



## Concept Note

### Participatory Governance Assessment (PGA) for REDD+ Implementation in Indonesia

#### A. Background

The Government of Indonesia (Gol) has been acknowledged for its leadership in tackling global climate change (as per Al Gore's statement at the Asia Pacific Summit for the Climate Project, January 9, 2011). In a letter addressed to UNFCCC (30 January 2010), the Gol indicated its commitment to voluntarily reducing carbon emissions by 26% by 2020 with funding from the national budget. The letter also indicated that the reduction of Greenhouse Gases (GHGs) would be increased up to 41% with international support by 2020.

As an early expression of this commitment, the Gol has formulated a National Action Plan (NAP) to reduce GHGs, comprising of at least 12 actionable programmes, including sustainable peat land management and reduction in the rate of deforestation and land degradation, with special emphasis on the prevention of land and forest fires, unsustainable forest management practices, illegal logging and other forest related crimes.<sup>1</sup> It is also in line with the Cancun Agreement, including UNFCCC Decision 1/CP.16, paragraph 70, which encourages *“developing country Parties to contribute to mitigation actions in the forest sector by undertaking the following activities, as deemed appropriate by each Party and in accordance with their respective capabilities and national circumstances: a) reducing emissions from deforestation; b) reducing emissions from forest degradation; c) conservation of forest carbon stocks; d) sustainable management of forests; and e) enhancement of forest carbon stocks.”*

Following the Letter of Intent (LoI) between the Gol and the Kingdom of Norway on 26 May, 2010 - which promotes cooperation in Reducing GHG emission from Deforestation and Degradation (REDD+) - the Gol established a Presidential Task Force to prepare the implementation of REDD+ through Presidential Decree No. 19/2010, headed by Dr. Kuntoro Mangkusubroto, Head of *the President's Delivery Unit for Development Monitoring and Oversight (Unit Kerja Presiden Bidang Pengawasan dan Pengendalian Pembangunan - UKP4)*. The Task Force has the following responsibilities:

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<sup>1</sup> *The 19<sup>th</sup> Draft, dated 20 August 2010*

- To ensure timely completion of the National Strategy for REDD+ and the National Strategy on Reduction of GHGs;
- To prepare the establishment of a national REDD+ agency;
- To prepare a financing instrument;
- To prepare the establishment of a reliable and independent Measuring, Reporting, and Verification (MRV) related institution;
- To formulate selection criteria for a pilot province and to ensure adequate preparation for the pilot province.

With the support of UN-REDD, the National Planning Development Agency (Bappenas) completed the National Strategy for REDD+ (NS-REDD+) on 18 November 2010, which is currently being reviewed by the Presidential Task Force on REDD+ before its official announcement as a National Strategy. The NS-REDD+ contains five main strategies: 1) improving spatial planning and land use to reduce/halt deforestation and forest degradation; 2) improving supervision/control and monitoring capacities of the government and the public; 3) improving the effectiveness of forest and peat land management; 4) promoting genuine public involvement - particularly of traditional (*adat*) or indigenous community and forest dependent people; - in reducing GHGs; and 5) empowering law enforcement systems in forest management.

According to the latest draft of the National REDD+ Strategy, strengthened governance related to the forestry sector is a priority of the GoI. Included in the National REDD+ Strategy objectives (the 3<sup>rd</sup> draft of the National Strategy REDD+, page 14), is the improvement of governance systems, and bureaucratic reform of forestry and related sectors. In addition, one of the medium-term objectives of the Strategy is to improve the prosperity of people living in forest and surrounding areas by increasing their participation in forest management. The achievement of these objectives is based on the principles<sup>2</sup> of *effectiveness, efficiency, gender equality, transparency and accountability*.

