDD+ agenda.

These constitute strong instances of global thought leadership and policy influence emanating from RRI. According to stakeholders interviewed, the consequence is that RRI has put tenure on the REDD agenda for the next 5 years.

Moreover, these global level outcomes have important repercussions at the national level. In the Indonesian case, the work of the Coalition – including RRI reports – has influenced desirable national developments. RRI's production of an Indigenous Peoples map showing how local communities can help protect forests and reduce greenhouse gas emissions from deforestation[32], along with the publication of the WRI/RRI study on community forest rights and climate change (2014)[33] played a role in influencing the signing of the Indonesia Palm Oil Pledge by five large oil palm producer companies; they promised to support "no deforestation and no conflict."

RRI has been actively involved in the REDD implementation process at the national level. Over 120 Partners and Collaborators are now engaged in land and forest policy reforms in close to 20 countries, including the review and design of REDD initiatives in 10 of them. [34] This assistance includes, among others:

- RRI supporting national dialogues on REDD safeguards and pushing for the recognition of collective customary land rights in Cameroon (ANR 2013, 9);

- RRI engaging with a national CSO coalition to incorporate land tenure considerations into the domestic REDD+ process in Burkina Faso (ANR 2014p. 12);

- RRI supporting (via one of its Partners) the efforts of Indigenous Peoples to influence the UN-REDD operations in Panama (ANR 2013: Annex II); and

- RRI enabling/supporting advocacy to get Peru's Forest Investment Program to support and finance recognition of customary tenure rights (ACOFSER).

Perception-based data from interviewees suggests that RRI provided assistance and support to national organizations and has succeeded in establishing the platform and creating the dialogue with the UN to elaborate UN-REDD strategies. RRI's value added is that it creates a dialogue between Indigenous Peoples and decision makers by convening stakeholders and building a large network of organizations defending people's rights to lands and forests. In this way, RRI contributes to shaping and influencing global outcomes such as climate change, both at high-level policy forums, and in national implementation processes.

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[31] RRI and Ateneo de Manila University, *Status of Forest Carbon Rights and Implications for Communities, the Carbon Trade and REDD+ Investments*, March 2014. Available at: http://www.rightsandresources.org/documents/files/doc_6594.pdf (Consulted 2 December 2015)

[32] Petersen, R. and Stevens, C. *3 Maps Show Importance of Local Communities in Forest Conservation*, October 15, 2014, Available at: http://www.wri.org/blog/2014/10/3-maps-show-importance-local-communities-forest-conservation (Consulted 2 December 2015)

[33] Stevens, C. et al. *Securing Rights, Combating Climate Change: How Strengthening Community Forest Rights mitigates Climate Change.* World Resources Institute and Rights & Resources Initiative, July 2014, Available at: http://www.wri.org/securingrights (Consulted 2 December 2015)

[34]REDD-Monitor, "Interview with Andy White, Rights and Resources Initiative", Available at: http://www.redd-monitor.org/2011/05/24/interview-with-andy-white-rights-and-resources-initiative-the-global-market-for-forest-carbon-is-not-going-to-establish-itself-anytime-soon/, (Consulted 25 August 2015).

6.3   Convening Role

RRI plays a unique and important convening role in the customary and tenure rights movement, through its communication, networking and facilitation activities.

Finding 14:   RRI has been most effective at communicating, networking and convening at the global level, somewhat less so at the national level, and far less so at regional and cross-regional levels, where interest and demand is increasing.

As a communication, networking and convening system, the RRI Coalition has built a multi-sectoral and multi-level network.

The Secretariat has played a central role in building and enabling this network, and its facilitation role remains important to the functioning of the network, most notably at the global level (see sidebar).

The Coalition also maintains communication, networking and facilitation capabilities at several other levels, with varying degrees of success.

At the national level: At national level, RRI's work has led to the development of various national platforms, notably in West Africa.

In Senegal, a national platform was constructed for dialogue between civil

Watershed moments in RRI's coordination efforts
The Interlaken Group was widely hailed as a watershed moment in RRI's global coordination efforts, especially because of the positive response from private-sector actors. Numerous respondents spoke repeatedly and enthusiastically about the results of that group.
Similarly, a large number of respondents spoke to the importance of the International Conference on Forests, Governance and Enterprise: Experiences and Opportunities for Asia held in Indonesia (July 2011), as showing the wide range of parties galvanized by RRI, including government officials, international experts, community leaders, Indigenous Peoples, donors, and NGOs from 34 countries.

society and state actors. In Mali, one of the key contributions of RRI has been the creation of national networks and platforms bringing together international development actors and local tenure rights organizations. While this work creates possibilities for new collaborations and changing mindsets, interview respondents broadly acknowledged that there is room for improvement in RRI's coordination and communication work at the national level.

At the regional level: In recent years, RRI held regional workshops in Addis Ababa with the African Development Bank (ADB) and other regional institutions. According to interviews with knowledgeable RRI members, there was little follow-up on these activities, despite the relevance of such regional actors to national level development planning and implementation. RRI's regional level efforts are under-appreciated, under-strategized and under-developed on a number of levels, with important implications for its new national level orientation.

Support to civil society networking at regional and cross-regional levels: During interviews, RRI Collaborators expressed interest in more opportunities to meet, network, communicate and engage with each other, and to build a common cause *across regions*. Respondents spoke to clear benefits of greater regional participation and regional meetings. The RRI Coalition is relatively less active and effective in these ways, something that Coalition members would like to see change.

Results

When asked if RRI's networking activities (including convening and coordinating dialogues for key stakeholders) have advanced the Coalition's objectives, survey respondents were very positive: 66.7% of Collaborators and 40% of Partners fully agreed, and 25% of Collaborators and 60% of Partners somewhat agreed. According to interviews with RRI Coalition members, the effectiveness of RRI's communication, networking and convening work is highest at global followed by national levels. It is lowest regionally, cross-regionally and sub-nationally.

In more discrete ways, RRI's outreach and convening capacity has been a boon for affiliated academic and research organizations, and has provided an effective platform for exchanging knowledge. RRI Collaborators frequently spoke of the value of RRI's creation of spaces for leaders and groups to exchange ideas and support. Overall, consulted stakeholders feel that RRI's ability to bring diverse and often conflicting interests closer to compromise is impressive. A forestry sector consultant noted that "*RRI is powerful in putting people together from different perspectives and building a common understanding.*"

Finding 15:   RRI gives global visibility and access to national organizations, campaigns and people, which is largely perceived as valuable by Coalition actors.

In interviews, many RRI Coalition respondents spoke about RRI's influence and how their organizations have been able to participate in international conferences as a result of their affiliation with RRI.

RRI Coalition Partners and Collaborators have generally seen their political relevance increase nationally and internationally, as shared during interviews. Collaborators report that RRI's global level work has brought them increased visibility, which for the most part has been welcome.

There are however important nuances. In Indonesia, for instance, national and local organizations are mindful not to give much visibility to RRI (and its Washington-based Secretariat), given the anti-American/Western sentiment of the recently elected government there. There can be political costs to national and local organizations participating in the RRI Coalition, a matter to which RRI is adequately sensitive.

6.4   Influencing Role

RRI aims to play an important role in influencing and shaping global, national and private sector agendas. It does this through advocacy practices, the cultivation of political will, and engagement with the private sector.

6.4.1   Advocacy

Finding 16:   RRI's advocacy work is based on a dual strategy at global and national levels. At the global level, it is effective due to the diversity of its participants and their own strategic practices. Its effectiveness at national level stems from its ability to adapt its strategies to national contexts.

The RRI Coalition may be understood as a transnational advocacy coalition.[35] According to Keck and Sikkink, a transnational advocacy network "*includes those relevant actors working internationally on an issue, who are bound together by shared values, a common discourse, and dense exchanges of information and services.*"[36] They further explain that such coalitions

> *...are not powerful in a traditional sense of the word, they must use the power of their information, ideas, and strategies to alter the information and value contexts within which states make policies... Activists in networks try not only to influence policy outcomes, but to transform the terms and nature of the debate.*

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[35] See the work of Betsill, M.M. & Bulkeley, H. (2004) "Transnational Networks and Global Environmental Governance : The Cities for Climate Protection Program*". International Studies Quarterly* 48: 471-493.

[36] Keck, M. and Sikkink, K. (1998), *Activists beyond Borders*, Cornell University Press, 240 pages

In the tradition of such transnational advocacy coalitions, RRI engages in advocacy work at global and national levels, aimed at leveraging its strategic analyses to alter the terms of debate.

At global level, RRI advocacy is visibly undertaken by Secretariat leadership with the support of Coalition Partners and Collaborators, where some Partners are more advocacy oriented in their approach (as in the case of the ILC) and others more dialogical (as with Oxfam).

RRI's national level advocacy work is pursued quite differently and is strategized by national or local organizations in ways that are specifically suited to their national contexts. According to interviews undertaken across the Coalition, RRI acts as a mechanism for providing support to national level advocacy (e.g. in the form of strategic analyses and media strategizing, as in Indonesia).

> **Example of global level advocacy: RRI and the REDD agenda**
>
> At the global level, RRI has influenced strategic policy orientations as an active member of the Independent Advisory Group to the UN-REDD Policy Board. For instance, RRI organized a panel on community land rights and carbon rights amidst REDD+ investments and global carbon trade initiatives during the 2014 Board Meeting in Lima, and played an active part in getting the Policy Board to "fully support the evaluation recommendation to 'prioritize tenure/resource/carbon rights.'"
>
> In the words of one staff member, "*At the REDD Policy Board meeting, the only [evaluation] recommendation they were not going to follow was tenure. The RRG coordinator was very eloquent and vocal and spoke up about the importance of tenure. Other country stakeholders started speaking up too about the importance of tenure rights in their countries, and the stakeholders kept it in the draft strategy.*"

This dual strategy has been effective in both putting forest and land rights on the global agenda and in moving national agendas forward.

Strengths of the RRI advocacy role

There were strong similarities between West African and Southeast Asian respondents in their positive impression of RRI advocacy support.

These areas encompassed more than just forest tenure, and included creating forums for Indigenous Peoples and local communities to discuss issues of concern and strategic responses to protect and enhance their collective land rights, facilitating the institutionalization of local conventions, collaborating with existing national networks on human rights, and community access to natural resources, and to engaging in second track diplomacy with governments so that they might hear the voices of forest peoples. With respect to this last point, one respondent noted that their organization was able to use RRI's publications and research initiatives as a springboard to begin direct talks with the national government regarding forest tenure.

> "*…the kind of support that RRI provides is essential for advocacy and promotion of land tenure/market reforms.*" - Coalition member

In the survey, 86.4% of Coalition members agreed that RRI's advocacy activities resulted in progress related to Coalition objectives. Data disaggregation both supports and nuances this perception: 50% of Collaborators fully agreed and 41.7% somewhat agreed; 60% of Partners fully agreed, 20% somewhat agreed, and 20% did not know.

Multiple stakeholders mentioned that RRI provides funding for dissemination of information, exposure and visibility, international media recognition and training. Interestingly, thanks to this support, stakeholders concur that RRI has the capacity to bring local issues to the international

arena; while it has demonstrated a capacity to support local and national level advocacy on a country-by-country basis, its ability to scale up issues to international visibility is impressive. As one Partner Organization respondent said, "*Everyone working at [the] national level or below is happy RRI is playing a role in the international space*."

Finally, the factors allowing RRI to be relatively successful in this and other endeavours include (a) the adequate mixture of advocacy and expertise, (b) the awareness of not just the local, but also the policy context of entrenched interests, and (c) the multi-stakeholder nature of the dialogue fostered by RRI.

> *This is where RRI has been playing a role, finding the right balance between advocacy and informed policy dialogue. They have been promoting the issues of tenure and land use rights with an energy that is normally associated to an advocacy outfit, but with a level of analytical robustness and depth that is normally associated with think tanks, multilateral organizations, etc. They managed to gain the respect and the trust in the level of authority that has allowed them to engage in a way that generates consequences. [...]*

> *These tenure reforms can only happen where there is multi-stakeholder dialogue where all the parties were partners. And there is the unique feature that RRI can bring. –*
> Respondent from a Multilateral Organization

As noted by respondents, RRI has done an excellent job finding a balance between "advocacy and informed policy dialogue".

6.4.2 Increased Political Will

This section examines RRI's contributions to national political will, highlighting the work it has done with the MegaFlorestais network of policy-makers.

One of the key objectives of RRI in the FPII period is increasing the political will of actors to both recognize and advance the customary land and tenure rights agenda. Strategically, RRI pursues this through multi-sectoral engagement of high-level officials from international and regional organizations, officials from national and sub-national governments, as well as community leadership. As RRI moves towards greater national-level focus in fewer countries, its work on increasing national political will be of ever-greater import.

National political will

Finding 17: RRI has contributed to significant increases in political will favouring customary land and forest tenure reform processes at national government levels, though less so at sub-national levels.

Recognizing interests of national political actors

RRI has regularly played a backdoor and/or advisory role to governments, intergovernmental and multilateral organizations and other high-level actors, thereby creating a favourable political, institutional and discursive environment for the participation of civil society actors in relevant forest and land governance mechanisms.

Generally speaking, RRI's approach for increasing political will has been effective, and it has translated into demonstrable results (see examples below). At the same time, this is a process fraught with challenges. RRI has been increasingly effective in recognizing that its approach must be: a) adapted to the national contexts in which it operates, and b) mindful of the interests of national political actors.

Consulted stakeholders noted that RRI's actions have been most successful when its approach is specifically responsive to national contextual realities and demands. An example is the Coalition's approach in Indonesia in recent years (discussed below), where RRI has been perceived as successful in part because it has been working through the national coalition and supporting nationally-owned initiatives, rather than acting as a high profile entity engaging directly with government and private sector stakeholders. This approach has been seen as effective at generating political will, in line with government preferences to work with national rather than international (Western-influenced) entities. In other national settings, RRI has been most effective when it has maintained a publicly visible presence, e.g. in parts of West Africa.

Challenge of engaging sub-nationally

RRI works mostly with national actors, and in certain countries (e.g. Indonesia) this approach has been important but also limited, given that implementation of forest laws is contingent on the participation and influence of sub-national actors (notably District governors). To ramp up effectiveness, RRI Partners and Collaborators will need to know, and have the time and resources to engage these actors and networks. This will be an important part of the RRI reorientation towards working more contextually in six countries.

RRI influence at national level

In the survey results, 78% of respondents agreed that RRI has been instrumental in generating political will in support of customary land rights. Data disaggregated both supports and nuances this perception: 58.4% of Collaborators fully agreed and 16.7% somewhat agreed; 60% of Partners fully agreed and 20% somewhat agreed; 20% of Partners did not know and 16.6% of Collaborators neither agreed nor disagreed.

At the same time, there is a great deal of potential for RRI as a Coalition to play a more significant role in furthering political will at national level. Until very recently, RRI has had a modest but growing presence at the national level in several countries. RRI is well aware of this potential, as reflected in the recent reorientation of its efforts towards putting more resources into fewer countries.

Examples from Nepal, DRC, and Indonesia

Nepal: RRI has spent two years engaging party leaders and has engaged 20 members of the Constituent Assembly on questions of tenure. RRI Partners have worked to create a communication channel between government and civil society and have used the media to exert influence in the political sphere – the press is informed whenever something relevant happens with respect to land rights in Nepal, putting pressure on authorities to be accountable to the population. The results of RRI and Partners' initiatives have been positive. In the last five years, 2,500 forest groups were established and 1,500 hectares are now in protected areas.

DRC: RRI undertook a tenure assessment process that fed into a wider national strategy and process of tenure reform. The Consultation Framework of Civil Society on Land Reform (CACO) of DRC (established in December 2013) was operationalized through a governance structure and the development of a strategy. Results of the RRI tenure assessment have fed back into political engagement undertaken in the country, notably of a civil society platform that was also supported by RRI. A decree on the Forest Concessions of Local Communities (2 August 2014) was signed into law after a decade long effort by DRC civil society.

Indonesia: Coalition members played an important role in ensuring that the political will of one regime was at least partially carried over to the subsequent regime. After many years without much national traction, in 2011, the RRI Coalition organized the International Conference on Forest Tenure, Governance and Entreprise in Lombok, Indonesia. During his keynote address, Minister

Kuntoro Mangkusubroto announced that his government would commit to "*recognize, respect and protect customary Adat [Indigenous People] rights*", implementing legislation that had been in place but largely dormant for ten years. This shift in government policy sparked a progressive reform process involving several government actors (e.g. Ministry of Forests) as well as a coalition of NGOs. Following Presidential elections and a change in government in July 2014, RRI Coalition members reached out to the new President to advocate for stronger action to implement the customary land rights legislation. At a recent meeting with RRI Collaborator AMAN (Indigenous Peoples Alliance of the Archipelago), the new President committed to support the Bill on the Recognition and Protection of Indigenous People's Rights, and to setting up a task force on Indigenous Peoples. He also promised to release Indigenous Peoples who have been unjustly criminalized for using forest resources in pursuing their livelihoods.

MegaFlorestais

Finding 18:   RRI's development and facilitation of MegaFlorestais, a network of public forest agency leaders, is perceived as having made a modest though important contribution to increasing political will.

The MegaFlorestais network was created following a conference co-organized by RRI in Beijing in September 2005. Meeting informally, MegaFlorestais and RRI (which hosts MegaFlorestais through RRG) have been convening public forest agency leaders, including Ministers of Environment, Forests and other related institutional bodies in conversations about the challenges, merits and possibilities of moving the customary forest and land rights agenda forward. The MegaFlorestais network represents more than 65% of the world's forests.

RRI has planned, designed agendas, and facilitated annual MegaFlorestais meetings for the last 10 years. The value-added of the network for RRI can be summarized as follows:

- **Networking with national governments (venue for advocacy)**: Through MegaFlorestais, RRI has access to national governments in an informal setting and can therefore promote the customary rights agenda through this venue.

- **Creating opportunities for innovation and offering support for new initiatives:** The MegaFlorestais network has led to a meeting of various parties that have then had the opportunity to collaborate on new initiatives. For instance, thanks to contacts established through the MegaFlorestais and Interlaken Group networks, RRI introduced Nestlé and the US Forest Service, which then decided to jointly collaborate on an innovative project on forest restoration and watershed management in Florida, where both entities have declared shared interests.

- **Strengthening RRI's reputation, particularly as a convening power:** Through MegaFlorestais, RRI demonstrates that it is influential through its ability to create relationships between political actors, policy-makers and the private sector. The network reflects RRI's credibility and convening power with forest sector leaders as well as the global forest community.

Political will vs. Policy change

Despite MegaFlorestais' impact in generating political support for the RRI agenda, consulted stakeholders cautioned that political will does not automatically translate into policy/legal changes at the national level, much less into concrete implementation of these policies.

In Indonesia, for instance, immense efforts went into cultivating political will for the land rights agenda in the years before the 2014 Presidential elections. The national RRI Coalition had success in cultivating national level political will. But these gains in political support were somewhat lost

when new policy-makers subsequently entered the political arena. That they were not completely lost stemmed from the ongoing work of one Coalition member (acting alone but also as part of the wider network).

