PRACTICAL GUIDE

TO

PARTICIPATORY GOVERNANCE ASSESSMENTS FOR REDD+ (PGAS)

Draft of 3 April 2014

(Updated after internal round of comments)

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1. INTRODUCTION

1.1 The Importance of Addressing Governance Challenges in REDD+

Reducing Emissions from Deforestation and forest Degradation (REDD+) is a climate change mitigation measure that seeks to reduce greenhouse gas (GHG) emissions by preventing or reducing forest loss and forest degradation. Essentially, REDD is about compensating tropical forest nation-states and companies or owners of forests in developing countries not to cut their carbon-rich forests or to reduce their deforestation and forest degradation rates, thus avoiding GHG emissions. REDD+ goes beyond deforestation and forest degradation, and includes the role of conservation, sustainable management of forests and enhancement of forest carbon stocks.

There is strong recognition among REDD+ countries, donors and civil society at large of the need to address governance[1] risks and shortcomings for a successful REDD+ process. This recognition is demonstrated for example, in the Cancun Agreements or in the Appendix on REDD+ safeguards, which make reference to "transparent and effective national forest governance structures" as one of the key safeguards REDD+ countries are required to have in place. The importance of addressing governance challenges in REDD+ is also reflected in the UN-REDD/ FCPF Country Needs Assessment of 2012.

Tackling key governance issues – for example, a lack of appropriate coordination between relevant government institutions, transparency, accountability and representation in decision making processes or in institutions - is critical to addressing the underlying causes of deforestation and reducing risks and impacts from e.g. corruption; illegal and unplanned forest conversion and use; and conflicts over land, forest ownership and access rights.

1.2 The Guide's Purpose

Responding to UN-REDD Programme partner country demand for practical guidance on Participatory Governance Assessments (PGAs), the purpose of this guide is to outline the main steps of a PGA process, while allowing flexibility for variances across regions, countries, peoples, communities and circumstances. The guide also draws on lessons, challenges and practical solutions drawn from the experience of the four PGA pilots within the UN-REDD Programme to date: Ecuador, Indonesia, Nigeria and Vietnam.

1.3 Who This Guide Is For

The intended primary users of this guide are national stakeholders who are or will be engaged in a PGA process, including civil society, government, academia and private sector in general, and PGA coordinators in partner countries in particular.

1.4 Defining good governance

Numerous attempts have been made to fully capture the concept and characteristics of good governance in a single definition. In this publication, however, governance is seen as the **system**

[1] Although there are multiple definitions of governance, this publication will use the following one: *Governance is the system of values, practice, policies and institutions by which a society manages its affairs.*

of values, practices, policies and institutions by which a society manages its affairs. This relates to the economic, political and social dimensions in society.
Further, it should be noted that good governance is characterized by high levels of:

- **Transparency** in the form of available, accessible and reliable information on how decisions are taken; the status and progress (or lack thereof) of different processes; how funding is being spent; how state resources are managed and policies being implemented; how people are being recruited
- **Participation;** the level of interaction between citizens and state actors – here exemplified through the following questions:
    - To what extent is there agreement on *what* to be done and *how* to achieve common goals?
    - To what extent are citizens able to address their interests in dialogue with government or state actors; differences mediated; and legal rights being exercised?
- **Accountability** facilitated by clearly defined roles and responsibilities within and between government institutions (at local and national levels) but also sufficient citizen engagement for concerns to be voiced and addressed at the appropriate levels
- **Fairness**, under the premise that public policies and services should be designed to meet the needs and interests of all citizens, as opposed to those of a select few, and

The **capacity** of different actors, especially the government's capacity to effectively manage state resources and implement sound policies and enforce laws, as well as the capacity of citizens and civil society at large to appropriately demand services, exercise their human rights and hold decision-makers and relevant institutions to account when affairs are not run according to mandates or plans.

1.5 Key governance challenges specific to REDD+:

All countries face governance challenges to varying degrees, and for countries embarking on REDD+ already existing governance challenges will be coupled with a set of new governance risks. To illustrate some of the specific governance challenges a country may face in preparing for and implementing REDD+ strategies with the view of eventually receiving results-based payments, the current PGA pilots provide good examples of REDD+-specific governance risks and shortcomings according to the governance issues or areas they have prioritized:

Vietnam[2]:

- **Participation of stakeholders** in the process of making and implementing decisions with regards to contracting of production forest and land under Decree 135 (hereunder; how are rights for stakeholders to participate recognized; how are stakeholders' capacity to meaningfully participate; how are disputes handled etc.)

- **Forest tenure and benefit sharing** (hereunder legal recognition of rights and benefits, clarity of tenure – e.g. relating to forest boundaries, to what extent does proof of land exist; equity to what extent is there a difference between the legal framework and how

[2] Vietnam's indicator set as of March 2014

this is being enforced (de jure vs. de facto); awareness - to what extent are stakeholders aware of their rights and responsibilities to forests, etc.

Indonesia[3]:

- **Certainty over space and forest areas –** relating to the predictability and accuracy in forest management, such as numbers of spatial violations monitored by civil society/ NGOS, number of complaints to provincial government, to what extent relevant laws and policies have integrated governance principles,
- **Fairness of forest resources management –** relating to Indigenous Peoples (IP) rights in the REDD+ process, such as regulations recognizing IP rights, operating procedures for forest and land conflict management, ratio of "indigenous forest areas" mapped by IPs, ratio between forests areas being managed by private sector and communities, percentage of tenurial conflicts being resolved etc.
- **Anti-corruption/ transparency in forest management –** relating to among others recruitment procedures in the forestry sector (including consideration of integrity and competency), percentage of companies with sustainable certificates, percentage of NGOs monitoring licensing of forest resources, perception of bribes for permit application (by business actors), corruption-related cases in the forestry sector investigated by law enforcers and NGOs .
- **Law enforcement capacity –** complaint mechanisms integrating whistle blower principles, action plan for corruption prevention, law enforces received/ receiving training on multi-laws approach in forestry crime, investigations into corruption cases and forestry crimes by NGOs and media, percentage of forestry crime cases prosecuted by the Prosecutor's Office, percentage of verdicts on forestry crimes and so on.

All of the governance issues prioritized in Indonesia are also looked into from the perspective of different actor's **capacity**; regulations, **laws and policies;** and **REDD+/ forest governance performance**.

Nigeria: based on introductory discussions and preliminary indicator set, still to be further refined:

- **Broad and informed participation of REDD+ stakeholders;** participation and consultation mechanisms; stakeholder capacity at national and local level; training and communication, community organisation; empowerment and cohesion and gender equality.
- **Harmonization of policy and legal framework for REDD+;** assessment and definition of rights: to land, carbon and REDD+ (and legislation, as required) and; guidance for REDD+ community activities, REDD+ projects and REDD+ entrepreneurs

[3] Indonesia's indicator set [will be added in April]

- **Transparency and accountability of the REDD+ process and finance;** Public information on REDD+ funds and activities; allocation and use of funds; selection of beneficiaries and priority to rural livelihoods; and complaint mechanism
- **Inter-governmental relations and coordination;** federal-state dialogue and cooperation; between federal and state level AND between ministries/agencies; bureaucracy and implementation pace; and funding mobilisation

Additional REDD+ specific governance risks and challenges may be related to:

- How REDD+ plans and strategies, including benefit distribution systems, are being **designed;** in a participatory way to better ensure it benefits relevant stakeholders in the end, and not only elites
- The **integrity** of fiduciary and fund management systems ensured/ whether corruption risks are dealt with
- Whether activities are/ will be implemented in a **transparent** and **accountable** manner
- Is the country **legally prepared** for REDD+; what are the legal gaps that should be addressed
- **Transparency and access to relevant information** on REDD+ systems; revenue management, benefit distribution systems, MRV and conflict resolution systems
- **Government coordination** in REDD+ planning and implementation; coordination between different levels of government, clarity on roles and responsibilities, cross-sectorial coordination

Legislative reform and enforcement , e.g. land tenure and anti-corruption measures

1.6 Participatory Governance Assessment for REDD+ (PGA)

The PGA is one several tools and guidance documents developed by the UN-REDD Programme that countries can use to address governance challenges and as such, it should be seen as complementary to other governance activities, for example related to anti-corruption, legal preparedness, and support to the development of national Safeguards Information Systems.

The PGA is an inclusive and multi-stakeholder process that aims to produce robust and credible governance information as a first step in addressing governance weaknesses and eventually, as a basis for policy reform.

Primary outputs of a PGA include:

- Comprehensive analysis of the state of governance relevant for a country's REDD+ process in particular and forest governance in general;
- Robust information on selected governance issues at national and sub-national levels; and
- Recommendations on how to address key governance shortcomings.