In the context of the “Cancun Agreement”, REDD+ *“should be implemented in phases, beginning with the development of national strategies or action plans, policies and measures, and capacity-building, followed by the implementation of national policies and measures and national strategies or action plans that could involve further capacity-building, technology development and transfer and results-based demonstration activities, and evolving into results-based actions that should be fully measured, reported and verified”*.<sup>3</sup> The Cancun Agreement also states that *“developing country Parties, when developing and implementing their national strategies or action plans, (must) address, inter alia, the drivers of deforestation and forest degradation, land tenure issues, forest governance*

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<sup>2</sup> The 3<sup>rd</sup> draft National Strategy REDD+, page 15

<sup>3</sup> UNFCCC Decision 1/CP.16, paragraph 73

*issues, gender considerations and the safeguards identified in paragraph 2 of appendix I to this decision, ensuring the full and effective participation of relevant stakeholders, inter alia indigenous peoples and local communities.”<sup>4</sup>*

The success or failure of the REDD+ agenda is highly dependent on the preparedness of the Indonesian public and institutions in meeting the challenges set by NS-REDD+. As agreed at COP 16 in Cancun, it is important for Indonesia to promote and develop a transparent and effective national forest governance structure, taking into account national legislation and sovereignty. This will be one of the safeguards promoted and adopted by developing country parties.<sup>5</sup>

A number of governance factors are crucial in determining Indonesia’s preparedness in accomplishing the REDD+ agenda, including: 1) the presence of an anti-corruption strategy, given the funding involved in REDD+; 2) the capacity of the government and law enforcement institutions, particularly at the local level, in implementing REDD+ activities at the community level; and 3) the capacity of the local people whose lives are dependent on the forest and other natural resources to access government decision-making structure which affect their lives. These points will be elaborated below.

This Participatory Governance Assessment for REDD+ Implementation is envisioned as a means of providing information on governance issues related to REDD+ implementation, and will have both short and long term objectives.

a. Short term objectives:

1. To identify policies and legislations which are directly related to the implementation of sustainable forest management, including REDD+;
2. To measure the capacity of provincial and district governments at both the institutional and individual levels to implement sustainable management of the forest and to accomplish REDD+ goals;
3. To identify important elements of anti-corruption strategies in the implementation of REDD+ (referring to the UN Convention Against Corruption-UNCAC); and
4. To map existing capacity levels, challenges and opportunities of indigenous peoples and other forest-dependent communities with regards to their abilities to undertake effective and meaningful participation in climate change governance.

The immediate results of the PGA include:

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<sup>4</sup> UNFCCC Decision 1/CP.16, paragraph 72

<sup>5</sup> Report of the Conference of the Parties on its sixteenth session, held in Cancun from 29 November to 10 December 2010 (<http://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf#page=2>)

1. Baseline information about the level of Indonesia's preparedness in implementing REDD+;
2. A policy paper on governance issues requiring attention during the REDD+ readiness and implementation phase in Indonesia; and
3. Recommendations on approaches necessary to guarantee the human rights of indigenous and other forest-dependent communities for the REDD+ readiness and implementation phase in Indonesia.

In addition to the short term objectives as above, the PGA also aims to achieve the following long term objectives:

1. To assist in the development of a road map on Indonesia REDD+ governance based on a multi-stakeholder process utilising PGA results and consensus among parties on issues of importance and aspects of measurement, including targets and indicators for measuring results; and
2. To develop a participatory and collaborative project which addresses assessment findings to facilitate information sharing on the progress of the REDD+ readiness and implementation phase.

Therefore, the expected results are:

1. A set of recommendations which can be utilised to develop a road map on strengthening Indonesia REDD+ governance. The PGA is also expected to serve as a basis for monitoring and evaluation of the progress, including reporting materials to UNFCCC; and
2. A participatory and collaborative project is formulated and supported by the Government of Indonesia and donors to pilot the strengthening of REDD+ governance in the readiness and implementation phases.

These expected results will contribute to the development of an Indonesian system that provides information on governance related safeguards that should be addressed and implemented.

## **B. Conceptual Framework**

### **1. Governance and REDD+**

Deforestation and forest degradation are caused by a number of factors, including market drivers, policies and governance failures which provide incentives to cut down, rather than protect, trees.<sup>6</sup> These factors have prevented rainforest nations, including Indonesia, from controlling deforestation. The existence of a robust governance system and clear policies (or the lack thereof) also serve as key

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<sup>6</sup> *Trines, 2007 in REDD and Forest Governance, Chatam House, 2008*

determinants of the ability of a country to participate in new financial mechanisms for forest protection, including REDD+.

