

## ON-LINE APPENDIX ON REDD+ FIELDWORK

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This document provides a brief overview of the fieldwork I completed on the emergence and implementation of REDD+ around the world from 2011 to 2014. It is meant to serve as an appendix to any publications that cite or draw on the data gathered through this fieldwork. The first part of this appendix describes the three main sources of data that I collected through this fieldwork and the second part provides notes on data-collection.

### 1. Sources of Data

From 2011 to 2014, I conducted 94 semi-structured elite interviews with individuals affiliated with international organisations, developing and developed country governments, corporations, and non-governmental organisations actively working on REDD+ around the world. The majority of the interviews were conducted, in person, in ten countries: Germany, Kenya, Indonesia, Italy, Norway, Panama, South Africa, Tanzania, United Kingdom, and the United States. Other interviews were conducted through Skype with interviewees based in some of these countries as well as in Australia, France, New Zealand, and Thailand. In order to protect their identity, the following list provides broad categorizations of my interviewees based on whether they work for a non-governmental organisation (NGO), an international organisation (IGO), a government, or the private sector and whether their organisation is primarily Indonesian, Northern, Southern, or Tanzanian.

1. Northern CSO Representative, Panama City, Panama, 7 October 2011
2. Northern CSO Representative, Washington, DC, 12 October 2011
3. Northern CSO Representative, Durban, South Africa, 7 December 2011
4. Tanzanian CSO Representative, Arusha, Tanzania, 2 July 2013
5. Tanzanian CSO Representative, Arusha, Tanzania, 3 July 2013
6. Tanzanian CSO Representative, Arusha, Tanzania, 3 July 2013
7. Northern CSO Representative, Nairobi, Kenya, 5 July 2013
8. IGO Representative, Nairobi, Kenya, 8 July 2013
9. IGO Representative, Nairobi, Kenya, 8 July 2013
10. IGO Representative, Nairobi, Kenya, 8 July 2013
11. IGO Representative, Nairobi, Kenya, 9 July 2013
12. Southern CSO Representative, Nairobi, Kenya, 11 July 2013
13. Southern CSO Representative, Nairobi, Kenya, 11 July 2013
14. Tanzanian CSO Representative, Dar es Salaam, Tanzania, 12 July 2013
15. Tanzanian Government Representative, Dar es Salaam, Tanzania, 13 July 2013
16. Northern Government Representative, Dar es Salaam, Tanzania, 13 July 2013
17. Tanzanian CSO Representative, Dar es Salaam, Tanzania, 15 July 2013
18. Tanzanian CSO Representative, Dar es Salaam, Tanzania, 16 July 2013
19. Tanzanian Government Representative, Dar es Salaam, Tanzania, 16 July 2013
20. Tanzanian Government Representative, Dar es Salaam, Tanzania, 16 July 2013
21. Tanzanian Government Representative, Dar es Salaam, Tanzania, 17 July 2013
22. Tanzanian Government Representative, Dar es Salaam, Tanzania, 18 July 2013