Another challenge facing MegaFlorestais is that it intentionally focuses on forest agency leaders and therefore leaves out many other important high-level government actors and sectors, including agriculture, infrastructure, water resources, finance, foreign affairs, etc. In many countries, land rights and tenure issues are managed by several ministries and political bodies with overlapping mandates. Moving forward, MegaFlorestais may need to develop a strategy for engaging with a wider circle of government decision-makers to favour positive outcomes. Nonetheless, the MegaFlorestais network is a unique dialogue mechanism for forest agency leaders, which has grown the land rights movement and allowed it to penetrate and remain active in policy-making circles.

6.4.3 Market reform

This section examines RRI's work in influencing the private sector and in community economic development.

Influencing the private sector

Finding 19: **Though controversial (notably in the Global South), there is solid evidence that RRI's work with the private sector through its two-pronged approach to engagement based in advocacy and dialogue is relevant and effective.**

This discussion on market reform examines RRI's private sector initiatives, focusing on efforts and outcomes stemming from work with the Interlaken Group. Outcomes specifically discussed are those related to Stora Enso and Nestlé, two corporate actors whose activities significantly impact land, forests and forest-dwelling communities.

Strategically engaging the private sector

RRI has been working to draw the private sector into discussions about tenure issues both from a global perspective and also contextualized in particular countries where it is working. RRI's efforts to strategically engage with the private sector respond to the fact that multiple conflicts exist and continue to emerge around the world at the nexus of environmental resource development (e.g. forestry, agri-business, etc.), the private sector, national concession-making and Indigenous Peoples' struggles for land rights.

The mechanism for RRI's engagement with the private sector was effectively launched 19-20 September 2013 at Interlaken, Switzerland. There, an informal conversation was initiated among private sector individuals from leading forestry and related sector companies. This developed into the Interlaken Group, an informal network of private actors who have clearly become champions of RRI's (and now their own) agenda within the private sector.

Participants in the Interlaken Group are associated with such organizations as Nestle, Unilever, Global Witness, and Oxfam. A follow up conference was held in Bern in October 2015 and recent international commitments – such as the New York Declaration on Forests in September 2014 – demonstrate that the importance of secure tenure rights has become an increasingly mainstream concern.

The Interlaken Group has become a venue for conversations on the role of and possibilities for the private sector in advancing, or at least respecting, tenure rights of Indigenous Peoples. This group informs the work of RRI. It is also informed by, rather than being committed to, the RRI approach and agenda. Nonetheless, this reflects RRI's effective development of a new constituency, with important implications.

Given the private sector's primary (but not sole) focus on profit-making and accountability to shareholders, RRI's strategic approach for these discussions has been to highlight the risks to the private sector of insecure tenure and the merits to the private sector of creating consistency and predictability related to land tenure, as per the insights of the Munden Project.[37] It is premised on a reasonable assumption that such consistency and predictability would minimize political contestation and violent conflict over land, potentially favouring sustainable and equitable development. As expressed by one key informant, "*unclear tenure rights are a risk to development or business.*"

An Interactive Guide to the Voluntary Guidelines on the Responsible Governance of Tenure

Engaging the private sector on human rights issues has historically been a challenging endeavour. RRI has been navigating this difficult terrain, having successfully catalyzed private sector involvement in advancing this agenda. Engaged private sector leaders are investing their time on the tenure rights agenda, cultivating the nexus of corporate profit-making and respect for human rights. This has moved beyond lip-service, of which the corporate sector has often been accused, to actual commitment, public action and implementation through the Interlaken Group.

Most recently, an Interlaken Group Guidance Tool has been developed for companies committed to the Voluntary Guidelines on Responsible Governance of Tenure (VGGTs, established in May 2012) and is now available online.[38] These Voluntary Guidelines are the first inter-governmental consensus on the principles and accepted standards for the responsible governance of tenure. Endorsed by the 193 governments at the UN Committee on World Food Security (CFS) in 2012, they recognize legitimate tenure rights and provide companies with a framework to help them improve their understanding of land governance and improve land tenure security.[39]

The next step will see Interlaken Group participants marketing the guide on the VGGT, perhaps even providing advice to others on how to adopt them. They are also being challenged to take on board the recommendations found within the VGGT in their own corporate contexts. This is an important opportunity for the RRI agenda to move forward. One key informant highlighted the need to push the Interlaken Group one step further – to define the Group's niche and direction.

A dual-pronged strategic approach

RRI's engagement with the private sector has pursued two strategic axes with advocacy along one, and dialogue along the other. On the one hand, the RRI Coalition has been critical of the private

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[37] The Munden Project seeks to create an algorithmic method for assessing tenure risk across portfolio securities. In 2012, it produced a report for RRI, "The Financial Risks of Insecure Land Tenure", which makes a strong case for the need to integrate tenure risks more comprehensively into the global financial architecture. Available at: http://www.rightsandresources.org/documents/files/doc_5715.pdf (Consulted 11 November 2015)

[38] Interlaken Group, 'Interactive Guidance Tool', http://www.interlakengroup.org/interactive-guidance-tool

[39] Interlaken Group Guidance Tool for Companies Committed to the Voluntary Guidelines on Responsible Governance of Tenure – Jeffrey Hatcher, Indufor North America (2015); http://www.slideshare.net/CIFOR/hatcher-glf-london-presentation-10-june2015. The content of the Guidelines is organized around Corporate Responsibly as well as five project types: Greenfield, Brownfield, Joint Ventures or M&A, improving existing holdings, and supply chains/procurement.

sector, given the violations of Indigenous Peoples' human rights stemming from forestry, palm oil and extractives industries activities in Asia, Africa and Latin America. On the other, RRI has engaged in multi-sectoral and multi-level dialogue involving the private sector. This dual pronged strategy continues, with more of an emphasis rightfully on the dialogue and engagement dimension over the last few years.

Working with the private sector, particularly for civil society organizations of the Global South, remains challenging. There is some concern among some RRI Coalition Partners and Collaborators that they are putting their reputations on the line as RRI pursues this work. There is also the perceived risk that RRI will lose its credibility as an advocate for the overall customary rights and land tenure agenda in a way that is pro-poor. Advocacy remains important to national and local level civil society actors in the Coalition, as clearly articulated in Indonesia. Such actors have seemingly adopted a wait and see approach to this work, enabled by RRI's Coalition approach.

RRI's dual-pronged approach has contributed to transformation in surprising and effective ways, as the discussions on Nestlé and Stora Enso below indicate.

Nestlé

The world's largest food company (as measured by revenues), Nestlé has developed a policy on land use issues, including guidelines for it to follow while it works towards improving compliance.

In July 2014, Nestlé released its 'Commitment on Land & Land Rights in Agricultural Supply Chains', as an appendix to their Policy on Environmental Sustainability.[40] Among other commitments, this involves its adoption of the FAO 'Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security' (VGGTs). This complements its existing practices of 'responsible sourcing audits' and 'responsible sourcing traceability assessments' in compliance with it 'supplier code.'[41] Overall, Nestlé set commitments in four areas:

- Compliance with national laws and international human rights standards, including FAO VGGTs

- Continuous Improvement: Implementation of operational practices to address illegal land acquisition and address its negative effects through human rights assessments, early warning systems, and grievance mechanisms. Nestlé also declared 'zero tolerance' for land grabs, and committed to a standard of free, prior, and informed *consent*, as well as of active, free, effective, meaningful and informed *participation* for affected groups. Nestlé will also work with suppliers to "improve land rights wherever gaps are identified", and ensure respect of land rights throughout their joint ventures.

- Engage stakeholders (governments, communities, farmers and others) to strengthen land rights for landless men and (especially) women, whilst respecting customary claims.

- Regular reporting on progress on Nestlé's commitments.

The Policy on Environmental Sustainability explicitly mentions human rights, customary land rights, the land rights of communities or Indigenous Peoples, gender inequities in land holdings, and power imbalances in investment decisions. The policy has been largely praised by advocacy groups such as Oxfam's 'Behind the Brands campaign', whose campaign manager wrote, "*I applaud*

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[40]Nestlé (2014). *Nestlé Commitment on Land & Land Rights in Agricultural Supply Chains.* Available at: http://www.nestle.com/asset-library/documents/library/documents/corporate_social_responsibility/nestle-commitment-land-rights-agriculture.pdf (Consulted on August 20th 2015)

[41] See Nestle Website: http://www.nestle.com/csv/rural-development-responsible-sourcing/responsible-sourcing/land-rights (Consulted 25 August 2015)

Nestlé's leadership and look forward to engaging with the company over the coming years on the actions it will take to follow through on its promises."[42]

Stora Enso

Stora Enso is a Swedish-Finnish pulp and paper manufacturer based in Helsinki. It was heavily critiqued by RRI for land acquisition practices that caused the displacement of local populations in China. Following a shaming strategy, and after a period of resistance to such criticism, Stora Enso engaged in dialogue with RRI, reviewed its contracts and practices, and has seen its leadership actively involved with the Interlaken Group.

From 2013, Stora Enso started integrating new principles on land issues into its assessments and practices, which is relatively rare for forest companies. Stora Enso used the VGGT tool and engaged in a learning-by-doing process, a significant learning experience according to one key interviewee.

Stora Enso's practices are reported to have changed in recent years, which they explain as follows: "*When we do social/environmental impact assessments, we've got to integrate land issues, which represents a big change in the last 5 years.*" This shift in corporate practice has also led to new types of collaboration between Stora Enso and RRI. For example, in China, under the auspices of RRI, Stora Enso evaluated their wood sourcing, identified some of the shortcomings in the land acquisition processes, and pursued a corrective response strategy. This example supports the argument that RRI's dual pronged strategy of advocacy and dialogue is both relevant and effective.

Community economic development

> *Land rights are an important issue in developing countries where land is a major asset for most people and the product of agriculture accounts for a large share of national income. There is a certain amount of consensus among economists that better land rights lead to better outcomes.*[43]

Finding 20:   RRI's work has translated into modest community economic development benefits and opportunities for local populations.

RRI aims to promote economic opportunities for forest-dwelling and dependent communities. Towards that end, RRI has sought to create a favourable environment for economic development to flourish while also more directly supporting communities in creating and pursuing economic development opportunities.

For insights on these matters, it is helpful to turn to RRI national level activities in Nepal, Colombia and China. There, efforts were undertaken to cultivate a greater understanding of Community Forestry Enterprises (CFEs) and small and medium forest enterprises (SMFEs). Relatively little documentation exists on the positive experiences of enterprises and examples of smart regulatory frameworks within the region that enable SMFEs, community-based and/or women's enterprises. However, RRI's Independent Monitoring Reports provide the following information:

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[42] van Zijl, Monique, campaign manager for Oxfam's Behind the Brands campaign (August 2014), "Another food company against land grabs: Why Nestlé's policy matters", *Oxfam America*, Available at: http://politicsofpoverty.oxfamamerica.org/2014/08/food-company-against-land-grabs-nestle-policy/ (Consulted 11 November 2015).

[43] Quy-Toan Do and Lakshmi Iyer (2002*). Land Rights and Economic Development: Evidence from Vietnam.* Available at http://elibrary.worldbank.org/doi/abs/10.1596/1813-9450-3120 (Consulted August 25th 2015)

- In China, RRI's project supported Landesa's efforts to achieve effective results toward ensuring the development of equitable policy to protect forest resources, regulate the exploitation of resources, and compensate farmers for agreeing to reduce their consumption of forest resources. As a result, the Chinese government agreed to increase compensation paid to communities for

> "*The economic dimension of our work could be better developed. There needs to be more intentional focus on 'local productive systems' and not just on tenure issues and ecosystem outcomes.*"
> – RRI Partner

participating in the Natural Forest Protection Program. This translates into an increase of total compensation to affected farmers and villages of 1.7 billion yuan per year. The offering of proper compensation for affected forest owners and users is gaining wider recognition among policy makers and legislators. The Central Committee of the Chinese Communist Party (CCP) also adopted a policy that directs central and local governments to establish a better compensation scheme for eco-services and regulated exploitation of resources.

- In Nepal, RRI has supported the piloting of forest enterprises. According to its 2014 Annual Program Monitoring Report (APMR), RRI made significant progress in establishing CFEs in greater number and with increased, mobilized private sector support, boosting local incomes.

- In Colombia, RRI supported efforts to influence tenure governance and national reforms, notably with respect to Law 70 dealing with issues on land use and natural resource protection, mining, and social and economic development of Afro-Colombian communities.

However, RRI does not have an intentional strategy for promoting community economic development directly, notably at sub-national level; though it advocates for recognition and implementation of 'legal forest management' (e.g. EU FLEGT), from which small-scale forest enterprises likely benefit. Some interviewees, notably Collaborators in Indonesia and in West Africa, noted that RRI should consider doing much more intentional work in this field, with Partners and/or Collaborators

> **Small-Scale and Community Forest Producers**
> *Small-Scale and Community Forest Producers: The Challenges and Opportunities of Legality Verification.* A workshop co-organized with Chatham House in May 2014 in London, UK. The workshop focused on the impact of legality verification (most notably, FLEGT) on Small and Medium Enterprise (SME) sustainability, and discussed practical approaches to address the risks and opportunities. (Source: 2014 IMR)

who already take leadership in these areas.

7 Sustainability

7.1 Overview

RRI is not an organization but a Coalition. Therefore, an understanding of what is meant by 'sustainability', as specific to coalitions, is necessary as a point of departure.

The Secretariat and Coalition have expressed their understanding of sustainability primarily but not exclusively in terms of outcomes and impacts related to the customary tenure and land rights agenda. This is appropriate for coalitions, where the priority is not primarily placed on ensuring the sustainability of the coalition itself, without ignoring that this is also of import.

Thus, for this MTE, sustainability refers to whether and why FPII outcomes achieved to date are likely to continue through to the end of FPII and after RRI will have withdrawn its involvement. There are many factors that favour or detract from the sustainability of results.

Sustainability is favoured by: regular reviews of governance and strategic direction (see section 8.2), as well as good communication and planning, for instance.

In the current chapter, the matter of sustainability is examined from a number of different perspectives, notably in terms of financial sustainability, institutional sustainability, human resources, free-riding, planning cycles, and issues related to conflict-affected environments.

7.2 Sustainability with Respect to Financial Resources

In planning for sustainability, the matter of financial resources available to the tenure movement is one key dimension. On this point, RRI has directly and indirectly contributed to increasing the funding available to Coalition organizations (and more broadly) on a number of different levels, with important implications in the longer term.

Coalition Partners and Collaborators are able to access financial resources through the RRI Program and SRM. RRI's recently developed Strategic Initiative known as the Tenure Facility promises to contribute many millions of dollars annually to work being undertaken around the world beyond RRI's direct involvement.

Finally, RRI has successfully attracted the attention and material commitments of national and individual investors in ways that have benefitted, and may well continue to benefit, the customary tenure and land rights community.

Finding 21: RRI has attracted the attention and significant financial commitments of individual and institutional investors.

RRI has brought in resources from individual and institutional investors and has achieved significant uptake from some major investors, which is very promising for its future activities and the movement more widely.

One respondent familiar with RRI's analytical work described how RRI's burgeoning expertise has provided validation to the premise that insecure land tenure systems are very costly to investors, both socially and financially. He noted that the Acacia Fund, the charitable organization founded by Sequoia Capital, a major US-based venture capital firm, was impressed by the strength of RRI's analytical work and made a donation to RRI of USD 700,000. While such resources are obviously valuable, the reputational value of having the support of heavyweights like Sequoia Capital/Acacia Fund is immense.

7.3   Institutional Sustainability

Finding 22:   A review of RRI's financial situation demonstrates that it is financially healthy and stable.

While not the single most important factor, sustainability is also a factor of the financial health of RRI. The current MTE was not mandated to undertake an organizational assessment, so the comments related to this point are brief. Overall, a review of RRI's financial situation demonstrates that it is financially healthy and stable.

Over the past four years, RRI's overall revenue has grown annually, from $7,352,640 in 2011, to $10,606,715 in 2013, to projected revenue for 2015 of $12,948,764.[44]

> "*Sustainability of RRI should not be an end in itself, it's the sustainability of the results that is interesting, but of course a resilient organization with a long-term commitment is a good help on the road.*" – RRI Partner

For the past three years, RRI has carried over a sizeable surplus of accumulated funds in its balance sheets. In 2012, the ends of year cash equivalents were $2,755,693, in 2013 $2,798,000, and $2,410,325 in 2014.

Although the argument could be made that the organization's surpluses indicate an underutilization of resources, they are more likely an indication of financial prudency, as they are below 20% of the annual budget.

The 2015 budget contained $462,297 of unfunded activities, representing 3.6% of the organization's budget; however, given its history of carrying over large surpluses, it is unlikely that such a small percentage represents a risk for the Coalition.

Overall, our assessment points to a fiscally responsible and prudent organization. Its financial planning, though suggestive of a small underutilization of resources, ensures that RRI remains relevant, responsible and able to withstand unexpected shocks should they arise.

7.4   Sustainability with Respect to Human Resources

Finding 23:   Documents reviewed and stakeholders consulted suggested there was room for RRI to improve the management and allocation of its human resources, a matter that RRI has started addressing.

This study was not mandated to undertake an Organizational and Institutional Assessment of RRG. As such, no formal analysis of RRG human resources has been done. Nonetheless, the matter of human resources is important to the issue of sustainability for RRI, and a few comments are noteworthy.

An earlier mid-term evaluation (2011) noted that RRG was perhaps taking on an overly ambitious workload given its human resources.[45] In the past, RRI has found it difficult to find qualified staff, due in part to the challenges of obtaining work visas for international candidates.[46] There is

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[44] Figures for 2011 and 2012 are from RRI's FPI (and not FPII) period. They are included to provide perspective over time, showing both progression and consistency.

[45] Campbell, G. J., Andersen, K. E., Buchy, M., Davis, R., & Recharte, J. (2011). *The Challenges of Growing with Complexity: Mid-Term Evaluation of the Rights and Resources Initiative.* The Mountain Institute.

[46] Rights and Resources Initiative (2014). *Annual Narrative Report 2013: Integrated Reporting Framework*.

evidence of RRI's highly qualified leadership staff being under-utilized or inappropriately utilized, notably at Secretariat.

Also, RRI's strategic leadership relies on a small number of individuals, which leaves the organization vulnerable when turnover occurs. As noted in the 2014 consultancy on scaling up, the turnover of the leadership team and the intention to scale up "will require transparent strategies that can lead toward appropriate leadership succession."[47] RRI is well aware of these human resource and leadership challenges and has taken steps to meet them.

As Arvind Khare, longstanding Executive Director of RRG stepped down, RRI appears to have ensured continuity, which required both leadership and careful management to maintain RRI's capacity at headquarters and across the Coalition. Matt Zimmerman has been taken on as Senior Director of Finance, and is also playing a key role in managing RRI more broadly. A number of accounting staff has also been hired to support the organisation's management.

In 2015, an Organisation Talent Review was undertaken to ensure that Secretariat was using its human resources effectively and efficiently, notably with RRI's re-emphasis on national level implementation. Based on this review, one of RRI's key decisions has been to reorganize its country-level human resources, so that staff from the cross-cutting support programs would be relocated as part of the regional and country teams. In addition, the Directors of cross-cutting programs will become involved in country-level policy advocacy based on the Directors' expertise and language skills. It will be important to monitor the extent to which this has effectively addressed the points of concern raised above.