A range of governance factors must be seriously considered for the effective implementation of sustainable forest management, including REDD+. These include:<sup>7</sup>

- Effective institutions with clearly defined roles and responsibilities
- Clear and appropriate laws and policies
- Clear land tenure and land use planning
- Effective forest management
- Just forest revenue distribution and economic incentives for local people
- Mechanisms and authority to implement and enforce laws and policies
- Monitoring capabilities
- Access to and capability to influence decision-making processes

Based on regional public consultations on REDD+ held by Bappenas (supported by UN-REDD) during October-December 2010, four main causes were identified as perpetuating deforestation and forest degradation: 1) weak spatial planning and land use exacerbated by the failure of communities to recognise land tenure; 2) weak forest governance marked by the lack of transparency and participation in decision-making processes, especially in the issuance of forest concessions; 3) a lack of harmonisation between laws and regulations, and lack of participation of indigenous and forest-dependent people in law making processes and forest management; and 4) lack of effective law enforcement. Under the National REDD+ Task Force, enhancing forest and peat land governance is a priority of the National Strategy on REDD+.

## 2. Corruption Risks in REDD+

In response to urgent climate change issues, the international community has pledged significant funding for climate change adaptation and mitigation in developing countries, and a wide range of mechanisms and institutions for climate change financing is being put in place. It is therefore imperative that these funds are spent effectively, and are not lost through corruption.

REDD+, which is to be funded (partially) by developed countries (and potentially through the market), represents a potential source of new revenue for many developing countries, but also poses significant corruption risks. Based on the 2009 survey by the Corruption Eradication Commission (*Komisi Pemberantasan Korupsi-KPK*), the integrity of provincial level public sectors is generally low. The KPK gives the provinces a rating of 6.18 points, just slightly above the minimum

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<sup>7</sup> REDD and Forest Governance, 2008 and WRI Working Paper, 2009

benchmark of 6.0 points.<sup>8</sup> The absence of corruption prevention measures and public complaint mechanism are pointed out as the main contributing factors to that low index, which means that corruption risks in provincial public sector offices are high. Corruption is also rampant in the forestry sector. As suggested by the assessment of the KPK in 2010, the corruption risk in the forestry sector is found in 19 areas.<sup>9</sup> Given that corruption is widespread in the forestry sector in Indonesia (combined with poor governance), it is crucial to address the issue of corruption in REDD+ implementation.

UNDP has identified the key corruption risks for REDD+ as follows:<sup>10</sup>

- a. The preparation phase may be affected by state capture, effected through grand corruption and political corruption, in which powerful individuals and groups, such as politicians, logging companies, agribusiness and possibly the military, seek to influence the design of the country's national REDD+ framework in order to advance their private interests or to entrench their political power. This can serve as a way of 'legalising' corruption.
- b. The implementation phase may also be affected by grand corruption, political corruption and even petty corruption, in which the low to mid-level public officials responsible for implementing REDD+ are bribed to ignore routine breaches of REDD+ laws (e.g. illegal logging), or are bribed to create fraudulent land titles or carbon rights.
- c. Distribution of REDD+ revenues and benefits, such as the embezzlement of revenues and the misappropriation of revenues by powerful groups, including logging companies, the military, and project developers is also a risk.

The result of the Corruption Risk Assessment in the forestry sector, conducted by the KPK in 2010 identified some serious loopholes in existing legal policies at both national and sub-national levels which are prone to corruption<sup>11</sup>.

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<sup>8</sup> KPK, Indonesia: Public Sector Integrity 2009 - Corruption Facts in Public Services, Jakarta 2010, p. 60 -61.

<sup>9</sup> Based on this assessment, KPK suggests 17 critical areas in forestry planning and management that require reform to prevent corruption from persisting. These include regulations and policies, institutional capacities, procedures and human resource management. With regards to regulations and policies aspect for example, KPK pointed out two major weaknesses: 1) the absence of regulation that should prescribe only one map of the forest area as the only official reference for all stakeholders; and 2) a lack of clear criteria and standards under the existing Forest Ministerial Decree by which affirmation of a particular area as the forest estate/area can be made. In terms of institutional capacity, the study found lack of appropriate planning for capacity development in local levels, as a consequence of decentralisation policies on the management of forest, including those that aim to develop and strengthen Forest Management Units (KPH) on the ground. In terms of procedures, the absence of a procedure to protect and oversee the forest has been identified, as well as a lack of mechanisms to evaluate the performance of local government institutions in protecting and overseeing the forest. The poor quality of human resources also impacts the oversight and management of forests at the local level. See *Corruption Impact Assessment: Titik Korupsi Dalam Lemahnya Kepastian Hukum Pada Hutan (Corruption in the Presence of Weak Legal Certainty)*, Indonesian Anti Corruption Commission (KPK), 2010.