These outputs in turn can further provide and contribute to:

- A process to better understand gaps in governance and consensus on which key issues to prioritize;
- A baseline of data against which to track and monitor progress in addressing governance issues and which can feed into a country's national Safeguards Information Systems (SIS);
- Evidence in government planning and policy-making
- Evidence for civil society's advocacy work
- A powerful tool for advancing accountability in governance structures, institutions, and processes.

Although the PGA data – if used actively - has the potential for addressing governance challenges, bottlenecks and shortcomings for improved governance systems and structures, it is by no means a silver bullet and will be limited in scope by the governance issues prioritized by stakeholders, the applied methodology and non-technical limitations. [4]

Ecuador's integration of the PGA in the larger REDD+ process at national level

Ecuador's experience with the PGA demonstrates how a PGA can be integrated into a broader national REDD+ process, with benefits to the country's efforts on stakeholder engagement and the development of information systems.

Ecuador's Ministry of Environment (MAE – Ministerio del Ambiente del Ecuador) expressed interest in the PGA approach early on in the country's REDD+ process. Ecuador was particularly interested in using the PGA to strengthen participatory processes and improve the quality of governance-related information in the forest management sector.

Consultation took place with a focus on ensuring the PGA would be integrated and connected to other planned REDD+ activities - specifically, there was a focus on links with Ecuador's stakeholder engagement and safeguards activities of the UN-REDD Joint National Programme (JNP).

These links were then enhanced by the way Ecuador set up the PGA organizational structure and team composition, where the PGA facilitator is a member of the JNP team, reporting to the JNP Coordinator, sitting in the same unit and working closely with the coordinators of two other relevant outcomes in the JNP process. Because of this, the participatory process developed for the PGA is fully integrated with that of the broader REDD+ process.

Further, by focusing the PGA on strengthening participatory mechanisms in key deforestation areas and by seeking the majority of input from the local level for governance data and indicators, the PGA has helped to bridge the gap between national and local-level participatory mechanisms and decision making processes for REDD+.

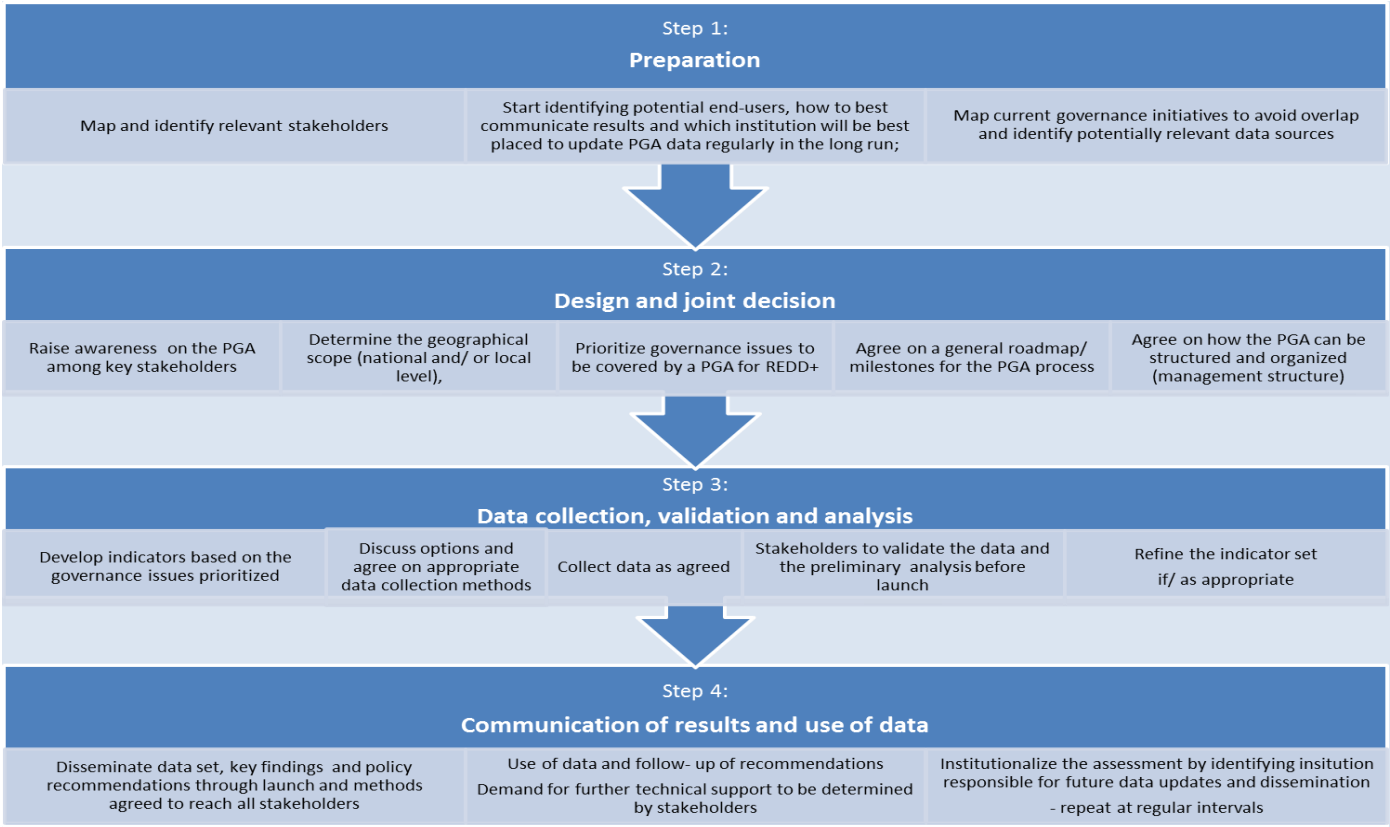
Finally, in addition to integrating the PGA within the JNP, Ecuador has also ensured links between the PGA and the country's REDD+ SES process, with the aim of contributing to one harmonized Safeguard Information System.

[Example 1: Ecuador's integration of the PGA in the larger REDD+ process at national level**]**

[4] For more background information on how the PGA fits within the larger REDD+ process at the national level, please refer to Annexes IV and V, and also Example 2 on how Indonesia has and will be using the PGA data in their national and provincial level REDD+ implementation.

1.7 Main PGA Steps Outlined

Although the PGA process is flexible enough to be adapted to a country specific context, the PGA process may be outlined through four main steps with regards to preparation and design, implementation and follow-up of findings and recommendations. These steps will be elaborated in more detail in the following chapter, while the table below provides a snap shot of how the PGA typically will look like from a general perspective.



[Table 1: Main steps of a PGA process**]**

2. PGA STEPS IN DETAIL

STEP 1: PREPARATION

This section will outline some of the key issues that need to be considered before a PGA can be implemented. Critical questions to be considered and associated issues are outlined below.

How will the PGA data and information be used? Careful thought must be given to how the results of the PGA will be used as it will determine how the PGA is set up. As mentioned above, the PGA results can contribute to among others, governance planning and policy making and related REDD+ activities such as stakeholder engagement and a Safeguards Information System (SIS).

Who is the intended end-user(s) of the PGA? Who will be using the PGA data in the end and for what purpose are key questions to address and determine early on in the PGA process. This will ensure relevant information in a format that is accessible to relevant stakeholders, but will also determine to a great degree which stakeholders should be approached and also contribute at what stages throughout the PGA process.

Below are some examples of possible end-users and how they may actively make use of the PGA data in the short and long term – all with the view of improved governance ultimately.

Possible end-users of PGA data, findings and recommendations	
Type of actors:	**Areas of potential use:**
Government actors	• As a basis for strategic planning and prioritization where the PGA data has pointed areas of most urgent attention • As a basis for more informed, relevant (to all stakeholders) and strategic policy-making • As a basis for more informed and strategic governance reform • Feeding into relevant components of a country's *Safeguards Information System (SIS)* • Measuring progress and regression against baseline and updated PGA data
Civil society actors	• Credible and robust evidence (already validated by government) as basis for their lobby and advocacy work • Prioritizing areas of strategic intervention and focus based on PGA findings
Private Sector actors	• As part of their planning
Academia	• Evidence to support further research
Donors	• To get a clear indication on the state of governance and performance over time relating to the implementation of REDD+ (governance systems, structures, performance etc.) - particularly through the Safeguards Information System (SIS)
Journalists	• Reporting to the public on measured progress and regression • Feed into public debate
Parliamentarians/ law makers	• To hold decision makers to account on poor performance in certain areas over time and as a basis to shift direction/ argue for reform in these areas • As basis in budget negotiations • Report to constituencies on progress and regression in general/ feed into public debate

[Table 2: Possible end-users of PGA data and recommendations**]**

Who should be involved and contribute at what stage? The PGA process encourages wide enough participation both to add to the comprehensiveness of the data and to bring about as realistic recommendations to identified and agreed governance shortcomings. As such, it is encouraged that stakeholders beyond the "typical" actors are involved – by inviting the private sector actors (e.g. business associations) and also allow for critical and constructive voices from civil society. Stakeholders should be approached as early as possible, and once the

organizational structure is determined jointly (see step 2 below) who contributes with what and when should be clear to all.[5]

An additional enabling factor, which will add to the transparency and legitimacy of the process, is to regularly communicate the decisions and progress made (see step 2 for more detail) to the broader stakeholders.

