Primi Putri is a political geographer. Her PhD thesis examines the design and implementation of localized transparency initiatives from the perspectives of citizens living near extraction sites. Through her work, she identifies key factors that influence the success of these initiatives and offers insights into how they can be enhanced to promote more effective natural resource revenue management. Her work intersects geography and political science, and takes a multidimensional approach to transparency, emphasizing often-overlooked aspects such as citizen engagement and government accountability. She introduces an analytical framework that not only evaluates existing transparency initiatives but also offers practical considerations for policymakers for the design and implementation of transparency initiatives.

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Transformative transparency for local natural resource revenue management

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Contents

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Abstract

Extractive sector transparency has emerged as an important policy tool in addressing resource-related challenges. However, the implementation of extractive sector transparency initiatives has not often had transformative impacts on the ground. The initiatives often fall short in increasing public knowledge of the sector and revenue management, and fail in enhancing public's capacity to discipline powerholders' behaviors. This thesis proposes that for a transparency initiative to be transformative, it needs to move beyond information disclosure and focus on the state-citizen interaction in natural resource revenue management. In this thesis, transformative transparency refers to a mechanism that simultaneously makes salient information available for the targeted citizen, promotes citizen action, and cultivates decision-maker sensitivity and responsiveness from the outset.

The main objectives of this thesis are to identify and examine conditions that influence transparency transformative processes in natural resources revenue management and investigate how the design and implementation of localized transparency initiatives can be enhanced from the vantage points of citizens. To address these goals, this thesis answers the following overarching questions: 1) What elements are necessary for a transparency initiative to be transformative and how should they be integrated?; 2) What factors impact citizens' involvement in the transparency processes?; 3) What are the key issues policymakers need to consider when designing a transparency initiative? This thesis answers these questions by assessing the transformative potentials of transparency initiatives and associated policies in places where (1) extraction activities take place, (2) transparency initiatives and associated policies are being implemented, and, importantly, (3) impacted citizens are living.

Using a qualitative case study approach, the thesis focused on two oil-rich districts in Indonesia, Bojonegoro and Pelalawan Districts, that have designed and implemented localized transparency initiatives and related policies to improve their natural resource and their revenue management. It also assessed Indonesia's Mineral and Mining Laws to investigate the rights and roles of citizens living in resource-rich areas as defined by the state throughout the development and governance of natural resources in Indonesia. Materials for this thesis were collected through 1) document analysis, 2) semi-structured and structured interviews, 3) informal discussions, and 4) non-participatory observations, all conducted in 2018–2022.

This thesis shows that for a transparency initiative to be transformative it must simultaneously include three elements from the outset. These elements include information disclosure, citizen action, and accountability measures to ensure the state actively listens and responds to citizens' concerns. This thesis develops Transparency Cube that integrates these elements as an analytical framework to design transformative transparency initiatives and assess the transformative potential of existing initiatives. Further, the thesis reveals that citizens' involvement in transparency processes is influenced by their rights and roles stipulated in extractive sector legislation, the impact of extraction on their everyday lives, and the perceived political distance between citizens and their leaders. Moreover, this thesis highlights the importance of identifying the target audience and the contextual and spatial conditions of the place where targeted citizens live, and where the initiative will be implemented. All these are crucial considerations when designing a transparency initiative for a specific place.

This thesis contributes to the academic and scientific discussions on transparency in extractive sector management in four ways. First, it adds to the discussions on

what constitutes transformative transparency in the extractive sector and its revenue management. Second, the thesis proposes a Transparency Cube as an analytical framework to facilitate research on the effectiveness of transparency initiatives that work through state-citizen interaction. Third, it emphasizes the roles of place of extraction to influence citizens' involvement within and throughout the transparency process. Fourth, it highlights the dissonance between the elite's transparency narratives and citizens' interpretations of transparency in natural resources revenue management by focusing on the power dynamic between these groups.

In conclusion, this thesis challenges the assumption that transparency can be universally applied across all locations and contexts, an assumption that often disregards the spatial and everyday realities of citizens affected by extractive industries. Instead, the thesis deals with the transformative process of transparency by investigating the design and implementation of localized transparency initiatives and related policies from the vantage points of citizens living close to extraction sites. It identifies the key elements necessary for transparency to promote transformative process and provides the proponents of extractive sector transparency and policymakers information about what they need to consider when designing, implementing, assessing, and promoting extractive sector transparency.

Keywords extractive industries, transparency, accountability, transformative transparency, information disclosure, citizens participation, state-citizen interaction, natural resource governance, revenue management, Indonesia

List of original publications

This thesis is based on the following publications, which are referred through the text by their numbers (Article 1, 2 and 3):

Article I	Primi Putri (2022) Local communities and transparency in Indonesian mining legislation. *Journal of Energy & Natural Resources Law* 41:4, 431–455. Available online: https://doi.org/10.1080/02646811.2022.2136336
Article II	Primi Putri & Päivi Lujala (2023) Assessing the Transformative Potential of Extractive Sector Transparency Initiatives: Evidence from Local Oil Revenue Management in Indonesia. *The Journal of Development Studies* 59:12, 1787–1806. Available online: https://doi.org/10.1080/00220388.2023.2244635
Article III	Primi Putri & Ståle Angen Rye (2024) Understanding the role of place in local extractive industries transparency: Evidence from an oil-rich district of Indonesia. *Journal of The Extractive Industries and Society*. Available online: https://doi.org/10.1016/j.exis.2024.101511

Original articles are available in the appendices of the printed version of the thesis. Publication 1 is reprinted with the permission of Taylor & Francis Group. Publication 2 is reprinted under CC BY 4.0 Creative Commons license. Publication 3 is reprinted under CC BY 4.0 Creative Commons license.

Author's contributions

Article 1 Putri performed the research, analyzed the material, and wrote the paper and its subsequent revisions.

Article 2 Putri developed the conceptual framework with Lujala, conducted fieldwork in Indonesia, analyzed the material and wrote the first draft of the paper which then was thoroughly revised by Lujala. Putri took the lead in the subsequent revisions of the paper.

Article 3 Putri developed the conceptual framework with Rye, conducted fieldwork in Indonesia, analyzed the material and wrote the first draft of the paper with supporting input from Rye. Putri took the lead in the subsequent revisions of the paper.

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Terimakasih banyak semuanya…

Celebrate endings for they precede new beginnings,

Somewhere around the foot of Merapi volcano, 31 December 2024

Primi Suharmadhi Putri

1 Introduction

The endowment of natural resources should provide significant economic and social advantages. However, many resource-rich countries have experienced adverse impacts, including non-violent and violent conflicts, environmental degradation, rent-seeking, corruption, mismanagement of resource revenues, marginalization of communities hosting extractive companies, and violations of human rights, to mention a few (Kolstad & Wiig 2009; Mehlum *et al.* 2006; Sachs & Warner 2001). In particular, communities residing in and around extraction sites often bear the brunt of these socio-economic and environmental impacts associated with extraction (Gandataruna & Haymon 2011; Leifsen *et al.* 2017; O'Rourke & Connolly 2003). This is particularly true when host communities lack resource-related information, are insufficiently represented, and are inadequately heard in dialogues and decisions related to the sector's management and monitoring (EITI, 2020).

In the governance of natural resources, transparency has emerged as an important policy tool in addressing resource-related issues, such as those mentioned above (Rosser & Kartika 2020). It has been promoted by international organizations and non-governmental organizations (NGOs), such as the World Bank and Publish What You Pay (PWYP) International[1], as an approach for sustainably managing natural resources and their revenues and as a remedy for the resource curse (Corrigan 2014; Gupta 2008; Vijge, 2018).[2]

The promotion of transparency in extractive sector and revenue management originates from the assumed empowering role of information in enabling the public to make informed assessments of the status quo (Gupta 2008; Mason 2008). The transparency narrative in extractive sector management posits that disclosing information on a range of resource-related issues will increase public knowledge and empower them to make informed assessments and hold governments and extractive companies accountable for the economic, social, and environmental consequences of extraction and the revenues it creates (Acosta 2013; Haufler 2010; Lujala 2018). The proponents of extractive sector transparency, such as the Extractive Industries Transparency Initiative (EITI)[3], argue that by adopting transparency initiatives, the country hosting extractive industries can achieve a multitude of benefits, ranging from political, institutional, financial, to just socio-environmental development (Sovacool 2020). These benefits include enhancing the involvement of non-state actors, such as the affected communities, media, and civil society organizations (CSOs) (Arond *et*

[1] PWYP is a global coalition of civil society groups launched in 2002. Its activities focus on advocating transparency and accountability in extractive sector management, and it was one of the key stakeholders in the creation of the EITI (Martinsson, 2011).

[2] The expression 'resource curse' was first coined by R. M Auty (1993). Resource curse refers to a condition where countries with abundant natural resources show slower economic growth than those without or with low levels of natural resources endowment.

[3] EITI is a multi-stakeholders organization consist of states, extractive companies, and civil society organizations that facilitates access to resource-related information to public, such as information on revenue flows between extractive companies and national governments (Lujala, 2018; Magno & Gatmaytan, 2017; Soerjoatmodjo et al., 2016). The membership for the state is voluntary. Once a country is committed to join the EITI, both the government offices and extractive companies operating in the country are required to disclose information as set by the EITI standard.

al. 2019; Öge 2017; Osuoka 2020; Vijge 2018), curbing corruption and elite capture (Magno & Gatmaytan 2017; Papyrakis, Rieger & Gilberthorpe 2017; Rustad *et al.* 2017), and improving revenue collection and management (Epremian & Brun 2018; Mawejje 2019; Phillips & Whiting 2016; Wilson & Van Alstine 2014).

However, research on extractive sector transparency shows that the implementation of extractive sector transparency initiatives often has not impacted the extractive sector and its revenue management, falling short and sometimes even being counterproductive in enhancing the public's capacity to discipline powerholders' behavior and change the status quo (Dingwerth & Eichinger 2010; Mason 2020; Vijge 2018) and achieving the goals of improved economic and societal development (Ejiogu *et al.* 2021; Ofori & Lujala 2015; Rustad *et al.* 2017; Sovacool & Andrews 2015; Yanuardi *et al.* 2021).

Existing research points to three reasons that can explain the ineffectiveness of transparency initiatives implementation. First, there has been a tendency to equate transparency with (mere) information disclosure without considering the complex contextual environment that may make the disclosed information irrelevant or useless for the intended audience (Epremian & Brun 2018; Haufler 2010; Kasimba & Lujala 2019; Mason 2020; Ofori & Lujala 2015; Vijge 2018). Second, many transparency initiatives overestimate the capacity and willingness of the public in general, and especially citizens living in and around extraction sites, to engage in the transparency processes (Epremian & Brun 2018; Lujala *et al.* 2020).[4] Third, most transparency initiatives in the extractive sector are designed and implemented at the national level, such as through the national adoption of the EITI Standard, and report information using national aggregates. Although management of the extractive sector and its revenues at the national level is of great concern and importance, such initiatives may sideline the information needs of communities living in and around extraction sites (David-Barrett & Okamura 2016; Ejiogu *et al.* 2021; Murombo 2021; Rosser & Kartika 2020; Yanuardi *et al.* 2021).

This thesis addresses the three issues above in two ways. First, it contests the straightforward narrative of transparency in which information disclosure catalyzes a chain of events leading to better natural resource governance and their revenue management and economic and societal development. It does so by moving beyond information disclosure as the only necessary action in the outset of the transparency process and focusing on other aspects of transparency processes that need to be addressed simultaneously with information disclosure. The notion that transparency works through a non-straightforward process is by no means a new idea: previous research has shown that the institutional effectiveness of transparency initiatives is subject to contextual settings, normative rationales, and forces that work against it where it is applied (Epremian *et al.* 2016; Gupta & Mason 2016; Magno & Gatmaytan 2017). Several scholars argue that transparency is better understood as an institutional relation between the state and the public, which can be analyzed in terms of rules, interactions, power games, context, and so forth (Albu & Flyverbom 2019; Ejiogu *et al.* 2018; Ruijer *et al.* 2020). Others have sought to problematize transparency by asking who or what should be made transparent. For instance, Roelofs (2019) argues that transparency entails not only the disclosure of information but also the disclosure of

[4] What constitutes the 'citizen' will depend on the specific context and objectives of the transparency initiative. It can include all inhabitants of a certain area of an administrative boundary (e.g., country, district, village, etc.) and a subset of them (e.g., based on distance from an extraction site, ethnicity, etc.). In my thesis, 'citizens' refers to all residents of Indonesia, and particularly of the studied districts, regardless of their ethnicities, who live close to extraction sites.

the social networks in which politicians are embedded, that is, transparency in people. Despite their contribution in identifying factors that influence the transparency process, existing scholarship on transparency has not adequately addressed elements concerning information users or the targeted audience of transparency initiatives.

Second, this PhD thesis sets out to assess transparency as a process where its design and implementation should not only account for disseminating information to the public, but also include factors and elements related to information users and their interactions with the information disclosers (Fox 2015; Joshi 2014; Kosack & Fung 2014). This thesis underlines the power dynamics among individual(s) and groups wherein their responses to natural resource governance and its outcomes are influenced by their interests, desires, concerns, resources, capacities, and shared identities endured within social contexts and political structures where transparency initiatives are implemented. Hence, this thesis acknowledges that transparency does not work in a vacuum but through and within social relations between information providers and users. In the context of natural resource governance and revenue management[5], the transparency processes occur between the government and the public, i.e., the citizens, which both interact within a social system (Ruijer *et al.* 2020), wherein (unequal) power relations dynamics influence the narrative, design, and implementation of transparency initiatives (Ciplet *et al.* 2018).

By moving beyond information disclosure and focusing on the state-citizen interaction in natural resource revenue management, this thesis proposes that transparency initiatives need to be transformative in order to achieve intended outcomes. In this thesis, transformative transparency refers to a mechanism that simultaneously makes salient information available for the targeted citizen, promotes citizen action, and cultivates decision-maker sensitivity and responsiveness from the outset. Drawing on the fact that the transformative transparency occurs within state-citizen interaction, the thesis aims to unfold the key elements for successful extractive sector transparency to promote change, assess contextual factors and issues that influence active citizenry and government responsiveness, and determine what transparency initiatives and related policies need to consider to achieve their transformative potential.

From the definition for transformative transparency, this thesis holds that the design of a transparency initiative must be compatible with local conditions and address local issues. Echoing Escobar's (1995: 222) view that "*[T]here are no grand alternatives that can be applied to all places or all situations,*" and so "*one must resist the desire to formulate alternatives at an abstract, macro level,*" this thesis contests the universal translation of transparency being applicable to all places and contexts by focusing on the design and implementation of local transparency initiatives.

There are three reasons why it is important to focus on the design and implementation of local extractive sector transparency initiatives. First, local government and subnational administrative units (e.g. provinces and municipalities) and communities

[5] The terms governance and management can be understood differently. Governance is the 'interaction among structures, processes, and traditions that determine how power and responsibilities are exercised, how decisions are made, and how citizens or other stakeholders have their say' (Graham *et al.* 2003), and management is 'a more specific and operational concept that involves the activities, practices, and strategies in achieving the goals and outcomes of governance structures' (for example, see Abood *et al.* 2015 and Loorbach 2010). In this thesis, it is important to adopt and apply transparency in the operationalization of both concepts. Therefore, the two concepts are used interchangeably within and throughout this study.

often receive substantial amounts of extractive sector-related revenues through, for example, revenue allocation mechanisms, locally levied taxes, and direct payments by extractive companies. This implies that natural resource revenue governance at the local level can be important for people living in and around extraction sites. Second, the adverse impacts of the extractive sector are often strongly felt at the local level. This should make the people living in areas with extraction more interested in how natural resources and their revenues are managed and encourage their participation in their management. Third, citizens and local leaders have direct experience with the impacts of extractive industries in their area. Within and throughout state-citizen interactions, the thesis emphasizes the roles of citizens living in resource-rich areas—who often are the most affected and marginalized within the broader natural resource development and decision-making processes—to (re)shape the transformative potential of extractive sector transparency in the place of implementation. Citizen involvement in a transparency initiative's design and implementation can thus yield important insight into the different aspects, needs, and concerns that the design of transparency initiative or related policy should account for to increase the odds of successful implementation and outcomes.

Empirically, the thesis focuses on Indonesia and two resource-rich districts there. Indonesia is an interesting case country due to its complex contextual environment where global demand for raw materials is intertwined with demands for more transparent and accountable extractive sector management and interests of impacted citizens. Indonesia is a resource-rich, rapidly developing, and decentralized country in Southeast Asia with one of the region's largest proven crude oil and natural gas reserves. The country is also currently the world's largest coal exporter (IEA 2021). It possesses the world's largest nickel reserves, which are crucial to producing electric vehicle batteries, and hosts the largest gold mine and second-largest copper mine on earth—the Grasberg mine in Papua Province—among other things. Through the natural resource revenue-sharing scheme (*Dana Bagi Hasil*, DBH), the government of Indonesia transfers natural resource revenues back to subnational administrative units from which they originate, providing the subnational governments with a substantial revenue source. The local communities in and around extraction sites, however, tend to remain poor and marginalized, and the environment is increasingly at risk (Macdonald 2017).

Indonesia also makes an interesting case for assessing the potentials and challenges of designing and implementing transformative transparency in resource-rich countries. The country has engaged with transparency since 2010 when it joined the EITI with the aim of improving accountability in natural resource revenue management. Previous studies show that Indonesia's adoption and localization of the global transparency narrative in extractive sector management is being (re)shaped, diffused, engaged, and challenged within the decentralized and post-authoritarian political context, where the interests of political actors dominate policy design and implementation as well as the narratives around (local) natural resource governance (Rosser & Kartika 2020; Winanti & Hanif 2020; Yanuardi *et al.* 2021). By situating Indonesia's experiences within the global transparency discussion, this thesis provides empirical insights and theoretical understandings of how transparency needs to be viewed and understood as part of a larger governance system that calls for institutional reforms, active citizenry, and the empowerment of actors beyond the state (Boldbaatar *et al.* 2019; Öge 2017; Van Alstine 2014).

To assess citizens' everyday experiences of extraction activities and the implementation of transparency policies or associated policy initiatives, I collected data

through interviews and informal discussions with citizens living close to extraction sites and where a transparency policy or associated policy initiative had been implemented. Additionally, interviews and discussions with other stakeholders, such as village heads and officials, district officials, and local NGO actors involved in local transparency-related policies implementation, provide a multi-level perspective of the official rhetoric of policy- and decision-makers, and 'on the ground' practices to unfold the initiative's potential to address resource-related issues occurring in the place of implementation. Information on the state-citizen interactions within broader extractive sector governance and background information for this thesis were collected through documents and observations.

Three articles are included in this thesis. Together, they provide an understanding of the key elements needed for extractive sector transparency to be transformative in contexts such as Indonesia. Further, the key findings from the three articles identify conditions that influence the transformative process of transparency through citizens' involvement to enhance the design and implementation of a transparency initiative so it can achieve the intended outcomes on the ground where it implemented.

1.1 Aim of the research

Transparency can mean different things. For some, it refers to the process that makes information publicly available on the issue at hand (Florini 2007; Williams 2011). For others, myself included, transparency includes the whole process in which *relevant* information is actively and effectively used by citizens to increase their level of knowledge and understanding, change their beliefs, and empower them to incite action to hold decision-makers and extractive companies accountable for their behavior and actions (Acosta 2013; Fung *et al.* 2007; Haufler 2010; Lujala 2018). Ideally, such a process would result in transformative changes in state-citizen interaction that improved natural resources revenue management and improved societal and economic outcomes.

Transparency initiatives always take place in a specific context in which different forces and actors work for and against them as they promise benefits for some and threaten to curb accrual of (economic) for others. As the impacts of extractive industries are strongly felt in areas close to extraction sites, it was crucial for me to assess the transformative potential of extractive sector transparency by focusing on the design of transparency initiatives in places where (1) extraction activities take place, (2) the impacted citizens live, and (3) transparency initiatives and associated policies are being implemented. Further, from the outset, it was clear to me that I wanted to investigate the design and implementation of localized transparency initiatives and related policies from the vantage points of local citizens living close to extraction sites.

Building on these notions, my PhD research set out to *identify and examine conditions that influence the transformative process of transparency that seeks to promote improved natural resources revenue management*. Further, it sought to *investigate how the design and implementation of localized transparency initiatives can be improved.*

The following overarching research questions helped me to develop the conceptual framework for the thesis and guided my research in articles as well as the writing of the synopsis:

1. What elements are necessary for a transparency initiative to be transformative, and how should they be integrated?
2. What factors impact citizens' involvement in transparency processes and how?
3. What are the key issues policymakers need to consider when designing a transparency initiative?

My PhD thesis answers the above research questions through qualitative case study which involved the study of a localized transparency initiative and a related policy designed and implemented in two oil-rich districts in Indonesia: Bojonegoro District in East Java Province and Pelalawan District in Riau Province. Further, I examined the stipulations and the implementation of Indonesia's 2009 Mining Law and its 2020 amendment to provide a basis for understanding local communities' roles and rights to participate and influence resource-related decision-making. By addressing the above research questions, my thesis investigated what any leader or the proponent of extractive sector transparency can do to improve localized transparency initiatives to bring about transformative societal and governance impacts in communities living in and around extraction sites.