<sup>10</sup> Staying on Track: Tackling Corruption Risks in Climate Change, UNDP 2010

### 3. REDD+ and Indigenous People and Other Forest-Dependent Communities

In Indonesia, indigenous communities remain one of the most marginalised and vulnerable groups, and suffer from limited participation in governance. In most cases, they have inadequate access to information and communication channels, and do not have the voice or means to fully participate in governance decisions and political processes affecting their lives. As a result, they have been deprived of their rights and entitlements, including cultural and linguistic preservation, access to natural resources, land rights and ownership, and basic social services, including health and education. Indigenous people in Indonesia continue to face poverty and a wide range of development challenges.

REDD+ poses both threats and opportunities to indigenous people. The main threat is the centralised control of the state over tropical rainforests, which form part of the indigenous people's territories. Forest management has been fraught with conflicts between indigenous people and the state, as well as between people and the forest industry.<sup>12</sup>

With regard to indigenous people and local communities, the UN-REDD programme has developed Guidelines on Consultation and Free, Prior and Informed Consent (FPIC). It states:

“The UN-REDD Programme recognises that indigenous people (*adat*, traditional, or customary communities) and local communities should be fully involved in developing and implementing UN-REDD's consultations, and how the principles of free, prior and informed consent (FPIC) should be applied to the REDD+ activities proposed in the UN-REDD programme”(UN-REDD 2010:1).

However, FPIC does not address the issue of existing capacity issues of indigenous people and other forest-dependent people, which affect how meaningful and effective their participation and consent could actually be. For women in many situations, for instance, it is not enough to “inform” and “involve” them in the process of REDD+, as they are not seen by the communities—and do not see themselves—as possessing the qualifications to express opinions or to claim their rights. In addition, people often do not have the necessary negotiation skills or basic legal understanding to understand potential opportunities and risks. In situations where basic legal awareness and capacity do not exist, FPIC remains a procedural right. As such, cases may exist where the regulations and processes are in place, but the outcomes for indigenous and forest-dependent people are not fair, as they do not possess the basic capacity to be able to participate meaningfully in the decision-making processes which affect them. While FPIC is

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<sup>11</sup> Corruption Risk Assessment in Forestry Sector, KPK, 2010

<sup>12</sup> See main findings, conclusions and recommendations from Asia Summit on Climate Change and Indigenous Peoples, Organised by AMAN and Tebtebba, Bali, 24-27 February 2009

therefore a necessary principle in this process, it is not a sufficient mechanism to ensure the rights and welfare of indigenous people and other forest-dependent communities are protected.

The inclusion of forest in carbon or emission trading system can also result in the privatisation and commercialisation of indigenous people's forests and their further exclusion from the decision-making process regarding the utilisation and protection of forests.<sup>13</sup> REDD design must therefore take into account the rights of indigenous people to their forests so as to avoid the expropriation of indigenous owned and controlled forests and further destruction of indigenous forest management systems. Therefore, it is critical that UNDP Indonesia develops a capacity development programme for indigenous and forest-dependent people, geared towards building overall capacities that go beyond the narrow activities and objectives of getting consent for the REDD programme.

Of further concern is the state of indigenous and forest-dependent women. Traditionally acting as the central household custodians, women of these communities rely considerably on local natural and forest resources for their water and energy supplies, as well as for food security. The deprivation of access to natural resources, land rights and ownership thus jeopardises women's livelihoods and ability to further support their families. Similarly, natural disasters associated with climate change and deforestation, such as floods, droughts, fires, and mudslides, have adversely affected the lives of the women and the family members under their care.