23. Tanzanian CSO Representative, Dar es Salaam, Tanzania, 18 July 2013
24. Tanzanian CSO Representative, Dar es Salaam, Tanzania, 18 July 2013
25. Tanzanian CSO Representative, Dar es Salaam, Tanzania, 22 July 2013
26. Tanzanian CSO Representative, Morogoro, Tanzania, 23 July 2013
27. Tanzanian CSO Representative, Morogoro, Tanzania, 23 July 2013
28. Tanzanian CSO Representative, Morogoro, Tanzania, 24 July 2013
29. Tanzanian CSO Representative, Dar es Salaam, Tanzania, 27 July 2013
30. Tanzanian Private Sector Representative, Skype Call, 29 July 2013
31. IGO Representative, Bonn, Germany, 29 July 2013
32. Northern Government Representative, Bonn, Germany, 30 July 2013
33. Northern Government Representative, Eschborn, Germany, 31 July 2013
34. Northern Government Representative, Eschborn, Germany, 31 July 2013
35. IGO Representative, Skype Call, 2 August 2013
36. IGO Representative, Rome, Italy, 2 August 2013
37. IGO Representative, Rome, Italy, 5 August 2013
38. IGO Representative, Rome, Italy, 5 August 2013
39. Northern Government Representative, Oslo, Norway, 7 August 2013
40. Northern Government Representative, Oslo, Norway, 7 August 2013
41. Northern Government Representative, Oslo, Norway, 8 August 2013
42. Northern Government Representative, Oslo, Norway, 8 August 2013
43. Northern CSO Representative, Oslo, Norway, 9 August 2013
44. Northern Government Representative, Oslo, Norway, 9 August 2013
45. Northern CSO Representative, Oslo, Norway, 9 August 2013
46. Northern Government Representative, London, UK, 12 August 2013
47. Northern Private Sector Representative, London, UK, 13 August 2013
48. IGO Representative, v Call, 13 August 2013
49. Northern CSO Representative, Skype Call, 13 August 2013
50. Northern CSO Representative, Skype Call, 14 August 2013
51. Northern CSO Representative, Skype Call, 15 August 2013
52. Northern CSO Representative, London, UK, 15 August 2013
53. Northern Government Representative, London, UK, 16 August 2013
54. Northern CSO Representative, London, UK, 16 August 2013
55. Northern Government Representative, Skype Call, 22 August 2013
56. Northern Private Sector Representative, Skype Call, 29 August 2013
57. Northern Government Representative, Eschborn, Germany, 9 September 2013
58. Northern CSO Representative, Skype Call, 25 September 2013
59. Indonesian CSO Representative, Jakarta, Indonesia, 2 October 2013
60. Northern CSO Representative, Skype Call, 3 October 2013
61. Northern CSO Representative, Jakarta, Indonesia, 7 October 2013
62. IGO Representative, New York, USA, 24 October 2013
63. IGO Representative, New York, USA, 24 October 2013
64. Northern CSO Representative, Skype Call, 28 October 2013
65. Northern Government Representative, Skype Call, 31 October 2013
66. IGO Representative, Skype Call, 4 & 5 November 2013
67. IGO Representative, Skype Call, 5 November 2013
68. IGO Representative, Skype Call, 15 November 2013
69. Northern Private Sector Representative, 27 December 2013
70. Northern Private Sector Representative, 10 January 2014

71. Northern CSO Representative, 13 January 2014
72. Northern CSO Representative, 13 January 2014
73. Northern CSO Representative, Washington, DC, 13 January 2014
74. Northern CSO Representative, Washington, DC, 14 January 2014
75. Northern CSO Representative, Washington, DC, 14 January 2014
76. Northern Private Sector Representative, Washington, DC, 15 January 2014
77. Northern CSO Representative, Washington, DC, 15 January 2014
78. Northern CSO Representative, Washington, DC, 15 January 2014
79. IGO Representative, Washington, DC, 15 January 2014
80. Northern Private Sector Representative, Skype Call, 30 January 2014
81. Northern CSO Representative, Skype Call, 18 February 2014
82. Northern CSO Representative, Skype Call, 18 February 2014
83. Northern Private Sector Representative, Skype Call, 18 March 2014
84. Northern CSO Representative, Skype Call, 11 April 2014
85. Indonesian Government Representative, Jakarta, Indonesia, 8 May 2014
86. Indonesian CSO Representative, Jakarta, Indonesia, 9 May 2014
87. Indonesian CSO Representative, Jakarta, Indonesia, 12 May 2014
88. Indonesian CSO Representative, Jakarta, Indonesia, 12 May 2014
89. Indonesian Government Representative, Jakarta, Indonesia, 12 May 2014
90. Indonesian Government Representative, Jakarta, Indonesia, 13 May 2014
91. Northern Private Sector Representative, Skype Call, 19 May 2014
92. Northern CSO Representative, Skype Call, 5 June 2014
93. IGO Representative, Skype Call, 5 June 2014
94. IGO Representative, Skype Call, 29 October 2014