7.5 Free-Riding

Finding 24: **A certain measure of free-riding has been recognized as a persistent problem facing the RRI Coalition, raising concerns both about efficiency and membership. The extent of the problem remains unclear and a strategic response has yet to be crafted.**

In the literature on environmental governance, free-riding has been defined as a situation where relevant actors position themselves with respect to collective regimes, agreements or initiatives so as to "avoid[ing] the costs, while hoping to enjoy the benefits"[48], often but not exclusively by not participating.

Free-riding is a feature of most coalitions, epistemic communities and transnational advocacy coalitions. Some actors will inevitably ride on the coattails of others, minimizing risks and maximizing benefits to themselves, while withdrawing when the going gets tough or demands on their diverse resources are internally perceived as problematic.

In the RRI Coalition, there is evidence of free-riding underway. This was flagged in the 2014 'Models for Scaling Up Impact'[49] report as follows:

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[47] Universalia (2014), *Consultancy on How RRI Can Best Organize: Final Report- Models for Scaling Up Impact*, p. 16.

[48] Downie, David Leonard (2004) 'Global Environmental Policy: Governance Through Regimes' in Axelrod, R.S., Downie, D.L. and Vig, N.J. The Global Environment: Institutions, Law, and Policy. 2nd Edition. Washington, DC: CQ Press, p. 78.

[49] Universalia (2014), *Consultancy on How RRI Can Best Organize: Final Report- Models for Scaling Up Impact*, p. 8.

> *In spite of relatively robust Coalition rules, interview respondents stressed that the formalization of RRI's institutional structure has created opportunities for free riding amongst some Coalition partners. Nowadays, the extent to which partners are motivated by the goals of RRI, as opposed to the pursuit of the own self-interest, is a question that stakeholders inside and outside of the Coalition openly raise. In explaining their position, interview respondents argued that RRG's success in securing funds has led to an unhealthy situation where some partners have become more interested in what the Coalition can do for them than what they can do to help the Coalition and the larger movement achieve impact.*

Such free-riding is today perceived by RRI leadership as a matter of concern on two counts. First, free-riding threatens the efficient use of financial, human and other resources. Second, the existence of free-riding suggests that some Coalition participants do not likely share the same commitment to the goals and priorities of the Coalition as both its majority and leadership.

The specific nature and extent of free-riding is still unclear, noting that this problem has been on RRI's radar for several years. To date, RRI has not developed a strategic response on the issue of free-riding in the Coalition.

7.6 Sustainability with Respect to Planning Cycles

Finding 25: RRI's annual planning cycle and project funding approach tends not to favour the sustainability and resilience of RRI Collaborators' efforts. Collaborators would prefer biennial strategizing, planning and funding cycles.

Given RRI's annual funding cycle (see section 8.2) and opportunistic approach (e.g. its recent decision to reassess its priority countries on an annual basis), RRI sometimes strains to pursue the follow-up required to sustain its work, as well as broaden, scale up and accelerate reforms.

Coalition Collaborators operate both individually and as part of the Coalition. As individual organizations, they plan, pursue activities and evaluate their work along multiple cycles that typically include one that is multi-year (perhaps 3-5 years). As part of the Coalition, these organizations plan, implement and evaluate their work on an annual basis, and receive funds to do so annually, based on projects they propose (for the most part). Consulted Collaborators were unanimous in calling for biennial, even multi-year RRI Coalition strategizing, planning, funding, implementation and evaluation, so they could better align their organizational and Coalition priorities.

Given that sustainability has been defined as the ability to perpetuate rights-related outcomes and impacts, and that RRI is understood as a dynamic, catalytic and adaptive network of support for its members, RRI is challenged to find a balance between fluidity (responsiveness) and lock-in (multi-year commitments). RRI's ability to operate opportunistically would not necessarily be lost from its establishment of longer-term commitments. Here, a distinction could be drawn between *planning* and *resource allocation*, with planning pursued biennially while resource allocation and delivery would take place every year.

RRI leadership have expressed concern about avoiding the creation of dependency-based financial relationships with members. Moving to a two-year cycle as discussed above will not likely increase the risk of dependency, given that contributions forthcoming from the RRI Coalition do not represent core funding for these organizations. They are only a small percentage of the budget of each organization. As such, several interviewees perceived RRI funds as a contribution to, or leveraging of, existing ideas, capacities, and activities.

Coalition members have been effective in leveraging these small amounts of money to secure additional, matching, or sometimes much larger sources of financing. For example, in Indonesia, RRI resources have

> "*Even without RRI support, we would go out to find the resources to implement what we would like to do. So RRI becomes a useful partner in terms of bringing in resources to support our objectives. But since this is our agenda, we have to put in extra effort to find complementary sources of funding if there is ever a gap in our resources.*" – RRI Partner

allowed KPA to leverage matching funding from the International Labour Organization (ILO) for the development of a white paper on agrarian reform (the funding is a combined grant with other organizations collaborating on the paper). Such leveragability would likely be amplified through a two-year cycle because it would align better with the planning cycles of Partners and Collaborators, as well as with those of potential external funders.

7.7   Sustainability in Conflict-Affected Environments

Finding 26:   RRI faces challenges in conflict-affected environments, which pose a constant threat to the sustainability of its work.

Much of RRI's work takes place in conflict or post-conflict environments, including Colombia, Liberia, Mali and elsewhere. The fact of direct, structural and/or cultural conflict cannot be considered a sideline issue to be dealt with on an ad-hoc basis.

RRI's work has both direct and indirect implications on conflictual and peacebuilding dynamics within the countries where it works, as do all resource based and political interventions.[50] They bring financial, political and social capital into conflict regions, and RRI's interventions are no different. As such, the sustainability of RRI's work in such environments is contingent upon the elaboration of a conflict-sensitive approach to RRI interventions.[51]

In several countries where the RRI Coalition has been active, as in Indonesia, Indigenous, land and collective rights activists report having been physically threatened and some of their colleagues even killed for the struggle they are waging. The perpetrators have primarily been identified as government forces or private security sector actors hired by the private sector (e.g. forestry industries, palm oil industries).

Cognizant of these conflict related matters, the Coalition initiated a discussion in 2015 on the issue of conflict sensitivity (notably with respect to the Tenure Facility). RRI (and partners) received conflict sensitivity training from Owen Greene (Professor of Peace Studies and Co-ordinator of the Sida Helpdesk on Human Security) at its 2015 'Scaling Up' conference in Bern, Switzerland. Overall, RRI is taking important preliminary steps towards developing a clear policy and concomitant strategies for dealing with conflict related issues in its focal countries.

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[50] Uvin, Peter (2002). "The Development/ Peacebuilding Nexus: A typology and History of Changing Paradigms", *Journal of Peacebuilding and Development,* 1: 1.

[51] See the KOFF-Center for Peacebuilding 'Fact Sheet Conflict Sensitivity' published by Swisspeace for further information.
http://www.swisspeace.ch/fileadmin/user_upload/pdf/KOFF/KOFF_Documents/KOFF_Factsheet_Conflictsensitivity.pdf (Consulted 9 November 2015).

8 RRI Governance and Management

8.1 Overview

This chapter examines RRI performance in terms of questions in the Evaluation Matrix on the extent to which RRI's governance and management enable or impede the implementation of FPII objectives and priorities. It includes sections on RRI's governance approach (strategic governance, cycles) and monitoring (monitoring mechanisms and learning).

8.2 RRI Governance Approach

Strategic governance

Finding 27:   RRI regularly reviews its governance and strategic direction.

Regular planning meetings are a feature of the RRI Coalition cycle. According to RRI leadership, annual planning is a bottom-up process comprising conversations with Partners and Collaborators, the identification of planning questions, the development of strategy, the definition of outcomes for the year and concomitant actions to be undertaken for getting RRI there.

Beyond regular annual planning meetings, RRI holds special strategic sessions. For instance, in 2014, the Coalition held three meetings of the Coalition leadership called RRI Futures. These meetings set the parameters for the Coalition's subsequent phases for adapting to anticipated changes needed to improve its effectiveness.

Such meetings supplement annual and more frequent planning meetings and other planning processes including annual Secretariat staff retreats. At the 2015 staff retreat, staff discussed the possibility of refocusing attention and staff time and resources on six priority countries where RRI perceives itself to have the greatest potential for policy impact (and a decision was reached to take this matter to the RRI Board). This strategic reorientation addresses the concerns expressed in the 2014 reflection paper on 'Scaling Up Models' about the value of ongoing growth of Collaborators in particular.[52]

Governance cycles and funding

Finding 28:   RRI's annual planning, implementation and reporting cycle is seen to be too short and strategically limiting for RRI Collaborators. However, RRI's funding model limits its ability to commit funds for longer periods.

RRI pursues an annual cycle for most of its work. In terms of strengths, the annual cycle allows the Coalition to operate nimbly, responding to opportunities as they emerge. Funding is disbursed annually in response to annually established priorities. Issues being addressed and supported are those at the forefront of issues being considered in the field. It allows RRI to be an adaptive coalition, constantly correcting its trajectory within a longer strategic trajectory established by its FPII.

Despite the advantages of this arrangement, planning, implementation and reporting all need to fit into this annual cycle. This has been reported to be challenging for Collaborators in particular,

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[52] Universalia (2014), "Consultancy on How RRI Can Best Organize: Final Report - Models for Scaling Up Impact", 50 pages.

especially the smaller ones. Coalition members consider the annual planning and funding cycle to be very short.[53] For Collaborators, this cycle is stressful, strategically limiting and operationally draining.

The Secretariat reports, however, that it is not currently possible for RRI funds to be disbursed over longer period of time. Funding constraints stemming from grant conditions are limiting in this respect. Funding is increasingly tied to specific activities as well, as in the case of REDD or FLEGT. Thus, RRI Secretariat perceives itself obliged to maintain the current annual planning, funding, implementation and reporting cycle. Overall, this points to the ongoing challenge facing RRI, of balancing different Secretariat, Partner and Collaborator preferences and priorities.

RRI Coalition members had mixed views on reporting requirements and general accountability to the Secretariat. While acknowledging that a level of due diligence and reporting was necessary, smaller Collaborators often considered reporting requirements excessive given the relatively modest level of funding provided and the small scale of activities conducted. A similar finding emerged in the 2011 Mid-Term Evaluation and the 2014 Universalia consultancy report for RRI on Models for Scaling Up Impact. Responding to this matter, Secretariat reports having simplified the reporting requirements of Coalition members.[54]

8.3   Monitoring

Finding 29:   RRI's monitoring and evaluation system is considered adequate by Coalition members. Its limitations stem from being only partially geared at providing data for tracking progress on land *and* livelihoods at national and global levels.

The purpose of monitoring should be to systematically track and render visible RRI's progress at the global and national levels, in order to: a) demonstrate RRI's value-added to Coalition members, donors and the wider community, and b) learn from and improve the Coalition's work.

Monitoring global data

In terms of tracking global data on land tenure, RRI provides a fairly comprehensive Tenure Data Tool which outlines the number of hectares controlled or owned by Indigenous Peoples and local communities in a number of countries.[55] Building on this and other available data, in 2015 RRI published the *Who Owns the World's Land* report, which breaks new ground in quantifying the amount of land formally recognized as owned and controlled by Indigenous Peoples and local communities.

Challenges: RRI information is not always based on coherent and up-to-date sources because updated data is not always provided by governments or other sources. In the 2015 report *Who Owns the World's Land?,* for example, RRI provided a 'global baseline' with data on the percentage and number of hectares owned by Indigenous Peoples and local communities. However, some of

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[53] The 2011 Mid-Term Evaluation (Campbell et al.) also noted that the one-year contract period for disbursement of funds to Partners and Collaborators is an issue for these members. The 2011 MTE suggested that RRI could explore alternatives to the annual funding cycle, such as by creating a pool of funds for multi-year grant programs to test whether this would have positive repercussions on the Coalition's processes (while still supporting RRI's culture of learning and responsiveness to new opportunities.)

[54] Communication with Secretariat, 1 December 2015.

[55] Rights and Resources Initiative, Tenure Data Tool: http://www.rightsandresources.org/resources/tenure-data/tenure-data-tool/

this information is taken from occasionally outdated government sources, and is not available on an annual basis, making it difficult to assess progress over time.

Monitoring Coalition-specific progress

RRI undertakes regular mid-term and final evaluations, and produces annual Independent Monitoring Reports (the last of which was produced in 2014). Partners produce regular Annual Progress Monitoring Reports (APMRs) as well as narrative reports.

Challenges: Data collected from government sources and other sources is peer reviewed by independent researchers familiar with the regions and countries in question, who are able to confirm whether data corresponds to expert estimates. Data for certain countries is readily available from government sources; some country data can be verified with reasonable accuracy through the peer review process; for some countries there is no data available; and for some countries some data was collected and then discarded after analysis showed that the data were not reliable. Another issue is that data on the number of hectares are not geolocated so RRI cannot fully ascertain whether the land tenure increase took place in areas where they were active.

- Annual monitoring reports from four countries (Colombia, DRC, Indonesia and Panama) do not have data on hectares of land under collective ownership or the number of people reached, nor do they mention this expected outcome.

- Progress reports for five countries (China, India, Lao, Nepal and Senegal) mention these targets/outcome but state that it is difficult to quantify the number of hectares where tenure rights are recognized, of Indigenous Peoples benefitting from this, and to determine RRI's specific contribution.

- In some countries, this lack of quantified data is due to limited interventions or funding of RRI (Bolivia and India) or because interventions are too recent to provide results (Senegal).

- RRI Collaborators in countries such as Bolivia and Liberia indicate progress or setbacks although they do not always quantify these in terms of number of hectares or people reached. For instance in Bolivia, extractive industries and infrastructure development are threatening historical gains in the recognition of indigenous rights over 22 million hectares of land, but the exact number of hectares threatened by commercial development is not reported. A notable victory, however, has been the Bolivian Government's decision to delay plans to build a controversial highway bisecting the Isiboro-Sécure Indigenous Territory and National Park (TIPNIS) following advocacy from lowlands Indigenous groups, citing the need to tackle extreme poverty before going ahead with infrastructure development plans.

In addition to problems noted above with obtaining regular and reliable country data:

- Some interviewed Collaborators noted that they do not have a good understanding of RRI's results over the medium term (since 2006), because results are reported on an annual basis, and annual reports do not effectively describe RRI's cumulated impact. ..

- While some interviewees agreed that RRI's work on forest and land tenure sometimes leads to improved economic benefits for communities, the economic /community development benefits of RRI's work are poorly documented.

Monitoring and decision-making

Finding 30: **RRI monitoring mechanisms provide data for high-level decision-making and reporting, notably for the Secretariat. Partners and Collaborators feel that there is room for improvement in RRI monitoring, particularly with respect to national level data, SRM monitoring, and in terms of the accessibility of data throughout the Coalition.**

Overall, consulted Partners and Collaborators consider RRI's monitoring and evaluation practices adequate, with some room for improvement, especially at the national level.

In the survey, a majority of respondents (60% of Partners and 58% of Collaborators) somewhat or fully agreed that "RRI's monitoring mechanisms produce usable data for improving Coalition decision-making"; 14% disagreed and 28% either did not know or had no opinion.

RRI's current monitoring systems are geared more towards supporting the Coalition's global level decision-making and reporting purposes, as undertaken by the Secretariat, and less for national level data collection and decision-making.

The information generation is important for high-level decision making involving the Secretariat and Coalition Partners, and also for reporting to donors. However, as RRI moves towards a more narrow focus on fewer countries, its monitoring mechanisms will need to be adjusted accordingly.

Interviewed Coalition members said they are interested in seeing monitoring data collected, constructed and shared more dynamically and strategically, and noted the following gaps and suggestions:

- There is little sharing of monitoring data between countries and regions.

- In addition to regular monitoring, Collaborators suggested participatory mapping, ground level tenure mapping, and more effective use of civil society data in addition to government and officially generated data.

- Partners and Collaborators indicated the need for monitoring mechanisms to accommodate the diversity of languages used throughout the Coalition.

Monitoring and Evaluation of the SRM

With respect to the monitoring of the SRM, the survey asked if "RRI monitoring mechanisms of the SRM provide useful data for my group/organization". More than half of survey respondents overall (55%) either had no view or did not know. In disaggregated data, 40% of Partners and 50% of Collaborators agreed with the statement; only one Collaborator (and no Partner) disagreed. Based on survey and interview data, Coalition Partners and Collaborators are interested in effectively tracking and learning more about the value of the SRM for the Coalition as a whole.

The SRM mechanism is not part of a formal logframe/results planning process, which presents a few challenges in terms of demonstrating the results of this type of opportunistic funding mechanism. Nevertheless, the activities and results attributed to SRM initiatives are reported by RRI in a short annex of each annual narrative report. A quick review of these annexes over the last few years leaves the impression that most SRM initiatives align quite well with the Coalition's objectives. A number of SRM initiatives appear to have consistently targeted the same issues over several years and, in some cases, this has led to concrete results.

For example, RRI's work in China has benefitted from two SRMs addressing the issue of large-scale land grabbing (see sidebar).

These two SRM allocations contributed to results that were clearly aligned with RRI's Output 4, "Private sector entities actively support tenure and governance-related reforms, and support community-governed production and management in the countries where they operate."

Other SRM funding has provided support to efforts to influence key legislation, and to guarantee time-bound participation or consultations of Indigenous Peoples and local communities to national and international land reform, territorial mapping, and climate change processes (such as UN-REDD).

Despite the availability of these data in RRI's annual narrative reports, stakeholders consulted

> **The SRM in China**
>
> From October 2009 to February 2010, RRI provided SRM funding of USD 24,000 to the Rural Development Institute (RDI) to carry out a case study of alleged violations of large-scale forest and farm-land acquisitions law in Guangxi Region by the Stora Enso pulp and paper manufacturing company.
>
> From January to December 2013, RRI provided SRM funding of close to USD 70,000 to Landesa to investigate forestland acquisitions by Stora Enso and Asia Pulp and Paper (APP) to identify key issues faced by farmers in large-scale land acquisitions, and to provide recommendations for Stora Enso, APP and Chinese policy makers and investors involved in land acquisitions in China. A report on Stora Enso's practices was finalized in late 2013, after a lengthy revision process with Stora Enso HQ and field staff.
>
> After a period of resistance to criticism by RRI for its land acquisition practices, which displaced local populations in China, Stora Enso has now become a member of the RRI-initiated Interlaken Group, which – as explained at section 6.4.3 on market reform – has worked with RRI to develop clear, practical guidelines to companies to implement the FAO Voluntary Guidelines on Responsible Governance of Tenure of Land, Fisheries and Forests (VGGT).

noted that the SRM should be better monitored and evaluated, to serve the Coalition more effectively. One survey respondent noted that "*I don't have the information [on SRM results]. I have not used monitoring data on SRM and am not sure where I would find this.*" Stakeholders also expressed concern about the lack of follow-up on SRM activities.

A culture of learning

Finding 31: RRI has a good communication system but has not yet built a culture of learning across the Coalition.