What already exists in terms of similar governance initiatives and useful data sources? Governance initiatives of a similar and relevant character should be mapped, not only to avoid overlap, but also to identify what data sources already exist and can be used further once the scope of the PGA process is determined.

How will the PGA process be financed? One potential source for financing the PGA is through UN-REDD National Programme funding. To strengthen ownership, it could be beneficial to have a cost sharing arrangement with the government and/or civil society actors and indigenous peoples.

Which institutions (within government, academia, or civil society) are well suited to update the governance data at regular intervals in the long-term? While this question need not be answered at this stage, consideration should be given to this question in order to determine which organizations and institutions should be included in the PGA process from the onset.

How the PGA data is and will be used in Indonesia

During the launch of the PGA report in Jakarta on 6 May 2013, government and civil society representatives highlighted a number of practical uses of Indonesia's PGA process. A couple of notable quotes and references are outlined below:

> Dr. Kuntoro Mangkusubroto, Head of Indonesia's REDD+ Preparedness Task Force/the Presidential Working Unit for Supervision and Management of Development (UKP4), refers to the PGA process in Indonesia as a "most valuable contribution to the process of improving governance of forests, land and REDD+" and emphasized the importance of regular governance data updates to "track progress or regression" towards the baseline now available.
>
> In his remarks, Dr (Hc) Zulkifli Hasan, Minister of Forestry stated that the PGA report will be used as key reference to develop the next strategic forestry planning, particularly with regard to the forest governance aspects. In addition, the PGA will be a model used to conduct forest and REDD+ governance in the future. The PGA rightly points to areas requiring urgent attention, and as such provides comprehensive data and evidence for government planning and as a basis for further policy-making.
>
> Abdon Naban, General Secretary of AMAN (Alliance of Indigenous Peoples in the Archipelago) and one of the PGA Expert Panel members, states that the PGA process is contributing to a constructive space for dialogue between different stakeholders, and that AMAN has already used preliminary findings and recommendations in their national working meeting for strategic planning in Palangkaraya-Central Kalimantan in March this year.

A significant accomplishment of Indonesia's PGA process is the production of baseline data credible to a variety of stakeholders. The focus in the coming year will be to disseminate the results at sub-national levels; ensure active use of the data - to which South Sumatra and Jambi provinces have demonstrated a

[5] An Institutional Context Analysis may also benefit the mapping of stakeholders. [hyperlink to be added]

particular interest in utilizing the data in their planning; follow up on recommendations from the process and identify an appropriate Indonesian agency or institution to provide regular and timely updates[6].

[**Example 2:** How the PGA data is and will be used in Indonesia]

STEP 2: DESIGN AND JOINT DECISION MAKING

In this phase it is important to bring all stakeholders together to introduce them to the PGA approach, objectives and relevance, scope process, and possible future use of the governance data. Multi-stakeholder workshops and meetings should discuss perspectives on the state of governance for REDD+ in the country, including gaps, challenges, priority issues and possible solutions which will both add legitimacy to the choices taken and relevance to the data

What are the key governance areas where robust data is needed?

It is worth keeping in mind that the PGA is not a remedy or silver bullet for all governance challenges a country faces in preparing for REDD+, but rather an approach to tackle a few of these in a systematic and inclusive manner. As such, during this early stage, an analytical discussion of the state of governance for REDD+ in the country in question should be held between the key stakeholders to jointly diagnose governance shortcomings and gaps. This discussion will also form the basis of which governance issues stakeholders finally prioritize to get regular information and updates on, and also the areas on which stakeholders can provide recommendations for improvements.

Although it might be tempting to have a long list of governance issues, this might make it harder in the long run to update the PGA data due to human and financial capacity. It is better to start out with three or four key governance issues that the PGA can address, and once data is being updated and shared regularly on these areas, it might be possible to look at additional ones.

What should be the geographical scope of the PGA process?

The geographical scope of the PGA needs to be determined by the country's REDD+ process in general, but usually a combination of national and local level PGA locations is preferred to ensure a balance of perspectives and priorities. Determining which locations are relevant at the local level is not necessarily straight forward, and may be constrained by limited funds available. Worth keeping in mind for these discussions are also the cost-implications for future data collection Discussions and joint decisions between stakeholders are important to ensure that the further process is deemed legitimate and relevant.

Why is an organizational structure needed?

Who is expected to contribute with *what* during the PGA process is important for several reasons. Firstly, it clarifies to the stakeholders invited to join what they are supposed to contribute with, what their role will be and how much time is needed.

Secondly, it is key to balance wide and meaningful participation with the need for a smaller and representative constituency or group within the PGA to take decisions after discussions and input have been given. How this is done can vary from country to country. Both from a legitimacy and practical angle, it is recommended based on the experience thus far with the PGA

[6] More from the launch of the PGA report in Indonesia can be found here:http://www.un-redd.org/Newsletter38/IndonesiaREDDGovernance/tabid/106348/Default.aspx

pilots to identify a few individuals (roughly 6-8) representing civil society, government, private sector and academia whom the stakeholders approached agree on and give a mandate to have the overall responsibility for the PGA process. This will involve taking decisions on the major steps and methodological options when needed –based upon the input from the larger stakeholder group(s) and with a view to demonstrate how and why inputs have been taken into account or not (through response matrices among others).

See example from Indonesia below on how they have structured their PGA process.

What are the main next steps and what will the process look like?

Agreeing on a general roadmap with key milestones will not only clarify the further process and main steps, but also give an indication of when different stakeholders are supposed to contribute and also clarify when data will be available in the end.

How to ensure clarity amongst stakeholders on the relevance and expected outcomes of the PGA throughout the process?

It should not be underestimated to clearly communicate the relevance of the PGA in the larger national process and the expected outcome(s) throughout the process. This should not only be done when stakeholders first convene, but should be repeated throughout the process and ideally at the beginning of each meeting and workshop. It is also advisable to provide a reference to the status of the PGA report or which step the process is currently at (see Table 1 on the different steps).

Nigeria's Experience on Step 2: Preparing the Groundwork for Informed Participation and Decision Making

Prior to a larger inception workshop on the PGA in Nigeria, preparatory research was undertaken to have a more informed discussion with workshop participants who had different knowledge of and experience with dealing with REDD+ governance issues. The research was conducted on the following aspects – and were basis for further discussions:

- Relevant **governance challenges** for REDD+ in Nigeria/ Cross River State as basis for prioritizing governance issues which the PGA will cover;
- Mapping of **traditional means of communication** to support a communication strategy to more effectively reach local stakeholders, both on seeking input, validation/ feedback and communicating results;
- **Stakeholder analysis** to inform the selection of participants for the PGA;
- **Private sector mapping** to inform possible involvement of businesses in the PGA.

Feedback from the workshop participants reflected the sentiment that the preparatory research contributed greatly to a common understanding on the complex issues and enabled more active engagement in the discussions.[7]

Indonesia's Experience on Step 2: Setting up the PGA and Agreeing on an Organizational Structure

In Indonesia, the PGA was first discussed among national level government and civil society

[7] The workshop report and preliminary research can be found here: http://www.unredd.net/index.php?option=com_docman&task=cat_view&gid=2728&Itemid=53