In many countries, including Indonesia, forest tenure is not clear and is often subject to dispute. This places limitations on effectiveness, efficiency and equity. The importance of tenure in REDD+ is obvious. Tenure rights are a serious issue for indigenous and forest-dependent communities, as many simply do not possess legal tenure. Land tenure is perceived largely as an alien concept of land possession by these communities. Without tenure, however, the application of REDD+ will only jeopardise the indigenous communities. REDD+ is essentially a broad set of policies intended to prevent or slow deforestation and degradation, and increase forest carbon stocks. A subset of these policies allocates rewards to carbon rights holders who achieve REDD+ objectives, either measured directly by changes in forest carbon stocks or by proxies for those changes.<sup>14</sup> But determining the legitimate carbon holders is not always clear as forest tenure is contested and rights are insecure or overlapping.

#### **4. Local Governance Capacity for Effective REDD+ Implementation**

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<sup>13</sup> Idem

<sup>14</sup> Meridian Institute, 2009 in Sunderlin et al, 2009



Governance capacity is of significant importance for effective implementation of REDD+. Local government institutions are the frontline for dealing with communities, and will be the main focus of the REDD+ and climate change agenda. Local governments consist of provincial and district governments.

The failure to implement sustainable forest management in Indonesia is not merely caused by a lack of transparency or participation in spatial and land-use planning, environmental impact assessment or licensing processes, but goes beyond these issues. Governance capacity, particularly at the sub-national level, must first be assessed in accordance with the following four components:

- An enabling environment, in terms of policy framework, laws and regulations;
- The implementation and enforcement of those policies, laws and regulations, including the availability of dedicated formal institutions for sustainable forestry management;
- Human resource capacity within the dedicated formal institutions; and
- How the public perceives the performance of the institution, including the level of transparent and accountable decision-making, accountability and enforcement.

The formal institutions and human resource capacities are essential to ensure proper control, monitoring and enforcement of the existing laws.

### **C. Scope of the PGA**

The Participatory Governance Assessment will have the following scope:

#### **1. Laws and Policies Related to REDD+**

The assessment seeks to identify laws and policies, which are directly related to the implementation of REDD+ activities, including: 1) reducing emissions from deforestation; 2) reducing emissions from forest degradation; 3) conservation of forest carbon stock; 4) sustainable forest management; and 5) enhancement of forest carbon stock.

The Participatory Government Assessment will aim to answer the following questions:

1. Are there laws and policies (both at the national and sub-national levels) regulating and enabling the five REDD+ priorities?
2. Are these laws and policies harmonised with one another?
3. Is there a perceived gap between the policies and laws and their actual implementation?
4. Do these policies and laws include gender-sensitive strategies and contain elements of women's empowerment?
5. Do these policies and laws recognise indigenous and other forest-dependent communities as legitimate stakeholders through their involvement in regular

consultations (such as *Musrenbang* - the participatory development planning process)?

6. Do these policies and laws make tenure rights and the reform of tenure right laws among indigenous and other forest-dependent communities parts of their objectives?

## **2. Government Capacity - Institutional and Human Resources**

This part of the assessment will measure the capacity of provincial and district governments at the institutional and individual levels. The following questions will be asked in the assessment:

1. Are the REDD+ priorities included in the planning documents at the sub-national level?
2. Is there any institution at the sub-national level that deals specifically with REDD+ priorities, with sufficient mandate, authority, budget, and personnel allocation?
3. Are the individual officials and staff of those institutions sufficiently knowledgeable on REDD+ issues?
4. Do the public perceive that the sub-national government is handling REDD+ effectively?
5. Do the local government institutions have policies and strategies aiming to promote/assure compliance with REDD+ regulations which fall under their authority? Is the compliance strategy effectively applied? What are main factors that hinder sufficient compliance?
6. Are the local governments adequately equipped to conduct effective oversight and monitoring (including by imposition of any administrative sanctions)?

## **3. Anti Corruption Strategy**

The assessment will identify elements of an anti-corruption strategy, using the UN Convention Against Corruption (UNCAC). The assessment will examine the ability of local REDD+ frameworks to recognise corruption risks, and whether it adopts an anti-corruption strategy, according to the following questions:

1. In provinces/districts that do have REDD+ framework, does the framework recognise corruption risks and incorporate effective anti-corruption policies?
2. Does this framework provide a link to the Corruption Eradication Commission (KPK) or any other anti-corruption mechanisms to enable investigation and prosecution concerning corruption in REDD+?
3. Does this framework contain freedom of access to information provision, allowing the public to obtain information about REDD+ (for example,

application for re-zoning, issuance of REDD+ licenses, funding mechanism and benefit distribution, REDD+ safeguards, etc.)?)