According to a majority of Partners and Collaborators interviewed, RRI has an effective communication system that, for the most part, ensures appropriate and ongoing exchange about important matters across the Coalition and cultivates trust between organizations in pursuit of common and overlapping agendas. Partners and Collaborators in India, Indonesia and elsewhere expressed

> As explained by one Coalition Partner, "*[m]onitoring is 75 % formalistic, by email, meetings reports, etc. But we need to imagine and plan the future together, for Partners to define the agenda more actively.*"

appreciation for monitoring site visits and regular videoconferencing. One Collaborator in Indonesia stated that it is important to "*ensur[e] that the Coalition operates at a human as well as institutional scale*".

RRI has often been described by Coalition members and the wider tenure rights community as a knowledge-based network[56] that generates, mobilizes and builds around knowledge and through

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[56] "Knowledge networks" are defined by IISD (2001) as networks that aim to "share information and create new knowledge; strengthen research and communication capacity among members, and identify and implement strategies to engage decision-makers more directly, linking to appropriate processes in the areas

knowledge practices. It is also a network that pilots new initiatives and innovates strategically, politically and programmatically. This has created a conversation in the network about RRI as a planning and learning community that is as yet under-developed. RRI has instituted collective planning (as discussed above), but has not yet developed an intentional culture of collective learning, where knowledge generation mechanisms ensure learning across and for the network as a whole in relevant and effective ways.

Those familiar with RRI reporting have suggested that RRI rarely reveals its weaknesses (e.g. to Donors), even where this may generate important and valued opportunities for growth. However, others have lauded the willingness of RRG to embark in new directions such as the Tenure Facility and to have it included in evaluations such as this one. At a related practical level, one RRI donor noted that RRI struggles "to capture stories through its M&E systems" that excite donors and other actors, to show tangible progress. Narrative stories come from outside the formal M&E channels. The Coalition as a whole stands to benefit from such an intentional strategy for sharing and learning, beyond what it has already done.

> *"There should be much more investment in 'change stories' around national level reform processes, to try and identify what approaches have worked and what haven't. To be honest one would think that there would be a great body of evidence built up by RRI's work over the past decade about these processes about tenure reform and institutional change, but that does not appear to be the case. This is a striking gap."* – RRI Collaborator

Interviews and analysis indicate that RRI monitoring currently focuses primarily on results and less on learning. While it is understandable that outcome tracking is important for a cause as vital as land tenure reform, Coalition members have expressed the opinion that this is not inclusive enough and often obscures the ongoing and iterative nature of the strategies pursued and changes sought by their efforts.

Monitoring and evaluation terminology

Finding 32: RRI uses confusing terminology for levels of results, which affects the coherence of its operations and as well as its reporting to donors.

As noted in the 2014 Independent Monitoring Report, RRI uses problematic and confusing terminology for levels of results throughout its M&E system, as measured against OECD-DAC evaluation standards. This affects the coherence of its operations and its reporting to donors.

The RRI outcome statement would be better labeled an "intermediate outcome". According to OECD-DAC definitions, RRI outputs would be considered outcomes (see sidebar) and RRI activities would be considered outputs.

> **RRI Outcome**
>
> Tenure, governance and market reforms that secure local rights to own control and benefit from natural resources
>
> **RRI outputs come across as outcomes**
>
> * Tenure legislation, policy and regulatory frameworks recognize and strengthen the rights of local communities and Indigenous Peoples in a subset of countries in Africa, Asia and Latin America;
>
> *Market, trade, investment or conservation legislation and policies adopted or implemented by governments that strengthen Indigenous Peoples' and local communities' rights, enterprises, benefits and incomes in a subset of countries in Africa, Asia, and Latin America;
>
> *Strategic national-level coalitions of CSOs or global climate or forest trade initiatives actively committed to and engaged in advancing national-level tenure and governance reforms;
>
> *Private sector entities actively support tenure and governance-related reforms, and support community-governed production and management in the countries where they operate.

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of policy and practice." See Creech, H. and Willard, T., 2001 "Managing knowledge networks for sustainable development", https://www.iisd.org/sites/default/files/pdf/2001/networks_strategic_intentions.pdf

9 Recommendations

Introduction

The MTE team concludes that RRI has made important progress mid-way through the FPII period. The overall shift and re-orientation towards greater focus on national level processes in a smaller number of countries is a strategic move forward for the Coalition. In our opinion, heightening RRI's relevance, effectiveness, sustainability, governance and management in this respect, towards favouring FPII outputs and outcome and beyond, will require realignment but not a radical overhaul of its approach and efforts.

In each of the sections below, recommendations are listed according to the MTE team's perception of S*trategic Priority, Urgency,* and F*easibility* on a scale of 1-3, where 1 is the highest. The recommendations also speak to those responsible for taking them forward.

Overall approach

RRI is undoubtedly perceived as a relevant Coalition at both global and national levels. Given that RRI is reorienting itself strategically for the remainder of the FPII period to focus more of its efforts on advancing the national implementation of customary tenure and land rights, it will need to further adapt its approach and practices to the challenges and complexities of working in particular national contexts, in conversation with national level Coalition members. RRI should still maintain a global orientation to its programming, while promoting greater national, regional and cross-regional linkages to the benefit of national level coalitions. There appears to be no other organization with RRI's experience and capacity able to play this role.

Recommendation 1 is linked to findings 1, 2, 3, 14, 15, 16, 17 and 26.

Recommendation 1: **As RRI focuses its efforts and resources on fewer countries, the Secretariat and national level Coalition members should collaborate in developing theories of change and strategies for each focal country. These should take into consideration the national context in terms of strategic, political, capacity, governance and resource factors.**
Recommendation 1: Strategic Priority 1, Urgency 1, Feasibility 2

Effectiveness

RRI's effectiveness stems in part from its ability to strategically inform the terms of debate on tenure rights, while advocating and convening around this. RRI's effectiveness derives also from the support it offers its members, the partnerships it pursues, its mobilization of new constituencies, its innovation and piloting of new initiatives, and its ability to respond to emergent opportunities in a timely way.

To improve RRI's effectiveness (primarily but not exclusively at national level), a slight but important strategic and operational repositioning of the Secretariat vis-à-vis Coalition Partners and Collaborators is warranted, as articulated in each of the recommendations below.

Recommendations 2, 3, 4, 5 and 6 are linked to findings 7, 8, 10, 11, 13, 14, 15, 16, 17, 18, 19 and 20.

Recommendation 2: **RRI should clarify and communicate to all Coalition members the objectives, parameters and eligibility requirements for the Strategic Response Mechanism (SRM).**
Recommendation 2: Strategic Priority 1, Urgency 2, Feasibility 1

Recommendation 3: RRI should consider engaging the diversity of its Coalition members more strategically and effectively in pursuit of its overall research, analysis, advocacy, convening and networking, monitoring, and other work. *Recommendation 3: Strategic Priority 2, Urgency 3, Feasibility 2*

Recommendation 4: RRI should continue to cultivate and expand its relationships with the private sector (including in its countries of focus). Partners and Collaborators should be part of related discussions and initiatives. *Recommendation 4: Strategic Priority 1, Urgency 2, Feasibility 1*

Recommendation 5: RRI should continue to cultivate and expand its relationships with the governance sector (e.g. MegaFlorestais and other actors of relevance to land, forest, infrastructure and livelihoods related to governance). Partners and Collaborators should be part of related discussions and initiatives. *Recommendation 5: Strategic Priority 1, Urgency 2, Feasibility 1*

Recommendation 6: In each of its focal countries, RRI should develop strategic partnerships with organizations that specialize in complementary areas of work, including community economic development. *Recommendation 6: Strategic Priority 2, Urgency 2, Feasibility 2*

Sustainability

The following recommendations are designed to favour the sustainable use of limited Coalition resources as well as the sustainability of results beyond RRI's involvement.

Recommendations 7 and 8 are linked to findings 9, 21, 22, 23 and 24.

Recommendation 7: RRI should review and plan the future governance and structure of the Tenure Facility within 12-18 months, and should communicate related developments to the Coalition as a whole at regular intervals. *Recommendation 7: Strategic Priority 1, Urgency 2, Feasibility 1*

Recommendation 8: RRI should consider developing a process to both ascertain the extent of free-riding underway among Coalition members and to reinvigorate member commitments to the Coalition. *Recommendation 8: Strategic Priority 3, Urgency 3, Feasibility 2*

Governance and management

RRI Coalition members we spoke with, notably among Collaborators, are interested in seeing their involvement in the Coalition become both more strategic and secure. While the global funding environment imposes real constraints on how far it is possible to do so, Recommendation 9 offers some guidance, linked to findings 25, 27, 28 and 29.

Recommendation 9: RRI should consider the benefits of a biennial or multi-year planning cycle with funds disbursed annually. This could enhance strategic thinking, learning and resilience across the Coalition. *Recommendation 9: Strategic Priority 2, Urgency 2, Feasibility 3*

To meet its diverse information, tracking and learning needs, RRI's monitoring and evaluation system will need to be developed further in time to be of use for the next Framework Proposal cycle. Focusing on the short- and medium-term, it should include objectives and indicators on land and livelihoods at national and global levels, on the SRM, and on gender. It should also address and resolve the confusing evaluation terminology, a matter that has been flagged in previous evaluations. Recommendation 10 is linked to findings 4, 5, 6, 12, 20, 28, 29, 30, 31 and 32.

Recommendation 10: RRI should clarify the information, tracking and learning needs of the Coalition as a whole, Secretariat, Partners and Collaborators, and develop a monitoring and evaluation system that meets these needs.
Recommendation 10: Strategic Priority 1, Urgency 2, Feasibility 2

Appendix I Terms of Reference

FPII Mid-Term Evaluation 2015

Terms of Reference

Introduction

The Rights and Resources Initiative (RRI) began in 2002 as a series of conversations between individuals within research, conservation and development organizations (CIFOR, Forest Trends, IUCN, IDRC and Ford Foundation) – all of whom were dedicated to rights-based approaches to conservation and poverty alleviation and all of whom felt that there was a great need, and a new opportunity to advance pro-poor tenure, policy and market reforms globally.

Initiative Partners came together to improve their collective impact and efficiency in supporting local actors in advancing institutional, policy and tenure reforms that lead to pro-poor forestry outcomes as well as raise the level of efforts on this issue globally. *The value proposition of this Initiative is that, with a limited incremental investment in improved coherence and coordination, existing organizations can dramatically increase their contribution to the rights, dignity and development of forest dependent people globally as well as to forest conservation and more equitable economic and social development.*

From its inception, RRI has been focused on delivering results and impact. The main document that articulates the coalition's identified goals is the Framework Program, now in its second phase. RRI's Framework Program II (FPII) identifies strategic objectives and results to be achieved within the structure of a Logical Framework. Integrating a results-based approach and results targets, FPII specifies what results are to be achieved for the period of 2013-2017 and, with the Logical Framework, how these results are to be monitored. Key FPII results and outputs include:

1. Quantifiable results:

    a) An increase of 100 million hectares of forest owned or administered by Indigenous Peoples and other local communities, which will bring the total such forest area in developing countries to 35% of the total developing country forest estate, up 8% from the 2008 baseline of 27%.

    b) In addition, over the next five years, RRI intends to play a central role in improving the livelihoods and income of 500 million forest dependent people.

2. Outputs:

    a) Tenure legislation, policy and regulatory frameworks recognize and strengthen the rights of local communities and Indigenous Peoples in a subset of countries in Africa, Asia and Latin America;

    b) Market, trade, investment or conservation legislation and policies adopted or implemented by governments that strengthen Indigenous Peoples' and local communities' rights, enterprises, benefits and incomes in a subset of countries in Africa, Asia, and Latin America;

c) Strategic national-level coalitions of CSOs or global climate or forest trade initiatives actively committed to and engaged in advancing national-level tenure and governance reforms;

d) Private sector entities actively support tenure and governance-related reforms, and support community- governed production and management in the countries where they operate.

In addition to regular monitoring of progress against these goals, FPII commits RRI to conducting a Mid-Term Evaluation (MTE) of progress achieved over the first half of FPII. *The assessment of RRI's progress in these areas comprises the principal task for the Mid-Term Evaluation.*

Objective and Purpose of the Activity

The MTE will focus on RRI's overall performance related to its strategic outcomes, outputs and activities identified in the Framework Proposal II. It will assess the overall approach of RRI as an innovative international collective action to advance forest tenure and policy reforms in the global context and will review progress of RRI's outcomes since the initiation of FPII. The MTE will draw heavily on data generated through the annual monitoring of RRI, narrative reports and other documentation. It will focus on assessing progress on FPII with the aim of identifying key drivers enabling (or impeding) a successful, sustained and scaled-up delivery of results. Finally, it will make recommendations to shape strategic thinking, inform decision-making and improve performance for attaining FPII milestones.

Scope of Work

Overall

- Evaluate the overall approach of the RRI coalition in advancing enhanced global commitment and action on tenure and policy reforms in the global context.

- Review RRI's outcomes to date.

- Identify the cause of discrepancies (including 'bottlenecks') between outputs and outcomes sought and those actually being delivered by RRI.

- Produce a set of options for the future development of RRI to increase chances of reaching the FPII output and outcome targets.

Program and Activity Assessment

- Assess progress, adequacy, and efficacy towards 2017 goals and strategic outcomes by looking at a subset of activities, mindful of the complementarity of programs through an organization wide approach.

- Assess the effectiveness of existing Strategic Response Mechanism (SRM) strategy and procedures.

- Analyze the major factors and constraints that have influenced implementation and outcomes of FPII.

- Assess the quality of RRI's strategic and collaborative engagement with target institutions – international, government, regional, and national or sub-national, its cooperation with institutions and effectiveness of coordination mechanisms.

- Produce a clear set of observations and options that can benefit RRI in the remainder of the five-year framework period.

- Provide insight on overall strategic direction being pursued by RRI in response to changing global context.

Agreed Scope and Plan of Work

- Develop thorough familiarity with the RRI Framework Proposal and RRI (to include Coalition's objectives, outcomes, previous phases, and internal and independent evaluations of progress from 2012 to date).

- Assess the work undertaken at the global and country/regional levels. The international level will contemplate the most relevant global program efforts and at the country level, the effort will focus on three countries through physical visits or virtual studies undertaken by the evaluation team. These countries provide a sample of the different modes of work across the three regions, and will be selected in consultation with the RRI Secretariat leadership.

- Consult and agree with RRI leadership on work plan, methodology and calendar.

- As part of the inception process, the consultant will agree with the project manager (who will inform the Board on the methodology of the review) in terms of: (1) the level of participation vis-à-vis management of the process, data collection, data analysis, drawing conclusions/supplying recommendations, and giving reactions to draft conclusions; and (2) the methodology to be followed (sequence of desk reviews, country visits, interviews, questionnaires, participatory techniques, etc.).

- Consultants will arrange all of the travel and accommodations required to perform the MTE, based on the key contacts and introductions provided by Secretariat staff and Partners, as well as those suggested by the MTE team itself. Consultants will be supported logistically by RRI.

Mid-Term Evaluation Delivery

Timetable

The mid-term evaluation will be carried out throughout 2015, the fourth year of the five year framework program. The consultant will undertake the mid-term evaluation between April and September with a draft report to be presented to RRG and the Executive Committee by August 24th. Comments will be submitted to the consultant no later than September 7th and the final report will be submitted by the consultant by September 25th, 2015. See timetable below.

- Phone meeting to discuss TOR and agree on deliverables (April 10);

- Finalising contract discussions and signature (week of April 27);

- Draft work plan, methods, final calendar and needs (April 24) for RRI input (April 29), and finalized by May 11th in the form of an inception report;

- Interviews, document review and field work (May through August);

- Interim Update Report – short PowerPoint (August 14th);

- First draft to RRI Management (August 24th);

- Comments from RRI Management on draft (September 7th);

- Final version of report, with no delays, by (September 25th).

Organizational Relationships

The MTE team will report to Maria Jose Olavarria, Director, Coalition and Communications Program, responsible for the overall Monitoring and Evaluation System and will work under her direction with other staff in the Rights and Resources Group to design and undertake the review. RRI staff, Partners and Collaborators will provide key background documentation to the team (governance documents, framework and related project and funding proposal documents, program and activity reports, events and studies documentation, and background about Partners, funders and other members of the coalition, many of which are stored in the RRI website.) The findings will be disseminated to the Board of Directors and RRI coalition Partners, and discussed in draft form with RRG leadership, and subsequently revised and presented to the Board of Directors and Partners.

Deliverables and timeline

The consultant will produce the following deliverables:

- An **inception report** which includes a proposed methodology, assessment criteria/questions and detailed work plan, due May 11, 2015;

- **Interim Update** as short PowerPoint, due on August 14, 2015, with comments due in a timely fashion to feed into first draft of report;

- A **first draft repor**t that will include all findings, due August 24, 2015;

- A **second draft report** that incorporates RRG comments on first draft of report, due September 25, 2015;

- A **PowerPoint presentation of findings**, due October 15, 2015;

- **Presentation of findings** at the 2016 governance meeting, January 12-15, 2016.

Qualifications and Criteria

It is anticipated that the review will be carried out by a consultant with:

- Extensive experience in strategic evaluations;

- Experience in organizational reviews;

- Experience and understanding of issues and trends in the land sector and, in particular, forest tenure;

- Experience and knowledge of RRI coalition processes and stakeholders.

The consultant is required to disclose in writing any past experience, of themselves or relatives, which may give rise to a potential conflict of interest.

Financial Considerations

Total RRI resources allocated to this assignment are USD 114,524. A payment schedule in accordance with deliverables remains to be determined.

Appendix II Evaluation Methodology

Overview

This appendix provides the methodology adopted for the mid-term evaluation of RRI. It discusses the inception process, the evaluation matrix used, practices of data collection and data analysis, as well as reporting.

The evaluation methodology was designed to assess RRI as a network, specifically intent on bringing to light factors that hinder or support the delivery of RRI FPII's overall aims and objectives. The evaluation did not undertake a detailed examination of RRG (in its capacity as RRI secretariat), nor did it examine impacts – both of which were beyond the scope of this study.

Overall Approach

Guided by OECD-DAC's Evaluation Quality Standards and Guidelines, the overall approach to the evaluation was utilization-focused, following a mixed methods approach (survey, interviews, document review). It was utilization-focused in that it was shaped according to the uses identified by the primary users, notably RRI leadership. This is a well-tested and widely used evaluation approach, which increases the likely uptake of recommendations.

The evaluation team reached out selectively to a wide audience. It engaged RRI's leadership to provide feedback during the Inception Phase and throughout the process. It also reached out selectively to RRI's constituency, Partners, Collaborators and others through the survey and interviews.

Inception Process

Universalia's lead consultant on the MTE, Dr. Eric Abitbol, met with key RRI leadership on 27-28 April 2015. The purpose was to finalize the terms of the assignment, including budgetary and contractual obligations; define questions for the evaluation matrix; identify people to consult and documents to review; and define Universalia and RRI roles and responsibilities.

The evaluation team also undertook a preliminary review of relevant documents, as provided by RRI, capturing core information on FPII, including strategic priorities, network governance and partners, programme context, design and evolution, financial data and achievements to date. This process set out the groundwork for the data collection phase.

The consultants undertook revisions to the draft inception report following this meeting, and submitted the final inception report to RRI on 11 May 2015.