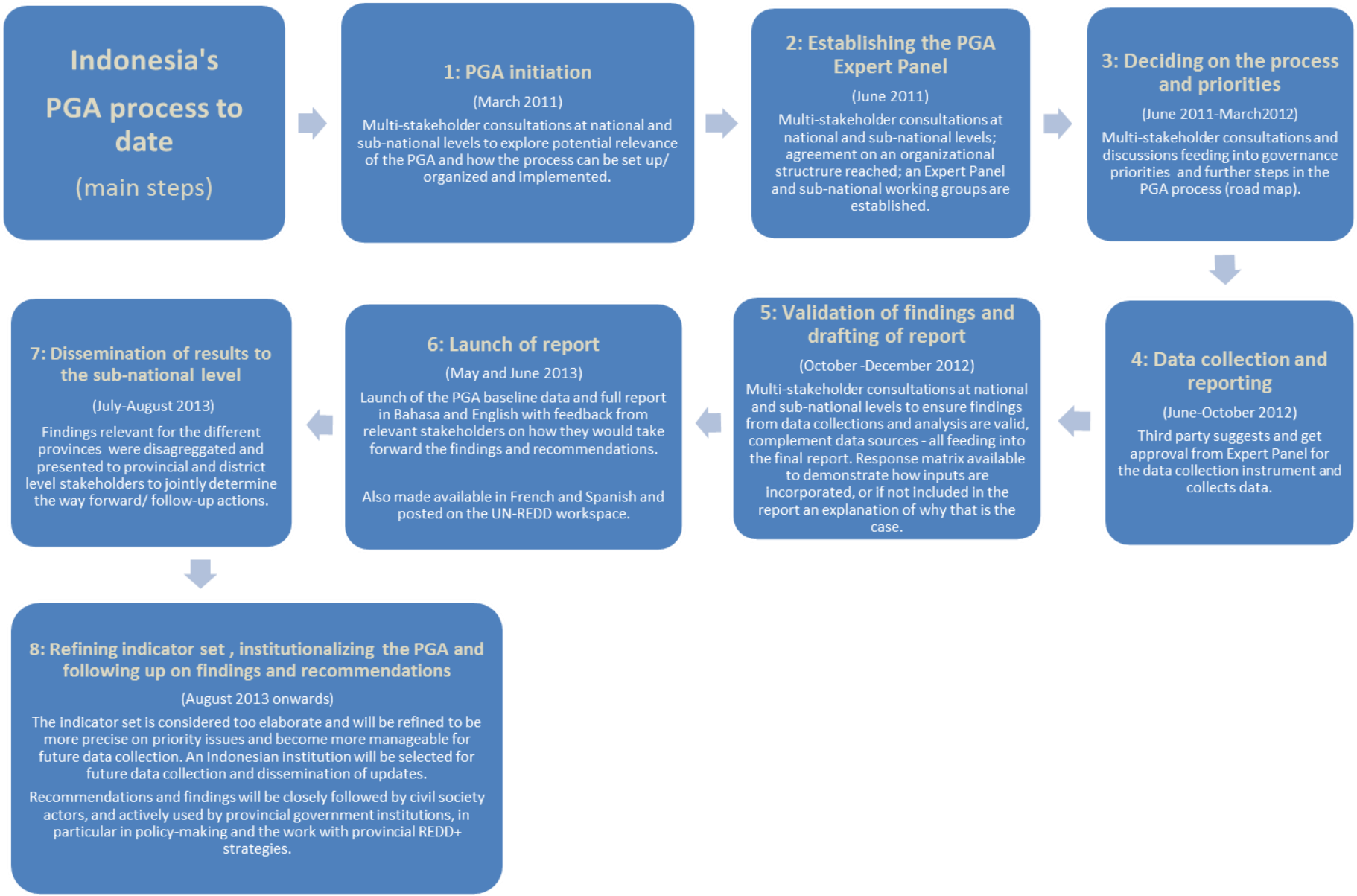
representatives and subsequently through provincial level consultations.

An **Expert Panel** was then established, based on active input and advice from relevant stakeholders (including representatives from government institutions, civil society, academia, private sector and UNDP Indonesia). The Panel's mandate was to formulate the scope of work, assessment framework, indicators and instruments for gathering data. The Panel's draft recommendations were reviewed by key stakeholders and revised based on input.

A **PGA team** was established in UNDP Indonesia, upon request from government actors involved in the PGA process. This was seen as a neutral way to organize the logistical aspects of the PGA process.

Sub-national working groups were also established in the ten selected provinces with a view to relay input, feedback and concerns between national and provincial level stakeholders throughout the process.

[Examples 3 and 4: Nigeria's experience towards informed participation and decision-making; and Indonesia's experience on setting up and agreeing on the organizational structure of the PGA **]**


Indonesia's
PGA process to date
(main steps)
1: PGA initiation
(March 2011)
Multi-stakeholder consultations at national and sub-national levels to explore potential relevance of the PGA and how the process can be set up/ organized and implemented.
2: Establishing the PGA Expert Panel
(June 2011)
Multi-stakeholder consultations at national and sub-national levels; agreement on an organizational structrure reached; an Expert Panel and sub-national working groups are established.
3: Deciding on the process and priorities
(June 2011-March2012)
Multi-stakeholder consultations and discussions feeding into governance priorities and further steps in the PGA process (road map).
4: Data collection and reporting
(June-October 2012)
Third party suggests and get approval from Expert Panel for the data collection instrument and collects data.
5: Validation of findings and drafting of report
(October -December 2012)
Multi-stakeholder consultations at national and sub-national levels to ensure findings from data collections and analysis are valid, complement data sources - all feeding into the final report. Response matrix available to demonstrate how inputs are incorporated, or if not included in the report an explanation of why that is the case.
6: Launch of report
(May and June 2013)
Launch of the PGA baseline data and full report in Bahasa and English with feedback from relevant stakeholders on how they would take forward the findings and recommendations.
Also made available in French and Spanish and posted on the UN-REDD workspace.
7: Dissemination of results to the sub-national level
(July-August 2013)
Findings relevant for the different provinces were disagreggated and presented to provincial and district level stakeholders to jointly determine the way forward/ follow-up actions.
8: Refining indicator set , institutionalizing the PGA and following up on findings and recommendations
(August 2013 onwards)
The indicator set is considered too elaborate and will be refined to be more precise on priority issues and become more manageable for future data collection. An Indonesian institution will be selected for future data collection and dissemination of updates.
Recommendations and findings will be closely followed by civil society actors, and actively used by provincial government institutions, in particular in policy-making and the work with provincial REDD+ strategies.

PGA pilot overview	Indonesia	Vietnam	Nigeria	Ecuador
Actors involved	National and sub-national stakeholders involving academia, government, civil society and the private sector. Ministry of Forestry, Indonesia's REDD+ Preparedness Task Force, the Presidential Working Unit for Supervision and Management of Development (UKP4), the National Planning and Development Agency (BAPPENAS), Bogor Agriculture Institute and President of National Forestry Council, Indigenous Peoples Alliance of the Archipelago (AMAN), Epistema and Walhi.	VN Forest, functional departments at provincial level, state forest companies/ management boards, functional unit at district level, communities (communal level), local university, as well as Vietnamese NGOs.	Ministry of Environment, Cross River State Forestry Commission, NGOCE, University of Calabar, representatives from local communities (Mbe Mountain) and Women Environmental Programme.	The Ministry of Environment, Fundacion Pachamama, CONAIE, CONAICE, Ceplaes – RFN, WWF, Care and Flora and Fauna, among others
Governance issues prioritized	• Law and Policy Framework, • REDD+ Actors' Capacity (Government, Civil Society, Indigenous/Local Community, Business Entity) • and Implementation aspects in the following issues: • spatial and forestry planning, • rights regulation, • forest organization, • forest management, • controlling and oversight and • REDD+ infrastructure.	• Participation of local (commune) authority in decision making process related forest management; • Law enforcement; • Allocation of forest/ land; and • Inter-sectorial collaboration (to be reviewed by Expert Group)	• Broad and informed participation of REDD+ stakeholders; • Harmonization of policy and legal framework for REDD+; • Transparency and accountability of the REDD+ process and finance; and • Intergovernmental relations and coordination	- National legal and political framework - Compliance of norms and oversight - Effective institutional advancement by government entities in the sector and inter-entity coordination - Participation - Information and transparency - Governance systems and decision making - Indigenous peoples and communities' rights
Geographical scope at the country level	National, province and district level. The following eight provinces are included; Aceh, Riau, Jambi, South Sumatra, West Kalimantan, Central Kalimantan, East Kalimantan, Central Sulawesi, Papua and West Papua.	In addition to the national level, Lam Dong is selected as the first PGA pilot province in Vietnam.	Federal and state level (Cross Rive State)	Focusing primarily at the local level in Napo, Esmeraldas and Orellana provinces

[Table 3: PGA Pilot Overview]

STEP 3: DATA COLLECTION AND ANALYSIS

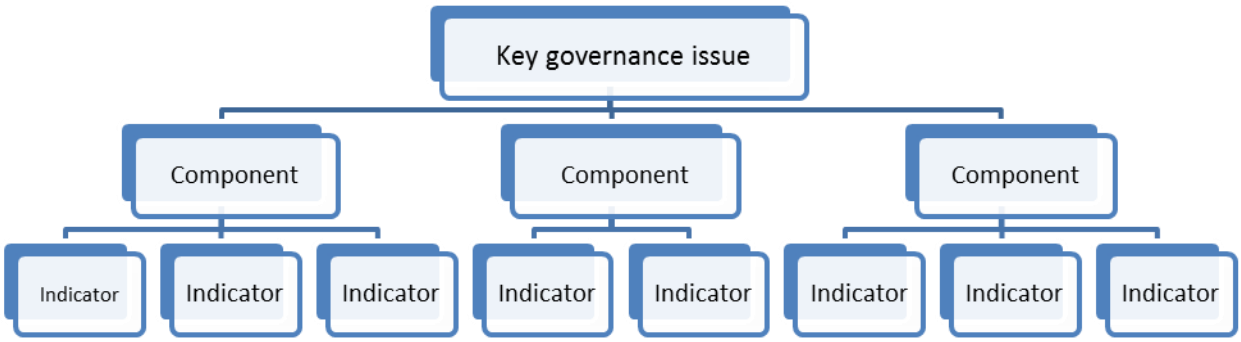
This chapter provides a brief introduction to data collection and analysis in the context of conducting a PGA. It covers how to determine what data to collect and how to develop the methods to do so. For more comprehensive guidance on the technical aspects of data collection, including resources and case studies, please refer to the Practical Guide to Forest Governance Data Collection developed by the UN-REDD Programme and partners.