4. Does this framework contain provisions for capacity building and support for civil society organisations (CSOs) working on REDD+ to enable them to participate in REDD+ implementation?

#### **4. Indigenous People and CSO Capacities to Participate in REDD+ Decision-Making Processes**

It is important to map out the existing capacity levels, challenges and opportunities for indigenous people and other forest-dependent communities with regards to their ability to participate effectively and meaningfully in REDD+ governance. The following questions will therefore be asked:

1. Are the local indigenous or other forest-dependent communities sufficiently organised to be able to aggregate their interests (as pressure or interest groups) through the decision-making processes?
2. Do these groups/organisations possess sufficient capacity to articulate and convey their demands to the state, and to communicate their positions to the public?
3. Do these groups/organisations have sufficient access to legal resources, and skills to document rights violations, as well as to report them to the relevant local or national authorities and to the public?
4. Are women of the indigenous or other forest-dependent communities actively engaged in these groups/organisations?

#### **D. Planning and Implementation Arrangement**

In order to ensure participation in this assessment, this concept note has been developed by key stakeholders, including relevant UN agencies, government institutions (both national and sub-national) and CSOs. This consultation mechanism is applied in order to gather input and suggestions for strengthening the concept note. It also serves to garner support for the implementation of the results of the assessment. In the implementation process, consultative groups and provincial working groups will be established to ensure the meaningful participation of key stakeholders.

In addition to this participatory element, the PGA aims to increase the capacity of local stakeholders in REDD+ governance issues. To this end, the institution chosen to collect data will be required to demonstrate their connection to and collaboration with local research institutions such as, preferably, the universities in respective provinces. Through regular consultative mechanism, it is expected that there will be transfer of knowledge to key local stakeholders on REDD+ issues.

During the early consultation process, it was agreed that while the involvement of the relevant stakeholders is an essential ingredient to the buy-in of the PGA, the independence of the process and results of the PGA need to be maintained. Therefore the stakeholders agree that the assessment activities will be directly implemented and managed by UNDP Indonesia Country Office, through UNDP's Direct Implementation Modality (DIM). That said, the consultative process with the relevant stakeholders will take place in every step of the PGA.

## E. PGA Locations

The assessment will be conducted in regions where there are primary forest/peat land areas.<sup>15</sup> They are as follows (in hectares):

Province	Conservation Forest	Primary Forest and Peat Land	Critical Forest & Land in The Forest Estates
Aceh	1,031,625	1,648,633	134,033
Riau	581,550	2,445,553	1,568,641
Jambi	679,102	224,098	60,662
South Sumatra	815,308	267,574	511,203
Central Kalimantan	1,571,049	1,949,229	486,942
East Kalimantan	1,773,359	2,632,452	453,296
West Kalimantan	1,673,709	2,223,420	631,413
West Papua	3,373,369	1,963,607	460,714
Papua	6,025,219	7,880,450	2,530,180
Central Sulawesi	613,529	774,584	1,082,744

## F. PGA Methodology

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<sup>15</sup> The data related to primary forest and peat land areas is taken from National Forestry Council (Dewan Kehutanan Nasional – DKN) and Ministry of Forestry, 2010.

## 1. Approaches

The assessment will be conducted using both quantitative and qualitative approaches. The survey will be quantitative, while the qualitative aspect will be explored through in-depth interviews and focus-group discussions. By combining the two approaches above, the assessment will produce more comprehensive results.<sup>16</sup>

Since the assessment will map the capacity of national and sub-national institutions and human resources required to implement the REDD+ agenda in a participatory manner, extensive national and regional consultations will be required at each stage. For example, a number of national and regional consultations will be held during the process of finalising the assessment design (including the formulation of the objectives, outputs, scope and instruments of the assessment). Extensive consultations will also be held for the first and final drafts of the assessment findings and recommendations.