Evaluation matrix

Data collection and analysis for this assignment were guided by an evaluation matrix (see Appendix III) outlining the main evaluation dimensions, key questions and sub-questions, indicators, and means of verification. The evaluation matrix was conceptualized into four MTE-specific core dimensions (Overall Approach, Programs, Strategic Response Mechanisms, and Future/Way Forward), informed by OECD DAC Core Evaluation Dimensions, and purposefully framed and developed. The evaluation matrix was informed by the assignment terms of reference.

Data Collection

Document review

Document review for this assignment was extensive and pursued in two stages:

- **First**, the evaluation team reviewed documentation related to RRI generally and FPII more specifically, notably on matters of governance, strategic and programmatic planning, SRM and related matters. Documentation consulted included: donor reports, quarterly updates, annual strategy and workplan reports, and external monitoring and evaluation reports.

- **Second**, Universalia conducted a desk review of country-specific documents for all 20 FPII countries, notably Annual Progress Monitoring Reports (APMRs). This process informed our overall performance assessment as part of the MTE, and was also used to support the triangulation of data collected during country visits to the selected sample of three countries.

Semi-structured interviews

The evaluation team consulted key informants in a number of ways, including a global survey and semi-structured interviews. At the inception phase, it was decided that approximately 58 key informants would be reached through the consultative process. A total of 61 members and stakeholders were engaged in the end.

Semi-structured interviews were conducted through videoconferencing, phone, or face-to-face with individuals and small groups. Stakeholders included key RRI leadership, RRI Partners, RRI Collaborators, donors, key global and national actors (e.g. MegaFlorestais network), and private sector actors (e.g. Interlaken Group).

Country Visits (in-country and virtual): Indonesia, West Africa, Panama

During the initial briefing, a sample of three countries/regions (Indonesia, selected countries in West Africa, Panama) was selected for data collection visits, according to RRI's priorities (see table below). From June through August 2015, 61 stakeholders were consulted during virtual (telephone) and in-country field visits. Respondents included RRI Partners and Collaborators, regional representatives of RRI and external consultants involved in the Coalition. See Appendix V for a list of key informants.

RRI Country/Region Selection for Field visits

Country/Region	Data Collection Method	Basis of Selection[57]
Indonesia	• In-country interviews	• Bright Spots: Countries where significant progress was perceived towards national implementation of tenure rights for poor people, as well as on other key RRI outputs and outcomes
West Africa	• In-country interviews in Burkina Faso • Virtual interviews in Senegal and Mali	• Stalled Countries: Countries where little to no progress was perceived towards national implementation of tenure rights for poor people, as well as on other key RRI outputs and outcomes

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[57]It should be noted that these categories depict progress made on national implementation of tenure rights and other RRI outcomes rather than reflecting the activities and outputs of RRI, its Partners, Collaborators and other stakeholders. In other words, it may very well be that a country is 'stalled' at a national level but that RRI led and/or supported work is underway, intent on creating greater strategic alignment between country partner activities through networking (as in the case of planning in West Africa, involving Senegal, Burkina Faso and Mali).

Country/Region	Data Collection Method	Basis of Selection[57]
Panama	• Virtual interviews	• Rollback: Countries where a negative trend was discernible related to national implementation of tenure rights for poor people, as well as on other key RRI outputs and outcomes

Survey

A global survey was undertaken of key RRI Partners, Collaborators, donors, key global and national actors (e.g. MegaFlorestais network), and private sector actors (e.g. Interlaken Group). The online survey was sent by Secretariat to a total of 61 respondents worldwide, and 47 responses were received, 22 of which were complete (including 5 from Partners, 12 from Collaborators, 1 from the private sector, 2 from donors, and 2 from "others") as shown in the table below.

Response Rates by Category of Respondent

Respondents	Total		Partners		Collaborators		Private sector		Donors		Others	
	#	%	#	%	#	%	#	%	#	%	#	%
Incomplete	18	38%	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Partially incomplete	7	15%	1	2%	5	11%	N/A	N/A	N/A	N/A	1	2%
Complete	22	47%	5	11%	12	26%	1	2%	2	4%	2	4%
Total (I+PI+C)	47	100%	6	13%	17	36%	1	2%	2	4%	3	6%
Total used in report	22	100%	5	23%	12	54%	1	5%	2	9%	2	9%

#: Number of respondents
%: Percentage of respondents
NB: In each line, percentages of respondents by category are given in relation to the total number of respondents (47), except in the last line "Total used in report" which indicates the percentage in relation to the total number of complete answers (22). Please note that since we do not know the category of respondent that provided incomplete responses, percentages in the Total line add up to 100% by adding the incomplete responses (38%)

The raw survey data were analyzed and revised [58] to: 1) remove partially incomplete and double-entry data, and 2) reassign responses where respondents had misidentified their organization's role in the Coalition (e.g. as Partners rather than Collaborators). After revision of the data, the breakdown of respondents was as follows:

- Partners: 5 respondents out of 22 respondents (23%) representing 4 Partner organisations out of 15 (26.7%). This ratio of organizations means that the confidence level in the result is 85% with a margin of error of 28%.

- Collaborators: 12 out of 22 total respondents (54.5%) and out of 150 Collaborators (8%). This ratio means that the confidence level in the result is 85% with a margin of error of 21%.

- Donors: 2 out of 22 respondents (9%).

- Private sector: 1 out of 22 respondents (4.5%).

- Other: 2 out of 22 respondents (9%).

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[58] See full survey details in Appendix VIII.

Given the high importance that RRI has put on disaggregating data from Partners and Collaborators, and given the lower or unknown validity and reliability of data from other categories (donors, private sector and others), the analysis in this report only disaggregates survey responses from Partners and Collaborators, and only considers the remaining three categories when presenting survey results from the total number of respondents.

Data analysis

The following methods of data analysis were employed:

- **Contextual analysis:** This was used to articulate the changing context within which RRI's work has been undertaken and the emerging and shifting opportunities and challenges it continues to face.

- **Descriptive analysis:** This was used to understand and articulate how RRI's approach, planned and unplanned (i.e. SRM) programming have been carried out. Description was provided of processes and strategies to plan, implement, monitor and evaluate progress.

- **Content analysis:** This constitutes the core of the qualitative analysis. Documents, interview and focus group notes were analyzed to identify common trends, themes, and patterns for each of the key units of analysis, notably the global environment, the national/state context, and RRI as a Coalition itself. Interpretive content analysis was also used to flag diverging views. Emerging issues and trends constituted the raw material for crafting preliminary observations that were subsequently refined to feed into the draft and final evaluation reports.

- **Quantitative/Statistical analysis:** This was used to analyze data generated from the survey, complementing the content analysis noted above. Dynamically approached, quantitative/statistical analysis generated new ideas, providing weighting for themes in ways that encouraged/discouraged lines of inquiry, and provided statistical support for conclusions.

Reporting

- **Sharing conclusions and findings (validation):** Following the data collection phase, the evaluation team shared preliminary observations, findings, and key emerging issues with RRI leadership in a PowerPoint presentation on 14 August 2015. This exercise was used to validate emergent findings and insights, and for discussing and resolving potential issues.

- **Draft report:** The draft final report was submitted to RRI on 28 August 2015.

- **Feedback on draft report:** Comments from RRI leadership were due on 7 September 2015. A short response from RRI was received on 11 September 2015, followed by a document containing detailed comments within the text on 19 September 2015. A phone meeting to discuss the draft report was held on 16 September 2015.

- **Final report :** A final report was to be submitted to RRI on 25 September 2015. However, given the feedback process, a revised date of 16 November 2015 was agreed upon.

- **PowerPoint presentation of findings:** A PowerPoint presentation of findings was to be prepared for 15 October 2015. However, given the feedback process, a revised date is yet to be agreed upon.

- **Final presentation to RRI:** Finally, a presentation of evaluation findings will be made at the 2016 governance meeting scheduled for one day during the 12-15 January 2016 period.

A p p e n d i x   I I I   E v a l u a t i o n   M a t r i x

Focal areas	Evaluation Criteria	Key Evaluation Questions	Sub-questions	Indicators	Data collection instruments	Means of verification
Overall approach	**Relevance**	To what extent does RRI's governance enable its implementation of FPII's objectives and priorities?	To what extent does RRI's network approach enable its implementation of FPII's objectives and priorities? To what extent does RRI's organizational profile enable its implementation of FPII's objectives and priorities? To what extent does RRI's resources allocation enable its implementation of FPII's objectives and priorities? What are the governance-related bottlenecks in increasing successes (quantity, quality, speed) related to outputs/outcomes?	Degree of congruence of the FPII's strategic objectives and global agenda Perceptions of key RRI leadership Perceptions of key representatives from partner organizations and CSOs Perceptions of RRI's collaborators key representatives	Document review Interviews Survey	Content analysis Frequency distribution
		To what extent is the RRI coalition model relevant to RRI's coalition members?	What is the value-added for coalition partners belonging to this network? What is the value-added for collaborators belonging to this network?	Perceptions of key RRI leadership Perceptions of key representatives from partner organizations and CSOs Perceptions of RRI's collaborators key representatives	Interviews Document review Survey	Content analysis Frequency distribution

Focal areas	Evaluation Criteria	Key Evaluation Questions	Sub-questions	Indicators	Data collection instruments	Means of verification
		Is the overall approach of the RRI coalition in advancing pro-poor tenure, policy and market reforms as specified with FPII relevant to the *present* global context?	To what extent does RRI's FPII prove to be relevant for enhancing global commitment and action on tenure and policy reforms relevant to the global context? To what extent do the FPII's strategic objectives respond to the global agenda on tenure and policy reforms? What is the significance of RRI's ability to shape global discussions? What is the significance of RRI's convening capacity for the network?	Degree of congruence of the FPII's strategic objectives and global agenda Perceptions of key RRI leadership Perceptions of key representatives from partner organizations and CSOs Perceptions of RRI's collaborators key representatives	Document review Interviews Survey	Content analysis Frequency distribution
		Given the recent evolution of both global and regional/national contexts of targeted countries, to what extent are the FPII's objectives still valid?	What is the manner in which RRI is responding to the changing global context? To what extent do the FPII's strategic objectives respond to the evolving contexts of targeted countries? What are the strategic merits for RRI to increase its involvement at the country level to advance national processes?	Degree of congruence of the FPII's strategic objectives and national context of targeted countries Perceptions of key RRI leadership Perceptions of key representatives from partner organizations and CSOs Perceptions of key RRI's collaborators representatives	Document review Interviews Survey Field visit	Content analysis Frequency distribution

Focal areas	Evaluation Criteria	Key Evaluation Questions	Sub-questions	Indicators	Data collection instruments	Means of verification
		To what extent are the FPII's expected results still relevant to coalition members?	Is RRI's FPII programming (activities and outputs) relevant to coalition members priorities?	Degree of congruence of the FPII's strategic objectives and national context of targeted countries Perceptions of key RRI leadership Perceptions of key representatives from partner organizations and CSOs	Document review Interviews Survey Field visit	Content analysis Frequency distribution
		To what extent does RRI's FPII complement programmes from other actors involved in pro-poor tenure, policy and market reforms?	To what extent is RRI perceived as making a unique and distinguishable contribution to pro-poor tenure, policy and market reforms? What synergies exist between RRI and other similar networks/coalitions/organizations involved in pro-poor tenure, policy and market reform?	Evidence of complementary with other organizations Perceptions of key RRI leadership Perceptions of key representatives from partner organizations and CSOs Perceptions of RRI's collaborators key representatives Perceptions of key representatives of organizations outside the RRI	Document review Interviews Survey	Content analysis Frequency distribution

Focal areas	Evaluation Criteria	Key Evaluation Questions	Sub-questions	Indicators	Data collection instruments	Means of verification
		To what extent has RRI pursued strategic and programmatic coherence and complementarities?	How can engagement at the Global and Country/Regional be improved synergistically? What factors and criteria underpin the selection or withdrawal of countries on an annual basis? What are the pros and cons of the planned (programmatic) and unplanned (SRM) ways in which resources are allocated and deployed by RRI?	Perceptions of key RRI leadership Perceptions of key representatives from partner organizations and CSOs Perceptions of RRI's collaborators key representatives Perceptions of key representatives of organizations outside the RRI	Interviews Document review Survey	Content analysis Frequency distribution
Programs	**Effectiveness**	To what extent has RRI achieved or is likely to achieve its stated FPII results?	How far has RRI gone towards reaching its targets? In terms of hectares? In terms of people/livelihoods?	Comparison between actual versus planned results	Document review	Content analysis Frequency distribution
		What progress did RRI make towards 2017 strategic outcomes, in terms of: Governance on tenure Governance on markets CSOs Private sector	To what extent has RRI contributed to the scaling up and acceleration of reforms? To what extent has RRI contributed to greater global mobilization and new constituency development? To what extent has RRI contributed to the recognition and strengthening of customary rights through increased political will?	Comparison between actual versus planned outcomes Perceptions of RRI leadership Perceptions of key representatives from partner organizations and CSOs Perceptions of RRI's collaborators key representatives	Document review Interviews Survey	Content analysis Frequency distribution

Focal areas	Evaluation Criteria	Key Evaluation Questions	Sub-questions	Indicators	Data collection instruments	Means of verification
			To what extent has RRI contributed to an increased level of funding for pro-poor tenure, policy and market reforms? Where have efforts to change tenure legislation been less successful or indeed failed, and why? What are the bottlenecks in increasing successes (quantity, quality, speed) related to outcomes?			
		What is the quality of RRI's strategic and collaborative engagement with target institutions (e.g. international, government, regional, and national or sub-national, its cooperation with institutions and effectiveness of coordination mechanisms)?	How effective are RRI's advocacy activities? How effective are RRI's analytic activities? How effective is RRI at disseminating and communicating the data produced through research and analysis? How effective is RRI at convening coalition members and other key stakeholders around common issues and goals? To what extent are stakeholders satisfied with the quality of RRI's activities? What are the bottlenecks in increasing successes (quantity, quality, speed) related to RRI's activities?	Perceptions of RRI leadership Perceptions of key representatives from partner organizations and CSOs Perceptions of RRI's collaborators key representatives	Document review Interviews Survey Field visit	Content analysis Frequency distribution

Focal areas	Evaluation Criteria	Key Evaluation Questions	Sub-questions	Indicators	Data collection instruments	Means of verification
		To what extent is the development of the International Land and Forest Tenure Facility a correct strategic step?	Is this moving RRI in the right direction strategically? What are the merits and flaws of this approach? How might this be improved to favour movement towards FPII outcomes?	Perceptions of RRI leadership Perceptions of key representatives from partner organizations and CSOs Perceptions of RRI's collaborators key representatives	Document review Interviews Survey	Content analysis Frequency distribution
		To what extent is the development of the Global Call to Action a correct strategic step?	Is this moving RRI in the right direction strategically? What are the merits and flaws of this approach? How might this be improved to favour movement towards FPII outcomes?	Perceptions of RRI leadership Perceptions of key representatives from partner organizations and CSOs Perceptions of RRI's collaborators key representatives	Document review Interviews Survey	Content analysis Frequency distribution
		Are there observable unintended results that affect the effectiveness of RRI's programs (whether positive or negative)?	Is there evidence of unintended results, whether positive or negative, being achieved by RRI?	Existence of unintended results Perceptions of RRI leadership Perceptions of key representatives from partner organizations and CSOs Perceptions of RRI's collaborators key representatives	Document review Interviews Survey Field visit	Content analysis Frequency distribution

Focal areas	Evaluation Criteria	Key Evaluation Questions	Sub-questions	Indicators	Data collection instruments	Means of verification
	Efficiency	To what extent has RRI responded to emerging opportunities efficiently?	How effectively has RRI responded to opportunities in a timely and nimble manner?	Evidence of missed opportunities Evidence of opportunities having been taken Perceptions of RRI leadership Perception of RRI responsiveness	Document review Interviews Survey Field visit	Content analysis Frequency distribution
		To what extent are RRI's monitoring mechanisms producing relevant, effective and usable data?	Do the monitoring mechanisms produce usable data? Are APMRs consistently available? Do they provide adequate and similar/consistent information? Are narrative reports consistently available? Do they provide adequate and similar/consistent information? How is planning and reporting changing?	Perceptions of RRI leadership Perceptions of key representatives from partner organizations and CSOs Perceptions of RRI's collaborators key representatives	Document review Interviews Survey Field visit	Content analysis Frequency distribution
Strategic Response Mechanisms (SRM)	**Effectiveness**	To what extent is the existing Strategic Response Mechanism (SRM) strategically effective?	What is the SRM responding to 'strategically'? (Eg. Contextual changes, partner requests, financial resources being made available, crises demanding responses)? Are SRMs a mechanism for piloting what become planned activities?	Perceptions of RRI leadership Perceptions of key representatives from partner organizations and CSOs Perceptions of RRI's collaborators key representatives	Document review Interviews Survey Field visit	Content analysis Frequency distribution

Focal areas	Evaluation Criteria	Key Evaluation Questions	Sub-questions	Indicators	Data collection instruments	Means of verification
		To what extent is the existing Strategic Response Mechanism (SRM) procedurally effective?	How are decisions taken with the SRMs? What have been the outcomes of the SRMs?	Perceptions of RRI leadership Perceptions of key representatives from partner organizations and CSOs Perceptions of RRI's collaborators key representatives	Document review Interviews Survey Field visit	Content analysis Frequency distribution
		To what extent are the RRI monitoring mechanisms of SRM outputs relevant and effective?	Do the monitoring mechanisms produce usable data about SRMs? Are APMRs consistently providing adequate and similar/consistent information about SRMs? Are narrative reports consistently providing adequate and similar/consistent information about SRMs? How is planning and reporting changing about SRMs? Are any changes discernible in planning and reporting?	Perceptions of RRI leadership Perceptions of key representatives from partner organizations and CSOs Perceptions of RRI's collaborators key representatives	Document review Interviews Survey Field visit	Content analysis Frequency distribution
		To what extent have SRMs been deployed in an efficient manner?	To what extent have SRMs been deployed in a timely manner? To what extent have SRMs been deployed in a cost-effective manner? What are the bottlenecks in increasing successes (quantity, quality, speed) related to SRM outputs/outcomes?	Perceptions of RRI leadership Degree of satisfaction of key stakeholders regarding the speed and quality of the activities	Document review Interviews Survey Field visit	Content analysis Frequency distribution

Focal areas	Evaluation Criteria	Key Evaluation Questions	Sub-questions	Indicators	Data collection instruments	Means of verification
	Efficiency	To what extent is RRI planning for the sustainability of its results/benefits after its involvement ends?	To what extent have RRI interventions articulated exit and sustainability strategies in the FPII period?	Evidence of an exit strategy Evidence of sustainability strategies Perceptions of RRI leadership	Document review Interviews Survey Field visit	Content analysis Frequency distribution
Future/Way Forward	**Sustainability**	Does RRI planning include committed financial and human resources for maintaining benefits and results after its involvement ends?	Have RRI's collaborators and/or country-level stakeholders committed to maintaining the achieved benefits and results? Are these commitments considered adequate?	Evidence of additional human resources or funding to support activities Degree of adequacy of these additional resources Perceptions of RRI leadership	Document review Interviews Survey Field visit	Content analysis Frequency distribution
		What are the major factors that are influencing the sustainability of results (positive or negative)?	What are the major factors that positively or negatively influence RRI's capacity to sustain results? At what levels are these factors identifiable? What are the constraints that have influenced implementation and outcomes unforeseen during FPII design?	Perceptions of RRI leadership Perceptions of key representatives from partner organizations and CSOs Perceptions of RRI's collaborators key representatives Evidence of discrepancies (including 'bottlenecks') between outputs and outcomes sought and those actually being delivered by RRI	Document review Interviews Survey Field visit	Content analysis Frequency distribution

Focal areas	Evaluation Criteria	Key Evaluation Questions	Sub-questions	Indicators	Data collection instruments	Means of verification
		Is the external environment conducive to the maintenance of results?	Are there political, socio-economic, cultural, legal, institutional elements of the external environment supporting the sustainability of achieved results? Are there new/emerging opportunities that RRI should be aware of and take into consideration strategically and programmatically?	Evidence of political, socio-economic, cultural, legal, institutional elements of the external environment that might support the sustainability of achieved results	Document review Interviews Survey Field visit	Content analysis Frequency distribution

Appendix IV Documents Reviewed

Annual Strategy, Work Plan and Budget Reports

- Rights and Resources Initiative. (2012). *Governance Meeting: RRI Program Strategies, Work Plans & Budgets 2012.* Virginia: Rights and Resources Initiative.