Overall, this chapter provides an overview of elements to consider when designing and undertaking the data collection phase of a PGA. Firstly, it provides an overview of how to assess governance priority areas by identifying governance components and breaking them down into measurable indicators. This section aims to elaborate on what indicators are and the role they play in governance assessments, and the practical steps in developing indicator sets to assess the quality of governance. Secondly, this chapter discusses how to design a data collection approach by selecting suitable data collection methods and identifying appropriate data sources. Finally, this chapter highlights how to validate and analyse the data, eventually organising the final PGA report around the data findings.

As mentioned in previous chapters, an inclusive and participatory approach is crucial to the PGA's success, and it adds to the credibility and usability of the PGA when relevant stakeholders are in agreement with the chosen methodological approach. It is important to note that developing indicators and collecting data are part of a learning process involving many stakeholders and that, once developed, the indicators can be adjusted, or refined, to better suit the changing circumstances of forest governance. For an example of participatory multi-stakeholder involvement in Indonesia's PGA process, see Step 2: Design and Joint Decision Making.

2.3.1 Determining Components and Developing Indicators

Once key governance issues have been prioritized as detailed in Step 2, the next step is to define core components, thus breaking the key areas of interest down into more specific units. A **component** is a specific aspect of governance to assess, which is defined in order to figure out what to measure. This step very much depends on local conditions and the governance issues that have been found to be key to examine in multi-stakeholder sessions. (Note: In the governance literature, 'criteria' and 'component' are often used interchangeably. In this publication and others, we have chosen to use the term 'component'.)



[**Example 5:** Breaking down a key governance issue into measurable indicators]

Please see Example 5 for an illustration of how to structure this process. For example, if one the PGA's priority governance issues is stakeholder participation, one of its components may be 'the existence and effectiveness of processes that ensure participation by key stakeholders'. This component may be measured using a few indicators, including 'the availability of funding and training provided for staff in the relevant agencies to conduct stakeholder outreach'.

Once a set of components has been selected, the components may be broken down into sub-components or directly into measurable indicators. An **indicator** is defined as "a quantitative, qualitative or descriptive attribute that, if measured or monitored periodically, could indicate the direction of change in a component"[8]. Components may be assessed using one or more indicators. Indicators can take several forms, but an indicator should always be SMART, that is:

- **Specific** – The indicator should be clear and well-defined.
- **Measurable** – It should be possible to assign a description or value to the indicator.
- **Achievable** – The indicator should be selected keeping in mind the resources available to measure and, if necessary, verify it.
- **Realistic** – The indicator should be selected based on the feasibility of accurately assessing it despite external factors, such as country context.
- **Time-bound** – It should possible to measure the indicator during the time allowed for carrying out the PGA.

It may not be clear whether an indicator passes some of these tests until it has been piloted, as described later in this chapter. For instance, a seemingly difficult indicator may already have been measured as part of a routine government data collection process or a recent parallel assessment, or an indicator that seemed simple may actually be quite difficult to measure.

Example from Indonesia on how indicators were structured:

No.	Indicator	Forest Management Issue	PGA Governance Principle	Unit of Observation	Data Sources	Data Collection Method(s)	Assessment Score*
Component: Law and Regulation Framework							
1	The existence and comprehensiveness of laws and policies governing transparent forest planning and Regional Spatial Plan (RTRW) formulation	Forest planning and spatial planning	Transparency	Central, provincial and district	Relevant laws and government, presidential and ministerial regulations	Document data analysis (Determined whether the examined laws and policies governed and included data items predetermined by the PGA team)	*This PGA used a scoring system. The PGA team defined comprehensiveness of the laws and policies addressed by this indicator and assessed it accordingly.
Component: Implementation-Results							
100	Size of the forest areas that overlap with other land uses	Forest rights arrangement	Accountability	Central, provincial and district	Government documents and in-depth interviews with directors of relevant national and sub-national agencies	Document data analysis and structured interviews	*This PGA used a scoring system. The PGA team determined that the ***ideal*** situation is when no forest areas overlap with other land uses.

[Example 6: Indonesian indicator structure**]**

[8] FAO - Practical Guide to Forest Governance Data Collection; FAO & PROFOR. 2011. Framework for Assessing and Monitoring Forest Governance.

Indicators can furthermore be quantitative or qualitative. A **quantitative indicator** yields an amount – a number, often with associated units. For example, the area of forest lost to deforestation last year, the number of arrests for forest crime, or the percentage of rural households that responded in a survey that they have fair access to forest resources could all be quantitative indicators.

Qualitative indicators can take several forms:

- They can be true-or-false:
  - Does the country have a written national forest policy?
- They can be multiple-choice
  - Do appointed forest officers hold the qualifications called for in their job description (a) always, (b) usually, (c) sometimes, or (d) never or almost never?
- They can also have arbitrary numerical results:
  - On a scale from 1 (poor) to 5 (excellent), how well have forest officers been trained in crime prevention and detection?
- They can call for a narrative response:
  - How common is political interference in technical forestry management of public lands?

Neither type of indicator (qualitative or quantitative) is inherently better than the other, either – or both – can be used to assess a component. For a practical checklist when assessing proposed indicators please see Table 4, below.

Checklist for assessing proposed indicators			
Indicator:			
Component being measured:			
		YES	**NO**
1.	Does the indicator actually fit under the correlated component?		
2.	Is the indicator defined clearly enough to ensure objective measurement and assessment by the data collectors?		
3.	Does it call for the most practical, cost-effective way to collect data?		
4.	Does a change in the given component result in corresponding change to the indicator?		
5.	Does the indicator provide a consistent measure of changes in the governance component over time?		
6.	Will the information derived from the indicator be useful for decision-making, establishing accountability and institutionalizing lessons learned?		

[Table 4: Checklist for assessing proposed indicators**]**

2.3.2 Determining Data Collection Methods

There is no one best way or method to collect data in order to answer indicator questions. The choice of data collection methods usually depends on available resources, access to the appropriate data sources, data needs in relation to the indicator, time constraints, already existing relevant data, etc. Data collection methods are also dependent on the needs of those who will ultimately use the data assessment, e.g. the level of data precision needed and how

often data collection is required. An overall guiding rod, however, is that the most robust (best quality) data is usually the data that can be separately acquired from and confirmed by multiple sources. If an observation is verified by multiple sources, it can often be considered more credible.

Developing a data collection approach

Simplicity is key in developing a data collection approach for indicators. It is important to develop a data collection system that will only gather and process data to be used in measuring the current indicator set. This will minimise costs and reduce the burden of processing data that could possibly be irrelevant to the indicators that have been identified.

Below are some questions to consider before beginning data collection:

- Can the data source be easily accessed?
- Will there be no undue difficulty in obtaining the information from the source?
- Can the data collected be considered credible?
- Can the stakeholders vouch for the accuracy of the data that has been collected?
- Can the data be collected on a timely and regular basis?
- Will the data be available when needed?
- Can the data be collected in a cost-effective way?
- Can the costs involved in collecting the necessary data realistically be incurred?

For an overview of different data collection methods, see Table 5, below. Further information about the estimated cost, training time, duration and response rate of each of these methods can be found in Table 6.

Data Collection Methods	Description	Advantages (+) and Disadvantages (-)
Document Review	Existing records and documents are examined, and the necessary information is extracted.	+ Inexpensive and requires little training - Some documents, such as government records, may be difficult and time-consuming to obtain
Interviews	Information is obtained through inquiry and recorded by interviewers.	+ Interviewees may respond more honestly than they would in a group setting - Interviewees may alter their responses to the response they think the interviewer is seeking
Surveys or questionnaires	Instead of questions being posed directly as with interviews, respondents are asked to fill out written forms on their own.	+ Respondents may answer more honestly if their responses are anonymous - Unable to verify that the respondent has understood the question or is knowledgeable about the subject
Focus groups	Stakeholders from one group are brought together to gather their point of view on an issue, to validate data or to review findings. A facilitator (or moderator) asks pre-defined questions to the group, and participants can openly discuss certain issues with other group members.	+ Participants can directly verify or dispute certain points and thereby increase the likelihood of accurate data being incorporated. - Participants may be influenced by others' responses

Multi-stakeholder workshops	A range of stakeholders are brought together to perform such tasks as refining indicators, validating data or validating assessment findings. Led by a facilitator, the workshop may include breakout sessions into smaller groups.	+ Allows data collectors to understand where disagreements may lie, and among which stakeholders - Stakeholders may disagree or be uncomfortable expressing their opinions, and coming to a consensus can be time-consuming
Content Analysis	Content analysis is a quantitative tool used to analyze the themes and terms found in chosen documents and media.	+ Media files and documents may provide data not found elsewhere - Identification of key themes and terms may be subjective

[**Table 5:** Common data collection methods]

Determining data sources

The first practical course of action when determining the appropriate data sources is to identify existing information and data sources relevant to the chosen components and indicators. It is likely that relevant data have been collected and that similar methods have been used in previous studies, and these can feed into the PGA. In the context of REDD+, National Forest Monitoring Systems (NFMS) and Measurement, Reporting and Verification (MRV) systems may both serve as complementary sources of data.