1.2 Summary of the articles

The three articles included in this thesis assess the transformative potential of localized extractive sector transparency. Article 1 focuses on the state's appropriation and commodification of natural resources through Indonesia's 2009 Mining Law and its 2020 amendment's stipulations of citizens' rights and roles in the governance of natural resources and the scope for transparency processes in them. Bringing attention to subnational-level natural resources revenue management, Article 2 develops an analytical framework to assess the transformative potential of extractive sector transparency initiatives and applies the framework to assess a locally designed transparency initiative implemented in the oil-producing Bojonegoro District. Article 3 looks at the local level, i.e., community-level, by looking at citizens' notions of place of living close to where oil is extracted, and how such notions shape their understanding and desire for transparency and engagement in natural resource revenue management. Table 1 summarizes the three articles' research objectives and main findings and indicates the research question (RQ) they address.

Table 1. Summary of the included articles.

Article	Key concepts	Objectives	RQs	Key findings
Article I: *Local communities and transparency in Indonesian mining legislation. Journal of Energy & Natural Resources Law (2022)*	*State-citizen relations; information disclosure; participation; accountability; transparency*	Assess the rights and roles of local communities stipulated in Indonesia's mining laws; Identify the opportunities and challenges the mining laws pose for participation in decision-making; Identify stipulations on transparency and accountability.	RQ1 RQ2	The laws fail to secure public access to salient information and avenues for effective participation. The laws undermine impacted citizens' rights and roles in mining decisions and accustomed to local politics and elites' interests. The 2020 Minin Law recentralized mineral authority and reversed the promises of democratization and local participation in mining sector management.
Article II: Assessing the transformative potential of extractive sector transparency initiatives: Evidence from local oil revenue management in Indonesia. The Journal of Development Studies (2023)	Transformative transparency; strategic approach; information disclosure; participation; accountability	Develop analytical framework for transformative transparency; Apply the framework to assess the transformative potential of a local transparency initiative; Identify what context-specific conditions influence the transformative process of a transparency initiative implemented in a specific place.	RQ1 RQ2 RQ3	Transformative transparency relies on the information disclosure that addresses the targeted citizens' informational needs and is designed based on their preferred ways of receiving information. Transformative transparency initiative needs to include engagement platforms that reflect citizens' usual ways of voicing concerns and engaging with their leaders. Transformative transparency initiative must include accountability mechanisms that oblige the local government to respond substantively, and it must institutionalize the initiative so that it survives political changes. Transformative transparency initiative should be designed to simultaneously address context-specific challenges and opportunities, mobilize active citizenry, and encourage comprehensive state response.
Article III: Understanding the role of place in local extractive sector transparency: Evidence from an oil-rich district of Indonesia. Journal of Extractive Industries and Society (2024)	Transparency; place; location; locale; sense of place; citizens	Investigate citizens' everyday spatial configurations in the place of extraction; Examine how physical and non-physical conditions of extraction place shape citizens' ways of making sense of oil revenue management; Explore the ways in which citizens' spatial configurations affect the transformative potential of a transparency-related policy.	RQ2 RQ3	Merely living close to extraction sites does not influence citizens' views on natural resource revenue management and transparency. Social identities and spatial realities characterize citizens' views of leadership and their participation in local resource revenue management and decision-making processes. The design of a transparency-related policy needs to integrate the impacts of extraction on citizens' everyday spatial realities so that its implementation is adaptive to local socio-political contexts.

Article 1 examines Indonesia's 2009 Mining Law and its 2020 amendment, the 2020 Mining Law, from the viewpoint of citizens and communities living close to extraction site with regards to their access to information, opportunities for meaningful participation, and ability to hold the government accountable (RQ1). Using literature that argues citizen engagement and participation are crucial within extractive sector transparency and accountability, the article identifies three key elements deemed important for an effective transparency process (further developed in Article 2). Using the three elements, the article assesses the 2009 Mining Law's stipulations on citizens' rights and roles within mining decisions throughout the mineral value chain. More specifically, the article examines citizens' rights to seek and receive resource-related information and participate in and scrutinize mining decisions throughout the mineral value chain, and their roles to hold the government and extraction companies accountable for the environmental and social costs of extraction (RQ2). The article also assesses the changes brought by the 2020 Mining Law and its impacts on citizens' rights and roles. In Article 1, I show that although the 2020 Mining Law sought to incorporate perspectives of local communities in different stages of the mineral value chain, it failed to ensure that local communities had adequate access to mining-related information, space for participation in decision-making, and mechanisms for holding powerful actors accountable despite decentralized mineral resources and revenue management. These challenges in the 2009 Mining Law are partially addressed in the 2020 Mining Law. However, the recentralization of the mining sector under the 2020 Law creates a greater distance between the local communities living in and around mining sites and the decision-makers at the national level.

Article 2 develops an analytical framework—Transparency Cube—to study the different dimensions and aspects needed for a transparency initiative to promote change through public engagement. We argue that a transparency initiative needs to address simultaneously three different dimensions: information disclosure, citizen spaces for action, and government commitment to hear and act on citizens' concerns (RQ1). We applied the Cube to assess a locally designed and implemented transparency initiative in Bojonegoro District and found that the content of and platforms for resource-related information did not address the public's needs and preferred ways of receiving information and platforms for engagement were unable to incite citizen action (RQ2). Moreover, the initiative did not survive change of leadership as most of the transparency related policies were rescinded after the new district head was elected. Article 2 highlights several aspects that are crucial for the design of a transformative extractive sector transparency initiative (RQ3). First, the article shows that a locally designed transparency initiative needs to reflect the citizens' everyday interactions with their closest leaders when developing state-citizen engagement platforms. Second, the allocation of natural resource revenues to local communities or local government should be accompanied by an extensive support for empowerment and capacity building encompassing both the targeted citizens and the local government. Third, a transparency initiative should specifically identify its target audience, its informational needs, and how to provide the information in such a way that it reflects the audience's context-specific settings, rationales, and challenges. Altogether, Article 2 underlines that even local transparency initiatives designed for specific places may find it difficult to provide relevant information and encourage active participation if they fail to include context-specific measures, overlook the needs and experiences of targeted audiences, and ensure government commitment over time.

Article 3 examines citizens' notions of place of extraction that may shape their ways of making sense of oil revenue management, which in turn can have implications for the design and implementation of transparency-related policies in natural resource revenue management. Drawing on the conception of place, we show that living close to extraction sites does not always impact citizens' ways of making sense of extractive industries and revenue management. Instead, their relations with government leaders and elements of location, locale, and sense of place characterize citizens' views of local revenue management and determine their involvement to participate in the oversight and allocation of redistributed petroleum revenues (RQ2). The article highlights that the physical and non-physical elements of the place where extractions occur, and where the citizens live are crucial elements to be included in the design of transparency initiatives for it to have transformative potential (RQ3). More specifically, Article 3 shows that citizens' notions of place are shaped by the place's geographical and spatial realities, interaction with closest leaders, and their shared socio-cultural identities. Overall, Article 3 argues that citizens' notion of place can reveal context-specific issues and resource-related concerns faced by the target audience that need to be included in the design of an extractive sector transparency initiative. Article 3 suggests that including citizens' notion of place as part of transparency initiative design can enhance its transformative potential at the local level and across societal actors of specific place and context.

1.3 Structure of the thesis

This thesis consists of a synopsis and the three above-mentioned articles attached as appendices. The remainder of the synopsis is organized as follows: Chapter 2 begins with a review of how extractive sector transparency has been defined in the academic literature on natural resources governance in order to highlight the shortcomings of the current conceptualizations. The chapter then develops the conceptual framework for this thesis. Chapter 3 provides details on how natural resources and their revenues are managed in Indonesia. The three case studies are presented in Chapter 4. Chapter 5 outlines the thesis' research design, methodological considerations, reflections on positionality, and research limitations. Chapter 6 presents and discusses the key findings. Chapter 7 concludes the thesis with scientific and policy contributions, and directions for future research.

2 Centralizing citizens in extractive sector transparency

> *"The heart of accountability is a two-way exchange between local communities and government"* (Aden 2001: 25)

Many resource-rich countries in the Global South experience slow economic growth despite extensive exploitation of their riches; they face what is called the paradox of plenty or the resource curse (Auty 2001; Auty & Warhurst 1993). Abundant non-renewable natural resources have been associated with delayed democratization, human rights abuses, corruption, patronage, rent-seeking, and violent armed conflicts (Arvanitis & Weigert 2017; Auty 1994, 2007; Auty *et al.* 2017; Ross 1999; Sachs & Warner 2001; Williams 2011). Scholars have suggested different explanations for these ills, and one key explanation relates to elites' rent-seeking behavior, which sidelines the public's interests (Robinson *et al.* 2006). A revenue boom from resource extraction often leads the elites and politicians to develop corrupt practices that intentionally benefit the few rather than the masses and misguided policies that result in mismanaged revenue spending (Moisé 2020; Rosser 2007).

This thesis focuses on extractive sector transparency as a key policy used to address resource-revenue management-related challenges in countries with large resource revenue flows. More specifically, it looks at the localized implementation of transparency initiatives and related policies to improve natural resources revenue management from the vantage point of citizens living close to extraction sites, who are the most impacted but often marginalized in natural resource and their revenue management.

In this chapter, I discuss the concepts that framed my research in this thesis. Section 2.1 provides a short overview of how transparency has been conceptualized in the literature on extractive sector governance. Section 2.2 operationalizes transparency for this thesis and discusses the elements that must be addressed for a transparency initiative to be transformative and achieve its intended outcomes. Section 2.3 discusses the importance of bringing the local context and the place of extraction into the design and implementation of an extractive sector transparency initiative.

2.1 Transparency in extractive sector governance

Transparency in the extractive sector has been widely promoted to tackle problems associated with the resource curse (see Adams *et al.* 2019; Arvanitis & Weigert 2017; Corrigan 2014; Gilberthorpe & Rajak 2017; Hilmawan & Clark 2019; Iimi 2007; Kolstad & Wiig 2009; Lawer *et al.* 2017; Narankhuu 2018). The roots of transparency can be traced back to post-World War II (Dunstall 2019), but only in recent decades has it become popular as a policy tool and often as a policy itself in the extractive sector and revenue management (Barma *et al.* 2011).

In many conceptualizations, transparency is interchangeable with openness and disclosure (Etzioni 2010; Heald 2006b), where information availability and access to information have been treated as crucial at the outset of the transparency process, but also sometimes as the end itself (Cucciniello *et al.* 2017). In the latter, transparency can be seen as people's right to know (Birkinshaw 2006). In the former operationalization, transparency (i.e., information disclosure) is seen as a means to hold powerful institutions accountable through public scrutiny (Fox 2007).

From the idea that information is a remedy for abuse of power (Garsten & Lindh de Montoya 2008; Islam 2006), transparency has evolved into a tool for empowering citizens to hold government elites and powerful organizations and nations accountable for their behavior. It has developed to be a global moral and political parlance and is perceived as an alternative to top-down approaches and a way to move toward a more bottom-up process through nonstate rulemaking, monitoring, and assessment (Ciplet *et al.* 2018; Ciplet & Roberts 2017; Lucier & Gareau 2015). From this view, transparency has become a key principle for many international non-government organizations and their work in various sectors such as climate and environmental governance (Ciplet *et al.* 2018; Gupta & Mason 2016), government budget and fiscal management (Harrison & Sayogo 2014; Heald 2012; Justice & Dülger 2009), human and indigenous rights, conflict management and resolution, anti-corruption, and corporate social responsibility (Garsten & Lindh de Montoya 2008; Haufler 2010; Lyster 2011; Oppong 2018). As a result, many governance institutions at various levels have adopted and institutionalized transparency by providing information access to the public to make public sector operations more inclusive, accountable, legitimate, and democratic (Gupta 2008).

Natural resource governance has not been an exception. The use of transparency as a policy approach in the extractive sector has been promoted for the last three decades by actors such as the World Bank, the Organization for Economic Cooperation and Development (OECD), the International Monetary Fund (IMF), and civil society organizations such as the Publish What You Pay (PWYP). Several transparency initiatives have been developed, the Extractive Industries Transparency Initiative (EITI) being the hallmark of them. The EITI seeks to increase transparency and accountability in extractive sector revenue management through national-level participation. As of July 2024, fifty-seven countries, including Indonesia, have adopted the EITI Standard. The EITI Standard requires mandatory resource-related disclosure for the government and all extractive companies throughout the natural resource value chain, including beneficiary ownership, contract and licenses, company payments to the government, and government income from extractive industries (EITI 2019; Le Billon *et al.* 2021). The expected benefits of adopting and implementing the EITI Standard in resource revenue management include reduced corruption and improved extractive sector management (Hilson & Maconachie 2008).

The underlying narrative of extractive sector transparency is that increased public access to understandable, reliable, timely, and salient resource-related information will increase citizens' understanding of the sector and revenue spending, empower them to make informed assessments of the sector management, and associated resource revenues, and demand better management of the extractive sector and revenues (Epremian *et al.* 2016; Williams 2011). This transparency narrative links the government and the public through the disclosure of information with the hope that information can change individual behavior. Such a link is often conceptualized through rational-actor models grounded in the principal-agent framework (Epremian *et al.* 2016; Heald 2006a), in which citizens are seen as the rightful owners of natural resources (the principal) trying to hold the government (the agent) accountable for managing the natural resources on their behalf (Ofori & Lujala 2015).

Figure 1 depicts the straightforward pathway of the EITI transparency narrative. The EITI-type governance-by-disclosure transparency causal chain is seen to equip the public with information that enables it to evaluate the behavior of government and extractive companies (Epremian *et al.* 2016; Gillies & Heuty 2011; Gupta & Mason 2016). In this causal chain, the government begins the chain through disclosing

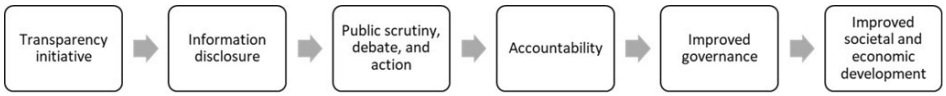

Figure 1. Transparency Causal Chain.

information to the public. The chain works in a consecutive causal process, where each stage acts as an instrument for reaching the following stage (Fenster 2015; Hood & Heald 2006). The roles of citizens (the public) in the causal process are to access, use, and process the information to form or change their views and, when needed, voice their concerns, incite debate, and act to challenge the status quo (Lujala & Epremian 2017). Governance improves when the government and powerholders listen to citizens' demands and act accountably. The chain ends when the extractive sectors and revenue management contribute to societal and economic development.

It is important to note that the causal relationships between the stages are not straightforward and the chain may fail at any phase. Studies on the effectiveness of transparency show that the linear causal chain narrative of transparency automatically leading to accountability is an ill-defined assumption that requires scrutiny (Acosta 2013; Gupta *et al.* 2020; Lujala *et al.* 2020; Mason 2020). For example, Fung *et al.* (2007) argue that information disclosure is a necessary condition but not enough to trigger public scrutiny and incite action due to factors such as conflicting interests, cognitive challenges, or the way information is presented. Ciplet *et al.* (2018) also highlight that the effectiveness of transparency and its impacts depend on who designs the initiative, what the set of measures is, and in whose interest. In short, questions related to 'for whom' and 'to what end,' must be critically asked when assessing the implementation of any transparency initiative (Gupta & Mason 2016; Mason 2008). Whereas transparency is intended to enable the public to monitor and scrutinize the government's performance in the management of the extractive sector (Acosta 2013; de Renzio *et al.* 2005; Haufler 2010; Vijge 2018; Williams & Le Billon 2017), the narrative of transparency puts the citizens (public) in the role of having the responsibility to make it work.

Although the citizens are seen as the guarantors of functional transparency, the promotion of extractive sector transparency initiatives is, in most cases, developed in a top-down manner, neglecting the informational needs of the public, their usual ways of accessing information, and opportunities to act (for example, see Epremian & Brun 2018; Ofori & Lujala 2015; Oppong 2018; Zalik & Osuoka 2020). The 'public' is often ill-defined, making disclosed information typically not accessible and having limited value to specific stakeholders such as local leaders or NGOs (Aguilar *et al.* 2011; Epremian & Brun 2018; Kasimba & Lujala 2019; Lujala & Epremian 2017). Lujala & Epremian (2017) suggest that carefully defining the target audience from the outset may address a range of issues concerning the effectiveness of transparency initiatives, such as what type of information, for whom, how, and to what effect. One way to determine the appropriate target audience is to look at places where (impacted) citizens live, extraction activities occur, and transparency policies are implemented (Lujala & Epremian, 2017).

The design and implementation of extractive sector transparency initiatives often fail to include the public's informational needs and accommodate their capacity to access and process information. It is not uncommon that in resource-rich countries where transparency has been applied to national natural resource governance to address information asymmetry and abuse of power within society, the design of information disclosure overlooks the complex contextual environment that may, for

a variety of different reasons, make the disclosed information irrelevant or useless for the intended audience (Epremian & Brun 2018; Kasimba & Lujala 2019; Yanuardi *et al.* 2021). Instead, information disclosures often perpetuate (information) inequalities and replicate existing power structures (Mason 2010), enabling the government and elite actors to redirect resources toward objectives other than those that are in the best interests of the affected and vulnerable people (Epremian & Brun 2018; Kasimba & Lujala 2019; Winanti & Hanif 2020).[6]

Country-level analysis shows that the implementation of information disclosure initiatives, such as those under the EITI, have not been effective in decreasing corruption, altering elites' behavior, or improving the management of extractive sectors (Le Billon *et al.* 2020; López-Cazar *et al.* 2021; Oppong & Andrews 2020; Rustad *et al.* 2017). Case studies show that the challenge often is the inaction of the 'public' (Epremian & Brun 2018; Ofori & Lujala 2015). For example, recent studies from extractive sector transparency implementation in Mongolia show that information disclosure was still unable to substantially empower citizens to act and demand the government to improve natural resource governance and tackle resource-related problems (Boldbaatar *et al.* 2019; Tsogtochir & Park 2021). These studies show that when transparency is understood as (mere) disclosure or dissemination of information without further thought on how people are supposed to act on it and how a broad range of actors may work against such changes both locally and nationally, it tends to fail in achieving its objectives of change. Concurrently, for transparency to work and achieve its intended outcomes, there are issues related to the unequal power structures, socio-political setting, normative rationales, and contextual forces that need to be addressed for an effective design and implementation of transparency (Epremian *et al.* 2016; Gupta & Mason 2016; Magno & Gatmaytan 2017; Vijge *et al.* 2019). Therefore, it can be argued that merely disclosing information will not automatically empower the citizens and thus improve extractive sector management. Then, a relevant question is how to improve transparency initiatives through active citizenry so that their implementation can contribute to better natural resources, revenue management, and transformative societal and governance outcomes.

To address such question, this thesis focuses on citizens living close to extraction sites and who often are negatively impacted by the extraction activities and marginalized and disadvantaged by and within the broader natural resource development and revenue distribution (Andreucci & Radhuber 2017; Rosyida *et al.* 2018; Spiegel 2012). To do so, there is a need to, first and foremost, unfold how a state's political leaders and decision-makers define natural resource endowment and its extraction activities through constitution, laws, and policies, wherein access and control of natural resources and wealth distribution are regulated and have implications for the rights and roles of impacted citizens vis-à-vis state authorities. The stipulation and implementation of natural resources-related policies, laws, and legislations are critical to understanding the rights and roles of the impacted citizens on the spatial ownership and resource governance (cf. Collier 2017). In the design of transparency initiative, the inclusion of citizens' rights and roles in the governance of natural resources can be viewed through, for instance, what should be made transparent, by and for whom, and to what end (Ciplet *et al.* 2018; Gupta 2010; Vijge 2018). In this thesis, Article 1 discusses Indonesia's

[6] Bourdieu refers to such asymmetrical power relations as 'symbolic violence' to describe how softer modes of domination operate both institutionally and in everyday face-to-face interactions (Schubert 2013; Topper 2001).

Mining Law's implications for local communities' rights to access information and their roles in extractive sector decision-making processes.

Further, one should be attentive to the risk of perpetuating symbolic violence materialized through power dynamics where individual(s') and groups' responses to natural resource-related information are influenced by their interests, desires, concerns, resources, and capacities endured within social contexts and political structures where transparency mechanisms are implemented. As Lujala & Epremian (2017) emphasize, the design and implementation of a transparency initiative should more carefully consider how social contexts and political structures can hamper collective action and what can be done about it (Le Billon *et al.* 2021; Rustad *et al.* 2017). Therefore, rather than simply relying on the expectation that access to information will automatically lead to effective forms of transparency and bring about transformative changes in the extractive sector and revenue management, I now turn to discuss the factors that need to be addressed when designing transparency initiatives so that it can be adaptive to the needs and concerns of impacted citizens and applicable in the context where it is applied.

2.2 Transformative extractive sector transparency: Moving beyond information disclosure

Analyzing and theorizing transparency in the extractive sector and its revenue management should not only focus on the effectiveness of information dissemination as it can still lack transparency (Fenster 2006). As discussed above, simply putting information into the public domain does not guarantee that a transparency initiative can achieve transformative outcomes in terms of state-citizen interactions in extractive sector's decision-making. Fung *et al.* (2007) argue that transformative transparency needs not only to disclose useful information, but it also requires that the information is used effectively to increase citizens' knowledge and change their beliefs. Similarly, Tienhaara (2020) claims that transformative transparency occurs when the disclosure of relevant information enables informed participation and dialogue between those who disclose information and those who receive it. On the interaction between discloser and receiver, Ciplet & Roberts (2017) bring the question related to unequal power between them and propose that transparency can be considered transformative when less powerful actors are able to use the disclosed information to disrupt the status quo and inequality practices to demand improved and more just governance. These definitions imply that transparency can be considered transformative only when it achieves tangible societal and governance outcomes, such as when there are more citizens engaged in the sector's management and increased resource revenue allocation, for example, to the education sector.