- Rights and Resources Initiative. (2013). *Governance Meeting: RRI Program Strategies, Work Plans & Budgets 2013.* Virginia: Rights and Resources Initiative.

- Rights and Resources Initiative. (2014). *Governance Meeting: RRI Program Strategies, Work Plans & Budgets 2014.* Virginia,: Rights and Resources Initiative.

- Rights and Resources Initiative. (2015). *Governance Meeting: RRI Program Strategies, Work Plans & Budgets 2015.* Virginia: Rights and Resources Initiative.

Annual Narrative Reports

- Rights and Resources Initiative. (2009). *Annual Progress Report 2008: Integrated Reporting Framework.* Rights and Resources Initiative.

- Rights and Resources Initiative. (2010). *Annual Progress Report 2009: Integrated Reporting Framework.* Rights and Resources Initiative.

- Rights and Resources Initiative. (2011). *Annual Progress Report 2010: Integrated Reporting Framework.* Rights and Resources Initiative.

- Rights and Resources Initiative. (2012). *Annual Progress Report 2011: Integrated Reporting Framework.* Rights and Resources Initiative.

- Rights and Resources Initiative. (2013). *Annual Progress Report 2012: Integrated Reporting Framework.* Rights and Resources Initiative.

- Rights and Resources Initiative. (2014). *Annual Narrative Report 2013: Integrated Reporting Framework*. Rights and Resources Initiative.

- Rights and Resources Initiative. (2015). *Annual Narrative Report 2014: Integrated Reporting Framework*. Rights and Resources Initiative. [This document includes Annual Program Monitoring Reports- APMR.]

Reports to RRI Donors

- Rights and Resources Initiative. (2015). DFID Land Governance for Economic Development (LEGEND) Summary Report. Report for quarter ending: March 31, 2015. Rights and Resources Initiative.

Financial Statements

- Rights and Resources Initiative. (n.d). Audited Financial Statements, Years ended December 31, 2012 and 2011.

- Rights and Resources Initiative. (n.d). Audited Financial Statements, Years ended December 31, 2013 and 2012.

Governance Documents

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Appendix V Stakeholders Consulted

Name, Title	Organization, Country of Operations
RRI Secretariat Staff	
1) Andy White, President	Rights and Resources Group, USA
2) Anne Sophie Gindros, Southeast Asia Regional Facilitator	Rights and Resources Group, USA
3) Arvind Khare, Executive Director	Rights and Resources Group, USA
4) Ian Ramsey-North, Associate, Coalition Coordination and Development	Rights and Resources Group, USA
5) Ilona Coyle, Resource person on RRI data	Rights and Resources Group, USA
6) James Miller, Director of Finance and Administration	Rights and Resources Group, USA
7) Janis Alcorn, Director of Country and Regional Programs	Rights and Resources Group, USA
8) Jenny Springer, Director of Global Programs	Rights and Resources Group, USA
9) Maria Olavarria, Director, Coalition and Communications Program	Rights and Resources Group, USA
10) Meryl Cohen, Grants Administrator	Rights and Resources Group, USA
11) Omaira Bolanos, Director of Latin America Program	Rights and Resources Group, USA
12) Patience Fielding, Manager, International Land & Forest Tenure Facility	Rights and Resources Group, USA
13) Solange Bandiaky, Director of Africa Programs	Rights and Resources Group, USA
RRI Partners	
14) Anne Larson, Principal Scientist	Center for International Forestry Research (CIFOR), Peru
15) Arun Agrawal, Coordinator	International Forestry Resources and Institutions (IFRI)
16) Bharati Pathak, General Secretary	Federation of Community Forestry Users of Nepal (FECOFUN), Nepal
17) Antoinette Royo, Executive Director (and RRI Fellow)	Samdhana Institute
18) Chip Fey, Executive Director	Samdhana Institute

Name, Title	Organization, Country of Operations
RRI Collaborators	
19) Abdon Nababan, Secretary General	Indigenous Peoples Alliance of the Archipelago (AMAN), Indonesia
20) Alain Traoré, Président	TENFOREST, Burkina Faso
21) Antoinette Pa'ah, Focal Point	REFACOF Cameroon, Cameroon
22) Bintou Nimaga, President, Board of Directors	Sahel Eco, MALI
23) Dahniar Andriani	HuMa (Association for Community and Ecology-Based Law Reform)
24) Eko Cahyono, Executive Director	Sajogyo Institute
25) Ghan Shyam Pandey, Chairperson	Green Foundation, Nepal
26) Gladis Vila Pihue, President	Organización Nacional de Mujeres Indígenas Andinas y Amazónicas del Perú (ONAMIAP), Peru
27) Johana Herrera Arango, Research Professor	Department of Rural Development/Observatory for Ethnic and Peasant Territories, Universidad Javeriana, Colombia
28) Michael Taylor, Director	International Land Coalition
29) Myrna Safitri, Executive Director	Epistema Institute, Indonesia
30) Peter Veit, Director, Land and Resource Rights Initiative	World Resources Institute
31) Silas Kpanan Ayoung Siakor, Focal Point	Sustainable Development Institute (SDI), Liberia
32) Tushar Dash, Researcher	Vasundhara, India
33) Xu Jintao, Director (and RRI Fellow)	China Center for Energy and Development, Peking University, China
Donors	
34) Maitri Morarji, Program Officer, Women's Rights Program	Anonymous Gender Donor
35) Margareta Nilsson, Programme Manager – Natural Resources, Global Programmes	Swedish International Development Cooperation Agency (Facility)
36) Marit Fikke, Senior Adviser, Civil Society Department	Norwegian Agency for Development Cooperation
Private Sector	
37) Duncan Pollard, Head of Stakeholder Engagement in Sustainability	Nestlé

Name, Title	Organization, Country of Operations
38) Mark Constantine	International Finance Corporation
39) Terhi Koipijarvi, Senior Vice President, Global Responsibility Group	Stora Enso
Additional Constituencies and Colleagues	
40) Chris Jochnick, Director of Private Sector Department	Oxfam America
41) Duncan Pruett, Policy Advisor, Land Rights	Oxfam Novib
42) Jussi Viitanen, Head of the FLEGT and REDD Unit	European Forest Institute
43) Mario Bocucci, Head of the UN-REDD Programme Secretariat	UN REDD
44) Mary Wagner, Associate Chief	US Forest Service, USA
Other Constituencies from West Africa	
45) Ahmadou Doumbia, Executive Director	Le TONUS, MALI
46) Célestin Dembélé, Focal Point	Helvetas Swiss, Intercooperation, MALI
47) Cheikh Omar Ba, Directeur Exécutif	Initiative Prospective Agricole et Rurale (IPAR), Senegal
48) El Hadji Thierno Cisse, Focal Point, Assistant au coordinateur de la Cellule d'Appui Technique du CNCR	Conseil National de Concertation et de Coopération des Ruraux (CNCR), Senegal
49) Mamadou Diakité, Vice-Président	Haut Conseil des Collectivités, Mali
50) Moussa Djiré, Vice-Recteur, Université de Droit et Science Politiques de Bamako	GERSDA, Mali
51) Traoré Nana Sissako, Président	Groupe Pivot Droit et Citoyenneté des Femmes (GPDCF), Mali
Other Constituencies from Indonesia	
52) Andiko Mancayo, Senior Partner	AsM Law Office, Indonesia
53) Dewi Kartika, Deputy Secretary General	Consortium for Agrarian Reform (KPA), Indonesia
54) Noer Fauzi, Executive Director	Prakarsa Desa, Indonesia
55) Sandra Moniaga, Commissioner	Commissioner at National Commission of Human Rights (Komnas HAM), Indonesia
56) Steve Rhee, Program Officer	Ford Foundation, Indonesia
Other Constituencies from Panama	
57) Abigail Grajalesm President	Congreso General de Tierras Colectivas
58) Candido Mezua, Secretario Ejecutivo	COONAPIP, Panama

Name, Title	Organization, Country of Operations
59) Heraclio Lopez Herrera	OJEWP, Panama
60) Jim Smyle, Independant Consultant	Consultant
61) Tapani Oksanen, Senior Partner, Chairman of the Board	INDUFOR

Appendix VI FPII Logframe

IMPACT	Indicators	Baseline - 2012	2013	2014	2015	Target - 2016	Assumptions
Improved governance of forest areas in developing countries for poverty reduction, biodiversity conservation and climate resilience.	Improved governance in forest areas of developing countries						
		Source: Forest governance indices established by WRI and FAOI.					

OUTCOME	Indicators	Baseline - 2012	2013	2014	2015	Target - 2016	Assumptions
Tenure, governance and market reforms that secure local rights to own, control and benefit from natural resources.	1. Hectares of forest lands under formally recognized ownership or control of Indigenous Peoples, forest communities and or households.	Update baseline from RRI 2008	+15 million	+25 million	+35 million	+25 million (for a total additional 100 million hectares in developing countries)	Tenure reforms increase local control, access to and benefits from natural resources, improve chances for more inclusive and democratic forest governance
		Source: RRG tenure tracking update.					
	2. Number of people in indigenous territories and forest communities in developing countries that benefit from strengthened rights to forest lands and resources.	Update baseline from RRI 2008	+75 million	+125 million	+175 million	+ 125 million (for a total additional 500 million people benefitting)	Formally recognized and enforced land rights enable local people to pursue their own development aspirations, liberate local entrepreneurship and improve local livelihoods.
		Source: Independent studies; RRG global monitoring system tracking poverty and livelihoods in forest areas.					

OUTPUT 1	Indicators	Baseline - 2012	2013	2014	2015	Target - 2016	Assumptions
Tenure legislation, policy and regulatory frameworks that recognize and or strengthen the rights of local communities and Indigenous Peoples in a subset of countries in Africa, Asia, and Latin America. **Impact Weighting 35%**	1.1. Number of instances of tenure legislation or regulatory or policy frameworks in favor of Indigenous Peoples and local communities adopted or implemented, at least partially as a result of engagement with RRI.	2	3	3	2	2 (total 12)	
		Source: Systematization of ongoing country-level monitoring of tenure reform legislation and regulations and their implementation in target countries.					
	1.2. Number of instances of regressive tenure legislation and exploitative industrial land grabs halted or modified to benefit Indigenous Peoples and local communities, at least partially as a result of engagement with RRI.	1	2	2	2	1 (total 8)	Risk Rating
		Source: Systematization of ongoing country-level monitoring of tenure reform legislation and regulations in target countries.					M

OUTPUT 2	Indicators	Baseline - 2012	2013	2014	2015	Target - 2016	Assumptions
Market, trade, investment or conservation legislation and policies adopted or implemented by governments that strengthen Indigenous Peoples' and local communities' rights, enterprises, benefits and incomes in a subset of countries in Africa, Asia, and Latin America. **Impact weighting 20%**	2.1. Number of instances of land, agriculture, forest, trade, conservation, or carbon-market policies, regulations, or standards for investment that strengthen the land rights of Indigenous Peoples and local communities in a subset of countries in Africa, Asia, and Latin America.					12	
		Source: Systematization of ongoing country-level monitoring of policies, regulations and standards for investment and exploitation of forest lands and natural resources.					
	2.2. Number of instances of economic, fiscal or industrial development policies that strengthen Indigenous Peoples, local community or household forest management or enterprises in a subset of countries in Africa, Asia, and Latin					4	Risk Rating
		Source: Systematization of ongoing country-level monitoring of economic, fiscal and industrial development policy and practices.					H

OUTPUT 3	Indicators	Baseline - 2012	2013	2014	2015	Target - 2016	Assumptions
Strategic national-level coalitions of CSOs or global climate or forest trade initiatives actively committed to and engaged in advancing national-level tenure and governance reforms. **Impact weighting 25%**	3.1. Number of national-level CSO platforms actively engaged in advising or implementing national-level tenure, governance and market reforms, as a result of engagement with RRI.	4				12	
		Source: Systematization of ongoing national monitoring of national-level CSO platforms' efforts to advance tenure, governance and market reforms.					
	3.2. Number of key global initiatives (e.g. FLEGT, UNREDD, FCPF, FIP, adaptation, food security) committed and actively engaged in promoting national-level reforms in tenure, regulatory and governance arrangements, at least partially as a result of engagement with RRI.	0	1	1	1	1 (total 4)	Risk Rating
		Source: Systematization of ongoing global monitoring of key strategic global initiatives' efforts to reform tenure, regulatory and governance arrangements in favor of forest-dependent communities.					M

OUTPUT 4	Indicator	Baseline - 2012	2013	2014	2015	Target - 2016	Assumptions
Private sector entities actively support tenure and governance-related reforms, and support community-governed production and management in the countries where they operate. **Impact weighting 20%**	4.1 Number of tenure or governance-related commitments, or systems of standards, adopted or implemented by investors or firms (or associations thereof) operating in the agribusiness, infrastructure or extractive industry sectors, as a result of RRI's engagement with them.	1	1	2	1	1 (total 6)	
	Source: Systematization of ongoing country-level monitoring of forest governance reform in target countries.						
	4.2 Number of new mechanisms or initiatives that leverage public and private capital for tenure reforms, and/or actively promote community or household production, conservation or enterprises in the forest areas of the developing world, at least partially as a result of engagement with RRI.	0	1	1	2	4	Risk Rating
	Source: Systematization of ongoing country-level monitoring of forest governance reform in target countries.						H

ACTIVITIES	Indicators	Baseline - 2012	2013	2014	2015	Target - 2016	Assumptions
1. National-level, multi-stakeholder platforms for strategic collaborations established, that actively advance tenure, governance and market reforms in favor of forest-dependent communities, as a result of capacity building with RRI.	1. Number of national-level, multi-stakeholder platforms for collaboration improving program delivery and advancing tenure, governance and market reforms, as a result of capacity building with RRI.	2	4	4	4	2, (Target 16)	
	Source: RRG reporting.						
2. Strategic analyses and communications products promoting tenure, governance and market reforms target influential constituencies and raise public awareness of importance of forest tenure and governance reforms.	2a. Number of RRI strategic analytical and communications products promoting tenure, governance and market reforms produced.	4	4	4	4	4 (total 20)	
	Source: RRG and RRI reporting.						
	2b. Number of instances of earned media coverage.	75	100	125	150	175 (total 625)	
	Source: Systematization of ongoing RRG, regional and country-level monitoring.						

3. RRI-promoted regional and global convenings of government, civil society and private sector entities are held to shape narratives and strategies towards supporting forest tenure, governance and market reforms.	3. Number of regional and global convenings held to shape narratives and strategies that support action towards forest tenure, governance and market reforms.	4	4	6	6	4 (total 24)	
	Source: Systematization of ongoing RRG, regional and country-level monitoring.					
4. RRI organizes capacity building for national, regional and global networks in forest tenure, governance, market trends and reforms.	4. Number of RRI-organized training/capacity building events held for national, regional and global networks and leaders of government agencies, community organizations, CSOs, and IPs.					12	
	Source: Systematization of ongoing RRG, regional and country-level monitoring.					
5. RRI's strategic response mechanism (SRM) supports timely advocacy efforts.	5. Number of instances when RRI partners and collaborators undertake timely advocacy efforts as a result of access to RRI's strategic response mechanism.	8	8	8	8	8 (total 40)	
	Source: RRG reporting.					
6. RRI develops and maintains a global monitoring system on statutory tenure reform, poverty and livelihoods in forest areas in developing countries.	6. RRI's global monitoring system on statutory tenure reform, poverty and livelihoods in forest areas in developing countries is available to entities involved in forest tenure, governance and market reforms.	System development					
	Source: RRG reporting.					
7. Gender analysis, women's networks and experiential learning activities that engage policy makers, REDD and FLEGT processes, CSO networks and community leaders benefit from program support.	7. Number of instances of gender-related activities, including gender analysis, support for women's networks, and/or direct engagement with REDD, FLEGT or national-level processes, as a result of RRI program support.	5	5	5	5	5 (total 25)	
	Source: Systematization of ongoing RRG, regional and country-level monitoring.					
8. RRI provides advice and analysis and serves as a catalyst for new initiatives and investments that leverage public and private capital for tenure reforms and support of community-based forest production and management.	8. Number of new initiatives and investments that leverage public and private capital for tenure reforms and support of community-based forest production and management created at least in part as a result of RRI's advice and analytical work.	0	1	1	1	1 (total 4)	
	Source: Systematization of ongoing RRG, regional and country-level monitoring.					