Overall, data to be utilised for indicators can be obtained from two categories of sources. **Primary data** are data generated and or collected especially for the indicators developed. Primary data are usually obtained through questionnaires, surveys, interviews, focus group discussions, key informants interviews, expert panels, direct observation, case studies or any activity specifically designed to generate and/or collect information to be used for the PGA indicators. **Secondary data** are data that have been generated, collected and published for a different purpose altogether but are directly related to the PGA indicators. Secondary data are usually collected through document review and can be obtained through the same methodologies as primary data.

Collecting data

The data collectors should be objective and have relevant expertise. They may be recruited individually or through a relevant organization (such as a research institute). Based on a data collection manual created for this purpose, data collectors should receive training on how to use the chosen data collection methods and how to record their findings in a format that can be easily understood and processed. For instance, data, once collected, can be entered into a matrix for analysis.

Characteristics	**Data Collection Methods**					
	Document Review	**Interviews**	**Surveys/ Questionnaires**	**Focus groups**	**Multi-Stakeholder Workshops**	**Content Analysis**
Cost	Low	Moderate to High	Moderate	Depends on number and proximity of participants	Depends on number and proximity of participants	Low

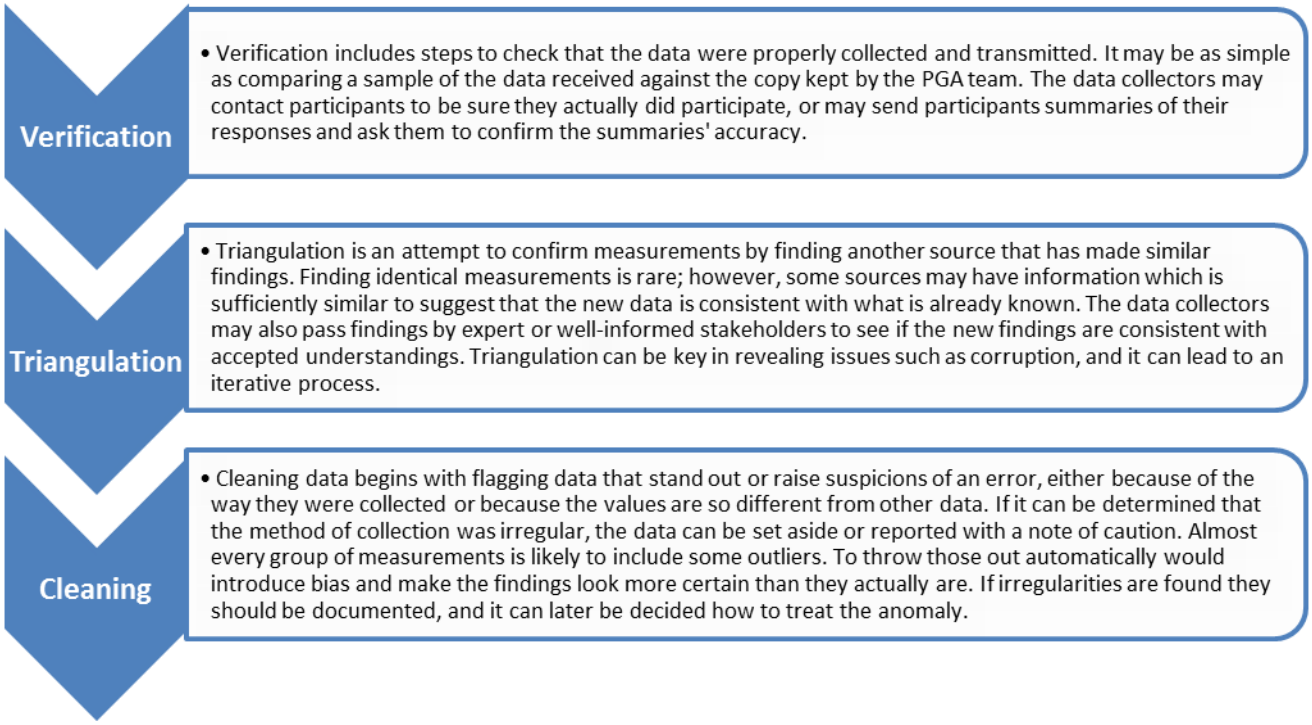
Amount of training required for data collectors	Some	Moderate to High	None to Some	Moderate	Moderate	Some
Completion time	Depends on amount of data needed	Moderate	Moderate	Short to Moderate (depends on number)	Short to Moderate (depends on number)	Depends on amount of data needed
Response rate	Depends on availability of the necessary documents and media	Moderate to High	Depends on method of distribution and follow-up	High	High	Depends on availability the necessa documents and media

[Table 6: Assessing data collection methods**]**

2.3.3 Ensuring Data Quality

To make certain that the data collected are correct and complete, the quality of the data must be confirmed. Once the data have been collected, it is essential to make sure that the data used to evaluate the PGA indicators are up-to-date and reliable. Again, it is important to note that once indicators are developed, these are not final in any sense. Indicators are often adjusted, as they are tested against the realities of collecting data to address the governance issues being assessed.

Processing the collected data includes three practical steps: verification, triangulation, and cleaning, as described below.



[Table 7: Practical steps to process collected data**]**

Once these steps have been followed, it is possible to analyse the indicators using the data collected and to determine if they provide information necessary to assess the components. New indicators may be adopted and old indicators dropped when needed. This process is one that can be repeated throughout the PGA data collection process to further refine indicators and improve data quality.

2.3.4 Analyzing Data and Validating Findings

Data analysis, or the process of drawing findings from the data collected, can involve a couple of universal techniques. The list below is not exhaustive, as there are many ways of examining data, which might be more or less suitable, depending on local circumstances. This process can be seen as the transition phase from data collection to the actual assessment results on which to eventually base the PGA report. Some techniques to assess the data collection results are displayed below.

Comparisons
Perhaps the most common technique is to make comparisons among data sets. If this assessment is part of an ongoing series, comparison with past assessments is an obvious place to start. If someone has performed a similar assessment elsewhere, it may be possible to use those results to make comparisons with another country.

Patterns and outliers
Noting unexpected patterns or values in data can be useful. As an example, data that show a two-peaked spread of values rather than a bell curve could indicate the need for further investigation. If a survey question on the trustworthiness of forest officers comes back with results divided evenly between very low and very high, it may be because of a factor that the survey has not been designed to detect. Perhaps the difference reflects geographic variation. Perhaps it is social; one ethnic group trusts the officers and another does not. Perhaps it is economic; rich people trust the officers and poor people do not.

Anecdotes
Anecdotes serve two functions in analysis. One is to illustrate points established by more robust analysis. Stories simply carry more rhetorical weight than numbers. So, if the collected data show good coordination between the forest administration and other sectors, an example of how the forest agency and the communications ministry worked together to site a radio tower could make the point stick in the minds of readers. If the data show poor coordination, a story of waste or working at cross-purposes would also make the finding more memorable. The second role for anecdotes is to deal with significant occurrences that are too rare to treat with other means. If a war in a neighbouring country has sent an influx of refugees onto public forests, there may not be measures that can capture the breadth of the problem statistically. The next best option is to discuss it anecdotally, with stories collected from news reports or directly from affected stakeholders.

If the analysis has the potential to be highly controversial or subjective, it is recommended to engage stakeholders in the analysis and/or recommendation processes. The data should be presented to stakeholder experts or to stakeholder workshops, and stakeholders should be asked to draw conclusions and recommendations from the data themselves. Possible questions for stakeholders may include what problems the data identify, which problems have the highest

priority and what actions they recommend. The PGA analysis may then include a collection of differing viewpoints tied to particular groups.

Further, the value of including relevant stakeholders once data has been collected and analysed, and prior to a launch, is both get their sense of the accuracy of the data, as well as to obtain their suggestions on where to obtain complimentary data or how to fill data gaps. Engaging stakeholders in data validation and analysis may also strengthen their ownership of the findings and recommendations.