From the above definitions of transformative transparency, this thesis deals with the process of transformative transparency. I, in this thesis, determine that transformative transparency must not only disclose useful information. The transformative process of transparency must simultaneously ensure that the target audience of information can access, receive, and use the information to improve their knowledge and use it to scrutinize powerful actors' behaviors. This process is to encourage citizens to demand change and obliges government actors and leaders to respond and act accordingly. My definition of the transformative process of transparency relies on the role of informed

citizens, their active citizenry, and responsive government within and throughout the process.

One way to conceptualize the transformative process is Fox's (2015) 'strategic approach' that combines simultaneous action by citizens from below with government responses from above. The strategic approach does not seek to responsibilize communities and individual citizens to tackle social issues that matter to them as the government withdraws from such responsibilities[7], but underlines the importance of citizens having opportunities to voice their concerns on the issues that matter to them by engaging with powerful actors (Fox 2007; Fung *et al.* 2007; Mason 2010). In that regard, creating spaces for participation or strengthening existing spaces can be used to involve and engage the people (Cornwall 2006). Spaces for participation vary, encompassing elements ranging from information-sharing and consultation to mechanisms for collaboration and empowerment that give people greater influence and control of institutions and policies (Cornwall & Gaventa 2001; Rietbergen-Mc Craken & Narayan 1996).

In the context of extractive sector transparency, strategic approach underlines the need for space for citizen collaboration and empowerment to exercise their rights within natural resource governance (Fox 2007; Gaventa & Barrett 2010; Gigler & Bailur 2014), to invoke state response throughout the natural resource value-chain (Ackerman 2004; Speer 2012), and hold the government and extractive companies accountable for the impacts of extraction and the management of natural resource revenues (Acosta 2013; Haufler 2010). Concurrently, the strategic approach emphasizes state actors' and leaders' willingness and institutional capacity to seek and promote citizen empowerment and their commitment to provide responses and improved performance when it comes to natural resources and their revenue management.

This thesis argues that such a strategic approach is essential for the design of transparency initiatives and that such initiatives need to delve into the state-citizen interaction embedded within society and the place where the initiative is implemented. The strategic approach's emphasis on citizens' action from below and government processes from above can assist the redistribution of power and transform participation from tokenistic rituals to enabling more substantive negotiations between citizens and powerful actors, as conceptualized in Arnstein's (1969) Ladder of Citizen Participation. As such, an important aspect of any transparency initiative seeking to improve natural resource governance through public engagement is identifying context-specific conditions that promote—or undermine—active citizenry and government responsiveness as part of its initial design.

To conceptualize active citizenry and government responsiveness as important elements for transparency to work, I now turn to the 'transparency action cycle' introduced by Fung *et al.* (2007). The action cycle (Figure 2) links the government and a targeted group, such as the citizens of resource-rich areas, through the disclosure of information to (re)form a group's perceptions of government performance and mobilize them to act on their concerns.[8] The cycle illustrates how access to salient

[7] The ways in which governments are 'responsibilizing' communities and individuals, shifting responsibility for solving social issues away from the state, is conceptualized through the governmentality theory (see Imrie & Raco 2003; Rolfe 2018).

[8] In the context of this thesis, 'government' can mean the national and subnational governments, government bodies, district or village unit, or local leader like a village head. Information may be

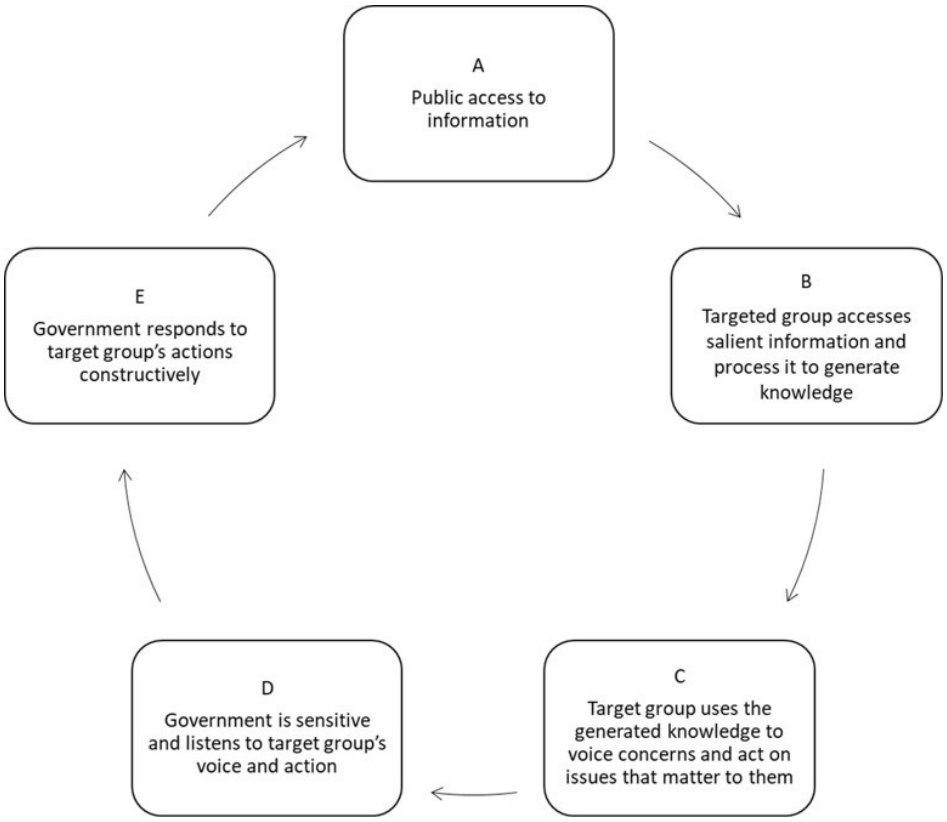

Figure 2. Transparency action cycle (adapted from Fung *et al.* 2007).

and valuable information is needed to change the target group's behavior, leading to behavior changes (Fung *et al.* 2007; Kosack & Fung 2014). As a cycle, transparency does not conclude with the government responding to a target group's actions but continues improving their performance by providing access to more information. It is also worth noting that, depending on the context where changes are needed, the design of a transparency initiative can start at any stage of the cycle. However, all elements of the cycle should be included.

For each of the elements included in the cycle, there are varying conditions depending on where it will be applied, and that influence the user's and discloser's capacities and willingness to keep the cycle working and each of the elements fulfilled. Therefore, attention must be given to each element in the cycle to dissect the conditions needed for extractive sector transparency to achieve its transformative potential.

The first element included in the cycle is public access to information (element A in Figure 2). For information to be accessible, it must be available through informational platforms *and* reach the targeted group(s) (Brunnschweiler *et al.* 2021; Lujala *et al.* 2020). For example, online-based informational platforms are inaccessible for citizens without

disclosed by them or by a third party like the EITI or Non-governmental Organizations (NGOs). Depending on the objectives of the transparency initiative, a target group in the cycle can include experts, the public in general, residents of a specific location, groups with specific characteristics, etc. In this thesis, the target group is the citizens (see Footnote 4).

a smartphone or internet connection or who, in their daily lives, access information from sources other than the Internet. Therefore, it is important to develop dissemination mechanisms that consider the target group's capacity and usual ways of accessing or receiving information (Lujala *et al.* 2020; Lujala & Epremian 2017b).

Element B (Figure 2) pertains to the saliency of the information: the disclosed information must be relevant and add to the target group's knowledge of the issue at hand (Fung *et al.* 2007; Kosack & Fung 2014). This implies that the information discloser needs to identify a group's informational needs and embed these into the disclosed information (Fung 2013). Moreover, the government should provide information that the targeted group finds relevant (Fung 2013; Vijge 2018). For example, citizens living close to extraction sites may find information on aggregate numbers of national revenue collection irrelevant and instead need information on how these revenues are spent in their district or village. Moreover, it is important to acknowledge that many extractive sector transparency initiatives overestimate the capacity and opportunity of the target group to turn the disseminated information into valuable knowledge (Brunnschweiler *et al.* 2021; Epremian & Brun 2018; Kasimba & Lujala 2019). Besides saliency, Element B also pertains to a target group actively seeking information that may or may not be publicly available. Therefore, transparency initiatives need to identify and address factors influencing a target group's ability and willingness to seek and access government information as part of transparency initiatives design (Piotrowski & Ryzin, 2007).

The underlying notion of transparency is to change the target group's beliefs, empower them to voice concerns, and incite actions to demand change (Element C in Figure 2) (Fox 2015; Kosack & Fung 2014; Lieberman *et al.* 2014). Action can take different forms and will depend on the context, and therefore each transparency initiative needs to identify the suitable avenues for action in that particular context and build or support those action spaces as part of the initiative. For instance, when citizens face repression or coercive forms of influence exerted by government actors at national and subnational levels or by local traditional leaders, transparency initiatives must include mechanisms that assure citizens' rights to develop preferences and perceptions about specific issues, policies, or decisions. To do so, the design and implementation of transparency initiatives must be accompanied by an appropriate channel for the target group's action within the institutional decision-making framework that ensures their voices are heard (Fung 2006; Joshi 2013).

Notably, target group voice and action will be ineffective if the government does not listen and develop and offer a meaningful response and are not open to reform (Element D in Figure 2) (Fung 2006; Goetz & Gaventa 2001). The government's willingness and institutional capacity to convert a target group's voices into tangible action vary across contexts and over time. When such willingness and capacity is not present or is underdeveloped, the transparency initiative must consider that in its design and address it. This may mean that an initiative must create avenues for participation where the targeted group can influence decision-making directly. In its weakest form, this can, for example, be through public consultations where powerful institutions or government officials listen and collect citizens' opinions, advice, and other input on issues that matter to them (Goetz & Gaventa 2001). A stronger form would be promoting structural changes and institutional innovations to shape government and elite incentives and behavior to act on citizens' demands (Oppong & Andrews 2020). Such structural changes can be operationalized within decision-making and governance processes through accountability mechanisms that apply to public decision-makers and carry checks and balances for powerholders (Agrawal & Ribot 1999). This can

be imposed, for example, through vertical accountability, where the citizens have the platforms to directly engage, scrutinize, and sanction their leaders or decision-makers whom they perceive as performing sub-optimally (Fischer 2016; Fox 2015).

The cycle closes off with the government providing new information on how the decision-makers have incorporated the targeted group's demands or what they have been doing to respond to the target group's voices and actions (Element A in Figure 2).

A strategic approach and the transparency action cycle provide the basis for my understanding of how transparency can achieve its transformative potential in the extractive sector: it must *simultaneously* promote the dissemination of accessible and relevant information, empowerment of citizen action, and a constructive government response. Article 2 thus develops a conceptual framework—the Transparency Cube—to thoroughly assess the three elements, i.e., information, citizen action, and government response. The Cube's operationalization calls for a robust design for a transparency initiative capable of catalyzing tangible societal and governance outcomes by simultaneously addressing the three elements that influence the effectiveness of the initiative.

This subsection has conceptualized what constitutes transformative transparency for this thesis. More specifically, it has contested the straightforward transparency narrative (see Figure 1) by arguing that information disclosure alone will not result in improved natural resource governance. Nevertheless, even when transparency initiatives are designed strategically to consider the different aspects discussed above, some underlying challenges still remain. The strategic approach, for example, requires the citizens to invest their time and energy to seek the information, process, and, if needed, act on it (Fung *et al.* 2009). The citizens need assurance that their efforts will result in expected outcomes, be it immediate or long-term gain (Fung *et al.* 2007). These challenges can be addressed through contextual measures adapted to the specific place where transparency policy is implemented and hoped to bring about societal and governance impacts. The following subsection will thus focus on the complex conditions on the ground at the place where extraction practices occur, where impacted citizens live, and where the wealth resulting from resource extraction is distributed, which this thesis argues plays a crucial role in (re)shaping the implementation and outcomes of a transparency initiative designed for that specific place.

2.3 Local and the place of extraction: Moving beyond the national context

While it is important to recognize the macro-level institutional framework at the national level that determines the access to natural resources governance and their revenue management, this section emphasizes the local context in and around where extraction activities take place. It does so by focusing on the vantage point of impacted citizens living close to extraction sites and exploring what issue(s) influence their interactions with the government within the micro-politics of these areas (cf. Gilberthorpe & Papyrakis 2015), offering an approach for designing transformative transparency initiatives that are adaptable to specific implementation contexts.

The implementation of an extractive sector transparency initiative could result in active citizenry if the issues included in the mechanism are 'closer' to the impacted citizens (Le Billon *et al.* 2021; Van Alstine 2014). Here, closer refers to physical and social-psychological distances (Brügger 2020; Brügger *et al.* 2015). In extractive sector management, for the former, the distance between the extraction sites and villages can

affect the extent of pollution from extraction activities. For the latter, it concerns citizen's personal relevance toward specific impact of extraction that influence how people seek and process information. For example, when people experience a change of livelihoods due to land-use change or new opportunities, they may be more interested to receive information on employment opportunities in the extractive industries. This implies that it may be crucial for transparency initiatives designed and implemented at a specific place to include mechanisms that address the social, environmental, and economic impacts of extractive industries experienced by citizens living close to extraction sites.

In the context of natural resource extraction, local citizens of resource-rich areas have the right to receive compensation for the negative impacts of extraction (Spiegel 2012; Thériault *et al.* 2021). One common way to compensate for the impacts of extraction and boost local development is through the distribution of natural resource revenues to subnational government units where the revenues originated or to the communities hosting the extraction sites or being affected negatively by the extraction activities. Nevertheless, it is important to note that the allocation and spending of natural resource revenues do not always respond to impacted citizens' needs and concerns. For that, this thesis argues that implementing local transparency initiatives in places where extraction's impacts are strongly felt by the citizens living there is as important as extractive sector transparency at other levels.

Defining something as a 'resource' is an act to assign any materials from nature merely from its economic roles (Bakker & Bridge 2006). It prescribes values and possibilities for exploiting the material that mutually exclude other alternatives and views (Castree 2003), including local views that vary across place and time. Local communities often value the same materials differently, for instance, as common property, sacred substance, or raw material (Richardson & Weszkalnys 2014).

It is thus essential to delve into the term local through people's views and knowledge of living in a specific place and its implications for the broader theoretical framework of local*ized* transparency. Local can be synonymous with the subnational level, as in any government unit below the national level, which is used in many decentralized government contexts. However, in this thesis local is understood as a social construct rather than merely an administrative level (Korff 2003). Local can be regarded as an organization constructed by specific knowledge and experiences consisting of attachments and commitments that define people's subjectivities characterized by their spatial reality (Korff 2003; McKay & Brady 2005). Hence, local can be also a place that exists and is socially constructed by the inhabitants from their subjective point of view through their actions in everyday life (Stephenson 2010).

Given the above conception of local, this thesis regarded local in terms of the place where extraction activities occur and surrounding areas where the inhabitants feel extraction's impacts. For that, this thesis emphasizes the role of a place's socio-cultural context in shaping citizens' views on natural resources revenue management and transparency and roles in influencing decision-making processes. Therefore, localizing transparency initiatives is not as simple as extending the implementation of any international standards or national-level policies to the sub-national level. Instead, I argue that it is important to translate any mechanisms whose goal is improved governance of extractive sector management into mechanisms that conform to citizens' daily experiences of living close to extraction sites. This must include actionable practices that advance their roles, rights, livelihoods, and engagement in decision-making related to natural resource governance and revenue management (see also Furstenberg & Moldalieva 2022; Rustad *et al.* 2017).

The emphasis on citizens' daily experiences and their spatial realities highlight the importance of contexts and conditions at the local level—that is, elements that exist within communities hosting extraction sites such as an individual agency, community members' interactions, power dynamics, as well as cultural characteristics—to determine the outcomes of broader extractive industries' development and inclusive transparency initiatives (Furstenberg & Moldalieva 2022; Gilberthorpe & Papyrakis 2015). Therefore, the term local is not a single definition or identity. Instead, local is diverse and can present intricacy reflecting a great variety of purely local, not government's universal interests (Scott 1998). For that, this thesis considers that local consist of various elements, including diverse actors, interests, social structures, power relations, and degrees of interaction with other places and scales, that lay the complexities of local as the place of extraction. These local elements exist in the place where a transparency initiative can have significant implications to (re)shape citizens' (in)action to determine outcomes of transparency in natural resources revenue management (Gilberthorpe & Papyrakis 2015; Regassa 2021).

One way to operationalize 'local' is to incorporate both the physical and non-physical aspects of the location where transparency-related policies will be implemented, taking into account the everyday spatial realities of the citizens. To dissect citizens' everyday spatial realities of living in a place of extraction, I turn to Agnew and Duncan (1989), who identify place through location, sense of place, and locale. Location refers to the place regarding its position in space and describes the physical elements and the historical, economic, and social process that made a place; sense of place is a form of "identification with a place engendered by living in it"; and locale as "the settings for everyday routine social interaction provided in a place" (Agnew & Duncan 1989). Incorporating these elements of physical, cultural, and socio-political experiences of community members can inform the relationship between place and people's (political) behavior (Agnew 1987), and thus provide a more nuanced notion of what constitutes a place of extraction. These elements can be of importance for the design and implementation of a transparency initiative for it to have transformative effects. Article 3 elaborates on citizens' notions of place as local elements shaping their ways of understanding, experiencing, and making sense of the extraction activities and their roles in local revenue management.

It is crucial not to view Agnew and Duncan's three elements of place separately as they interact and interplay with one another. In the context of natural resource governance, the notion of place intertwines with the concept of whether natural resources—often marked with the existence of extraction sites—are more than a physical presence and become a source of local identity or play a role in defining everyday activities and spatial realities. In particular, sense of place concerns how people interpret their home places and those of others (Castree 2003), articulated through social relations and interactions within settings and through life experiences and collective memory as a defense to particular constructions of place (Oslender 2004). Through citizens' notions of place, this thesis underscores that (local) community encompasses various meanings, feelings, and values that make it a 'community' (Aiken 2015).

Understanding citizens' various meanings, feelings, and concerns about the extraction practices and the management of revenues helps to formularize what needs to be included when designing transparency initiatives that are transformative. In particular, this thesis emphasizes that transformative localized transparency intended for a specific place and to address specific concerns must be developed around the citizens' narratives of natural resources, their extraction and revenues. Such local narratives not only shape

the local conditions and experiences in making sense of natural resources but also unfold how citizens interact with global norms, such as transparency in extractive sectors, through everyday interaction in decision-making processes (cf. Grimmelikhuijsen *et al.* 2013).

3 Natural resource and their revenue management and transparency in Indonesia

This chapter outlines how natural resources and their revenues are governed in Indonesia (3.1), and presents the existing national-level transparency policies (3.2).

3.1 The institutionalization of natural resources and their revenue management in post-colonial Indonesia

As Hudson (2001) notes, natural resources are not naturally resources. The endowment of a 'natural element' has been imagined, appropriated, and commodified, which encourage states (and private entities) to reappraise biophysical systems as 'natural assets' for leveraging capital accumulation, generating socio-economic benefit for the state and people, and (socio-economic) development (Bridge 2011, 2014). While natural resources have no 'natural' owner (Collier 2017), one strategy to rationalize a state's effort to claim ownership and accumulate socio-economic benefit from the endowment of natural elements is through resource nationalism (Kaup & Gellert 2017). In Indonesia, there have been various translations of resource nationalism—through the design, stipulation, and implementation of laws, regulations, and policies concerning the access to and governance of natural resources—across the country's political regimes since its Independence in 1945 (Bebbington & Humphreys Bebbington 2018; Kadir & Murray 2019; Kaup & Gellert 2017).

In Indonesia, laws, legislations, and policies related to natural resource governance promulgated by legislative and executive power regulate the relationship between the state, extractive companies, and citizens (Devi & Prayogo 2013; Junita 2015). The state has used laws on natural resources to define the roles and significance of subsoil natural resources for capital accumulation, state formation, and to determine the rights and roles of the citizens within the governance and development of natural resources. Notably, Indonesia's natural resource governance through resource nationalism has focused on the interests of state institutions to control natural resources and distribute the rents they generate (Winanti & Diprose 2020).

The history of Indonesia's resource nationalism is strongly tied to the anti-colonialism spirit. Prior to the country's independence in 1945, the rights and access to the exploration and exploitation of subsoil assets had been held exclusively by the Dutch colonial administration. Following independence, the country adopted resource nationalism to regain control over natural resources and colonial-based investments (Kadir & Murray 2019). With a strong spirit of nationalism, the first President of Indonesia, Sukarno (1949–1965), nationalized all extraction sites and facilities previously controlled by the colonial Dutch regime and refused investment and aid from Western countries (Devi & Prayogo 2013). The 1945 Indonesian Constitution has been pivotal in shaping resource nationalism in the country. Particularly, Articles 33(2), 33(3), and 18B(2) emphasize that all subsoil natural resources, i.e., oil, gas, and minerals, are considered national assets from which other kinds of national capital are derived and that the state controls the exploitation of these resources for the benefit of the people.

In the subsequent authoritarian period, Suharto's New Order Regime (1966–1998), the extraction sector was opened for foreign investment but the authority over the sector was kept solely in the hands of the central government (Kadir & Murray 2019;

Lahiri-Dutt 2006). During this period, the extractive sector was one of the primary sources of untraceable wealth accumulation for the country's elites in the capital city (Jakarta) and Java Island (Leith 2002). The uneven revenue distribution is notable as most resource-rich areas and large extraction sites were located outside of Java, such as in Sumatra, Kalimantan, and Papua islands. Additionally, the involvement of local stakeholders in natural resource and their revenue management was absent, creating dissatisfaction in many resource-rich regions that bore the cost of extraction activities (Kadir & Murray 2019).