A p p e n d i x   V I I   C o u n t r y   L e v e l   P r o g r e s s   t o w a r d s   F P I I   O b j e c t i v e s

Country level progress towards scaling up reforms, including tenure legislation changes, in 14 countries where RRI operates

Country	Progress achieved: Scaling up reforms, including tenure legislation changes (2012-2014)	Bottlenecks in making progress towards RRI outcomes/ in efforts to institute changes in tenure legislation	Current state of tenure rights (2015)[59]
Bolivia	The new TIPNIS law affirms the right of "free, prior, and informed" consultation for indigenous communities within the TIPNIS, based on the Bolivian Constitution and other international treaties. Governmental plans for opening a highway through the TIPNIS were delayed as a result of Indigenous Peoples mobilization and national advocacy strategy. (APR 2012, p. 9)	Diminished capacity of indigenous movements to enact change in tenure legislation due to government pressure (ANR 2014 – p. 11) Institutional communication has prevented the coalescence of a unified message (Bolivia: IMR 2012 – p. 30)	• 36% of country area is designated for or owned by IPs and Local Communities • Has one of the highest % of national land owned by IP
Burkina Faso	• Ambitious decentralization process of land and resource management is being implemented • RRI Collaborator built capacity and raised awareness on Law 034 on Rural Land (2009), which recognizes customary rights and formalizes them through land certificates and loan agreements, and supported women's groups in the acquisition of local land certificates (attestations de possession foncière, or APFs)—a new type of land use certificate recognizing women's customary rights to land. (ANR 2014, p. 12) • In 2014, RRI and TENFOREST built CSO capacity on the national REDD+ process in order to inform future advocacy actions to influence REDD+ in Burkina Faso.	Expansion of economic activity impacting smallholder/pastoral and ecologically sensitive areas (ANR 2014 – p. 9) Land charter with gender consideration halted due to turmoil (ANR 2014 - p. 30)/ Locus of change/influence shifts to local level (p. 12) Political Unrest halted most activities (ANR 2014 – p. 30)	*Information not available*
Cameroon	• Country is undertaking 2 major reforms (forest and land) and is engaged in bilateral (FLEGT/VPA) and international (REDD+) agreements to ensure transparency and accountability in	Arrest of community leaders/advocates of sustainable palm oil (APR 2012 - p. 4)	• 9% of country area is designated for or owned by IPs and Local Communities

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[59] RRI, *Who Owns the World's Land? A global baseline of formally recognized indigenous and community land rights*, September 2015. Available at: http://www.rightsandresources.org/publication/whoownstheland/

Country	Progress achieved: Scaling up reforms, including tenure legislation changes (2012-2014)	Bottlenecks in making progress towards RRI outcomes/ in efforts to institute changes in tenure legislation	Current state of tenure rights (2015)59
	timber exportation and contribute to climate change mitigation and adaptation. The RRI coalition in Cameroon is pushing for the recognition of collective customary land rights, Indigenous Peoples' and women's tenure rights through community mobilization and providing support to national dialogues on REDD safeguards (ANR 2013, p. 9)		
China	Large-scale land acquisitions (LSLAs) by Chinese and international investors have repeatedly violated local land rights with little recourse for forest owners both domestically and internationally. The anticipated incorporation of the State Forest Administration into the Ministry of Agriculture, and the **planned revision of China's Forest Law**, provides new opportunities for influence. RRI is appreciated by the government for its independent, forward-looking advice and partnerships with key national policy and legal researchers, and is working to formulate a set of clear, applicable recommendations. (ANR 2013, p. 11) Swedish-Finnish firm Stora Enso motivated by RRI reporting to conduct "human rights assessments" of plantations globally, including in China.	Ethnic conflicts preventing reform enforcement (IMR 2014 – p. 42)	• 49% of country area is designated for or owned by IPs and Local Communities • Recent forest tenure reforms clarified community authority to allocate land to households and managed land collectively. Management arrangements vary regionally, and often include both private household use and community-based rights
Colombia	• In Colombia, the regulations for Law 70, specifying rights of Afro-descendants over their lands, were drafted with the direct assistance of the RRI Coalition, overcoming decades of delay (ANR 2014, p.6) • RRI support to afro-descendent and Indigenous forest communities assisted their continued efforts to influence the government and World Bank towards a more inclusive and participatory REDD Project Preparation (R-PP) (ANR 2012, p. 10)		• 34% of national land controlled or owned by communities and IP
DRC	• A decree on the *Concessions Forestières des Communautés Locales* (02 août 2014) is signed into law after a decade long effort by DRC civil society.	Presidential decree watered down Environmental and Social Impact Studies, requiring further work (ANR 2014 – p. 14)	• 0% owned or controlled by communities and IP

Country	Progress achieved: Scaling up reforms, including tenure legislation changes (2012-2014)	Bottlenecks in making progress towards RRI outcomes/ in efforts to institute changes in tenure legislation	Current state of tenure rights (2015)59
	• The Decree's impacts should include the recognition of communities' customary forest rights within and outside LCFCs, and the free and perpetual attribution of forest concessions to communities, up to 50,000 hectares.		
Guatemala	• In Guatemala, new Pro-Forest Law initiative would benefit close to 25,000 people according to ACOFOP estimates	Importance of mining to development hinders influence of mining policy towards environmental and social responsibility (IMR 2012 – p. 30)	• 17% of land is designed for or owned by IP and local communities
India	• New research on internal land grab phenomenon generated global attention, supporting targeted efforts to implement Forest Rights Act (2006) and establish the Right to Fair Compensation and Transparency in the new Land Acquisition, Rehabilitation and Resettlement Act. RRI Collaborator began to train community leaders in participatory mapping techniques to enable rights holders to claim forestland under the Forest Rights Act. (ANR 2013, p. 30) • Systematic documentation supported by RRI of environmental and human rights abuses committed by Indian companies through the acquisition of land abroad. The documentation shall be used to hold investors and companies accountable. (ANR 2013)	Economic reform agenda threatens decade worth of progress (ANR 2014 – p. 4/8)	• Only 1.2% of customarily held forest lands are formally recognized. • Studies show that approx. 40 Mha of customarily held forest land has not yet secured legal recognition.
Indonesia	• In May 2013, Indonesia's Constitutional Court, responding to a petition from the Indigenous Alliance of the Archipelago (AMAN), declared the provisions of the 1999 Forestry Law denying community tenure and classifying all customary land as "state forests" unconstitutional. This Constitutional Court ruling represents a decades-long effort by AMAN and Indonesian civil society, building on the Coalition's successes since the 2011 Lombok conference. (ANR 2013) • However, the implementation of this ruling within Indonesia's decentralized and fragmented forest governance system is now RRI's biggest challenge, given that communities' rights will conflict with existing state enterprises and private land ownership.	Endemic corruption (ANR 2014 p. 4)/lack of tenure-related considerations in performance oversight framework for ministries (p. 160)	• Only 0.19% of land is designed for or owned by IP and local communities. • Studies show that approx. 40 Mha of customarily held forest land has not yet secured legal recognition.

Country	Progress achieved: Scaling up reforms, including tenure legislation changes (2012-2014)	Bottlenecks in making progress towards RRI outcomes/ in efforts to institute changes in tenure legislation	Current state of tenure rights (2015)59
Lao PDR	• Land Laws and Forestry Laws are currently being revised (2014-2015). • RRI and Finland have organized a study tour of Lao policy development officials and CSO practitioners to discuss the question of increasing collective forest ownership and control.	Political challenges required suspension of most activities (IMR 2012 - p. 19) Politburo is staffed with anti-reform leaders (ANR 2013 – p. 21)/limits on private purpose expropriations have galvanized private sector interests and embassies against the cause (ANR 2014 – p. 175)	• Only 0.10% of land is designed for or owned by IP and local communities.
Liberia	• RRI produced a report critiquing the expansion of large scale palm oil production in Liberia. • Liberia's national level reform progress has been aided by the use of the FLEGT/VPA as a stick to force compliance from two palm oil giants, Sime Darby and Golden Veroleum. (ANR 2014)	Disproportionate Power of major oil-palm producers (Sime Darby and Golden Veoleum) slow progress (APR 2012 – p. 4) Ebola Outbreak resulted in suspension of activities (ANR 2014 – p. 30)	• 32% of land is designed for or owned by IP and local communities
Mali	• Dialogue on non-timber forest products (NTFP) in Mali which yielded 14 recommendations on ways to sustainably promote non-timber forest products (NTFP) enterprises and a verbal promise by Government officials to look into the factors that hinder their adoption.	Political and security crisis has limited RRI activities to those not involving the state (IMR 2013 – p. 18)	• *No baseline data on Mali was available in RRI Global Baseline study, due to challenges in collecting or verifying data.*
Nepal	• Opportunity: RRI Collaborator COFSUN organized dialogue with politicians to ensure that community property rights issues are enshrined in Nepal's forthcoming constitution, which is in draft form. (ANR 2014) • RRI coalition reaches all 75 districts of Nepal, and coalition members are lobbying for recognition of Indigenous People's rights in national forest related policies and programs.	New constitution and uncertainty about community property rights, given shifting political conditions (ANR 2014 – p. 27) Chure Environmental Conservation Area was a major setback (ANR 2014 – p. 171)	• 13.41% of land is designed for or owned by IP and local communities

Country	Progress achieved: Scaling up reforms, including tenure legislation changes (2012-2014)	Bottlenecks in making progress towards RRI outcomes/ in efforts to institute changes in tenure legislation	Current state of tenure rights (2015)59
Peru	• In Peru, the national Indigenous Federation of the Peruvian Amazon (AIDESEP) submitted five proposals to the National government for recognition of territorial reserves covering around 4,285,985.94 hectares in the Peruvian Amazon. (In Peru, Indigenous Peoples formally own or control more than one-third of the country's land area (44.55 Mha), however AIDESEP estimates that an additional 20 Mha of land are eligible for recognition.) (RRI, 2015)	Lack of clarity regarding government authority in charge of titling/decision making around land (ANR 2014 - p. 11) Murder of four forest activists and lack of government response (ANR 2014 – p. 5)	• 35% of land (44.55 Mha) is designed for or owned by IP and local communities

Sources: RRI, *Who Owns the World's Land? A global baseline of formally recognized indigenous and community land rights*, September 2015. Available at: http://www.rightsandresources.org/publication/whoownstheland/

Appendix VIII Summary of Survey Results

A note on survey methodology

Some adjustments were necessary to sort out the data. For instance, all but one "partially incomplete" answer has been deleted for two main reasons: i) the same organisation had replied two or more times, one of them being counted as complete and therefore the remaining being dismissed; ii) the degree of incompleteness was high and the categories completed were not relevant, representative or meaningful in terms of analysis (i.e. a respondent "Others", where only question 1 on relevance had been answered). The only exception to this rule has been of one Partner whose answer was mostly complete (although technically incomplete, questions 7, 8 and 9 not being completed).

In addition, one complete answer was removed since it was a duplicate from the same respondent. Plus, this organisation answered the survey four times, two being incomplete and two being complete. The two incomplete answers have been removed, plus one complete answer, as already mentioned.

Interestingly, a closer look at the survey showed that some respondents claimed being Partners when in fact they are Collaborators. This had significantly dropped the number of Partners and in turn increased the number of Collaborators. In any case, however, it has not allowed the survey to be more representative given the high number of Collaborators (150). On the other hand, it has decreased the reliability of the results from the Partners (dropping from 14 to 4 out of 15). The exhibit below (and the exhibit in the Survey section of Appendix II on Methodology) has therefore been adjusted to reflect these points.

Proportion of complete responses in relation to each category's total

Categories	Partners		Collaborators		Private sector		Donors		Others	
	#	%	#	%	#	%	#	%	#	%
Total	15	100%	150	100	???	100%	???	100%	???	100%
Complete responses	5	33%	12	8%	1	XXX	2	XXX	2	XXX
Organizations	4	26%	12	8%	1		2		2	

Summary of Survey results

Question 2. Overall Approach

2.1 RRI's overall approach to advancing pro-poor land tenure is relevant to the present global context

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Neither agree nor disagree	0	0%	1	8%	0	0%	0	0%	0	0%	1	5%
Somewhat agree	2	40%	2	17%	0	0%	0	0%	0	0%	4	18%
Fully agree	3	60%	9	75%	1	100%	2	100%	2	100%	17	77%
Do not know	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 2. Overall Approach

2.2 RRI's overall approach with respect to advancing pro-poor land tenure remains relevant to the changing global context

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Neither agree nor disagree	0	0%	1	8%	0	0%	0	0%	0	0%	1	5%
Somewhat agree	2	40%	3	25%	0	0%	0	0%	0	0%	5	23%
Fully agree	3	60%	8	67%	1	100%	1	50%	2	100%	15	68%
Do not know	0	0%	0	0%	0	0%	1	50%	0	0%	1	5%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 2. Overall Approach

2.3 RRI's FPII programming is relevant to my organization's priorities

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Neither agree nor disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat agree	2	40%	6	50%	0	0%	0	0%	1	50%	9	41%
Fully agree	3	60%	5	42%	1	100%	2	100%	1	50%	12	55%
Do not know	0	0%	1	8%	0	0%	0	0%	0	0%	1	5%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 2. Overall Approach

2.4 RRI makes a relevant contribution to pro-poor land tenure reforms

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Neither agree nor disagree	0	0%	1	8%	0	0%	0	0%	0	0%	1	5%
Somewhat agree	4	80%	6	50%	0	0%	0	0%	1	50%	11	50%
Fully agree	1	20%	5	42%	1	100%	2	100%	1	50%	10	45%
Do not know	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 2. Overall Approach

2.5 RRI's overall approach is programmatically coherent

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Neither agree nor disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat agree	2	40%	5	42%	1	100%	0	0%	0	0%	8	36%
Fully agree	3	60%	7	58%	0	0%	2	100%	2	100%	14	64%
Do not know	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 2. Overall Approach

2.6 RRI's strategic planning is informed by the country-level priorities of coalition partners

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	1	20%	0	0%	0	0%	0	0%	0	0%	1	5%
Neither agree nor disagree	0	0%	1	8%	1	100%	0	0%	0	0%	2	9%
Somewhat agree	2	40%	4	33%	0	0%	1	50%	1	50%	8	36%
Fully agree	2	40%	5	42%	0	0%	1	50%	1	50%	9	41%
Do not know	0	0%	2	17%	0	0%	0	0%	0	0%	2	9%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 3. Progress on RRI Outcomes

3.1 RRI's programs advance tenure legislation, policy and regulatory frameworks which recognize the rights of local communities

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Neither agree nor disagree	0	0%	2	17%	0	0%	0	0%	0	0%	2	9%
Somewhat agree	2	40%	5	42%	1	100%	2	100%	1	50%	11	50%
Fully agree	2	40%	5	42%	0	0%	0	0%	1	50%	8	36%
Do not know	1	20%	0	0%	0	0%	0	0%	0	0%	1	5%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 3. Progress on RRI Outcomes

3.2 RRI's programs contribute to pro-poor market-related reforms in local communities

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	0	0%	1	8%	0	0%	0	0%	0	0%	1	5%
Neither agree nor disagree	1	20%	2	17%	0	0%	0	0%	0	0%	3	14%
Somewhat agree	3	60%	5	42%	1	100%	0	0%	2	100%	11	50%
Fully agree	0	0%	3	25%	0	0%	0	0%	0	0%	3	14%
Do not know	1	20%	1	8%	0	0%	2	100%	0	0%	4	18%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 3. Progress on RRI Outcomes

3.3 RRI's work in developing national level coalitions of Civil Society Organisations advances pro-poor land reforms

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Neither agree nor disagree	1	20%	2	17%	0	0%	0	0%	0	0%	3	14%
Somewhat agree	2	40%	2	17%	1	100%	2	100%	1	50%	8	36%
Fully agree	1	20%	8	67%	0	0%	0	0%	1	50%	10	45%
Do not know	1	20%	0	0%	0	0%	0	0%	0	0%	1	5%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 3. Progress on RRI Outcomes

3.4 RRI's work in developing pro-poor land tenure reforms is strengthened through its partnerships with supportive private sector entities

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	0	0%	1	8%	0	0%	0	0%	0	0%	1	5%
Neither agree nor disagree	1	20%	3	25%	0	0%	1	50%	0	0%	5	23%
Somewhat agree	3	60%	2	17%	1	100%	1	50%	2	100%	9	41%
Fully agree	0	0%	4	33%	0	0%	0	0%	0	0%	4	18%
Do not know	1	20%	2	17%	0	0%	0	0%	0	0%	3	14%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 4. Strategic Initiatives

4.1 The development of the International Land and Forest Tenure Facility is a correct strategic step

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	1	8%	0	0%	0	0%	0	0%	1	5%
Somewhat disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Neither agree nor disagree	2	40%	0	0%	0	0%	0	0%	0	0%	2	9%
Somewhat agree	0	0%	3	25%	0	0%	0	0%	1	50%	4	18%
Fully agree	3	60%	7	58%	1	100%	2	100%	1	50%	14	64%
Do not know	0	0%	1	8%	0	0%	0	0%	0	0%	1	5%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 4. Strategic Initiatives

4.2 The development of the Global Call to Action is a correct strategic step

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Neither agree nor disagree	1	20%	0	0%	0	0%	0	0%	0	0%	1	5%
Somewhat agree	1	20%	5	42%	0	0%	1	50%	1	50%	8	36%
Fully agree	2	40%	6	50%	0	0%	1	50%	1	50%	10	45%
Do not know	1	20%	1	8%	1	100%	0	0%	0	0%	3	14%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 5. Effectiveness and Efficiency

5.1 RRI has effectively contributed to the scaling up of reforms

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Neither agree nor disagree	0	0%	3	25%	0	0%	1	50%	0	0%	4	18%
Somewhat agree	2	40%	5	42%	1	100%	1	50%	1	50%	10	45%
Fully agree	1	20%	2	17%	0	0%	0	0%	1	50%	4	18%
Do not know	2	40%	2	17%	0	0%	0	0%	0	0%	4	18%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 5. Effectiveness and Efficiency

5.2 RRI has effectively contributed to the acceleration of reforms

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Neither agree nor disagree	0	0%	2	17%	0	0%	1	50%	0	0%	3	14%
Somewhat agree	1	20%	6	50%	1	100%	1	50%	2	100%	11	50%
Fully agree	2	40%	2	17%	0	0%	0	0%	0	0%	4	18%
Do not know	2	40%	2	17%	0	0%	0	0%	0	0%	4	18%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 5. Effectiveness and Efficiency

5.3 RRI has effectively contributed to the development of new constituencies

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	0	0%	1	8%	0	0%	0	0%	0	0%	1	5%
Neither agree nor disagree	0	0%	2	17%	0	0%	0	0%	0	0%	2	9%
Somewhat agree	3	60%	4	33%	1	100%	0	0%	0	0%	8	36%
Fully agree	0	0%	5	42%	0	0%	1	50%	2	100%	8	36%
Do not know	2	40%	0	0%	0	0%	1	50%	0	0%	3	14%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 5. Effectiveness and Efficiency

5.4 RRI has been instrumental in generating political will in support of customary land rights

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Neither agree nor disagree	1	20%	2	17%	0	0%	0	0%	0	0%	3	14%
Somewhat agree	0	0%	2	17%	0	0%	1	50%	0	0%	3	14%
Fully agree	3	60%	7	58%	1	100%	1	50%	2	100%	14	64%
Do not know	1	20%	1	8%	0	0%	0	0%	0	0%	2	9%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 5. Effectiveness and Efficiency

5.5 RRI has effectively contributed to an increased level of funding for pro-poor land tenure activities

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	0	0%	1	8%	0	0%	0	0%	0	0%	1	5%
Neither agree nor disagree	0	0%	1	8%	0	0%	0	0%	0	0%	1	5%
Somewhat agree	1	20%	5	42%	0	0%	2	100%	2	100%	10	45%
Fully agree	1	20%	4	33%	1	100%	0	0%	0	0%	6	27%
Do not know	3	60%	1	8%	0	0%	0	0%	0	0%	4	18%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 5. Effectiveness and Efficiency

5.6 RRI's analytical work has been useful to my organization

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Neither agree nor disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat agree	2	40%	2	17%	0	0%	0	0%	0	0%	4	18%
Fully agree	3	60%	10	83%	1	100%	2	100%	2	100%	18	82%
Do not know	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 5. Effectiveness and Efficiency

5.7 RRI's networking activities have usefully advanced coalition objectives

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Neither agree nor disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat agree	3	60%	3	25%	1	100%	1	50%	1	50%	9	41%
Fully agree	2	40%	8	67%	0	0%	1	50%	1	50%	12	55%
Do not know	0	0%	1	8%	0	0%	0	0%	0	0%	1	5%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 5. Effectiveness and Efficiency