Jointly validating the findings in Indonesia

After initial data collection (between June and October 2012) and preliminary analysis of the data was completed, a validation workshop was held in Indonesia in October 2012, bringing together more than 80 relevant stakeholders from the national, provincial and regional levels. At this validation workshop, not only were the preliminary data verified and findings validated by the stakeholders themselves and corrected where required, but additional data sources at the local level were also suggested where data was lacking. This, in turn, led to a more complete data set in the final report of the PGA baseline data in Indonesia[9].

[Example 7: Jointly validating the findings in Indonesia**]**

Following a meeting in which findings are validated by the relevant stakeholders, the PGA report should be written and revised. This report should be well-written and straightforward to understand, and it should include recommendations made on the basis of the PGA's findings.

STEP 4: COMMUNICATION OF RESULTS AND USE OF DATA

Once the governance data is collected, validated by stakeholders and officially launched, the relevance and usefulness of the PGA data is determined by how this data is being used by various stakeholders – government, civil society actors, indigenous peoples, private sector actors, academia, indigenous peoples and affected forest communities.

The idea behind the PGA is that decision makers and government officials in relevant ministries and agencies will be making active use of the PGA data in their policy making and planning, that the PGA data may feed into Safeguards Information Systems (SIS) where applicable, whereas indigenous peoples and civil society actors at large may be using the PGA data to support their lobbying for further improvements and changes. As such, the PGA data will serve to inform policy making, planning and advocacy for more strategic interventions. One of the added values of an inclusive process when facts are available is that actors from both government and civil society deem this evidence as credible and robust, and discussions on the correctness of the information can be avoided.

Together with launching and disseminating the data, relevant government institutions and decision-makers will be receiving a set of recommendations for improving and reforming the "REDD+ governance infrastructure" developed jointly by involved stakeholders and based on their involvement in the PGA.

[9] Documents from this October 2012 validation meeting are available at: http://www.unredd.net/index.php?option=com_docman&task=cat_view&gid=2623&Itemid=53

2.4.1 Dissemination of the results

To ensure that PGA findings, results and recommendations are used in the intended manner – tracking progress and regression and holding decision makers to account, among others – the data needs to be made available and accessible to all stakeholders in an appropriate manner suitable to the national as well as local context. Given stakeholders' different access to information, various means of communication will be required to ensure that information is understandable and reaches all intended stakeholders. Beyond the official launch of the PGA report and posting the results online, traditional means of communication should be considered from the onset. As exemplified in the case of preliminary research in the PGA in Nigeria, utilizing traditional means of communication to reach all intended stakeholders in Cross River State was recommended, such as using the services of a town crier, making use of religious meetings, and finally notice boards.

It may also be relevant to pull out and highlight information that is relevant for a particular province when the findings are presented to key stakeholders there, as has been done in Indonesia. Here, provincial level actors from government, civil society, private sector and journalists were convened to get a tailored overview relevant for their province of the PGA findings, results and recommendations, as well as to start discussions on the further use of the data.

2.4.2 Ensuring active use of the governance data

Producing robust and credible governance data is no small feat, but it is just among the first steps - together with appropriately disseminating the data - in a process towards increased accountability. For the governance data to ultimately make a difference in the policy and decision making, various stakeholders will have to make active use of the data that has been produced and made available.

Stakeholders are more likely to use the available governance data when they have a sense of ownership over it; deem it legitimate and relevant. As such, ensuring stakeholders' ownership to the process and findings from the onset is crucial, and that is precisely why their involvement, inputs and contributions must be sought throughout.

For indigenous peoples and civil society actors, the most apparent use of the PGA data is to strengthen their lobby and advocacy work with robust evidence and facts. Not all relevant indigenous peoples nor civil society actors may have sufficient capacity to follow up and use the PGA data in this manner, and trainings and capacity building may therefore be needed and should be discussed as a follow-up measure once the PGA data is available.

With regards to government actors, the most likely use of the PGA data is as basis for planning and policy-making at different levels, but also data feeding into the larger Safeguards Information System. Dialogue and smaller meetings with relevant government institutions at national and local levels to follow up on the findings relevant specifically to them is important to highlight the usefulness of the PGA data once more and also to ensure that how this data may feed into their work is followed up. This tailoring of findings to the local level has been done in the relevant provinces in Indonesia.

There also needs to be a dialogue with all stakeholders involved in producing the PGA results in the first place with the view to agree – based on findings and recommendations - on joint efforts towards improved governance relevant for the countries' REDD+ process. This may also involve not only discussing how to address the shortcomings and recommendations put forth, but also the potential of monitoring performance over time.

2.4.3 Ensuring continued regular updates of the PGA data to track progress and regression

The PGA data may be presented in different forms depending on the differing needs and preferences throughout the countries where a PGA is undertaken. In Indonesia, the baseline data resulting from the PGA were presented as a report, describing the different shortcomings and weakness associated with REDD+ governance at national and local levels, an overview of the state of REDD+ governance through elaborate indicators, in addition to recommended action for governance reform, in addition to an Executive Summary of the comprehensive data presented in the full report.[10] In the long run, the aim is indeed to have updates so stakeholders may track progress and/ or regression.

To enable regular updates of the PGA data beyond the baseline report it is that crucial that an institution or organization takes responsibility for – and "institutionalizes" - the necessary data collection, updates and dissemination. Ideally, this institution or organization will have participated in the PGA from an early stage and has an interest in seeing the PGA updated at regular intervals in the future by building on the solid platform and methods acknowledged by the stakeholders already.

[10] The full report is available here: http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=10777&Itemid=53 and the Executive Summary is available here: http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=10775&Itemid=53

ANNEX I: SUMMARY OF KEY CONSIDERATIONS FOR EACH PGA STEP

Step 1: Preparation

General considerations:

- ✓ Ensure sufficient political will and interest amongst civil society actors and indigenous peoples to jointly undertake the PGA process
- ✓ Determine what the PGA governance data and results will be used for
- ✓ Decide on which the intended end users of the PGA governance data and results are
- ✓ Identify key stakeholders who need to be on board in the PGA process, at what stage,
- ✓ Identify likely actors or institutions which can institutionalize (update and disseminate) the PGA governance data in the long run
- ✓ Start to think about a communication strategy of the PGA results and data

Practical first steps in a preparatory stage:

- ✓ Finding financial resources for the PGA (UN-REDD National Programme funding or cost sharing arrangements with governments or civil society actors/ indigenous peoples)
- ✓ Recruitment of a full-time PGA facilitator as early as possible
- ✓ Approaching different stakeholders to get a sense of their interest, commitment and availability to join and contribute throughout the process
- ✓ Prepare regular information sharing with the broader stakeholders to keep them up to date of decisions made by a smaller "core" group and progress when they are not directly involved themselves

In the introductory communication with stakeholders and throughout the process:

- ✓ Communicate the relevance of the PGA in the larger national process and the expected outcome(s) throughout the process, as well as;
- ✓ provide a reference to the status of the PGA report or which step the process is currently at (see Table 1 on the different steps).

Step 2: Design and Joint Decision Making

- ✓ Kick-off workshop with key stakeholders to introduce everyone to the approach, making sure everyone's understanding is (more or less) the same with regards to the benefits of conducting a PGA for REDD+, how the PGA can contribute to the larger national REDD+ process and/ or UN-REDD National Programme, how this can be set up, main steps and so forth. This is also an opportunity to go more into depth on the state of governance relevant to REDD+ to identify gaps and shortcomings as a starting point for selecting governance issues to focus on, and later come up with a set of recommendations for improvements and reform.

Agree on the following:

- ✓ How the PGA results and recommendations should be used
- ✓ Who the main end-users are
- ✓ Geographical scope of the PGA (national and sub-national levels)
- ✓ A set of priority governance issue
- ✓ General road map (plan) and main next steps
- ✓ Agree on the organizational structure and responsibilities/ roles of each of the PGA

groups

Step 3: Data Collection and Analysis

Before starting the data collection process it is recommended to produce a document outlining the decisions on a) Who should collect the data; b) how data is collected; c) what specific methods you have decided on; d) the specific steps on where and how to collect data; and e) how the data will be validated to quality assure the data, once collected.

Practical steps:

- ✓ Break down identified priority governance areas into components
- ✓ Identify existing data sources and information available
- ✓ Develop indicators based on the components identified
- ✓ Choose the most appropriate methods to collect data
- ✓ Validate the collected data to perform a quality assurance

Step 4: Communication of Results and Use of Data

With a credible and robust set of governance data and recommendations available, it is important to follow up further to ultimately ensure that the data is actively being used. The following are key considerations and steps in this regard:

- ✓ Ensuring that appropriate means of communicating the data and recommendations are used to reach stakeholders beyond the national level
- ✓ Presentation of data should be tailored to the audience; this means that what is most relevant for different stakeholders – such as pulling out information pertaining to a specific province when communicating the results to stakeholders from that province – should be provided. In addition they will have access to the fuller report and findings.
- ✓ Determining the need for additional training or capacity building among stakeholders, such as how to make advocacy and lobbying more effective with the PGA data at hand?
- ✓ Continuing dialogue with government actors to ensure that they are following up on the recommendations
- ✓ Identifying an agency or institution to ensure that the PGA data is collected, updated and disseminated at regular intervals. Ideally, this is an entity that has been involved in the PGA from an early stage.