Throughout my fieldwork and the drafting of academic publications, I exchanged numerous e-mails with my interviewees as well as other additional persons to clarify certain discrete points of information that had come up in my analysis of my interviews and other primary documents. The four email communications that I have relied upon in my work are as follows:

- E-mail communication 1 with Northern Government Representative, 23 August 2013.
- E-mail communication 2 with Northern CSO Representative, 3 November 2014.
- E-mail communication 3 with Northern CSO Representative, 4 November 2014.
- E-mail communication 4 with Tanzanian CSO Representative, 5 November 2014.

Finally, I engaged in participation-observation as a civil society delegate and legal expert in multiple legal and policy processes relating to REDD+ from 2007 to 2014. This participation-observation across multiple sites over time enabled me to get a better sense of the evolving views of different actors with respect to REDD+.<sup>1</sup> It also enabled me to identify and contact potential interviewees, enhanced my ability to gain their trust, and

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<sup>1</sup> On the utility of participation/observation, see Hugh Gusterson, "Ethnographic Research" in Audie Klotz & Deepa Prakash, eds, *Qualitative Methods in International Relations. A Pluralist Guide* (New York, NY: Palgrave Macmillan, 2008) 93 at 99-103. See also Kathleen M. DeWalt & Billie R. DeWalt. *Participant observation: a guide for fieldworkers* (Walnut Creek, CA: AltaMira Press, 2002) at 92.

provided me with the background and informal knowledge to ask them probing questions.<sup>2</sup> In particular, I participated and observed as a civil society delegate, legal expert, and academic in the following meetings relating to REDD+ from 2007 to 2014:

- 13<sup>th</sup> session of the UNFCCC (Bali, Indonesia, December 2007)
- 15<sup>th</sup> session of the UNFCCC (Copenhagen, Denmark, December 2009)
- 16<sup>th</sup> session of the UNFCCC (Cancun, Mexico, December 2010)
- 2<sup>nd</sup> Part of the 14<sup>th</sup> session of the AWG-LCA, UNFCCC (Bonn, Germany, June 2011)
- 3<sup>rd</sup> Part of the 14<sup>th</sup> session of the AWG-LCA, UNFCCC (Panama City, Panama, October 2011)
- 17<sup>th</sup> session of the UNFCCC (Durban, South Africa, December 2011)
- 19<sup>th</sup> session of the UNFCCC (Warsaw, Poland, November 2013)
- GIZ/UN-REDD/FCPF workshop on the full and effective participation of Indigenous Peoples in REDD+ (Weilburg, Germany, September 2013)
- Meeting of the REDD+ Partnership (Palangkaraya, Indonesia, October 2013)
- GEM/CLUA workshop on the promotion of community forestry (Washington DC, January 2014)
- Design workshop for the UN REDD+ Academy (Jakarta, Indonesia, May 2014)
- 20<sup>th</sup> session of the UNFCCC (Lima, Peru, December 2014)

## 2. Notes on the Collection of Data

Beach and Pederson describe the collection and analysis of data for the purposes of process-tracing as being similar to the approach taken by investigators, lawyers, and judges in a criminal investigation and trial.<sup>3</sup> This analogy appealed to me given my previous work as an Associate Legal Officer in the Trial and Appeals Chambers of the United Nations International Criminal Tribunals for Rwanda and the former Yugoslavia in the mid-2000s. Accordingly, I approached the collection and analysis of data on REDD+ in a manner similar to the one I employed as a criminal lawyer. With the aim of drawing causal inferences on the basis of the careful and systematic collection and interpretation of evidence, I adopted the following practices:

- Selection of Interviewees: I selected and contacted potential interviewees on the basis of their role and influence in various sites relevant to the emergence and implementation of REDD+. Based on an analysis of primary documents, especially a list of participants in consultations and workshops relating to REDD+, I prepared a list of the negotiators, experts, and activists working on REDD+ across several international and transnational sites and my two case study countries (Indonesia and Tanzania). This initial list included 225 individuals. I then proceeded to contact the most important individuals on this list and request interviews, by e-mail, in person, or by telephone. In the later stages of my research, I used a snow-

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<sup>2</sup> Gusterson, *supra* note 1 at 100; Stephen L. Schensul, Jean J. Schensul & Margaret D. LeCompte, *Essential ethnographic methods: observations, interviews, and questionnaires* (Walnut Creek, CA: AltaMira Press, 1999) at 91.