To ensure that the interests of indigenous people and forest-dependent communities are taken into account, the initiative will engage national and local organizations who are known for their work with these groups. These organisations include Aliansi Masyarakat Adat Nusantara (AMAN) and Wahana Lingkungan Hidup Indonesia (WALHI). AMAN is a leading national NGO which advocates for the recognition of social, cultural, and legal rights of traditional (*adat*) communities in Indonesia. WALHI is the largest environmental NGO in Indonesia. UNDP Indonesia has enjoyed strong networks with both AMAN and WALHI, and has already conducted preliminary discussions on the project to gauge their interest in the assessment.

## 2. Data Collection Methods

Both primary and secondary data will be gathered through the following methods:

1. *Document Review*: A document review will be conducted at an early stage in the secondary data collection phase. The review will include documents/secondary sources on forests and peat lands, land use planning, land tenure, local governance issues, and the gender dimensions of these issues. The document review will provide an understanding of how local stakeholders respond to these issues. The assessment team will review relevant documents, such as local policies, regulations, study results and

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<sup>16</sup> For an explanation on data collection methodology, and qualitative and quantitative data, See, *Planning a Governance Assessment: A Guide to Approaches, Costs and Benefits*; UNDP Oslo Governance Centre, March 2009

other publications issued by local governments and civil society organisations.

2. *Stakeholder Opinion and Capacity Survey*: The survey will capture local stakeholder opinions and concerns about REDD+, particularly as they relate to good governance. This survey will involve several respondent groups, including local government officials, law enforcement officers, members of local parliament, community/indigenous leaders, women's groups, academics, journalists and NGO activists engaged in these issues. Data will be collected through interviews using questionnaires with at least 30 respondents in each province. The interviews will be conducted by enumerators recruited and trained specifically for this initiative.
3. *In-depth Interviews*: Interviews will be used to obtain information from identified key resource persons. In the context of this assessment, in-depth interviews will be conducted to verify and deepen the information obtained from the document review and survey. In-depth interviews will be conducted by field researchers, and will engage at least five informants per province, representing the above mentioned stakeholders.
4. *Focus Group Discussions (FGDs)*: These discussions will be carried out in order to complement the previous three data collection methods used in each province. The FGDs will comprise between seven to ten local stakeholders (taking into account gender balance). The FGDs will be conducted using participatory methods and facilitated by a field researcher. To ensure that women are able to participate equally, a separate FGD with women's groups may be held (so as to avoid the passive participation of women in mixed groups). The FGDs are not intended to gain consensus of participants, but rather to obtain deeper and varied confirmations on issues found in the document reviews. The results of these focus groups discussions are therefore information obtained on the experiences, observations, opinions, attitudes and expectations of local stakeholders related to sustainable forest management and governance issues.

## **G. Who Will Conduct the PGA?**

This assessment will be conducted by the following groups:

- **Expert Panel**:  
The panel will be responsible for reviewing and improving the overall design of the assessment, finalising the instrument/methodologies, conducting data analysis, formulating findings and developing recommendations. The panel will be composed of experts with strong knowledge on the four key assessment issues (forest policy, forest governance, bureaucracy/public

administration/local government, legal REDD+ policy, anti-corruption, indigenous people and civil society organisations).

The following candidates have been identified:

1. Prof Dr. Hariadi: Forest governance specialist, Professor at Bogor Institute of Agriculture (IPB), member of the Bappenas National REDD+ Strategy Task Force, and Coordinator of the Working Group in the Ministry of Forestry
  2. Dr. Sunaryo, MSc: Expert on forest policy and Special Expert for the Ministry of Forestry
  3. Dr. Myrna Safitri: Senior Researcher of Huma and Executive Director for newly established think tank at the Epistema Institute on Ecojustice, and expert on community tenure rights, land conflict and social safeguards on REDD+. She was also involved in the formulation of the National Strategy on Access to Justice, led by Bappenas and supported by UNDP
  4. Josi Katharina, SH., LL.M.: Senior Researcher at ICEL, legal specialist on forestry and REDD+ and member of Ministry of Forestry Working Group
  5. Prof DR. Sofian Effendi: Professor of Public Administration, former President of Gajah Mada University, leading expert on civil service reform, and Vice Chair of the National Independent Team for Bureaucratic Reform associated with the Vice President of the Republic of Indonesia (also acting as UNDP Governance Advisor)
  6. Mas Achmad Santosa: Governance, legal reform and anti-corruption specialist, member of Presidential Taskforce in Eradicating Corruption, Board Member of Transparency International Indonesia and former Commissioner of the Corruption Eradication Commission (also acting as UNDP Governance Advisor)
- Provincial Working Groups:  
To ensure the participation of local stakeholders, the initiative will engage Provincial Working Groups responsible for providing input on the improvement of the assessment design, facilitating data collection in the fields, verify the findings and recommendations formulated by the expert panel, and facilitating the implementation of action plans for follow up activities based on the recommendations. The Provincial Working Groups will comprise key stakeholders from relevant provincial government offices and non-governmental organisations mandated to deal with issues of forestry, environment, and indigenous people. Whenever possible, universities and journalists will also be encouraged to participate. The initiative will also utilise as much as possible existing groups in the province that may have similar mandates or purposes to the provincial working groups.