ANNEX II: LINKING WITH OTHER UN-REDD TOOLS AND GUIDANCE [11]

Depending on the scope and priority issues selected for each PGA process, there are a number of relevant UN-REDD publications and resources available that can be used at various stages in the PGA process, as well as guidance produced by the Programme agencies on governance issues in general. These can provide more in-depth guidance and pointers on specific governance issues (such as e.g Anti-Corruption or Legal Preparedness), how to develop indicators, or even be the starting point for discussing governance issues at the country level.

- **Social and Environmental Principles and Criteria (SEPC)** – starting point for discussing relevant governance issues
- **REDD+ Corruption Risk Assessment**
- **UNDP Oslo Governance Centre publications** (Country-led governance assessments, Fostering Social Accountability…, How to prepare for a governance assessment, Pro-poor and gender sensitive indicators, Institutional Context Analysis)
- **Gender Sensitive REDD+**
- **FCPF/UN-REDD Guidelines on Stakeholder Engagement:** The Guidelines are designed to support effective stakeholder engagement in the context of REDD+ readiness, with an emphasis on the participation of indigenous peoples and other forest-dependent communities. The Guidelines contain 1) Relevant policies on indigenous peoples and other forest-dependent communities; 2) Principles and guidance for effective stakeholder engagement; and 3) Practical "how-to" steps on planning and implementing effective consultations. The Guidelines will be useful preparing and implementing a comprehensive set of consultation and participation activities for the PGA.
- **Framework for Assessing and Monitoring Forest Governance** (A comprehensive analytical framework to diagnose, assess and monitor forest governance
- **Practical Guide on Forest Governance Data Collection** (provides methodological guidance on the steps of data collection, from developing indicators and selecting data collection methods, to analysing data and using it to generate information)
- **LEG-REDD+** (Introduction to the nature of legal preparedness for REDD+ as well as a practical outline of specific sources of support to countries)
- **Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security** (Serve as a reference and set out principles and internationally accepted standards for practices for the responsible governance of tenure, providing a framework that States can use when developing their own strategies, policies, legislation, programmes and activities)
- **National Level Grievance Mechanism**: Governance priorities and data from the PGA can feed into the design and implementation of the national level grievance mechanism.
- **BerT-PLR Analysis Tool** (in development)

- ***Putting REDD+ Safeguards and Safeguard Information Systems Into Practice***
  February, 2013. Leo Peskett, Kimberly Todd. UN-REDD Policy Brief Issue #03

[11] Hyperlinks will be added in the final version of this guide

ANNEX III: LESSONS LEARNED FROM GOVERNANCE ASSESSMENTS

Key lessons learned from the PGA pilots – from a practical perspective

The PGA approach as applied by the UN-REDD Programme is not work starting from scratch, but rather builds on the different agencies' comparative advantages addressing governance challenges. More precisely, the PGA approach builds on both UNDP Oslo Governance Centre's knowledge and experience in conducting governance assessments, as well as FAO's expertise in data collection in the forest sector – and combined the PGA is tailored to address REDD+ governance challenges.

Bringing the PGA work forward beyond the four pilots in Indonesia, Ecuador, Vietnam and Nigeria respectively, looking back at key lessons from this piloting is imperative. Thus far, lessons learned from a more practical perspective when conducting PGAs are;

- Ensuring **sufficient human capacity** to facilitate and coordinate the overall process, convene diverse stakeholders and communicate results etc. is critical to maintaining the progress and momentum in a PGA process. Recruiting a full-time PGA coordinator as early as possible is highly recommended.

- Realizing all governance challenges cannot be addressed through a PGA, **keeping it simple has proven useful.** Narrowing down on **governance issues** to **3-4 key areas** will provide more relevant information back to stakeholders, and fewer rather than too many **indicators** make the dissemination of data and regular data collection more manageable and cost-efficient.

- A **smaller, but representative group** consisting of both civil society and government actors (in addition to academia and private sector where relevant) is practical for the more frequent discussions required for more detailed discussions and decisions (such as refining an indicator set, concluding on which data collection methods should be used and geographical scope of the PGA), whereas consultations of **a broader stakeholder group(s) can be useful for the general discussions** of the PGA (such as prioritizing key governance issues for the PGA and for validating the findings)

- **Mapping of existing data sources** is useful to find alternative data sources which may substitute parts of the data collection, and in turn can make regular updates more manageable.

- **Mapping of on-going and relevant governance initiatives** to avoid duplication of efforts and to identify relevant data sources is will save time and costs.

- **Making use of exiting stakeholder platforms** as a starting point for stakeholder analysis and inclusion is relevant, although inclusion of stakeholders should not be limited to existing for or stakeholder platforms only.

- **Preliminary research and analysis of governance issues** with the view to feed into the initial workshop will provide useful insights of the "state of governance" in the country. Pointing to or suggesting priority issues which the PGA may cover seems to be a valuable starting point to inform and spark following discussions and group work during the workshop.

Relevant lessons from the UNDP Oslo Governance Centre's Mid-term review[12]:

Lessons have also been synthesized from UNDP's broader work on governance assessments through a mid-term review carried out in 2012. Relevant findings and lessons from this review for the PGAs are:

- Significant attention should be paid to **linking the assessment to policy and planning processes from the outset**, rather than waiting until results are available to determine how to use them. An important question to consider early on in any governance assessment is; what types of evidence do policymakers find convincing? To take advantage of stakeholder consultations to ask how to address problems, challenges and recommendations is beneficial in this regard.

- Selecting the **right institutional arrangement** for the assessment is critical, especially with regards to location of a monitoring system. An agency which has official mandate to monitor is advantageous, but one should also involve and engage an agency or government body responsible for follow-up and reform, as well as actors with technical expertise to monitor.

- **Increased involvement of civil society in designing and implementing assessments is a win-win.** Evidence enhances civil society actors' and indigenous peoples' legitimacy, legitimacy matters for policy influence, and finally collaboration with indigenous peoples and civil society actors enhances legitimacy of government.

- **A good communication strategy is a pre-requisite for good results and active use of the data** from a governance assessment process. This should also be considered and planned for early in the process.

12 Mid-Term Review available here: http://www.gaportal.org/resources/detail/governance-assessments-programme-mid-term-review

ANNEX IV: PGA FAST FACTS

[Available here]

ANNEX V: FREQUENTLY ASKED QUESTIONS

[Available here]

ANNEX VI: HOW THE PGA PROCESS LINKS WITH OTHER UN-REDD INITIATIVES

How the PGA can inform additional governance-related activities:
The PGA is part of the UN-REDD Programme's efforts to support countries in actively addressing REDD+ governance risks, shortcomings and challenges. Support to legal preparedness, anti-corruption, grievance mechanisms and land tenure are other specific examples of areas of governance expertise within UN-REDD available to the countries upon demand.

Indonesia is a good example to demonstrate how the PGA can complement other on-going efforts where UN-REDD is involved at the national level. The 2012 PGA report in Indonesia pointed to several shortcomings related to corruption risks and recommended an urgent need for attention by the Government of Indonesia. As such, targeted support is currently being provided to Indonesia upon demand to improve the online forest permit system, while at the same time following up on some of the recommendations from the PGA report.

Therefore, the findings in the PGA report can point to particular areas worthy of urgent attention and as such, pave the way for focused activities by building on the information already available matched with the demand in the country. Depending on the findings and recommendations in PGA report, this can also be the case for additional and targeted support on legal preparedness, grievance mechanism and land tenure issues.

How the PGA can feed into national Safeguards Information Systems and the processes to develop these:
The PGA data may also feed into or complement on-going initiatives and processes, such as in Ecuador with regards to the development of a national Safeguards Information System (SIS) where the PGA will be providing indicators (and hopefully governance data) to the SIS directly. In Nigeria, the linkage between PGA data and safeguards is also being considered. Some of the same individuals are involved in both processes in order to better allow and facilitate these linkages *when* and *as* relevant throughout.

How to engage with stakeholders and making use of existing participatory platforms:
Coordination is also needed with regards to stakeholder engagement and identifying relevant stakeholders for the PGA. Most often there are already existing participatory platforms to make use of and build upon in the PGA process.

Sometimes, it is also necessary to think beyond the current structures by adding even more actors to the table, such as additional civil society actor voices, widening the participation from within the government, and also to invite private sector actors. To do this in an informed way, the Institutional and Context Analysis (ICA) may be a useful tool prior to inviting stakeholders on board the PGA process. This has been done in Vietnam, as well as to a certain degree in Nigeria.