In 1998, Indonesia embarked on a reformation (*reformasi*) period. The reformation period started with the fall of Suharto's New Order authoritarian regime, followed by decentralization and democratization processes, where demands for political change and associated institutional reforms in natural resource governance and local authority were among its key agenda (Rusli & Duek 2010). Decentralization was chosen to prevent abuses of power by transferring parts of authority and functions of the central government to lower levels (Faguet 2014). One of the key events of decentralization in extractive sector management was the enactment of Law Number 4/2009 on Mineral and Coal Mining (hereafter the 2009 Mining Law) that brought the mineral sector management in line with the decentralized structure of the Indonesian Government and advanced environmental and local priorities and public participation in the management of the mineral sector. Despite the decentralization of mineral sector management, Law Number 22/2001 on Oil and Gas (hereafter the 2001 Oil and Gas Law) stipulates that the oil and gas sector remain centralized and entirely under the central government's authority. According to the 2001 Oil and Gas Law, the role of subnational governments is limited to their involvement in the downstream oil and gas industry through local government-owned enterprises.

Unfortunately, the decentralized extractive sector management and resource revenue allocation to subnational units have fueled corrupt behavior amongst the local elites (Lewis 2017). Lack of accountability and transparency in the sector and its revenue management has given local officials more discretionary power and has extended the space for new oligarchs at sub-national levels to emerge and establish collusive and corrupt practices (Rosser & Kartika 2020; Warburton 2014, 2017). Amid decentralization, local elites have been able to exert their political dominance in translating and implementing policies at the local level and bypass laws at the cost of other local stakeholders and communities who have not had the capacity to voice their concerns and exert their rights concerning natural resource governance beyond casting their vote in elections (Alfirdaus & Manalu 2020; Kunanayagam & Young 1998). As a result, the extractive sector has often failed to benefit the wider population in areas with extraction, while a broad range of issues related to extraction—such as land grabbing, human rights abuses, pollution, and revenue mismanagement—remain unresolved (Buehler 2020).

Decentralized Indonesia presents an interesting case to investigate issues related to transparency and citizen participation in tackling corruption and other mismanagement in the extractive sector. Corruption has been a major problem for Indonesia's economy, politics, and social development (Martini 2012). To tackle corruption and other resource-related issues, the post-authoritarian Indonesian government has adopted the principles of transparency and public participation in laws and regulations concerning natural resources governance and their revenue management. Global discourses have primarily informed these transparency policies. However, the implementation has often been challenged by political dynamics and (local) elites' vested interests (Rosser & Kartika 2020; Yanuardi *et al.* 2021). Therefore, Indonesia presents the complexities related to

Table 2. DBH for natural resource revenue (in percentages) according to Law 33/2004.

Natural resource		Central government	Producing province	Producing district	All other districts within the producing province
Minerals	Land rent	20	16	64	0
	Royalty	20	16	32	32
Oil		84,5	3,1	6,2	6,2
Natural gas		69,5	6,1	12,2	12,2

Note: These percentages have recently been changed following the new Law No. 1/2022 as an amendment to Law No. 33/2004.

the localized implementation of global transparency norms and initiatives in a context where elites' personal and political interests often overrule the formal decision-making and governance processes (Antlöv 2003; Bebbington *et al.* 2006; Kurniawan *et al.* 2022; Taufiq *et al.* 2022).

3.2 Responding to resource-related issues: Transparency in Indonesia

To tackle issues related to natural resource and their revenue management at national and subnational levels, the Indonesian Government has taken several steps to increase transparency and citizen participation in the sector. One of the country's transparency milestones is the development of the freedom-of-information (FOI) law enacted in 2008 through Law No. 14/2008 on Freedom of Public Information. The law enables citizens to request information on every aspect of government institutions' activities and opens up some possibilities for members of the public to obtain various types of information to discipline public officials guilty of malpractices (Butt, 2014)[10]. However, on the grounds of confidentiality and national security, contract documents that disclose Indonesia's natural resources wealth are considered confidential and are excluded from public information (EITI Indonesia, 2016). These restricted documents include Production Sharing Contract (PSC) documents of oil and gas companies, Contract of Work (KK) documents of mineral mining companies, Coal Mining Business Working Agreement (PKP2B) documents of coal mining companies and Mining Business License (IUP) documents of mining companies. The FOI mechanism outlines that requests to access the restricted and excluded information should be based on a consequential test conducted by the Information and Documentation Management Officer (PPID) at the relevant public agency (EITI Indonesia 2016).

For transparency specifically applied to extractive sector management, Presidential Regulation (PR) No. 26/2010 on the Transparency of National/Subnational Extractive Industry Revenues was enacted in 2010. The regulation also acted as the official statement of the country's intention to join the EITI and implement the EITI Standard. Indonesia became an EITI-compliant country in 2013. Under the EITI standards,

[10] See article 11(1) of the Law 14/2008. The Information Commission of Indonesia also issued Regulation No 1/2010, which holds that contracts are public documents and must be made available to the public.

the national government has disclosed various resource-related information, such as reconciled state revenues from extractive industry operations, unreconciled corporate social responsibility expenditure, and warranties on post-mining reclamations (Yanuardi *et al.* 2021).

Although the EITI Indonesia has been an important source of natural resource-related information, its impact on natural resource governance and revenue management has been limited. One reason for this is that the EITI does not include the disclosure of information regarding subnational natural resources revenue management, such as how revenues are spent at the subnational level (Lujala *et al.* 2017). Another reason for the limited impact is associated with decentralization. While decentralization has emphasized the roles and rights of local citizens and stakeholders in extractive sector management, it has made the governance of natural resources even more complicated as it brings local politics into the decision-making (Soerjoatmodjo *et al.* 2016). Therefore, since the governance of natural resources and their revenue management has been decentralized, it is challenging that the EITI does not include reporting on subnational natural resources and revenue management.

Other government efforts to increase transparency in the extractive sector include the development of online informational platforms to provide public access to resource-related data and information. One of these is the Extractive Data Portal launched by the Ministry of Energy and Mineral Resources (MEMR) in 2023 (https://www.portaldataekstraktif.id). The portal publishes visual information on the number and details of mining licenses and oil and gas contracts issued in each province, total annual production and sales of prioritized commodities (e.g., oil, coal, and nickel), tax and non-tax state revenues collected from natural resources, DBH, and the social-environmental fund. The portal was developed as an answer to the 2020 Mining Law stipulation (see art 87D (1-2), Law 3/2020) obliging the MEMR to publish salient, timely, and accessible mining-related information to the public through a Mining Data and Information Center (see section 4.1 for more on this).

The MEMR has also developed several other online disclosure platforms, such as One Map, Minerba One Data Indonesia (MODI), and a license portal that the Ministry of Law and Human Rights manages. One Map (https://geoportal.esdm.go.id/emo) provides geospatial information on the approximate locations of proven oil and gas reserves and mineral deposits across the archipelago. It also includes oil and gas extraction sites and mining areas. MODI (https://modi.esdm.go.id) publishes aggregate information regarding mineral and coal sectors, such as aggregate numbers on sales and production of each commodity, state revenues, permits issued, investments, exports, mineral revenues shared with subnational governments, and land reclamation. Finally, the license portal (https://ahu.go.id/pencarian/profil-pt) provides information on extractive and non-extractive companies operating in Indonesia.

Subnational information on natural resource transfers through DBH is provided by the Ministry of Finance (MoF; https://djpk.kemenkeu.go.id/datadasar/dashboard). This platform provides information on national government transfers for oil, gas, and mineral revenues to each province and district in Indonesia. As of May 2024, the information accessible to the public only covers the years 2018–2020.

4 Case studies

This chapter presents the studied cases that laid the groundwork for this thesis: the Indonesia Mining Laws (4.1) and locally designed and implemented transparency initiative and petroleum revenue redistribution mechanism in Bojonegoro District (4.2) and petroleum revenue redistribution mechanism in Pelalawan District (4.3).

I studied the Indonesia 2009 Mining Law and its 2020 amendment, the 2020 Mining Law, as a case study to shed light on the state-citizen interaction in the governance of natural resources in Indonesia. The laws provide an understanding of how the state has imagined and realized its interest in resource endowment and extraction, which influence how the state set boundaries, regulations, and limitations for the citizens to engage with and influence natural resource governance.

Empirically, my PhD research is based on the cases of two oil-producing districts, Bojonegoro District in East Java Province and Pelalawan District in Riau Province (Figure 3). I opted for these two oil-rich districts because of two reasons. First, to my best knowledge, the two districts are the only two resource-rich districts in Indonesia that have a locally designed and implemented natural resource revenue allocation mechanism that redistributes parts of the petroleum revenues they receive from the national government through DBH to villages where the oil and gas originated. The allocation policies have sought to better respond to the needs and concerns of impacted communities (Bojonegoro Institute 2015; Hadi & Gusmansyah 2018). Notably, in Bojonegoro District, the revenue redistribution mechanism was accompanied by transparency-related policies. In both districts, the district government has collaborated with local NGOs with strong national and transnational networks including organizations promoting transparency in the extractive sector.

Second, the selected districts represent different periods of resource development in Indonesia. Pelalawan District has produced oil since the initial modern phase of Indonesia's oil boom in the 1970s (Smith 2007), and Bojonegoro District speaks for a more recent development of large-scale oil and gas industries during post-authoritarian Indonesia. The different periods of oil resource development in the two studied districts shed light on the political and institutional reform dynamics in Indonesia, particularly in the post-authoritarian context. In post-authoritarian Indonesian context, global agendas promoting good governance, such as the principles of transparency,

Figure 3. Location of the studied Bojonegoro and Pelalawan districts in Indonesia.

democratic participation gained significant legitimacy (Winanti & Hanif 2020). Below, I provide more details on the mining laws and the studied districts.

4.1 The 2009 Mining Law and its 2020 amendment

The 2009 Mining Law was enacted to acclimate with changes in government structure following the political reform (*reformasi*) movement in 1998[11]. The law reflects the efforts of resource-rich regions to gain control over natural resource governance; it partially transferred authority to subnational governments and provided a regulatory framework for subnational governments to manage mineral and coal sectors independently. Under the 2009 Mining Law, the governor, district head, or mayor could issue mining permits depending on the location of mining areas (see Table 1 in Article 1). Other transferred responsibilities include monitoring and evaluation of mining projects.

Administratively, the 2009 Mining Law brought decision-making processes in the mineral sector closer to the citizens of resource-rich areas and sought to associate the sector management with local needs. Notably, the 2009 Mining Law recognized the role and rights of local communities living in and around extraction sites in mining decisions. According to the Law (See art 2, letter c, Law 4/2009), the management of the mineral and coal sectors must follow the principles of (public) participation, transparency, and accountability. The law thus implied that the government and mining companies must be transparent and accountable for people's needs and priorities in the decisions throughout the mineral value chain, i.e., from exploration to after a mining project ends. Hence, subnational governments of resource-rich areas were made responsible for responding to local priorities and citizens' needs through public participation within and throughout the management of the mineral sectors (see Table 2 in Article 1).

Nevertheless, the rights and roles of local citizens continued to be undermined amid the decentralized mining sector management. One underlying reason was that under the implementation of the 2009 Mining Law, the mining sector became more prone to corrupt practices by the local elites (Rosser & Kartika 2020). Another reason was that the 2009 Mining Law was not enforced rigorously, particularly in securing public access to salient information and avenues for effective participation throughout the decision-chain to hold the mining sector management accountable and benefit the people. As a result, conflicts, human rights abuses, and unresolved environmental problems have been common in mining sites (Hayati *et al.* 2021; Junita 2015; National Commission on Human Rights (Komnas HAM) 2016).

In May 2020, the Indonesian House of Representatives (DPR) passed Law 3/2020 on Mineral and Coal Mining (henceforth the 2020 Mining Law) as an amendment to the 2009 Mining Law. The 2020 Mining Law fully recentralized mining authority: the MEMR is now the only authority responsible for issuing mining permits, supervising and monitoring mining activities, and ensuring that the mining sector achieves its objectives. The recentralization is the national government's effort to address many of the issues that occurred under the decentralized mining sector management, such as mismanagement and corruption at the local level. Further, the 2020 Mining Law made some improvements regarding information dissemination. Notably, the amendment stipulates

[11] The mining laws only regulate the mineral and coal mining sectors. The oil and gas resources are regulated by the Law No. 21/2001 on the Oil and Gas Sector. Oil and gas sector has never been decentralized.

that the MEMR is responsible for providing and publishing mining-related information through 'Mining data and information center'. The amendment thus contributes to transparency in the sector, which has the potential to mitigate inconsistent, partial, and uncoordinated mining information provisions under the previous 2009 Mining Law. Nevertheless, the mining sector recentralization under the 2020 Mining Law reverses the promises of decentralization and democratization of the country's mining sector as the recentralization creates a greater distance between the citizens of mineral-rich areas and the sector's decision-makers at the national level.

4.2 Bojonegoro District

Previously known for its tobacco and teak production, Bojonegoro was among the poorest districts in East Java Province before large-scale oil production started in 2008. The district covers approximately 2300 square kilometers and had over 1.3 million inhabitants in 2023.

The district has hosted small- and large-scale oil production since colonial times (Kurniawan *et al.* 2023). In 2001, new large onshore oil and gas reserves were discovered in Cepu Block that straddles Bojonegoro and Tuban districts in East Java Province and Blora District in Central Java Province, respectively. Cepu Block is estimated to have over 700 million barrels in oil reserves and 3.31 trillion cubic feet in gas reserves, with most of the reserves located in Bojonegoro District (Widodo *et al.*, 2013). Cepu Block consists of several oil and gas fields, with the Banyu Urip field in Bojonegoro considered a 'giant' oil reserve, holding 450 million barrels in oil reserves. Banyu Urip oil field started to produce oil in 2008. Banyu Urip oilfield is operated by a multinational company, ExxonMobil Cepu Ltd. (EMCL). In 2018, the field produced 200,000 barrels of oil per day, 25 % of total national oil production (ExxonMobil, 2018).

The oil and gas production has contributed significantly to the district's economic development through increased revenues. According to the District's Office of Local Revenue and Assets (BPKAD), the district received over US$56 million in 2018 and US$58 million in 2020 of oil and gas transfers via DBH, contributing 27 percent and 23 percent to the district's annual income, respectively (BPKAD Kabupaten Bojonegoro, n.d.). The development of the petroleum sector in the district also opened up employment opportunities for local people, such as construction jobs in building extraction and production facilities and security services. Notably, Corporate Social Responsibility (CSR) programs from the extractive industries have supported citizens' economic activities and livelihoods through investment in, for example, local agriculture and farming projects and business incubation to encourage small-scale entrepreneurship (Widodo *et al.* 2013). The extraction has not been without negative impacts. Our recent survey among 201 persons living in Bojonegoro District documented that pollution and loss of livelihoods due to land-use changes are among the impacts strongly felt by people living close to extraction sites (Brunnschweiler *et al.* 2023, 2025).

The discovery of oil and gas in Bojonegoro occurred simultaneously with the spread of transparency as a norm in extractive sector revenue management in the global discourse on managing natural resources (Winanti & Hanif 2020). As one of the prominent oil-producer districts in Indonesia with substantial revenue windfalls, Bojonegoro District attracted considerable attention from national and international organizations and NGOs working on advocating transparency and accountability in extractive sector management. In 2008, the Natural Resource Governance Institute

(NRGI), Open Society Foundations' Local Government and Public Service Reform Initiative (OSF-LGI), Publish What You Pay (PWYP) Indonesia, and a local NGO—Bojonegoro Institute (BI)—formed a CSO coalition to assist the district government to improve its extractive industries management through a locally designed and implemented transparency initiative to manage the revenue windfall from the extractive sector (Prijosusilo 2012; World Bank 2010). The objective was to prevent the district from experiencing mismanagement, corruption, and patronage prevalent in other resource-rich districts in Indonesia.

The district head of Bojonegoro signed a memorandum of understanding with the CSO coalition in 2008 to develop a range of governance reforms oriented towards adopting transparency in the district's natural resource revenue management (Prijosusilo 2012). Between 2008 and 2018, the district government passed several regulations to increase budgeting transparency and accountability, improve resource revenue management, and encourage public participation in local budget and petroleum revenue management. In 2009, the district government designed a scheme to redistribute 12.5 percent of the oil and gas revenues it receives through DBH to all villages in the district as part of villages' annual budget allocation (see Table 3). Using the physical distance between oil and gas extraction site and the villages as the allocation mechanism (i.e. villages located closer to the exploitation site receiving more), the redistribution was intended to mitigate tensions, compensate for the extraction's adverse social, economic, and environmental effects, and support local development (Bojonegoro Institute 2015).

In 2012, a key regulation on budget transparency was enacted through *Peraturan Daerah* (local regulation) No. 6/2012 on Transparency in the Management of Revenue, Environment, and Corporate Social Responsibility during Oil and Gas Activities. It required the district to disclose information about its oil and gas sector, including the amount of oil and gas produced, the revenues received from the central government, and the overall management of the district budget. Several platforms were used to make this information and related documents available to the public, including official government websites and a district-owned radio broadcaster.

The district also provided several public engagement and monitoring platforms, such as an integrated online system for filing complaints, the possibility to reach the district head through his mobile telephone, and a weekly 'Friday Dialogue' held in the district capital. Friday Dialogue was a channel for direct and unmediated two-way communication between citizens and high-level government officials. During a typical session, the district head and senior bureaucrats would listen to and answer attendees' concerns, questions, and aspirations (Novenanto 2017). The dialogue was broadcast live through district-owned radio, and video recordings were uploaded to YouTube.

In 2016, the Organization for Economic Cooperation and Development (OECD) selected Bojonegoro for its pilot project 'World Pioneer in Implementing Transparency for Sustainable Development at the Local Level' (also called Open Government Partnership, OGP). OGP, established in 2011, is a global initiative that aims to strengthen fiscal administration and public service governance through transparency and citizen empowerment. The OGP policies aimed at promoting transparency in the management of the district's petroleum revenues, enhancing participatory planning, citizen budgeting, and government accountability led the district and the district head to gain national and international recognition for the district's innovations and initiatives in transparency and accountability (Abdullah & Karim 2021; Chatwin *et al.* 2019; Winanti & Hanif 2020). Nevertheless, after a new district head was elected in 2018, most of the district's transparency policies and engagement platforms were rescinded.

4.3 Pelalawan District

For decades, over half of Indonesia's oil production has originated from Sumatra Island, mostly concentrated in Riau Province and central Sumatra. The island holds approximately 70 percent of Indonesia's proven and probable oil reserves (Aguilar *et al.* 2011), and since the oil boom in the 1970s, Riau has been a prominent oil and gas-producing province in Indonesia. Even though not the biggest oil producing district in the province, Pelalawan hosts two oilfields, Kampar and Lirik oilfields, which have been producing oil since the 1950s.

Administratively, Pelalawan is considered a 'new' district, having proliferated from the 'mother' Kampar District in 1999. The district covers 13,067 square kilometers and had 422,000 inhabitants in 2022. Oil and gas sectors contribute significantly to the district's annual budget: In 2018 and 2020, it received US$9.5 million and US$12 million through DBH, contributing over 10 percent and 16 percent to the district's annual income, respectively (Hadi & Gusmansyah 2018; Ministry of Finance (MoF) 2019). Despite being an oil-producing district, data from the Indonesia Statistical Bureau (BPS) shows that most of the areas in Pelalawan District, especially villages close to oil extraction sites, have poor infrastructure and limited access to health and education facilities.

In 2017, Pelalawan District government started collaborating with FITRA Riau, a local NGO based in Pekanbaru—the capital of Riau Province—to improve oil and gas revenue management. Indonesia's Forum for Budget Transparency (Forum Indonesia untuk Transparansi Anggaran—FITRA) has a national secretariat (Seknas FITRA) that coordinates a network of 14 local organizations inclusive FITRA Riau. FITRA works for transparency in state budgeting processes. The collaboration has resulted in a petroleum revenue allocation scheme that redistributes parts of the oil and gas DBH the district has received to villages close to extraction sites. The design of the redistribution scheme and its implementation were inspired by the experiences in Bojonegoro District as FITRA Riau is part of the same NGO network working on budget and revenue transparency as the ones in Bojonegoro District (for comparison of the schemes, see Table 3).

Pelalawan District's revenue redistribution policy includes two initiatives. First, the district government allocates at least 10 percent of the petroleum revenues it receives through DBH to the district's villages based on their distance from the extraction sites (see Table 3). Second, to ensure effective allocation and spending of redistributed petroleum revenues at the village level, the district government issued a guide on how to effectively manage and allocate the petroleum revenues for the benefit of the villagers. The guide was institutionalized through District Head Regulation (*Peraturan Bupati*) No. 82/2018, which includes a list of three priority sectors that can be financed by petroleum revenues, i.e., health, education, and poverty alleviation. Within these sectors, the village government can decide among themselves or through public consultation how they would like to allocate and spend the redistributed revenues. In 2021, Pelalawan District elected a new district head. Under the new district head, the redistribution policy has continued and was in place as of July 2024.

People living in Pelalawan District informally categorize villages in the district based on the background of the population living there: indigenous or transmigrant village. Indigenous villages (or *desa tempatan* in local terms) are villages in which most inhabitants regard themselves as part of or descendant of the *Petalangan* community, one of the ethnic groups native to Pelalawan that formerly lived in the ancestral territories, called *pebatinan*. Each pebatinan was led by a leader figure who exercised absolute control

and ownership of land and forest areas (Effendy 1997). After Indonesia gained its independence, pebatinan were made into formal villages (*desa*), and the leader was appointed as village head whose duties, rights, obligations, and responsibilities were determined by the government. Today, social interaction of citizens living in Indigenous villages remain hierarchical and rooted in the traditional structure and values influenced by the past customary law and traditions (Effendy 1997). For example, even though the village head is now democratically elected, the descendants of pebatinan leaders or their close relatives are often preferred and elected as village head.