- **Contracted Data Collection Institutions:**  
Based on lessons learned from UNDP's Indonesian Democracy Index (IDI) project, the initiative will select a professional research institution through a competitive process. The selected institution will be required to collect high quality data from the targeted provinces/fields and enumerate, tabulate and process the data for analysis by the Expert Panel.
- **Consultative Group:**  
In order to ensure ownership of the initiative, a Consultative Group will be brought together for regular meetings with the Expert Panel. These meetings will enable dialogue around milestone achievements of the assessment, and will help the Expert Panel to strengthen the assessment design and methodology, analyse key findings and form recommendations. To ensure the independence of the assessment process and results, the Consultative Group will not have any direct authority over the Expert Panel. The Consultative Group will include relevant government ministries and agencies, i.e., the Ministry of Forestry, Ministry of Environment, Bappenas, Task Force on REDD+, selected members of Provincial Working Groups, and representatives of AMAN and WALHI.
- **Project Management Unit (PMU):**  
The PGA will be implemented by a Project Management Unit (PMU) comprising of: one Project Manager (GS-9 level), one Project Officer (GS-8 level) and one Project Assistant (GS-5 level). The PMU will be responsible for providing managerial and logistical support to the assessment, organising and facilitating the consultative meetings, coordinating activities, and generally oversee the assessment in terms of work-plans, budgets and reporting. The PMU will also be responsible for producing the complete project document for the Participatory Governance Assessment.

#### **H. Stages of the PGA:**

The Participatory Governance Assessment has four phases:

1. In Phase I, assessments will be carried out in ten target provinces (eight REDD pilot provinces, Central Sulawesi as UN-REDD pilot province, and West Kalimantan) in order to provide information to UKP4 and UN REDD on the level of preparedness and on critical aspects of governance in the areas that are to be piloted in REDD+ implementation.
2. In Phase II, the project will facilitate communication of policy recommendations with key findings of the assessment. This will be geared



towards a development of a road map on Indonesia REDD+ governance, including the building of a consensus among those key stakeholders important issues such as measurements, indicator systems, and targets setting, as well as the establishment of a mechanism for following up and monitoring the agreed indicators.

3. In Phase III, assessments will continue, with greater emphasis on ownership and local involvement in the assessment process. In this context, the involvement of provincial research institutions and/or local universities in data collection and analysis will be encouraged and facilitated. For this purpose, special empowerment facilitations, such as trainings and coaching for the selected local institutions/organisations, will be undertaken.
4. The first two phases of the assessment will generate findings and recommendations requiring follow up. For this purpose, in Phase IV, the initiative will develop a participatory and collaborative undertaking with both the government and non-government agencies to address findings resulting from the assessment. This will include activities that facilitate information sharing on the progress of REDD+ governance in the readiness and implementation phases. This pilot project on governance and REDD+ is intended to be implemented in 2 provinces: Central Kalimantan as the pilot province of Indonesia's REDD+ and Central Sulawesi as the UN REDD area.

#### **I. Timeframe**

The first phase of the assessment will take approximately seven months, beginning in June 2011. Detailed steps and the timeframe for the assessment are described in the attachment. The time frame of the second phase will be determined as the first phase progresses.

#### **J. Budget**

This initiation phase of the assessment will cost USD **150,000** (see attachment for the full budget). A full budget of the first phase will be developed based on the results of the Expert Panel deliberation and a series of consultation process in the provinces.