5.8 RRI's advocacy activities have resulted in progress related to coalition objectives

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Neither agree nor disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat agree	1	20%	5	42%	1	100%	0	0%	1	50%	8	36%
Fully agree	3	60%	6	50%	0	0%	1	50%	1	50%	11	50%
Do not know	1	20%	1	8%	0	0%	1	50%	0	0%	3	14%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 5. Effectiveness and Efficiency

5.9 RRI resources are sufficient for achieving stated FPII objectives

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	1	20%	1	8%	0	0%	0	0%	0	0%	2	9%
Somewhat disagree	0	0%	4	33%	0	0%	1	50%	0	0%	5	23%
Neither agree nor disagree	1	20%	2	17%	0	0%	0	0%	0	0%	3	14%
Somewhat agree	2	40%	1	8%	0	0%	0	0%	1	50%	4	18%
Fully agree	0	0%	1	8%	0	0%	0	0%	0	0%	1	5%
Do not know	1	20%	3	25%	1	100%	1	50%	1	50%	7	32%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 5. Effectiveness and Efficiency

5.10 RRI effectively responds to new opportunities as they arise

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	1	20%	0	0%	0	0%	0	0%	0	0%	1	5%
Neither agree nor disagree	0	0%	1	8%	0	0%	0	0%	0	0%	1	5%
Somewhat agree	0	0%	4	33%	1	100%	1	50%	2	100%	8	36%
Fully agree	3	60%	4	33%	0	0%	1	50%	0	0%	8	36%
Do not know	1	20%	3	25%	0	0%	0	0%	0	0%	4	18%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 5. Effectiveness and Efficiency

5.11 RRI's monitoring mechanisms produce usable data for improving coalition decision-making

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	0	0%	1	8%	1	100%	1	50%	0	0%	3	14%
Neither agree nor disagree	1	20%	2	17%	0	0%	0	0%	0	0%	3	14%
Somewhat agree	2	40%	3	25%	0	0%	0	0%	2	100%	7	32%
Fully agree	1	20%	4	33%	0	0%	1	50%	0	0%	6	27%
Do not know	1	20%	2	17%	0	0%	0	0%	0	0%	3	14%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 6. Strategic Response Mechanism (SRM)

6.1 The SRM has been strategically effective for the coalition

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Neither agree nor disagree	0	0%	1	8%	0	0%	0	0%	0	0%	1	5%
Somewhat agree	1	20%	4	33%	1	100%	1	50%	2	100%	9	41%
Fully agree	2	40%	3	25%	0	0%	0	0%	0	0%	5	23%
Do not know	2	40%	4	33%	0	0%	1	50%	0	0%	7	32%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 6. Strategic Response Mechanism (SRM)

6.2 The SRM has been an effective mechanism for piloting innovative activities

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Neither agree nor disagree	0	0%	1	8%	0	0%	0	0%	0	0%	1	5%
Somewhat agree	1	20%	4	33%	1	100%	0	0%	1	50%	7	32%
Fully agree	2	40%	3	25%	0	0%	1	50%	1	50%	7	32%
Do not know	2	40%	4	33%	0	0%	1	50%	0	0%	7	32%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 6. Strategic Response Mechanism (SRM)

6.3 The criteria for supporting an SRM are clear

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Neither agree nor disagree	0	0%	3	25%	0	0%	0	0%	0	0%	3	14%
Somewhat agree	2	40%	2	17%	0	0%	1	50%	2	100%	7	32%
Fully agree	2	40%	3	25%	1	100%	0	0%	0	0%	6	27%
Do not know	1	20%	4	33%	0	0%	1	50%	0	0%	6	27%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 6. Strategic Response Mechanism (SRM)

6.4 RRI monitoring mechanisms of the SRM provide useful data for my group/organization

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	1	8%	0	0%	0	0%	0	0%	1	5%
Somewhat disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Neither agree nor disagree	0	0%	3	25%	0	0%	1	50%	0	0%	4	18%
Somewhat agree	1	20%	2	17%	0	0%	0	0%	2	100%	5	23%
Fully agree	1	20%	4	33%	0	0%	0	0%	0	0%	5	23%
Do not know	3	60%	2	17%	1	100%	1	50%	0	0%	7	32%
TOTAL	5	100%	12	100%	1	100%	2	100%	2	100%	22	100%

Question 7. Sustainability

7.1 RRI has effectively articulated appropriate strategies for the future of FP II activities

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Neither agree nor disagree	0	0%	1	8%	0	0%	1	50%	0	0%	2	10%
Somewhat agree	2	50%	6	50%	1	100%	1	50%	2	100%	12	57%
Fully agree	0	0%	1	8%	0	0%	0	0%	0	0%	1	5%
Do not know	2	50%	4	33%	0	0%	0	0%	0	0%	6	29%
TOTAL	4	100%	12	100%	1	100%	2	100%	2	100%	21	100%

Question 7. Sustainability

7.2 Where relevant, RRI has created appropriate resource allocation plans to maintain the benefits of FPII activities

Category of Respondent	Partners		Collaborators		Private Sector		Donor		Other		TOTAL	
	#	%	#	%	#	%	#	%	#	%	#	%
Fully disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Somewhat disagree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Neither agree nor disagree	1	25%	3	25%	0	0%	0	0%	0	0%	4	19%
Somewhat agree	1	25%	4	33%	0	0%	0	0%	2	100%	7	33%
Fully agree	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Do not know	2	50%	5	42%	1	100%	2	100%	0	0%	10	48%
TOTAL	4	100%	12	100%	1	100%	2	100%	2	100%	21	100%

Appendix IX Progress toward FPII Outputs, 2014 Monitoring Report

Outputs	Indicators	Evidence
1. Tenure legislation, policy and regulatory frameworks that recognize and or strengthen the rights of local communities and Indigenous Peoples in a subset of countries in Africa, Asia, and Latin America.	1.1. Number of instances of tenure legislation or regulatory or policy frameworks in favour of Indigenous Peoples and local communities adopted or implemented, at least partially as a result of engagement with RRI. Targeted for 2014 = 3 Achieved = 4	Cameroon: Successful collaboration between REFACOF Cameroon and the *Réseau des Parlementaires pour la gestion durable des Ecosystèmes Forestiers en Afrique Centrale* (REPAR) leads to the integration / recognition of women's rights in the national land and forest tenure reforms.
		DRC: A decree on the *Concessions Forestières des Communautés Locales* (02 août 2014) is signed into law after a decade long effort by DRC civil society.
		Senegal: CSOs proposals for securing collective tenure rights are discussed and adopted by the Senegalese national commission on land reform (CNRF), following a series of studies and workshop on community tenure
		Indonesia: Strategic analysis of the national regulations relative to forest gazettement and customary forest recognition (in support of the Indonesia constitutional court ruling) is incorporated in the Ministry of Law and Human Rights and KPK's legal review instruments.
	1.2. Number of instances of regressive tenure legislation and exploitative industrial land grabs halted or modified to benefit Indigenous Peoples and local communities, at least partially as a result of engagement with RRI. Targeted for 2014 = 2 Achieved = 3	Cameroon: Institutionalisation process of participatory mapping in Cameroon by *Cameroun Écologie* results in the retrocession of 41,672.7 hectares to local communities by the *Ministère des Forêts et de la Faune.*
		Burkina Faso: Advocacy by TENFOREST of Burkina Faso convinces mayor of Ouahigouya to put a stop to land partitioning for development purposes and returns 25 hectares of arable land to its original farmer/owner.
		Peru: The Peruvian government recognizes the existence of Indigenous People in Voluntary Isolation and Initical Contact (PIAVCI) in four territorial reserves and issues the Supreme Decree No. 001-2014-MC , which declares the protection of the said territories in the Peruvian Amazon, including "Madre de Dios", "Isconahua", "Murunahua", "Mashco Piro"; and "Kugapakori,).
2. Market, trade, investment or conservation legislation and policies adopted or implemented by governments that strengthen Indigenous	2.1. Number of instances of land, agriculture, forest, trade, conservation, or carbon-market policies, regulations, or standards for investment that strengthen the land rights of Indigenous Peoples and local communities.	Relevant but non-measurable contributions: Global: Workshop *Small-Scale and Community Forest Producers: The Challenges and Opportunities of Legality Verification*, co-organized with Chatham House, took place in mid-May in London, UK. Workshop focuses on the impact of legality verification (most notably, FLEGT) on Small and Medium Enterprise (SME) sustainability, and discussed practical approaches to address the risks and opportunities. DRC: RRI is providing essential convening capacity and expertise to promote a new community forestry initiative that builds upon existing RRI successes in securing community forestry rights in DRC.

Outputs	Indicators	Evidence
Peoples' and local communities' rights, enterprises, benefits and incomes.	Targeted for 2014 = N/D Achieved = 0	Guatemala: ACOFOP and its partner organizations contribute to the improvement of administrative processes within the Ministry of the Environment to accelerate and simplify the approval of management plans for non-timber forest products, allowing categorisation to change from A to C. This category minimizes the cost of the license for the extraction of non-timber forest products.
2. (continued)	2.2. Number of instances of economic, fiscal or industrial development policies that strengthen Indigenous Peoples, local community or household forest management or enterprises. Targeted for 2014 = N/D Achieved = 0	Relevant but non-measurable contributions: Global: Report on "Making the case for locally controlled landscapes and enterprise models as alternatives to top-down industrial models of production" is prepared in n collaboration with Seventy Three PTE. The report makes the case for locally controlled landscapes and enterprise models as alternatives to top-down industrial models of production, and proposed an example of an alternative enterprise model for community forestry in Cameroon. Mali: Dialogue on non-timber forest products (NTFP) in Mali which yielded 14 recommendations on ways to sustainably promote NTFP enterprises and a verbal promise by Government officials to look into the factors that hinder their adoption.
3. Strategic national-level coalitions of CSOs or global climate or forest trade initiatives actively committed to and engaged in advancing national-level tenure and governance reforms.	3.1. Number of national-level CSO platforms actively engaged in advising or implementing national-level tenure, governance and market reforms, as a result of engagement with RRI. Targeted for 2014 = N/D Achieved = 7	Regional: REFACOF 3rd Regional workshop on gender and land and forest tenure rights in Africa (LFA3) attracts participation of from Cameroon, CAR, Burkina Faso, Chad, Liberia, Madagascar, Ivory Coast). Participant declaration encourages the Government of Liberia to recognize women's land tenure rights. Leads to call by UN for further collaboration on gender and REDD+, and linkages to international REDD+ focal points and networks.
		DRC: The *Cadre de Concertation de la Société Civile sur la réforme foncière* (CACO) of DRC (established in December 2013) is operationalized through a governance structure and the development of a strategy, yielding increasing demands for civil society participation and support from two new donors (UN-Habitat and AJWS).
		Mali: Alliance for the Great Green Wall (GGW) is established to provide advisory oversight of the project and its implications for local and indigenous communities. The GGW is a panafrican project for sustainable land use that stretches from Dakar to Djibouti that was conceived by governments without community participation.
		Indonesia: National Conference on Just Governance and Resource Rights, related broader agenda of agrarian reform and people's sovereignty organized by 37 NGOs in Indonesia and attended by over 200 participants from civil society organizations, farmers and IP representatives, government officials, academicians. Conference provides an important opportunity for civil society and IPs to communicate with the government and potentially affect the composition of the new political agenda.

Outputs	Indicators	Evidence
		Nepal: Consultation/Dialogue on Role of Indigenous People on Forest Policies and Program in Nepal is organised by NEFIN, and attended by more than 50 participants from civil society groups and government agencies. Collectively, they advocate for the constitutional guarantee of the rights of IPs over land and resources.
		Lao PDR: The Land Issues Working-Group (LIWG) is established under Lao PDR's Ministry of Environment and Natural Resources and able to interact directly with the National Assembly, using intersession to lobby for more protective land policy.
		Bolivia: Communication and outreach capacities of the National Confederation of Indigenous Peoples of Bolivia´s (CIDOB) are strengthened to inform indigenous peoples and their communities on relevant legislative bills, as well as infrastructure and hydrocarbon projects that pose serious risks to indigenous peoples and their territories.
	3.2. Number of key global initiatives (e.g. FLEGT, UNREDD, FCPF, FIP, adaptation, food security) committed and actively engaged in promoting national-level reforms in tenure, regulatory and governance arrangements, at least partially as a result of engagement with RRI. Targeted for 2014 = 1 Achieved = 1	Global: RRI organized a panel on community land rights and carbon rights amidst REDD+ investments and global carbon trade initiatives during the 12th UN-REDD Policy Board Meeting, held in July, in Lima, Peru. Acting as a representative of the Independent Advisory Group, RRI played a key role in getting the Policy Board to fully support the evaluation recommendation to "prioritize tenure/resource/carbon rights" in the future and advocated for an UN-REDD internal governance review, in alignment with evaluation report recommendations.
4. Private sector entities actively support tenure and governance-related reforms, and support community-governed production and management in the countries where they operate.	4.1 Number of tenure or governance-related commitments, or systems of standards, adopted or implemented by investors or firms operating in the agribusiness, infrastructure or extractive industry sectors, as a result of RRI's engagement with them. Targeted for 2014 = 2 Achieved = 2	Global: Interlaken Private Sector Working Group serves as an important forum for private sector deliberation and action,– it met 3 times in 2014 and agreed on a workplan for 2015 that will contribute to expand and leverage private sector interest in securing community land rights. One key product is the development of operational guidelines for the VGGTs. China: Storo Enso and Asia Pacific Paper commit themselves to legal land acquisition and investment standards for their operations in China.

Outputs	Indicators	Evidence
	4.2 Number of new mechanisms or initiatives that leverage public and private capital for tenure reforms, and/or actively promote community or household production, conservation or enterprises in the forest areas of the developing world, at least partially as a result of engagement with RRI. Targeted for 2014 = 1 Achieved = 2	Global: RRI successfully advances the Call to Action through a series of participatory and consultative convenings that have brought together diverse actors in support of the new initiative. It provides an important forum for the strategic analysis and discussion of global tenure rights and advanced the development of the Global Call to Action.
		Global: RRG successfully delivered on its 2014 project plan to appraise the International Land and Forest Tenure Facility (LIFTF), and develop the Facility's organizational design. The ILFTF emerges as one of the most innovative and consequential new initiatives in the area of tenure reform, providing new means of advancing tenure through a multi-stakeholder, multi-sectorial mechanism.

Source: Frechette, A. (2015) *Independent Monitor: Final 2014 Monitoring Report.* Universalia Management Group. Montreal.

Appendix X List of Findings

Finding 1: Consulted stakeholders agree that RRI is perceived as a world leader in working towards the recognition of collective, and particularly Indigenous Peoples' forest and land tenure rights.

Finding 2: RRI's adaptation to the unique complexities of each national context is a key source of its relevance at the national level.

Finding 3: The RRI Coalition operated and is perceived differently in different national contexts.

Finding 4: There is much information in support of RRI's effectiveness in contributing to the recognition and enforcement of forest and land tenure reforms.

Finding 5: There is some evidence of progress toward the FPII outcome, but limited country data related to progress on RRI targets.

Finding 6: There is ample evidence of progress toward the FPII outputs. RRI has met or exceeded expectations for the majority of its logframe outputs.

Finding 7: RRI has increased its efforts to ramp up and advance the forest tenure and land rights and reform agenda, and accelerate reforms.

Finding 8: RRI has identified, engaged and mobilized new constituencies.

Finding 9: The International Land and Forest Tenure Facility is largely perceived as a strategic step forward for RRI, and has already contributed increased funding to the customary forest tenure and land rights agenda.

Finding 10: The Strategic Response Mechanism has provided funding support to Coalition Partners and Collaborators to respond quickly to emerging issues outside the constraints of the annual planning cycle.

Finding 11: Awareness of the Strategic Response Mechanism differs significantly from one region to another, and Partners and Collaborators lack clarity on Strategic Response Mechanism selection processes.

Finding 12: RRI has supported Partners and Collaborators in integrating gender mainstreaming into the customary forest tenure and land rights agenda. However, RRI's monitoring and evaluation framework does not yet include gendered objectives and indicators.

Finding 13: RRI plays an important strategic analysis role through its publications, which build on knowledge provided by various Coalition members. RRI's strategic analyses have situated and established the terms of debate and informed key decision makers and policy makers in the field of tenure rights.

Finding 14: RRI has been most effective at communicating, networking and convening at the global level, somewhat less so at the national level, and far less so at regional and cross-regional levels, where interest and demand is increasing.

Finding 15: RRI gives global visibility and access to national organizations, campaigns and people, which is largely perceived as valuable by Coalition actors.

Finding 16: RRI's advocacy work is based on a dual strategy at global and national levels. At the global level, it is effective due to the diversity of its participants and their own strategic practices. Its effectiveness at national level stems from its ability to adapt its strategies to national contexts.

Finding 17: RRI has contributed to significant increases in political will favouring customary land and forest tenure reform processes at national government levels, though less so at sub-national levels.

Finding 18: RRI's development and facilitation of MegaFlorestais, a network of public forest agency leaders, is perceived as having made a modest though important contribution to increasing political will.

Finding 19: Though controversial (notably in the Global South), there is solid evidence that RRI's work with the private sector through its two-pronged approach to engagement based in advocacy and dialogue is relevant and effective.

Finding 20: RRI's work has translated into modest community economic development benefits and opportunities for local populations.

Finding 21: RRI has attracted the attention and significant financial commitments of individual and institutional investors.

Finding 22: A review of RRI's financial situation demonstrates that it is financially healthy and stable.

Finding 23: Documents reviewed and stakeholders consulted suggested there was room for RRI to improve the management and allocation of its human resources, a matter that RRI has started addressing.

Finding 24: A certain measure of free-riding has been recognized as a persistent problem facing the RRI Coalition, raising concerns both about efficiency and membership. The extent of the problem remains unclear and a strategic response has yet to be crafted.

Finding 25: RRI's annual planning cycle and project funding approach tends not to favour the sustainability and resilience of RRI Collaborators' efforts. Collaborators would prefer biennial strategizing, planning and funding cycles.

Finding 26: RRI faces challenges in conflict-affected environments, which pose a constant threat to the sustainability of its work.

Finding 27: RRI regularly reviews its governance and strategic direction.

Finding 28: RRI's annual planning, implementation and reporting cycle is seen to be too short and strategically limiting for RRI Collaborators. However, RRI's funding model limits its ability to commit funds for longer periods.

Finding 29: RRI's monitoring and evaluation system is considered adequate by Coalition members. Its limitations stem from being only partially geared at providing data for tracking progress on land *and* livelihoods at national and global levels.

Finding 30: RRI monitoring mechanisms provide data for high-level decision-making and reporting, notably for the Secretariat. Partners and Collaborators feel that there is room for improvement in RRI monitoring, particularly with respect to national level data, SRM monitoring, and in terms of the accessibility of data throughout the Coalition.

Finding 31: RRI has a good communication system but has not yet built a culture of learning across the Coalition.

Finding 32: RRI uses confusing terminology for levels of results, which affects the coherence of its operations and as well as its reporting to donors.