Transmigrant villages are mostly inhabited by resettlers who came to the area through a transmigration program implemented during the authoritarian Soeharto regime from 1969 to 1989. Transmigration was a national-level policy on rural migration programs aiming for more balanced demographic development and natural resources extraction through the physical movement of communities from overpopulated Java, Madura, and Bali Islands to the less populated islands such as Sumatra and Kalimantan (Sage, 2005). Areas of transmigrant villages were initially cleared forest areas prepared by the national government for the resettlers' housing plots. After the policy ended, the housing areas transformed into formal villages. Therefore, while the majority of populations living in indigenous villages share a homogenous background of Petalangan and are often related through kinship, populations living in transmigrant villages are culturally heterogenous, such as those with Javanese, Sundanese, or Madurese backgrounds and origins.

Table 3. Petroleum revenue allocation and transparency-related initiatives in the studied districts.

District	Petroleum revenue allocation to villages					Information disclosure	Citizen's engagement	Accountability
	% of DBH allocation	Formula						
		Host village	Within 600 meters from the extraction site	Within 600–1200 meters from the extraction site	All other villages			
Bojonegoro	12.5%	5% 7 villages	6% 19 villages	7.5% 32 villages	81,5% 361 villages	District government publishes information on petroleum revenues through district's official website and local media. Village governments publish their overall budget allocations and expenditures on large banners placed in public places.	Platforms: Integrated online system for complaints. Possibility to send SMS to the district head. Weekly dialogue meeting for direct interaction between the district head, high-level officials, and the public.	N/A
Pelalawan	Min 10%	6% 2 villages	6% 3 villages	14% 14 villages	74% 85 villages	N/A	N/A	District regulation on how petroleum revenues can be spent.

5 Research design and process

My PhD research was part of the TIGRe (Transparency, Identity, and Governance of High-Value Natural Resources) and TraReMa (Transparency in High-Value Natural Resource Management) projects (2017–2025). Before the start of the TiGRe and TraReMa projects, my principal supervisor visited Indonesia and Bojonegoro District for the first time in 2017, where I also joined her. We conducted informal meetings and discussions with local stakeholders at the district and village level, discussed with the head of the district, and visited ExxonMobil facilities and an old artisanal oil exploitation site, among other things. In TIGRe and TraReMa projects, my role as a PhD researcher was to contribute to the project's overall objectives, which were to (1) identify steps in the process that lead from information disclosure to better resource management, (2) empirically test the identified steps, (3) analyze how group identities may interact with the adoption, implementation, and success of transparency initiatives, and (4) develop a theory of change for transparency process (see also section 1.1). To contribute to the project's objectives, my PhD research was to conduct qualitative fieldwork in resource-rich Indonesia, one of the project's target countries, to investigate the material and discursive struggles over access, control, and management of high-value natural resources and resource revenues and how these struggles relate to information disclosure, transparency, and the formation of 'agency' through the making of citizenship.

My PhD research departs from the view that information alone is not enough to improve the governance of natural resources and revenue management (Fox 2015; Joshi 2014; Kosack & Fung 2014) and that the interaction between the information disclosers and receivers is a key for the success of transparency initiatives to achieve its intended outcomes. For that, I chose to focus on the needs and concerns of citizens impacted by extractive industries, who are often marginalized and excluded from the development of extractive sector transparency initiatives and face challenges in interacting with the extractive sector (e.g., difficulties in obtaining relevant information, engaging in the decision-making, and monitoring revenue allocation and spending). To examine how contextual conditions where extraction activities occur influence the success of transparency initiatives and how the design and implementation of such transparency initiatives can be improved, I collected and analyzed documents and conducted interviews, informal discussions, and observations.

In the next sections, I outline how I designed my research, conducted fieldwork, and collected and analyzed research materials. Section 5.1 presents the case study approach and case selection, Section 5.2. provides details on how I collected my research materials, and Section 5.3 outlines my analysis methods. The unprecedented COVID-19 pandemic affected my PhD work substantially—in many ways and many times—e.g., by postponing my research activities, modifying my research plans, and prolonging substantially paper review processes. I detail some of these in Section 5.4. Section 5.5 discusses research ethics and Section 5.6 provides my reflections on the fieldwork. Section 5.8 presents the limitations of my research.

5.1 Case study approach and case selection

In my PhD application, I had proposed to collect all materials for this thesis solely from Bojonegoro District. I proposed Bojonegoro District as my case study because

the district had implemented a locally designed transparency initiative in their natural resource revenue management, which was referred to by OECD as among the best practices for improving local transparency (see Chapter 4). Before I officially started my PhD study in January 2019, I conducted fieldwork through a short stay in Bojonegoro District in November 2018. Besides initiating contact with the local NGOs and opinion leaders in villages close to oil extraction sites, I conducted interviews to examine whether the implementation of the district's transparency policy had the potential to increase extractive sector transparency and revenue management in the district and in particular in villages close to extraction sites. This work was continued five months later when I returned to Indonesia and conducted short fieldwork in Bojonegoro District to collect additional materials I needed to write the first research article. The plan was to use the materials I had collected during the two visits to write the first research article for my PhD thesis and, at the same time, to design my main fieldwork as well as to contribute to the TraReMa project's field experiment and survey to be conducted in Bojonegoro District later in 2020. Alongside my PhD research, I have participated in drafting experiment and survey questionnaires and organizing the fieldwork and enumerator training, led the piloting of the experiment and survey, and contributed to the articles written based on the collected data. The articles include "The Right to Benefit: Using Videos to Encourage Citizen Involvement in Resource Revenue Management" (Brunnschweiler *et al.* 2023), which as of July 2024 was resubmitted to the Journal of Economic Behavior and Organization after revisions, and "When petroleum revenue transparency policy meets citizen engagement reality: Survey evidence from Indonesia" (Brunnschweiler *et al.*, 2025) which is accepted for publication at the Journal of Ecological Economics.

I soon realized that it would be desirable for my PhD research to include another resource-rich area in Indonesia that also had designed and implemented a local policy initiative to improve their natural resource revenue management. Studying different contexts of places of extractions would allow me to gain more in-depth understanding of the different contextual factors that can influence the success of localized transparency initiatives and related policies to improve natural resources revenue management. After assessing several resource-rich regions in Indonesia, I decided to include the Pelalawan District in Riau Province as another case alongside Bojonegoro District. I chose Pelalawan District for two reasons (see also Chapter 4). First, the district had designed and implemented a similar natural resource revenue distribution scheme as Bojonegoro District in collaboration with a local NGO network working on advocating budget transparency and accountability. Second, despite these similarities, Bojonegoro and Pelalawan Districts represent different places of extraction and socio-political contexts.

My PhD research is qualitative as it seeks to better understand a complex social phenomenon in natural settings and find its meaning (Stewart-Withers *et al.* 2014). I chose the case study approach as my method as it allows me to study and understand the complex settings of natural resources and revenue management at national and subnational levels and how they impose challenges and opportunities for locally impacted citizens to interact with transparency and related policies in extractive sector management. As highlighted by Yin (2012), I find the case study research approach useful to study complex issues and phenomena, such as interventions, policy development, and program-based service reforms within a real-life context, as it allows me to better address the full complexity of my research objective by incorporating multiple sources and types of evidence.

Although the phenomenon and its context are intertwined in case studies, it is important to define and delimit the case(s) (Merriam & Tisdell 2015). In my case, the

overall project's objectives guided me in this process: I decided to study local policies related to transparency as my case studies to gain in-depth nuances of natural resource and their revenue management and the different contextual conditions, opportunities, and challenges that can influence the outcomes of transparency as an innovation and policy 'phenomenon' (Baxter 2010). More specifically, I chose to study cases of locally designed and implemented transparency initiatives and related policies in oil-rich Bojonegoro District in East Java Province and Pelalawan District in Riau Province (see Figure 3). Studying the selected districts allowed me to acquire a contextual understanding and in-depth knowledge of citizens' interactions with the state actors and government leaders, where extractive practices occur and impacted citizens live. Additionally, by examining two empirical case studies, my research also underlines the different degrees of translation, adoption, and representation of a global norm—the transparency in extractive sector revenue management—across two different (local) socio-political contexts within the same institutional setting of decentralized natural resource revenue management in Indonesia.

However, as I gained more knowledge on the state-citizens dynamics within decentralized natural resource revenue management, I realized that I needed to understand the ways the state, i.e., the Indonesian government, define and determine the rights and roles of citizens living in resource-rich areas in the development and governance of natural resources. As the pandemic allowed (i.e., forced; see Section 5.4) me to conduct a desk-study, I studied the stipulations and implementation of Indonesia's Mineral and Mining Laws as a case study to understand state-citizens dynamics in natural resources governance. I did not use the Oil and Gas Law as a case study because Indonesia's oil and gas sector remains centralized and because the 2001 Oil and Gas Law does not stipulate the rights and roles of citizens in the sector's decision-making process. In contrast, the 2009 Mining Law was an important milestone for recognizing the role and rights of local communities living in resource-rich areas and at higher risk of being impacted by extraction practices. The 2009 Mining Law decentralized the mineral sector's management and partially transferred the mining authority to provincial and district governments. The 2009 Mining Law and its amendment as a case study gave me an understanding of why local stakeholders and communities could not voice their concerns on the mineral sector development and exert their rights to participate in and influence mining decisions. In turn, this understanding has served as the basis to identify the underlying challenges and opportunities experienced by local citizens impacted by extraction practices, which the design of the transparency initiative needs to consider so that its implementation can bring about transformative societal impacts in communities living in and around extraction sites. For this reason, I positioned the article on mining laws as Article 1 in this thesis.

5.2 Data collection

I collected materials for this thesis through (1) documents, (2) face-to-face interviews, (3) informal discussions, and (4) observations. Within the case study approach, these methods serve as multiple information sources for reconstructing and analyzing the case studies (Merriam & Tisdell 2015; Tomaszewski *et al.* 2020).

5.2.1 Documents

The documents analyzed in my PhD research include reports published by NGOs and government agencies, law and policy documents, government websites, and online news. Article 1 is mainly based on the Indonesian 2009 Mining Law and its amendment, the 2020 Mining Law. Documents for both Laws are available online in the government's integrated database of legal and policy documents (*Jaringan Dokumentasi dan Informasih Hukum Nasional* - JDIH). Through the online database, I also identified and retrieved policy documents associated with the laws' implementation. These include, among others, the Mining Law's derivative regulations, such as those on the reclamation bond and consultation with local communities. I also relied on publicly available online documents, including national and international news related to the 2020 amendment of the Mining Law and other issues concerning Indonesia's mining sector. Additionally, I referred to reports published by organizations such as Indonesia's Mining Network Advocacy – JATAM (*Jaringan Advokasi Tambang*), the EITI, PWYP Indonesia, and Indonesia's National Commission on Human Rights (KOMNAS HAM), among others.

For Articles 2 and 3, I used documents related to policies designed and implemented in Bojonegoro and Pelalawan districts. For the case of Bojonegoro District, I identified reports published by the Open Government Partnership (OGP) and Bojonegoro Institute (BI) on the design and rationale of the district's policies to improve local budget transparency and the petroleum revenue allocation scheme. I also obtained data from Bojonegoro District's Information Desk (PPID) and identified other documents published by the district government that were available online on the district's official websites. For my study in Pelalawan District, I used reports published by FITRA Riau on the policy design and evaluation of the implementation of the petroleum revenue redistribution scheme. I also identified documents on the policy implementation published by the district government.

For general information on extractive sector transparency and natural resources and revenue management at the national and sub-national levels, I used documents published by the Indonesian EITI and the Ministry of Finance (MoF) on the allocation of revenues from oil, gas, and mineral extractions to the districts where the resources originated. Finally, I also used online sources, such as those published by the MEMR, on spatial information about mineral and natural resource reserves and mining areas.

All documents were in Indonesian, except for the documents published by the EITI and OGP.

5.2.2 Interviews

My thesis relies extensively on material collected through interviews. I conducted face-to-face interviews with key participants including government officials at district and village levels, village heads, NGO representatives, and ordinary community members. The interviews shed light on participants' meanings of extractive industries, knowledge of local revenue management and related policies implemented at participants' districts, notions of transparency, and experiences and social worlds of living close to extraction sites (cf. Miller & Glassner 1997).

For Article 2, the face-to-face interviews were conducted in 2018 and 2019 in villages close to the extraction site for the largest oil field in Bojonegoro District, Banyu Urip oil field, and in the district's capital (see Table 4). In the studied villages, I interviewed

Table 4. Numbers of Interviews conducted in Bojonegoro District for Article 2.

Interviewed participants	N interview 2018	N interview 2019	N total
NGO representatives	3	1	4
Village heads	2	1	3
Youth activists (head of youth group)	2	1	3
Religious leaders	2	-	2
Journalist	1	-	1
Local activists	2	-	2
N Total	**12**	**3**	**15**

opinion leaders such as religious leaders, village heads, local activists, journalists, and heads of youth groups. Opinion leader here refers to citizens with specific roles in society who presumably have better access to information on natural resources revenue management and capacity to influence public opinion or incite action. I also conducted one interview in the district capital with the coordinators of two local NGOs involved in the design and implementation of the district's transparency policy (BI and IDFoS), and one interview in another village with the coordinator of another local NGO (Ademos) working with local communities around the extraction sites. The village heads and NGO representatives were purposely selected, while the other interviewed opinion leaders were selected among those suggested by the village heads and NGO coordinators (snowball selection technique).

The opinion leader interviews were informal, conducted in Indonesia's official language, Indonesian, or Javanese, and took place in different settings as agreed by the participants, including offices, coffee shops, the participants' residences, and on the side of rice-fields. All these interviews were semi-structured based on a set of guideline questions focusing on participants' knowledge of the district's transparency policies, their understanding of what constitutes transparency, specific needs and concerns about the extraction activities and revenue management, and their experiences—or the lack of them—in engaging with the governance of natural resource revenue at the district and village levels. Interview questions with NGO representatives also included themes on their involvement in the design and implementation of the district's transparency policies and their assessment of the policies' strengths and weaknesses. For all interviews, I asked the participants for oral consent to record the interviews with an electronic voice recorder. In the few cases where participants did not permit the use of a voice recorder, I recorded the interviews by taking notes in my field diary.

To collect the interview material used in Article 3 focusing on Pelalawan District, I conducted semi-structured and structured interviews (see Table 5). All interviews were conducted during a fieldwork period in December 2021–January 2022. The semi-structured interviews were conducted face-to-face with village officials in five targeted villages, including village heads, village government officials, and members of the village consultative body (*Badan Permusyawaratan Desa*—BPD). I was unable to interview one of the five heads of targeted villages. Instead, I interviewed a village official. In another village, I did not interview any of the village officials but interviewed both the village head and members of the village consultative body. All of the interviews were held in semi-formal settings and took place in the village government offices (except one interview which was conducted at the village head's residence). Two formal interviews took place in the district's capital. One was conducted with the head of Pelalawan

Table 5. Number of Interviews conducted in Pekanbaru Municipality and Pelalawan District for Article 3.

Interviewed participants	N Semi-structured interview	N structured interview	N total
NGOs representative	1	-	1
District official	2	-	2
Village head	4	-	4
Village government officials	4	-	4
Village consultative body	1	-	1
Citizens	-	88	88
N	**12**	**88**	**100**

District's Planning and Development Agency and one with a senior bureaucrat from the District's Community and Village Empowerment Agency. Additionally, one informal interview with the coordinator of FITRA Riau was conducted in Pekanbaru, the capital of Riau Province. All these interviews were conducted in Indonesian. For the interview with village officials, I used the same set of guideline questions as for the opinion leaders in Bojonegoro District. For the district officials and NGO interviews, I developed a set of questions around the district government's rationales in designing and implementing the revenue redistribution scheme and revenue spending guidelines, their intended outcomes, and interviewees' assessment of the policies' strengths and weaknesses in improving natural resource revenue management at the district and village levels. All participants gave permission to record the interviews using an electronic voice recorder.

In addition to the semi-structured interviews, I employed structured interviews to interview citizens in targeted villages in Pelalawan District to remedy the limited fieldwork time at my disposal and, importantly, to limit participant exposure to Covid-19. All interviews in Pelalawan District took into consideration COVID-19 prevention, i.e., facemasks and keeping a safe distance, as well as following all local authorities' recommendations. The structured interviews covered themes regarding participants' knowledge about the governance of natural resources revenues at the district and village levels, their needs and preferences regarding resource-related information, opportunities to engage in resource revenue-related decision-making, and everyday life's challenges (see appendix 1 for sample questions). Most of the questions were closed, but several open-ended questions were included to explore the participants' views on leadership and their rights to engage in decision-making.

To select the participants for the structured interviews, my two research assistants (RA) and I walked in different directions from the village hall, following roads. Prior to arriving in a village, I identified the location of the village hall and the roads using Google Map. We stopped at every fifth house on one side of the road and asked whether one adult member of the house was available and willing to be interviewed. We continued the process until the last house at the end of the road and repeated it on the other side. In cases where an adult member was unavailable, we went to a house located next to the selected one. This method of finding participants was possible in the Pelalawan District because the houses are built linearly following the roads, and the targeted villages are not densely populated. In total, 88 citizens were interviewed using Indonesian, with some translations to the local *Malay* language when needed.

The structured interviews were conducted using the offline version of SurveyMonkey to accommodate the poor internet connection in the targeted villages. Before going to the village and conducting the interviews, I had several digital and in-person meetings with my RAs to discuss the research background and aims. After I finalized the interview questions, we had meetings where we read every question individually to ensure that each of us had the same understanding of the question and answer choices. During the meetings, I also modified some of the questions based on the RAs' suggestions. I also trained the RAs to navigate the SurveyMonkey. Before going to the villages, we piloted the interview guide with FITRA Riau researchers and local citizens in Pekanbaru, making the final adjustments to improve the questionnaire.

Both my RAs were FITRA Riau's researchers, and thus had some knowledge of the district, targeted villages, and local revenue redistribution policy. Three things led to my decision to use RAs. First, this enabled me to collect a larger number of interviews during a short visit to each village. Second, as an external-outsider (see section 5.6), I would not have been able to create the trust necessary for the interviews among the community members while one of my RAs shared a *petalangan* background—an ethnic group from Pelalawan, Riau—and the other was a native Malay Riau. Third, as I do not speak the local Malay language, having RAs was crucial for navigating the interviews and understanding some cultural contexts. Hence, the RAs helped me conduct the interviews and played crucial roles as translators, cultural brokers, mediators, and gatekeepers in this highly cross-cultural, cross-language research.

5.2.3 Informal discussions

According to Longhurst (2009), talking and listening to people are great ways to gather information. During my fieldwork in Bojonegoro and Pelalawan districts, I used informal discussions to gain relevant and interesting knowledge to develop and modify my interview questions and to confirm information I had collected through interviews. Naturally, the informal discussions covered themes beyond my research topic, but I tried to focus the discussions on extraction that took place close to participants' places of living, their knowledge of natural resource revenue management at district and village levels, and their views on their proximate leaders' accountability on issues related to natural resource revenue management. For all discussions, I asked the participants for oral consent to record the discussions and to include the discussion as part of my research material. I was often allowed to use an electronic voice recorder during the discussion; if not, I took notes in my field diary. All the discussions were conducted in Indonesian. I used materials collected through informal discussions in all three articles included in this thesis.

For Article 1, I conducted two online informal discussions with experts. One discussion was with a previous member of the EITI Indonesia multi-stakeholder group (MSG), and the other one was with the coordinator of a leading NGO in the transparency sector in Indonesia. Both experts were engaged in the development of the 2020 Mining Law. The discussions helped me to get a thorough view of the recent mining sector development in Indonesia from political, economic, and environmental perspectives and how these have influenced the amendment of the 2009 Mining Law. The knowledge I gained during the discussions helped me analyze the articles stipulated in the 2009 Mining Law and its amendment, the 2020 Mining Law.

For Article 2, I conducted five informal group discussions in my study area in Bojonegoro District. One discussion was conducted with four teachers in a local school, two with village youth groups (*Karang Taruna*) in their bases, and two with community members in traditional coffee shops where the coffee shop owners, farmers, oil industry workers, and village officials were present.

I chose teachers and youth groups because they can be considered opinion leaders who have formal access to the village's decision-making processes. The discussions were scheduled following the time and place suggested by the participants. From these discussions, I was able to confirm some of the information I had collected from the interviews, but they also revealed new insights and information. For example, my discussion with the teachers revealed that even though the interviewed village officials said that all citizens were invited to give input on the use of the village budget, the teachers did not prioritize such meetings as they rarely are about the allocation of revenues for education purposes.

The discussions in coffee shops occurred unplanned. I visited the coffee shops often and attracted some attention from the owners and other customers (see section 5.6). On these occasions, the conversation usually started with curiosity from the coffee shop owner or a customer about where I come from and my reason for being in their village. After I told them that I was doing research for my PhD study on the topic of transparency in natural resource revenue management (see also section 5.5), they usually started to discuss their experiences and views on several issues on the natural resource revenue management in the district and village as well as their take on transparency. Nevertheless, only two coffee shop discussions were included as part of the research materials, mainly because I did not get consent from the people involved in the other coffee shop discussions. Traditional coffee shops played an important role in my research in approaching the local citizens in Bojonegoro as they are places for citizens to hang out after working in their paddy fields or oil and gas extraction facilities and discuss daily issues and matters with each other. Traditional coffee shops represent daily economic activities and places where socio-cultural and socio-psychological elements are interwoven and create equal and neutral relationship dynamics among the citizens living in the village (albeit only among men, as women tend not to visit coffee shops frequently).