<sup>3</sup> Derek Beach & Rasmus Brun Pedersen, *Process-Tracing Methods: Foundations and Guidelines* (Ann Arbor, Michigan: University of Michigan Press, 2013) at 120-143.

ball approach and contacted individuals that were recommended to me by other interviewees or that I encountered through my participation/observation in various sites.<sup>4</sup>

- Confidentiality & Recording of Interviews: As part of the ethics protocol for this research, I accorded my interviewees full confidentiality. Their names, organisations, or other identifying information do not appear anywhere in this dissertation. I also asked my interviewees whether or not they would agree to be recorded. Only 2 out of the 94 individuals I interviewed refused to be recorded.
- Interview Structure: I conducted these interviews in a semi-structured manner using an established set of questions that were tailored to the various sites and organisations with which my interviewees were familiar. Over time, the questions that I asked evolved. For one thing, as my level of knowledge increased, I was able to ask more detailed questions of my interviewees. For another, I sought to corroborate the claims made by other interviewees as well as some of the conclusions that were emerging from my initial interpretation of data.
- Interview Methodology: I asked my interviewees three types of questions.<sup>5</sup> A first set of questions was factual and related to events, sequences, and steps in the development of REDD+ or rights in a given site (*i.e.* when did your organisation start working on REDD+, and why?). Another set of questions focused on the opinions and perceptions of my interviewees (*i.e.* how would you define Indigenous Peoples?). A final set of questions was focused on the explanations that interviewees could offer for specific processes or outcomes (*i.e.* why do you think your organisation committed to indigenous rights?). Without using the language in my theoretical framework, I would ask interviewees to assess the plausibility of different hypothetical explanations for particular outcomes (*i.e.* what role did the funding agreement with organisation Y play in your organisation's decision to commit to indigenous rights?) Throughout these three types of questions, I made sure to cross-check the claims made by my other interviewees, without revealing their identities (*i.e.* I heard from the persons I interviewed in organisation Y that your organisation had significant concerns about the loss of revenue associated with the implementation of community forestry. Is this true?).
- Participation/Observation: During my participation/observation in several meetings relating to REDD+, I took notes on the arguments advanced by various participants and the outcomes of these meetings. In my notes, I sought to capture both the prevailing consensus as well as the perspectives that had been marginalized.
- Interpretation of Evidence: I assessed the reliability of the answers provided by interviewees on the basis of the following four factors: (1) their role in the events in

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<sup>4</sup> Oisín Tansey, "Process Tracing and Elite Interviewing: A Case for Non-probability Sampling" (2007) 40(4) PS: Political Science & Politics 765 at 769-770.

<sup>5</sup> Beth L. Leech, "Asking Questions: Techniques for Semistructured Interviews" (2002) 35(4) PS: Political Science and Politics 665.

question; (2) the plausibility and clarity of their answers; (3) the existence of contradictions or inconsistencies between their answers and other evidence; and (4) the possibility that they might be motivated to give false answers.<sup>6</sup> In general, I sought whenever possible, to corroborate claims across a range of sources (interviewees, primary documents, and secondary sources) and perspectives (Northern/Southern; Governmental/Non-Governmental).

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<sup>6</sup> This list is inspired by the factors identified in by ICTR Appeals Chamber for assessing the credibility of witnesses: *Prosecutor v. Nahimana et al.*, 28 November 2007, para. 194. See also Jeffrey M. Berry, “Validity and Reliability Issues in Elite Interviewing” (2002) 35(4) PS: Political Science and Politics 679.