For Article 3, informal discussions were conducted with nine interviewed respondents who were willing to explore the answers they had given during the structured interview. The discussions occurred when, at the end of each interview, I usually allowed the respondent to ask questions about me or my research and comment on their survey answers. The discussions usually revolved around participants' reflections on their experiences, expectations, and challenges in accessing resource-related information and on past and present impacts of oil extraction activities and revenue management. The discussions provided information and details on citizens' interaction with their closest leaders and the power relations within the village. For example, the discussions with two respondents living in an indigenous village revealed that community members' request for clean water during the dry season was neglected because the request came from people who had migrated to the village and who, thus, did not share the same ethnic background as the majority of the villagers, despite having lived in the village for more than twenty years. Importantly, informal discussions provided me with knowledge about the importance of socio-cultural aspects in citizens' everyday lives in the villages, which is central in Article 3.

5.2.4 Observation

The final method I used to collect material for this thesis is observation. Through observation, I sought to comprehend community members' everyday interactions with their proximate leaders. I conducted the observations by attending formal and informal events in the study areas accessible during my period of stay. I do not consider my strategy a participatory observation, as I did not actively participate in the events, engage with the events' attendance, or evaluate how the events were organized (cf. Bryman 2012). Instead, I wanted to witness some of the activities, everyday interactions, and decision-making processes and dynamics within the particular socio-cultural contexts of places hosting oil extraction activities. On all occasions, I kept a field diary, and when possible and allowed, I also took photographs (see Figure 4).

For Article 2, I observed three information dissemination events: a village public meeting, a religious activity, and a meeting between youth group members and representatives from the ExxonMobil company. These events, combined with my short live-in in Bojonegoro District, provided valuable insight into the interactions between the community members, their leaders, and extractive industries, as the topics discussed during the events often related to the costs and benefits of extraction. I also observed the environment in the villages. For instance, I paid attention to the information boards put in several locations on extractive companies' projects and the big banners installed in front of the village hall that publicize the village's annual budget.

In Pelalawan District and for Article 3, I was able to gain information through observation in two events: FITRA's online focus group discussion with village government officials on the implementation of an evaluation of the revenue redistribution scheme and a meeting between Pelalawan District's Community and Village Empowerment Agency, FITRA Riau, and sub-district heads (*Camat*) held in Pangkalan Kerinci. Additionally, traveling from the district capital to the studied villages

Figure 4. Photos of some observed activities and information boards in Bojonegoro District.

in Pelalawan District and walking through the studied villages gave me insights into the places' physical, social, and cultural contexts.

5.3 Analysis

Except for Article 1, I started the analysis of collected materials by transcribing all voice recordings from the interviews and informal discussions into written text in Indonesian. To transcribe recordings from research in Pelalawan District, I received help from a researcher who speaks the Malay (*Melayu*) dialect spoken in Riau. I continued the analysis by reading all transcribed materials several times and extracted the interview materials and field diary entries that were related to my research objectives and other issues that were not explicitly included in the interview guides but provided interesting and relevant information. I used thematic analysis in all articles to identify themes, code and categorize the data according to the predetermined themes, interpret the categorized data by exploring similarities and differences, and reflect on the implications of the theoretical framework (Harding, 2013).

For Article 1, I used document analysis. Document analysis here refers to an iterative process of skimming the collected data (documents), reading the details, and finally interpreting it (Bowen 2009). The document analysis follows the same systemic procedure as the analysis of interview and observation material, such as coding, categorizing, interpreting, and thematic analysis, to derive insight, extract meaning, and establish empirical knowledge from the relevant documents (Gross 2018).

To analyze the documents for Article 1, I manually coded the two mining laws. I first read all the articles stipulated in the 2009 Mining Law and 2020 Mining Law and created a matrix to identify the changes in the 2009 Mining Law included in the amendment. As the laws regulate many areas of the mineral and coal mining industries in Indonesia, I decided to categorize the matrix based on themes related to the mineral value chain, starting from the zoning process, contract and licensing, production, revenue collection, revenue allocation, and the sector's contribution to social and economic development. I also manually coded the other official documents related to the laws and included them in the matrix. As Article 1 sought to understand why the 2009 Mining Law failed to address the needs of communities impacted by extractive industries effectively, I continued the analysis by manually coding the matrix based on the article's conceptual framework on the three elements of transparency, i.e., information, participation, and accountability, by identifying related keywords, such as transparent, transparently, open, publish, announce, issue, request, information, data, participatory, consultation, coordination, approval, landowner, public, people, rights, sanctions, and suspension, and created Table 2 in Article 1. I then triangulated the material by validating the coded data with news and reports from non-state actors on the implementation of mining-related laws and policies at both the national and subnational levels. This process focused on assessing mining laws' effectiveness in promoting transparency and local community participation throughout the mineral value chain.

From the coded material, I analyzed the potential impacts, challenges, and implications of the 2009 Mining Law for citizens living in or near mining areas. The analysis included examining their rights to access mining-related information, participation in decision-making, and holding powerful actors accountable. I also explored how the 2020 amendment to the Mining Law expanded or restricted these rights and roles. These processes resulted in an overview of the transparency, accountability, and participatory principles in the 2009 Mining Law and in the corresponding changes in the 2020

amendment, as well as their implications for the rights and roles of local citizens whose lands and environment can be affected by mining activities (see Article 1).

For Article 2, I used NVivo software to analyze the transcribed interviews and field diary entries. I coded each informant's statements to explore the implicit and explicit messages related to the informant's view on transparency in extractive sector management and the different elements included in the Transparency Cube developed in Article 2. Table 6 provides a sample of some participants' views on citizens' access to salient information. In Article 2, I developed the themes for coding deductively after we had developed the analytical framework covering the dimensions of transformative transparency: information, action, and response. Using qualitative content analysis (Cope 2010), I aimed in Article 2 to identify citizens' usual and preferred ways of accessing resource-related information, voicing concerns, and participating in the dialogue and engagement platforms. From the coded materials, Article 2 also developed sub-themes on the aspects and scopes of each dimension of transparency to allow operationalization of the framework in other contexts (see Appendix 1 in Article 2).

In Article 3, I used NVivo to code and analyze the transcribed semi-structured interviews and informal discussions. I coded each informant's statements to explore the dimensions of transformative transparency: access to resource-related information, avenues for citizen action, and accountability and government response. For the structured interviews, I downloaded all responses and cleaned them in Microsoft Excel. From the cleaned file, I created tables to display participants' responses regarding their understanding and interest on the management of natural resources revenues at the district and village levels, the district's policy on revenue redistribution, their resource-related information needs, opportunities to engage in resource revenue-related decision-making, and everyday life's challenges living close to extraction sites.

From the tables, I identified trends in responses given by ordinary community members living in indigenous and transmigrant villages. I especially looked for similarities and contradictions between the structured interviews (i.e., ordinary community members) and semi-structured ones (i.e., 'experts'), triangulating the findings with the information I had from informal discussions. For example, when responses from most citizens of indigenous villages show that they were uninformed and uninterested in their village's revenue management, semi-structured interview materials show that the heads of the indigenous village seem to neglect their responsibility to collect citizens' inputs when allocating their village's budget, most likely due to the traditional views on leadership embedded in indigenous communities. By employing qualitative content analysis (Cope 2010), I sought in Article 3 to identify whether and how citizens' notions of place influence their views and ways of making sense of natural resources revenue management through their interactions with their closest leaders in accessing resource-related information, voicing concerns in the village, and engaging with their leaders to discuss issues related to revenue management and allocation.

Table 6. Sample of participants' views (Article 2) on the question: What is the best way to disseminate important information to citizens?

Participants				
Head of villages	**Teachers**	**Youth group members**	**Coffee shop customers**	**Local NGOs**
Village meetings / Musrembangdes (Deliberative village development planning) Messaging apps such as WhatsApp Oral communication through casual conversations (gossip/ *grenengan*) Through the head of hamlet/neighborhood Religious events	Through the head of hamlet/neighborhood Village meeting/ Musrembangdes (Deliberative village development planning)	Messaging apps such as WhatsApp Visual information with banners and information board Village meeting/ Musrembangdes (Deliberative village development planning) Religious events	Oral communication/casual talks (gossip/*grenengan*) on informal event Information sessions in a coffee shop where community members often gather and discuss daily issues	Invite groups or individuals with social capital (charismatic individuals, youth groups, religious leaders, etc.) to receive important information and ask them to distribute it within the community

5.4 Covid-19 impact on the research process

The Covid-19 pandemic affected every aspect of human life, as well as my PhD work. Living in Finland and having my fieldwork locations in rural and remote Indonesia had severe consequences for my research plans and the PhD process and progress in general.

The travel restrictions postponed my fieldwork in Pelalawan District by 20 months and forced me to find an alternative for research that was to be based on that fieldwork. Initially, I had planned to collect extensive qualitative data through interviews and observations inspired by ethnographic fieldwork through live-in periods in multiple villages close to extraction sites in March–July 2020. But the pandemic made this plan infeasible. During the first four months of the lockdown, I stayed in Indonesia, desperately trying to find alternatives to collecting the material in Pelalawan. I discussed several options with my contact at FITRA Riau—my institutional host for conducting research in Pelalawan District. One option was to interview government officials and citizens in targeted villages online. However, it was impossible due to poor internet connections in the villages, and as the government officials were overwhelmed by the pandemic, they did not have time for interviews. Another option was having local research assistants do the interviews on my behalf, but that would have meant that I exposed the research assistant and participants to a risk of catching the virus. Eventually, I eased communication with my contacts in Pelalawan as the pandemic worsened and I traveled back to Finland.

Once it seemed that vaccines would allow travel again, I resumed my contact with FITRA Riau in October 2021. After rearranging my research plans, I returned to Indonesia in early December 2021 for two months with an ambitious fieldwork plan. However, one day before I arrived in Jakarta, the Indonesian Government extended the quarantine period for international travelers from three to ten days. The new quarantine shortened my already short stay to conduct the fieldwork considerably. Luckily, though, during the quarantine, I had the chance to observe two online focus group discussions conducted by FITRA Riau with village heads and officials in Pelalawan District. This provided me the opportunity to introduce myself to several officials of targeted villages and ask permission to conduct research in their villages. Further, I used the quarantine period to adjust my research design, i.e., to develop a structured interview guide (i.e., the questionnaire) for the citizen interviews, hire two research assistants to conduct some of those interviews, and reduce the number of in-depth and semi-structured interviews to accommodate my shorter research stay.

While the pandemic put a hold on my fieldwork in 2020–2021, it gave me the opportunity to conduct a (unplanned) desk-study on the 2009 Mining Law and its 2020 amendment. They caught my interest as the 2020 Mining Law was extensively criticized for, among other things, the lack of transparency and space for public participation during the ratification process and its contents that undermined efforts to promote transparency in the management of the mining sector and disempowered local communities. Amid the lockdown and working from home, I decided to write an article based on an analysis of the two versions of the Mining Law and published it as my first article (Article 1).

5.5 Ethical considerations

Throughout the research process, I have put ethical guidelines into practice. Regarding the official institutional review of research ethics in Finland, the ethical review of human science is based on the Finnish National Board on Research Integrity TENK guidelines (TENK 2019). According to the guidelines, my research did not require a prior ethical review from a human sciences ethics committee as my data collection did not involve the following elements (TENK 2019: 19):

- *Participation in the research deviates from the principle of informed consent,*
- *the research involves intervening in the physical integrity of research participants,*
- *the focus of the research is on minors under the age of 15,*
- *research that exposes participants to exceptionally strong stimuli,*
- *research that involves a risk of causing mental harm that exceeds the limits of normal daily life to the research participants or their family members or others closest to them, or*
- *conducting the research could involve a threat to the safety of participants or researchers or their families.*

Later, I found that the publisher of one of my articles included in this thesis requires an ethical review statement. For this issue, I followed TENK (2019) guideline, section 4.1 point (d): "*If a funding body or publisher requires ethical review for a research which does not require ethical review in Finland and which has not undergone ethical review prior to the commencement of the research, the ethics committee may provide a description of the ethical review practice in Finland instead of issuing a statement [sic].*" Therefore, I requested a description of the ethical review practice in Finland from the University of Oulu's Ethics Committee of Human Sciences (see Appendix 2).

Despite the exemption from the institutional ethical process, I have prioritized my responsibilities to the research participants, e.g., the interviewees, regarding informed consent, privacy, and confidentiality. Throughout my field research, gaining participants' informed consent was an integral part of my interactions with the research participants.

Gaining participants' informed consent in the context of rural Indonesia is not a matter of asking the research participants to sign a consent form, but allowing them to know my role as a researcher and my intentions. Citizens living in villages close to extraction sites have had experiences of meeting with visitors from outside of their communities, many of whom were associated with extractive companies or extractive-related entities, and these meetings have not always resulted in positive outcomes. Therefore, the community members of villages close to extraction sites have become more alert and aware of outsiders visiting their villages or staying in the villages for a certain amount of time. I was no exception. As an outsider, going around a village asking people to sign a paper, i.e., the informed consent form, would have sparked misunderstandings among the villagers. There is an assumption within rural communities in Indonesia, especially in areas close to natural resource extraction sites and palm oil plantations, that signing a document outside of government offices would cause harm, such as land grabbing. Because of this issue, I decided to use oral consent. For each interview and informal discussion, I asked for oral consent and permission to record the interview prior to starting it. As part of the oral consent, I informed the informant that the recording would not include personal information. In cases where participants refused to be audio-recorded, I would only record the interview through notetaking.

As an Indonesian researcher but an outsider in many ways (see Section 5.6), it was crucial for me to gain formal and informal community-based consent, which was done in several steps. First, at the beginning of every visit to a village, I would ensure that the village's authority, such as the village head, was aware of my presence there. I provided the village authority with a formal letter from the University of Oulu that included information about my role as a researcher and my intended activities in the village. When possible, I also approached the village head more informally to gain his/her trust—which, in most cases, also opened a pathway for a one-on-one interview. Being recognized by the village authority indeed gave the research participants the confidence to interact with me. However, in some cases, the participants were reluctant to talk with me as they misunderstood me as a village head or government authority representative. To avoid this, I always introduced myself as a researcher and specified that I was not part of any government unit, NGO, media, or extractive company. More importantly, I made sure that the research participants understood that they could end the interview and withdraw their participation at any stage for any reason that they did not need to tell me. I also ensured that the research participants understood my role as a university researcher and that my research would not benefit them economically or in any other way.

At the beginning of each interview and discussion, I introduced my research topic, the reasons behind my research, and the issues and themes I was interested in. During the introduction, I often had to include personal information about myself whenever a research participant asked specific questions regarding my personal background, especially as a female researcher doing a Ph.D. abroad and traveling alone in the villages (see section 5.6). Often, telling research participants my personal information helped me gain their trust and consent to be part of the research.

Finally, to ensure that others cannot identify my participants, I anonymized them. I informed my participants that they would be referred to using characteristics based on their sex, place of living, or occupation in my written work in a way that they could not be identified. Except for public officials, such as village head, who can still be identified. Before and after the interviews, I also assured the research participants that no one, not even the village head, could access the recorded interview files and notes. I gave my contact details, such as my Indonesian phone number and email address, to the research participants to allow them to contact me anytime if they decided to withdraw from the research, to ask any questions about the research process, access the research materials and outcomes, or if they felt that my research had caused them any harm.

5.6 Reflection from the field

Beyond the discussion on research's (formal) ethical conduct and how it has had implications for this study, my research processes have been influenced by constant self-consciousness (England 1994). As Dowling (2010) describes, being critically reflexive means analyzing my situation as if it were something I was studying: what is happening? What social relationships are being enacted? And whether they influence the collected data, interview material, and the analysis. These questions have helped me to mature as a researcher and guided me in (re)framing the field as something other than a fixed and bounded space waiting to be known. Instead, I understand the field as a continued process of construction by me (the researcher), inhabitants of the field, and

those elsewhere crosscut by the relationship of power, knowledge, representation, and practice (for further discussion, see Sharp & Dowler 2011).

Reflecting on my role as a researcher, I see that the feminist approach has guided my research. In this approach, knowledge and truth can be revealed by understanding the field's complex power dynamics, which is understood as part of a larger institution with ongoing power struggles (Sharp & Dowler 2011). As my research topic stems from the assumption that local stakeholders have better knowledge and experience in the management of natural resource revenue, the data collection and analysis intend to move away from an elite-based framework when conceptualizing extractive sector transparency. However, and in accordance with the feminist approach, when examining local transparency in natural resource revenue management, the research process revealed that local stakeholders consist of different actors with unequal power relations interacting in their efforts to pursue various interests in resource wealth distribution, often in a paternalistic style.

Throughout the research process, I recognized an issue related to the risk of (mis) representation (Radcliffe 1994). The issue arises on the question of my right to speak on behalf of the research participants, who are community members living close to extraction sites. This representation question has underlined my positionality in the research process as both an insider and outsider. As an Indonesian, I saw myself as an 'insider'. However, my interaction with research participants, who saw me as a female researcher pursuing PhD studies abroad, made me feel like an 'outsider.' These experiences have challenged my views on the binary of insider/outsider, which, according to Meriam *et al.* (2001), is too simplistic to frame researchers' positionality and their experiences in the field. This is particularly true when considering the multi-dimensional power relationship between the researcher and research participants shaped by prevailing cultural values, gender, and educational background (Merriam *et al.* 2001).

To understand what my experiences in the field could mean and whether they have implications for the research process, I have reflected on my positionality, power, and representation (cf. Merriam *et al.* 2001). To begin with, Merriam *et al.* (2001) suggested that positionality is determined by where one stands in relation to 'the other.' Based on my ethnicity, cultural background, and gender, I was an *'indigenous-outsider'* to the research participants in Bojonegoro and an *'external-outsider'* to the research participants in Pelalawan (see Banks 1998). This typology proposed by Banks (1998) is based on "*the assumption that in a diverse pluralistic society … individuals are socialized within ethnic, racial, and cultural communities*" and share knowledge "*that can differ in significant ways from those individuals socialized within other microcultures*". Other positions within the typology including indigenous-insider and external-insider. My background as a Javanese person who grew up in rural East Java has made me a native or 'Indigenous' according to Bank's typology; I remain connected to research participants living in villages close to oil extraction sites in Bojonegoro. My position as a native Javanese person was rooted in my familiarity with rural Javanese customs, community members' daily activities that rely on agricultural activities, and fluency in the Javanese language. Nevertheless, the ways research participants viewed me as a female researcher pursuing a PhD abroad and had the courage to travel alone, I was perceived as an 'outsider.' For rural Javanese citizens, these characteristics symbolize the different cultures where I have assimilated, pursuing my education in urban areas, abroad, and speaking English. In Bojonegoro, I tried to shift my position toward that of an insider by becoming a regular customer at local coffee shops. But my choice of black coffee without sugar and drinking it alone as a female instead strengthened my 'outsider' position. In rural Javanese villages, it is

uncommon for women to spend time in local coffee shops as it is mostly men who meet and hang out in coffee shops where the coffee is served with a lot of sugar. On the other hand, for the research participants in Pelalawan, being a researcher with a Javanese background and a short-term resident of Riau who did not speak the local language characterized my position as an external outsider.

Following my position in relations and interactions with the research participants, I became aware of the power-based dynamics throughout the research process. During my activities in the field, my power was mainly rooted in education-related characteristics. For instance, my role as a university researcher pursuing a PhD abroad facilitated connecting with gatekeepers to gain access to participants (cf. Merriam *et al.* 2001). In Bojonegoro and Pelalawan Districts, two local NGOs facilitated my initial visits to targeted villages and contact with local leaders. As another example, whenever I visited a coffee shop alone and ordered black coffee without sugar, it attracted the shop owner's attention, who is a woman. They perceived my characteristics as those of an empowered woman based on my education and being alone in the field, and quirky at the same time because of my choice of drink.

In an interview situation, the power dynamic is negotiated by the interviewer and the interviewee(s), and the culturally embedded interview context is constructed by both (Merriam *et al.* 2001). As the interviewer, I negotiated my power in the field by allowing my potential interviewees to decide whether they wanted to be interviewed, where and when the interview was held, and what information they wanted to share. When interviewing women, I had to subtly negotiate the power dynamics of a patriarchal society. In several cases, my visits to coffee shops had opened the path for discussion with coffee shop owners on their life stories and everyday issues—which often turned into an interview—as they felt more comfortable talking to another woman. Another example is when interviewing women who work as teachers or entrepreneurs; they were interested in why I was doing research and what I would do with the information to leverage their image and roles within the (patriarchal) society, for example, to show that women can contribute economically and politically to society despite their domestic roles at home.

My position and power as a researcher in the field raise issues about my right to interpret impacted citizens' perspectives and allow their 'voices' to be heard (cf. Merriam *et al.* 2001). To address this issue about my power and rights as a researcher, I had to consider the research participants' knowledge and values that shaped their responses to my questions. For example, my research topic—transparency in natural resource revenue management—was somewhat foreign to my research participants. Even though they had heard about the term 'transparency' through its Indonesian translation, asking what it meant to have 'transparency' in the management of oil and gas revenues was incomprehensible in a context where the citizens rarely question their leaders' decisions directly. However, like with many field studies, data collection and analysis need negotiation and compromise. As part of my findings, I had to include citizens' interpretations of transparency, which has contributed to my research by showing the gap between the elite framework and citizens' ways of understanding transparency in natural resources revenue management influenced by the contexts of their place of living and everyday interactions.

Another issue that arose during interviews was language translation, which occurred during some of the citizens' interviews in indigenous villages in the Pelalawan District, as I did not speak the local *Melayu-Petalangan* language. The interviews were conducted in Indonesian but translated into the local language in real time in cases when participants

did not understand. When the participants responded in the local language or using local terms, these would be translated into Indonesian. In these cases, I had only one option: trust the RAs in Pelalawan District. However, I would ask the RAs to elaborate on the local terms used by the participants in the context of their everyday lives and within the research topic. This way, I aimed to lessen the risk of misinterpretation of participants' knowledge and views of the research topic during analysis and throughout the research outcomes.

5.7 Limitations

The key limitation of my research relates to the selection of participants included in my study. For various reasons, I was not able conduct fieldwork in villages farther away from extraction sites but still experienced some degree of impact from the extractive industries. In both districts, I lack interviews with extractive companies. Notably, for Bojonegoro District, the analysis does not include perspectives from the district head and officials, and I also lack interviews with ordinary community members.

After I moved the main fieldwork to Pelalawan District, I had to modify and adapt my initial plan for Bojonegoro District to Pelalawan District. While this change allowed me to conduct research in another extraction site, my ambitions for fieldwork in Bojonegoro were unmet. I especially feel that my research fell short regarding the perspectives of ordinary community members living close to extraction sites as I did not have in-depth interviews with ordinary community members—except those involved in the coffee shop discussions. Notably, I could not overcome the lack of perspective from Bojonegoro District Head and officials. Despite the fact that I had planned to talk to the district head and officials, my efforts to contact them were fruitless. My two visits to the district were during the leadership transition period, and the newly elected district head at that time had cut ties with all institutions associated with the previous district head's transparency initiative and any (research) activities related to the initiative. As for the extractive company, my plan to talk to their representative(s) during the main fieldwork was cancelled like the fieldwork itself. Including more perspectives from ordinary community members and the (new) district head and officials would have been useful in assessing the needs, concerns, and bottlenecks regarding the design and implementation of transparency initiatives.

Furthermore, the selection of some participants in Bojonegoro was based on my prior knowledge of key actors, such as the local NGOs' representatives and village heads, who served as opinion leaders in villages close to the extraction site. To remedy the potential bias, I sought actively to include perspectives from participants with different roles within the community who I approached through snowball selection, such as religious leaders and teachers, and those involved in the coffee shop discussions who were initially not included in my participants list.

Finally, in the case of Bojonegoro, an important concern relates to gender representation. As I focused to interview individuals in leadership positions, only two out of fifteen interviewed participants were women. I sought to overcome the gender imbalance among my participants by conducting informal discussions with local teachers and coffee shop owners, who were all women, to provide more balanced views between men and women in the villages.

My research plan in Pelalawan District was drastically changed and modified due to the pandemic. Initially, I had proposed conducting an in-depth study through a

five-month live-in period in Pelalawan District (March–July 2020) which was postponed and shortened to six weeks due to Covid-19. As an outsider, I would have needed time to familiarize myself with the sociocultural context of my study area and gain trust among people living there before conducting my interviews. Moreover, I had to make some radical adjustments to the research design, i.e., I modified the prolonged live-in to collect citizens' views with structured interviews and reduced the number of in-depth and semi-structured interviews. I feel that these modifications impacted the in-depthness of my fieldwork, and my analysis.

Additionally, I decided not to include extractive company perspectives and focus on the perspectives of the citizens and local leaders around the extraction sites during my limited research period in Pelalawan District. There are two reasons for this. First, Pelalawan District's initiative focusses on the redistribution and allocation of oil and gas revenues it receives from the national government through the DBH mechanism. Pertamina—the operating oil and gas company for two oil wells in Pelalawan District—does not have any voice in influencing the district's resource revenue management as they make the payment directly to the national government. Second, Pertamina's office is located in another district. Initiating contact and arranging interviews with their representative(s) would have required extra time and resources that I did not have.

6 Findings and discussions: Transformative transparency in local natural resource revenue management

The aims of this thesis were to identify and examine conditions that influence transparency processes in natural resource revenue management and investigate how the design and implementation of localized transparency initiatives can be enhanced. Below, I address these objectives by drawing together the key results of the three research articles included in this thesis (see also Table 1). The presentation of my key findings, thus, does not follow the order of the articles but answers and develops further the thesis' overarching research questions:

1. What elements are necessary for a transformative transparency initiative, and how should they be integrated (6.1)?
2. What factors impact citizens' involvement in the transparency processes and how (6.2)?
3. What are the key issues policymakers need to consider when designing a transparency initiative (6.3)?

6.1 Elements of transformative transparency and their integration

In line with Kosack & Fung (2014), Fox (2015) and others, my research highlights that information alone is not enough for a transparency initiative to achieve its intended outcomes. My research identified three elements necessary for transformative transparency initiatives. These include information disclosure, citizen action, and accountability measures to ensure the state actively listens and responds to citizens' concerns. My thesis argues that these elements must be integrated and promoted simultaneously from the outset to realize the transformative potential of a transparency initiative.

Regarding information disclosure and its content, my thesis shows that transformative transparency will only emerge if the design and implementation of information disclosure is embedded in the usual way people seek, receive, and process information and that the content of information is salient for citizens' everyday priorities and can be used actively in matters concerning them. This means that the platforms for disclosure need to be designed to align with the target group's preferred ways to receive information in their daily lives and provided in a format and language they can grasp. For example, content of information should be provided in the local language without using technical terms. Simultaneously, the content of disclosed information must be based on the target group's informational needs and interests, and the information must provide new knowledge or increase their understanding of issues that matter to them. As shown in Article 2, Bojonegoro District information disclosure failed to increase citizens' awareness of the district's oil and gas revenue management; the website which disclosed aggregate numbers of the district's oil and gas revenues was inaccessible to citizens who live close to the extraction site, and the content was meaningless for citizens' everyday lives and livelihoods.

Further, my thesis highlights that transformative transparency must simultaneously provide channels for dialogue and spaces for engagement designed according to the target group's usual way of contacting and interacting with their leaders and other decision-makers. Therefore, as also argued by, e.g. Van Alstine (2014) and Öge

(2017), transparency must be viewed and understood as part of a larger institutional reform calling for active citizenry and the empowerment of non-state actors. This way, the implementation of the transparency initiative can include mechanisms to incite active citizenry and, depending on the context, address the imbalances of state-citizen interaction within the institutional decision-making framework. Failing to include such mechanisms will challenge citizens' willingness and capacity to effectively voice their concerns and act on the issues that matter to them. Article 2's findings underline the importance of identifying and designing engagement platforms based on target group's preferences and needs: In Bojonegoro citizens did not use the available platforms because the design was not rooted in citizens' everyday lives and their preference for informal, face-to-face meetings with leaders and public officials.

Finally, my research finds that for a transparency initiative to be transformative, it must include mechanisms that ensure leaders and government actors provide constructive and meaningful responses. Otherwise, the government is not pressured to listen and act on citizens' voices. The element of government response is crucial in a non-democratic setting or in what Hadiz (2007) calls 'flawed democracy', a context where (local) political elites are still able to sustain their power and exert their influence in decision-making without the space for citizens to effectively monitor and hold them accountable other than in a general election. For example, Articles 2 and 3 show that despite democratization efforts at the national and subnational levels, there were power imbalances within society where the citizens do not have the adequate means to scrutinize their leaders. Instead, citizens surrender their decision-making powers to their closest leader(s) or village elites, thinking that they are not entitled to receive information or influence decisions. My thesis also emphasizes that government response and accountability mechanisms should be institutionalized within the existing governance structures. Accountability mechanisms must be institutionalized through regulations and policies to sustain the mechanisms across leadership changes and throughout political dynamics to ensure that elected and non-elected leaders—including those not yet in power—are obliged to respond to citizens' concerns. As pointed out by Ciplet *et al.* (2018), Failing to do so will challenge the initiatives' transformative potential to address inequality and power imbalances within society when its implemented and over time. As highlighted in Article 2, a leader's interests and associated political dynamics at the local level challenged the transformative process of local transparency policies to deliver relevant and actionable information, encourage active citizenry, and provide a comprehensive state response.

To integrate the above three elements (i.e., information, action, and response) my thesis argues are necessary for transformative transparency, Article 2 developed a 'Transparency Cube' that identifies further three aspects for each element (Figure 5). Crucially, the Cube does not put information disclosure as the starting point from which other aspects and elements follow in a specific order. Instead, the Cube simultaneously emphasizes the existence of all three elements and equally treats each element as important from the outset, calling them to be developed and promoted in tandem. The Cube's approach reflects that of Joshi (2014) which emphasizes that information, action, and response can have multiple pathways and relationships. The Cube provides an alternative framework to the transparency 'action-cycle' (Fung *et al.* 2007; Kosack & Fung 2014) to assess the transformative potential of extractive sector transparency initiatives and reveal (local) factors that influence their effectiveness, such as, citizens' needs and interests, the normative rationale and political contexts within which such an initiative is applied (see Appendix 1 in Article 2). The Appendix provides a set

of questions that can be used by researchers and policymakers to assess and identify local factors and issues that can shape transparency policies' outcomes, and therefore need to be addressed and included as part of the design. The Appendix can also be used to analyze existing initiatives implemented in other contexts within and beyond Indonesia. I argue that information availability and accessibility must be accompanied by platforms and support for citizen action and policymakers who ensure government responsiveness so that the initiative brings about transformative outcomes and serves the public interest—and that these need to be part of the transparency initiative from the outset. The Cube highlights the importance of all three elements being simultaneously addressed when designing a transparency initiative to increase its transformative potential and achievement of its intended societal and governance goals.

It is important to note that the Cube's elements and aspects are not exclusive nor isolated from each other. As highlighted in Article 2, they should not be assessed only based on whether they exist or are achieved individually but on how well they are simultaneously addressed within the specific normative rationale and political context in which the initiative is implemented. For example, to reach meaningful information actionability requires citizens' willingness to scrutinize information and demand change, insisting that information is provided on issues that matter to them. Accordingly, when the state provides space for consultation and allows for concertation to arrange the content of information and design the disclosure mechanism, actionable information for the target

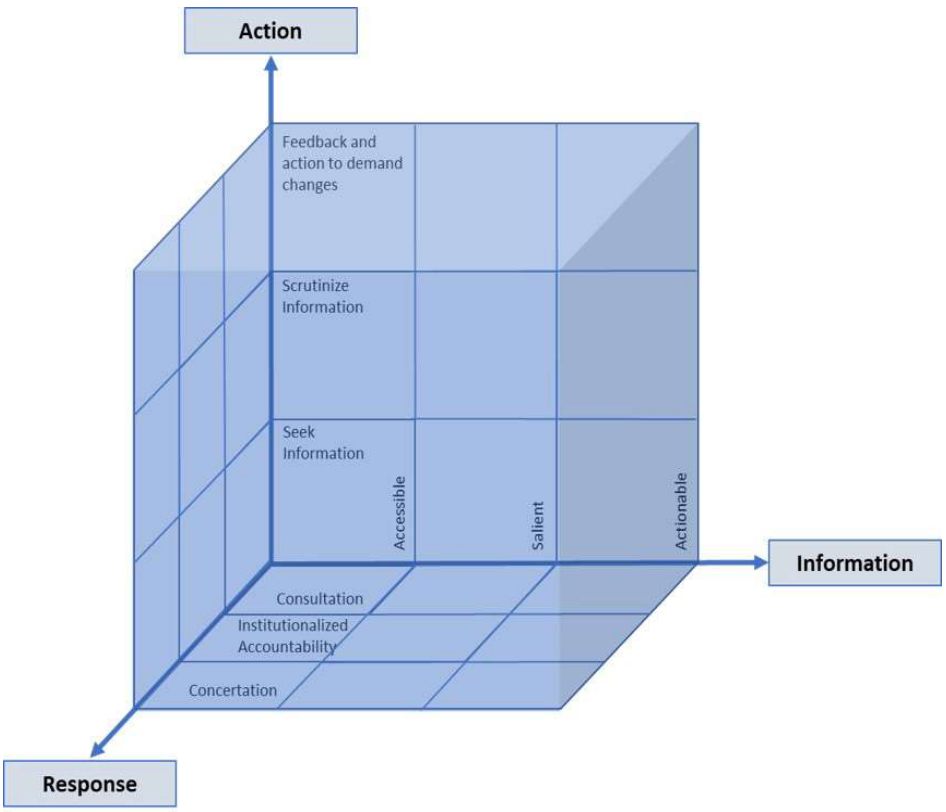

Figure 5. Transparency Cube (source: Article 2). For details on the included elements (i.e., information, action, and response) and aspects (i.e., the sub-elements), see Article 2.

citizens can be achieved. Depending on the goal, for an initiative to be transformative, it can be achieved through different combinations of elements and their aspects, and through distinct, nonlinear, and contingent pathways (Article 2). This means that there is no one-size-fits-all transparency initiative. My findings highlight that when 'translating' transparency to a local context, the specific challenges and opportunities where it is implemented must be considered and integrated as part of the design. These results similar to those highlighted by Furstenberg & Moldalieva (2022) and Yanuardi *et al.* (2021). In that translation, the Transparency Cube is a helpful tool as it integrates the different aspects of each element that need to be considered.

While national laws and regulations set the overall framework for a transparency initiative and policies, my thesis underscores that extractive sector transparency still needs to address issues related to contextual challenges and opportunities faced by communities hosting extractive industries associated with their rights to receive information and have a voice in the sector management. These include, for example, providing resource-related information at the mining site level (Article 1), and providing information disclosure platforms that conform to citizens' usual ways of engaging with their leaders (Articles 2 and 3).

As a tool, the Transparency Cube can serve many purposes. Complementing other works on theories of change (Joshi 2013; Le Billon *et al.* 2021; Tienhaara 2020), the Cube can help design transparency initiatives or evaluate an existing one by identifying steps, possible challenges, opportunities, and outcomes that influence the transformative potential of a transparency initiative (cf. Le Billon *et al.* 2021)[12]. More specifically, the Cube can be used to predict how interventions related to the three elements can lead to a specific transformative outcome by simultaneously paying attention to the triple challenge and opportunity related to the three elements, i.e., making salient information available and accessible, incentivizing citizen action, and bolstering decision-maker sensitivity and responsiveness in a way that addresses the context-specific conditions and obstacles. For example, Article 3's findings underline that the shared identities of citizens living close to extraction sites influence their ways of engaging with their leaders. Therefore, it is crucial to design platforms for information disclosure and dialogue activities so that they are embedded in the citizens' usual ways of interacting with their leaders. The Cube can also be used as an analytical tool to evaluate an existing transparency initiative and assess how the design and implementation of the three elements can be improved to bring about transformative outcomes. Article 2 exemplifies the utilization of the Cube to analyze an existing transparency initiative from the vantage point of citizens living close to an extraction site.

6.2 Factors influencing citizens' involvement in transparency processes

My research identified three key factors that influence citizens' involvement in transparency processes: citizens' rights and roles stipulated in extractive sector legislation, the impact of extraction on citizens' everyday lives, and the perceived political distance between citizens and their leaders. In line with other research on development impacts (see, e.g. Gilberthorpe & Papyrakis 2015; Joshi 2014), my research highlights that these

[12] To operationalize the Cube in other contexts and levels, Appendix 1 in Article 2 provides guiding questions that can be used to operationalize the Cube to design an initiative or to analyze an existing one.

factors shape individual agency and community interactions, as well as the cultural characteristics that drive action and determine state-citizen interaction outcomes which unfold the extent to which the implementation of transparency initiative is successful. In particular, these factors affect citizens' willingness and capacities to seek salient information, participate in decision-making, voice concerns, and incite action to influence extractive sector management.

My thesis finds that citizens' rights to information and participation in the extractive sector need to be anchored in national laws that ensure that local and impacted citizens have access to resource-related information regarding planning and ongoing extraction activities through different government-led information dissemination platforms. These informational platforms should aim to increase local communities' knowledge of natural resources governance and enable them to scrutinize and hold the government and mining companies accountable for the economic, social, and environmental impacts of extraction activities. Consistent with previous observations (e.g., Vijge *et al.* 2019; Sefa-Nyarko *et al.* 2021), my study suggests that law stipulation is crucial to ensure the inclusion of non-state actors in the management of natural resources and revenues. This implies that the stipulation of laws and regulations must detail how participatory mechanisms are organized, for example, at the mining site level, for the citizens to substantially exercise their rights and roles and to take part in and influence decision-making in the sector's management.

Notably, participatory mechanisms need to be accompanied by instruments that oblige the government and extractive sector authorities at all levels to implement the law and organize effective participatory mechanisms to collect and respond to citizens' voices and concerns. Failure to rigorously enforce these mechanisms within applicable laws and implementation regulations will discourage local communities from demanding and receiving information, scrutinizing mining activities, voicing concerns, or demanding accountability from decision-makers. As shown in Article 1, local and impacted communities have been continuously excluded, marginalized, and even criminalized throughout the natural resources value chain mainly because local leaders and political elites at subnational levels in Indonesia were able to violate the national mining law's implementation before, during, and after extraction activities.

This thesis finds that citizens' interests in seeking resource-related information and participating in dialogue events and local resource revenue management are influenced by the extractive industries' impacts on their personal, everyday lives. The impacts of extraction can be positive or negative. In general, citizens seek specific information on issues closest to them, not necessarily on what is best for their community. To illustrate, Article 2's findings show that local teachers were only interested in joining the dialogue activities on resource revenue management if the allocation was intended for their school (Article 2). Related to the negative impacts of extraction, people wanted to voice their concerns but also receive meaningful responses from their leaders on the pollution from extraction facilities impacting their health (Article 2) and plantation areas (Article 3). These findings imply that people have more interest in being involved in the transparency process if the disclosed information and dialogue activities are about issues that can benefit or compensate them personally.

The last factor shown in my thesis to influence citizen involvement in transparency is related to perceived political distance between citizens and their leaders. My thesis reveals issues associated with the ways citizens perceive the location of power, such as possesses by who, influences their involvement in the transparency process. More specifically, how citizens locate power affects their preferences to act, to whom they

want to voice concerns, provide input, and engage in dialogue activities. My study shows that citizens prefer and have more confidence to engage and voice concerns to their closest trustworthy leader. As exemplified in my research, in Bojonegoro (Article 2) and Pelalawan Districts (Article 3) people preferred to contact and engage with their village head instead of the district head concerning management and allocation of the redistributed oil revenues. These findings highlight the critical role of perceived physical and socio-psychological distances between citizens and their leaders (cf. Brügger 2020; Brügger *et al.* 2015), through leaders' capacity to listen to citizens' voices and provide responses and platforms to engage with citizens in managing and spending extraction-related revenues.

My study, however, highlights two challenges related to citizens' preference to voice their concerns to their closest leaders. First, it is important to note that local governments, as in my study areas, often have limited power to act and fully respond to citizens' demands as they have to follow mandates from above. For example, village heads in Indonesia are required to allocate their annual budget into sets of predetermined and earmarked sectors and activities stipulated in national-level laws and regulations leaving them with limited resources to meet local needs beyond the earmarked sectors. With limited resources, village heads often take shortcuts to decide among themselves on prioritized issues, leaving limited space for citizens' voices and inputs. The local leaders' political willingness for constructive responses may also be limited. As Bebbington *et al.* (2006) emphasize, in post-authoritarian contexts such as Indonesia, local authorities often offer limited spaces for participation and little recognition of individual or collective actions. In such contexts, citizens often feel that voicing concerns and expressing grievances through government-led formal engagement platforms is meaningless as their leaders have not addressed their concerns and needs satisfactorily (see Article 2).

Second, in rural areas, the interaction between citizens and their closest leaders is often influenced by paternalistic relationships. Paternalism within society is often characterized by trust and intimate bonds of loyalty, such as those in hierarchical and traditional views of leadership, making the act of voicing concerns and demanding accountability a betrayal, leading citizens to invest little effort in overseeing their leaders' activities and decision-making processes (Fischer 2016). As shown in Articles 2 and 3, there was a lack of citizen involvement in the management and allocation of resource revenues in the villages, as the majority of citizens believe they have weak control and perceive making decisions on issues that matter to them as solely the village head's responsibility. This means that even though citizens think they should voice concerns and give input to their leaders on natural resources and revenue management, perceived socio-political status drives citizen (in)action and determines outcomes of transparency initiatives (cf. Gilberthorpe & Papyrakis 2015).

There are two aspects that emerge from the above findings that can moderate the perceived distance between people and their leaders in and throughout the transparency process. First, from barriers to citizens' involvement due to physical distance, this thesis suggests it is necessary to consider targeted citizens' everyday priorities and rationales for living close to the extraction site in the disclosure mechanism and engagement platforms. Second, regarding citizens' preferences to reach their closest leader, this thesis underlines the need to include mechanisms to encourage citizens to utilize their rights and roles within society and improve the closest leaders' institutional capacity to contribute to the transparency process. From these aspects, my thesis indicates that the

perceived distances reveal how the information disclosure platform, spaces for citizens to voice and act on their concerns, as well as accountability measures for leaders and decision-makers must be developed in such a way that they meet the needs, capacities, and experiences of citizens living in a particular place of extraction and their ways of interacting with their leaders.

6.3 Key issues for the design of transformative transparency initiatives

My research highlights several important issues for the design of transparency initiatives. In this section, I focus on two of them: identifying the target audience and understanding the place where the initiative will be implemented. Paying attention to the target audience and the place where they live can assist in applying the Transparency Cube in designing an initiative that addresses some of the questions related to making salient information disclosure effective, inciting citizen voices, and encouraging engagement, and ensuring government response and holding them accountable in resource revenue decision-making.

Supporting an earlier study by Lujala & Epremian (2017), my thesis indicates that the target audience must be carefully identified from the outset as the initial step of designing a transformative transparency initiative. Identifying a targeted audience from the outset can increase the transformative potential of transparency initiatives in at least two ways. First, the targeted audience can communicate specific resource-related issues they endure. This can include environmental impacts and issues related to exclusion or lack of participation in the management of natural resources revenue. Second, paying attention to the target audience's issues and concerns will inform, for example, what type of information needs to be disclosed, and what support the targeted citizens need to voice their opinions and concerns regarding the issues at hand, addressing what Fox (2007) called 'information opaqueness'. This thesis shows that for the transparency initiative to have a transformative impact, the proponents of extractive industries' transparency and policymakers must actively involve the targeted audience through a bottom-up approach to identify the relevant issues and include them when designing and determining the goal of a (local) transparency initiative.

Failure to identify target audiences, assess their informational needs, and include how they access information and preferences to voice concerns will limit the reach and significance of the transparency initiative implementation and for it to have a transformative process. As shown in Article 2, even though the district government had publicly made information on the extractive industries and revenue management available, it failed to increase public awareness of the sector and revenue management despite its implementation being extended to the village level. Instead, the implementation contributed to citizens' indifferent behavior; they did not develop an interest in the district's notion of resource revenue transparency and accountability (Article 2). The underlying reason for this shortcoming was that the local transparency initiative was weak in identifying the targeted audience, and thus, the disclosed information and dialogue activities were ineffective for the most impacted communities living close to extraction sites. Van Alstine (2014) and Le Billon *et al.* (2021) suggest that active citizenry could be achieved if the transparency initiative includes issues that are 'closer' to the impacted citizens. Therefore, it is crucial to consult the targeted audience and identify the specific resource-related issues they experience, their informational needs,

and preferred mechanisms to receive information and engage with their leaders that meet the conditions and everyday realities of the place they are living in (Articles 2 and 3).

Further, my thesis underscores that for transparency initiatives to have transformative societal and governance impacts on the ground, they need to look at the place where it will be implemented. This thesis suggests two approaches to identifying a place's role in (re)shaping the transformative process of a transparency initiative. The first approach is to assess the place's spatial realities through its physical settings and conditions to avoid viewing local as a single identity when designing and implementing an intervention such as a transparency initiative (cf. Scott 1998). I find that a place's distinct physical conditions characterize citizens' needs and their approach to extractive industries' transparency. To illustrate, Article 2 shows that citizens' informational needs on the allocation of resource revenues and their understanding of transparency in natural resource revenue management were shaped by the existence of public facilities and basic infrastructures in their villages. This means that to identify resource-related issues crucial for the targeted audience that a transparency initiative aims to tackle, the design of a transparency initiative can include the specific physical conditions of the place where it will be implemented, and the associated challenges and issues faced by citizens living there.

The second approach considers the socio-political settings embedded in a particular place. These settings often manifest through citizens' everyday lives, shared identities, attachment to place, and interactions with their leaders, such as those highlighted in Askland (2018) and Ey *et al.* (2017). This thesis upholds that despite being exposed to the same regime of governance system, types of resources, and revenue management, the way citizens develop meanings, feelings, and concerns about natural resources, extraction practices, and management of revenues are varied across places of extraction and often influenced by the place's socio-political settings. In the context of this thesis, citizens' shared identities of living in particular places shape their interaction with their leaders and, therefore, affect how they develop a narrative around extraction activities and revenues through perceived relationships with their leaders. This thesis' findings highlight that in the place where citizens' interactions with their leaders were rooted in traditional views endured across generations, the citizens detach themselves from decision-making and display disinterested behavior in intervening in the (village) government's activities (Articles 2 and 3). In contrast, in places where citizens were removed from the traditional view of state-citizen interactions, such as in urban areas or transmigrant villages, as in the case of this thesis, the citizens showed their interest in getting involved in the engagement platforms and were open to receiving new information from their leaders (Article 3). These findings align with what Kasimba & Lujala (2019) have highlighted: social relations embedded within a particular place can limit or assist spaces for local citizens to participate and influence decision-making and revenue management.

My study emphasizes that the place where targeted citizens live shapes their everyday social interactions. In particular, this thesis shows that identifying the target audience and understanding the place where they live can significantly affect the transformative potential of transparency initiatives. I argue that these two issues are among the key issues to be considered when designing extractive sector transparency initiatives aimed at having transformative impacts. This implies that while national-level transparency initiatives can be an important source for aggregate information on a country's extractive industries' development and revenue collection and spending for, for example, experts

and NGOs, local transparency initiatives must identify a specific target audience and be designed for a specific place in order for the initiatives to deliver relevant and actionable information, mobilize active citizenry, and encourage a comprehensive state response on resource-related issues faced by citizens.

7 Contributions and concluding remarks.

This chapter briefly summarizes this thesis' scientific (7.1) and policy contributions (7.2), and provides some concluding remarks with directions for future research (7.3).

7.1 Scientific contribution

This thesis contributes to the academic and scientific discussions on transparency in natural resource governance in four ways. First, it adds to the discussions on what constitutes transformative transparency in the extractive sector and its revenue management (Ciplet *et al.* 2018; Gupta 2010). By moving beyond mere disclosing resource-related information in catalyzing active citizenry, this thesis argues that transformative transparency as a process in which from the outset salient information is made available for the targeted citizens, citizens are encouraged to utilize their rights and act on issues that matter to them, and decision-makers' sensitivity and responsiveness is cultivated. Furthermore, the thesis shows that transformative transparency works through interactions and power relation dynamics between the government as information disclosers and citizens as information users.

Second, this thesis complements the existing literature on extractive sector transparency by proposing a new analytical framework, the Transparency Cube. The Cube facilitates research on the effectiveness of transparency initiatives that work through the simultaneous state-citizen interaction in decision-making and governance processes (Diprose *et al.* 2020; Espinosa 2021; Ibrahim *et al.* 2022; Zulu & Wilson 2012). The Cube identifies and emphasizes three necessary elements (i.e., information disclosure, citizen action, and government responsiveness) for transparency to have a transformative impact throughout its implementation. Further, the Cube integrates the elements from the outset for transparency to (re)form citizens' perceptions of government performance and mobilize them to act on their concerns. This thesis proposes the Transparency Cube as an approach to analyze a transparency initiative's transformative potential to predict the specific challenges and opportunities to realize a transformative process of transparency throughout state-citizen interactions and where transparency initiatives or related policies are implemented.

Third, this thesis contributes to research on local extractive transparency by emphasizing on the importance of place (Bailey & Osborne 2020; Hovardas 2017; Orihuela 2018; Svobodova *et al.* 2023). By highlighting the spatial realities and the socio-political contexts of the place of extraction, this thesis shows specific challenges and opportunities for citizens involvement within and throughout the transparency process, which can be embedded in the place where transparency initiative is implemented.

Finally, this thesis adds to the existing scholarship on the effectiveness of transparency by showing the dissonance between the elite's top-down narratives (e.g., by government or NGO actors) on the promotion and implementation of extractive sector transparency and citizens' interpretations of transparency in natural resources revenue management (Lujala *et al.*, 2020; K. Macdonald & Nem Singh 2020; Winanti & Hanif 2020). This contributes to a deeper understanding of the power dynamics where individuals' and groups' responses to natural resource and their revenue management are driven by their interests, desires, concerns, resources, and capacities endured within social contexts and political structures across scales and places.

7.2 Practical and policy implications

This thesis shows that the design and implementation of a transparency initiative must fit local conditions where it is implemented and address issues faced by its target audience(s). Its findings on the conditions that influence the transformative transparency process through citizens' involvement have two practical implications for designing and implementing transformative transparency initiatives and policymaking for accountable natural resources revenue management, which, I believe, are applicable in other contexts within and beyond Indonesia.

First, the Transparency Cube provides a new approach to developing and designing a transparency policy that is sensitive to the particular locality where it will be implemented. The Transparency Cube's application calls for robust design of transparency initiatives that simultaneously develop mechanisms to disclose relevant and actionable information, incite active citizenry, and ensure constructive government response. The Cube can help in designing an initiative by identifying steps, possible challenges, and opportunities related to the three elements for the policy to achieve its transformative potential in the specific context where the initiative will be implemented. In addition, the Cube can serve as a tool to evaluate and assess an existing transparency initiative and how its design and implementation can be improved to bring about transformative outcomes. For example, in assessing the limited reach of online informational platforms due to poor internet connections, it is crucial to design dissemination platforms or transform the online information into offline platforms that conform to the ways targeted citizens access and receive information.

Second, this thesis recommends systematically integrating elements related to the targeted audience's needs, concerns, and experiences of living close to an extraction site into the design of transparency initiatives and associated policies. By recognizing the interconnectedness between the targeted audience and the place where they reside, this thesis provides a more comprehensive approach to developing transparency initiatives that aim to tackle resource-related issues and bring about tangible societal and governance impacts. In particular, this thesis emphasizes that although there is no one-size-fits-all design for a transparency initiative and for it to be transformative, there are key elements that any initiative needs to consider and address in its design and implementation and that mere information disclosure will not suffice. This thesis thus broadens the perspective on what (local) issues, i.e., those experienced by citizens living close to extraction sites, must be considered when designing or assessing transparency initiatives or associated policies implemented at regional, national, or international levels.

7.3 Conclusion and future research

The promotion of transparency in extractive sector management posits that the disclosure of resource-related information will increase public knowledge, empower them to scrutinize the sector and its revenue management and hold the powerful government actors and extractive companies accountable for the negative impacts of extraction and revenue management. However, the implementation of extractive sector transparency initiatives has not had transformative societal and governance impacts on the ground, especially for the most affected communities. This thesis has addressed these issues by assessing the transformative potential of local extractive sector

transparency where extraction activities occur, where the impacted citizens live, and where transparency initiatives and associated policies are being implemented. Further, the transformative potential of transparency was assessed from the vantage point of citizens' interactions with their leaders in the management of natural resources revenues and decision-making processes.

Using qualitative case studies, the empirical analyses in Articles 1, 2, and 3 provided evidence that promoting transparency in extractive sector and its revenue management must move beyond merely disclosing more information for it to be transformative. The thesis shows that transformative transparency needs to include from the outset the whole process that simultaneously makes salient information available for the targeted citizen, encourage their action to voice concerns, and hold decision-makers and extractive companies accountable and cultivate their sensitivity and responsiveness.

This thesis deals with the transformative processes of transparency by investigating the design and implementation of localized transparency initiatives and related policies from the vantage points of local citizens living close to extraction sites. By focusing on the contextual and spatial conditions in places where extraction activities take place, where the impacted citizens live, and where transparency initiatives and associated policies are being implemented, this thesis demonstrates what needs to be included in the design and implementation of transformative transparency that seeks to promote improved natural resources revenue management. Further, it developed the 'Transparency Cube' as an analytical tool to assess how well an initiative's design addresses the challenges and obstacles in attaining its intended goals within the context where it is implemented. The Cube can also be used as a framework to design transparency initiatives or improve the design and implementation of existing ones.

My work contributes to the growing literature challenging the notion that transparency can be uniformly applied across all places and contexts (for example, see Epremian *et al.* 2016; Gupta & Mason 2016; Magno & Gatmaytan 2017), as this notion often neglects the spatial and everyday experiences of citizens affected by extractive industries. Instead, it suggests that transparency is better understood as an institutional relationship between the state and the citizens, which can be analyzed through aspects such as rules, interactions, power dynamics, context, and more.

Future studies are needed to evaluate the potential of the Cube in assessing transformative potential of transparency initiatives across levels and contexts. In particular, the findings of this thesis need to be verified in different places of extraction, across regimes, and on the different types of natural resource materials. There is also a need for developing a systematic set of criteria—and corresponding variables for analysis—to identify and account for local contextual factors that are likely to influence the transformative potential of transparency initiatives in natural resources revenue management, for example, through the operationalization of the Transparency Cube (see Appendix 1 in Article 2). More information on how to empirically differentiate an initiative's shorter-term effects on state-citizen relations and more longer-term developmental impacts, such as societal and economic outcomes, would help to establish a greater degree of accuracy on such a systemic set of criteria. Further, we need studies that advance our knowledge on whether and how extractive sector type of transparency matters for other sectors, such as renewable energies and energy transitions, and on what terms.

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Appendix 1 Structured interview survey questions

1. Pelalawan District is one of the oil and gas producing districts in Indonesia. As a producing district, the central government in Jakarta partially transfers the revenue from oil and gas production to your district. How would you characterize your knowledge of how your district government manages the oil and gas revenues in your district?

I have good knowledge	I have some knowledge	I have little knowledge	I have no knowledge	I Do not know/do not want to answer
○	○	○	○	○

2. What information you would like to receive on the management of revenues from the oil and gas industry in your district?
(do not read the options!)

- ☐ How much revenues did my district received from the oil and gas industry
- ☐ How did the district government utilize the oil and gas revenues to benefit all people in the district
- ☐ To which sectors were the revenues allocated and spent
- ☐ Did my village receive some parts of the revenues
- ☐ How can I influence the district government's decisions on the management of oil and gas
- ☐ revenues Other (please specify)

3. In your opinion, who should inform you regarding the management of oil and gas revenue in your district? (do not read the options)

- ☐ Head of District
- ☐ District Officials
- ☐ District's Parliament Members
- ☐ Oil and gas Company doing extraction in the district
- ☐ Head of Village
- ☐ Village officials
- ☐ Community leaders in the village
- ☐ Non-governmental organizations (NGOs)
- ☐ Other

4. What would be your preferred way of getting information on how revenues from the oil and gas industry are managed in your district
(do not read the option!)

- ☐ District government website
- ☐ Information board provided by district government
- ☐ Local Newspaper
- ☐ Local Radio
- ☐ Local news portal (online)
- ☐ Social media
- ☐ By phone
- ☐ SMS or WhatsApp messages
- ☐ Community meeting organized by district government
- ☐ Community meeting organized by village government
- ☐ Community meeting organized by oil and gas company
- ☐ Community meeting organized by NGOs
- ☐ Other

5. In your opinion, to what degree people in your village should be informed about how the village government spent the oil revenues

Always informed	Often informed	Rarely informed	Never informed	Do not know/do not want to answer
○	○	○	○	○

6. Your village government may receive revenues from oil and gas extraction, in your opinion, who should inform you regarding the management of oil and gas revenues in your village? (do not read the options)

- ○ Head of village
- ○ Village officials (including head of hamlet and neighbourhoods)
- ○ Customary (*adat*) or religious leaders
- ○ Community social group's leader (Youth, Women, Microfinance, Religious study group)
- ○ Oil and gas company
- ○ Non-governmental organizations (NGOs)
- ○ Other
- ○ Do not know/do not want to answer

7. Your village government may receive revenues from oil and gas extractions, what would be your preferred way of getting information on how revenues from the oil and gas industry are managed in your village?
(do not read the options!)

- [ ] Community meeting organized by village government
- [ ] Informal discussion with the head of village or village officials
- [ ] Activities with the Youth groups or Women's group
- [ ] Community meeting organized by oil and gas company
- [ ] Community meeting organized by NGOs
- [ ] Daily and casual talks with family or friends or neighbors
- [ ] Other
- [ ] Social activities in the community (religious events, microfinance gathering)
- [ ] Village's informational board or posters
- [ ] Internet and social media
- [ ] Messaging service (SMS, WhatsApp, etc)
- [ ] Do not know/do not want to answer

8. Your village may receive revenues from oil and gas extraction to what extent do you agree or disagree with the following statement: "You have the right to be involved in the management of oil revenue in your village"?

Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree	Do not know/do not want to answer
○	○	○	○	○	○

9. In your opinion, what are the two main challenges in your village today?

- [ ] Lack of access to health facilities (including number doctor or nurse or midwife)
- [ ] Lack of access to education facilities (including number of teachers)
- [ ] Limited or damaged public infrastructures (roads, bridges, electricity, signal connection, etc)
- [ ] Forest encroachment and deforestation
- [ ] Polluted river streams
- [ ] Forest fire
- [ ] Natural disasters (drought, landslide, flood, etc)
- [ ] Oil spills
- [ ] Poverty
- [ ] Unemployment
- [ ] Migration
- [ ] Corruption
- [ ] Violence and crime
- [ ] Do not know/do not want to answer

10. Whom would you contact if you have any complaints regarding any issues in the village? (do not read the options)

- ◯ Head of district or district officials
- ◯ Head of village or village officials
- ◯ Customary (*adat)* or religious leaders
- ◯ Community social group leaders (Youth, Women's, microfinance, religious study group)
- ◯ Other
- ◯ NGOs
- ◯ none (of the above)
- ◯ Do not know/do not want to answer

11. To your knowledge, who of these is the most influential person in your village in deciding how the village's budget is allocated and spent?

- ◯ Head of village
- ◯ Village officials
- ◯ Member of Village's Consultative Body
- ◯ Customary (adat) or religious leaders
- ◯ Other
- ◯ Community social group leaders
- ◯ Common villagers
- ◯ Do not know/do not want to answer

12. In your opinion, who should have the most influence in deciding how the village's budget is allocated and spent? (do not read the options!)

- ◯ Head of Village
- ◯ Village officials
- ◯ Member of Village Consultative Body
- ◯ Customary (*adat)* or religious leaders
- ◯ Other
- ◯ Community social group leaders
- ◯ Common villagers
- ◯ Do not know/do not want to know

13. For the last 1 year, how often have you received an invitation to attend a community meeting organized by your village government?

- ◯ 4 times or more
- ◯ 2-3 times
- ◯ Once
- ◯ Never
- ◯ Do not know/do not want to answer

14. To what extent do you agree or disagree with the following statement: "common villagers should tell the village government what is the best for the village"

Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree	Do not know/do not want to answer
◯	◯	◯	◯	◯	◯

15. To what degree do your village leaders invite you to voice your concerns?

Always	Often	Rarely	Never	Do not know/do not want to answer
◯	◯	◯	◯	◯

16. To what degree do your village leaders listen to your concerns?

Always	Often	Rarely	Never	Do not know/do not want to answer
◯	◯	◯	◯	◯

17. To what degree do your village leaders respond to your concerns?

Always	Often	Rarely	Never	Do not know/do not want to answer
◯	◯	◯	◯	◯

18. To what degree do your village leaders consult you and other people like you in the village before making important decisions?

Always	Often	Rarely	Never	Do not know/do not want to answer
○	○	○	○	○

19. What would be your preferred way of discussing what's important in your village with your village leaders? (do not read the options!)

- ☐ Community meeting organized by village government
- ☐ Informal discussion with the head of village or village officials
- ☐ Activities with the Youth groups or Women's group
- ☐ Community meeting organized by oil and gas company
- ☐ Community meeting organized by NGOs
- ☐ Daily and casual talks with family or friends or neighbors
- ☐ Social activities in the community (religious events, microfinance gathering)
- ☐ Internet and social media
- ☐ Messaging service (SMS, WhatsApp, etc)
- ☐ Do not know/do not want to answer
- ☐ Other

Appendix 2

Ethics Committee of Human Sciences of the University of Oulu

Primi Suharmadhi Putri

To whom it may concern,

Primi Suharmadhi Putri at Geography Research Unit – University of Oulu has asked The University of Oulu's Ethics Committee of Human Sciences to provide a description of the ethical review system for research in Finland.

In Finland, research with human participants must comply with the guidelines of the Finnish National Board on Research Integrity TENK[1] *The ethical principles of research with human participants and ethical review in the human sciences in Finland. Finnish National Board on Research Integrity TENK guidelines 2019* (pdf).

The University of Oulu has undertaken to comply with TENK's guidelines. The guidelines do not cover medical research as defined by law (Medical Research Act 488/1999) or other research designs where ethical review is a separate obligation laid down by law.

According to the guidelines, research is to be conducted in such a way that the dignity and autonomy of human research participants is respected, and the research does not cause significant risks, damage or harm to research participants, communities or other subjects of research.

Ethical review is to be carried out prior to gathering data, if the research contains one or more of the following factors:

1. Participation in the research deviates from the principle of informed consent. Participation is not, for example, voluntary, or the subject is not given sufficient or correct information about the research.
2. The research involves intervening in the physical integrity of research participants.
3. The focus of the research is on minors under the age of fifteen, without separate consent from a parent or carer, or without informing a parent or carer in a way that would enable them to prevent the child's participation in the research.
4. Research that exposes participants to exceptionally strong stimuli.
5. Research that involves a risk of causing mental harm that exceeds the limits of normal daily life to the research participants or their family members or others closest to them.
6. Conducting the research could involve a threat to the safety of participants or researchers or their family members or others closest to them.

If none of the above factors is met, ethical review is not required.

In Finland, neither legislation nor TENK's guidelines require ethical review by an ethics committee for research based purely on public and published data, registry and documentary data or archive data.

Date and signatures [see electronic signatures on the next page]

Oulu, November 8, 2021

Tiina Keisanen	Janne Kurtakko
Chair, Ethics Committee of Human Sciences	Secretary, Ethics Committee of Human Sciences

[1] The Finnish National Board on Research Integrity TENK is an expert body appointed by the Ministry of Education and Culture and tasked with promoting research integrity and preventing research misconduct in Finland. Further information about the ethical review system in Finland is available at www.tenk.fi.

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Janne Kurtakko

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