

The 2012 Indonesia Forest, Land & REDD+ Governance Index (*Participatory Governance Assessment Report*)

**PGA FOR REDD+ IMPLEMENTATION IN INDONESIA
UNDP INDONESIA**

Key Beneficiaries: REDD+ Task Force /UKP4, Ministry of Forestry and BAPPENAS

**Supported by UN-REDD GLOBAL Programme
In close collaboration with Indigenous People Organisations, CSOs and Government**

Content

- Background
- Concept and Methods
- Results of PGA

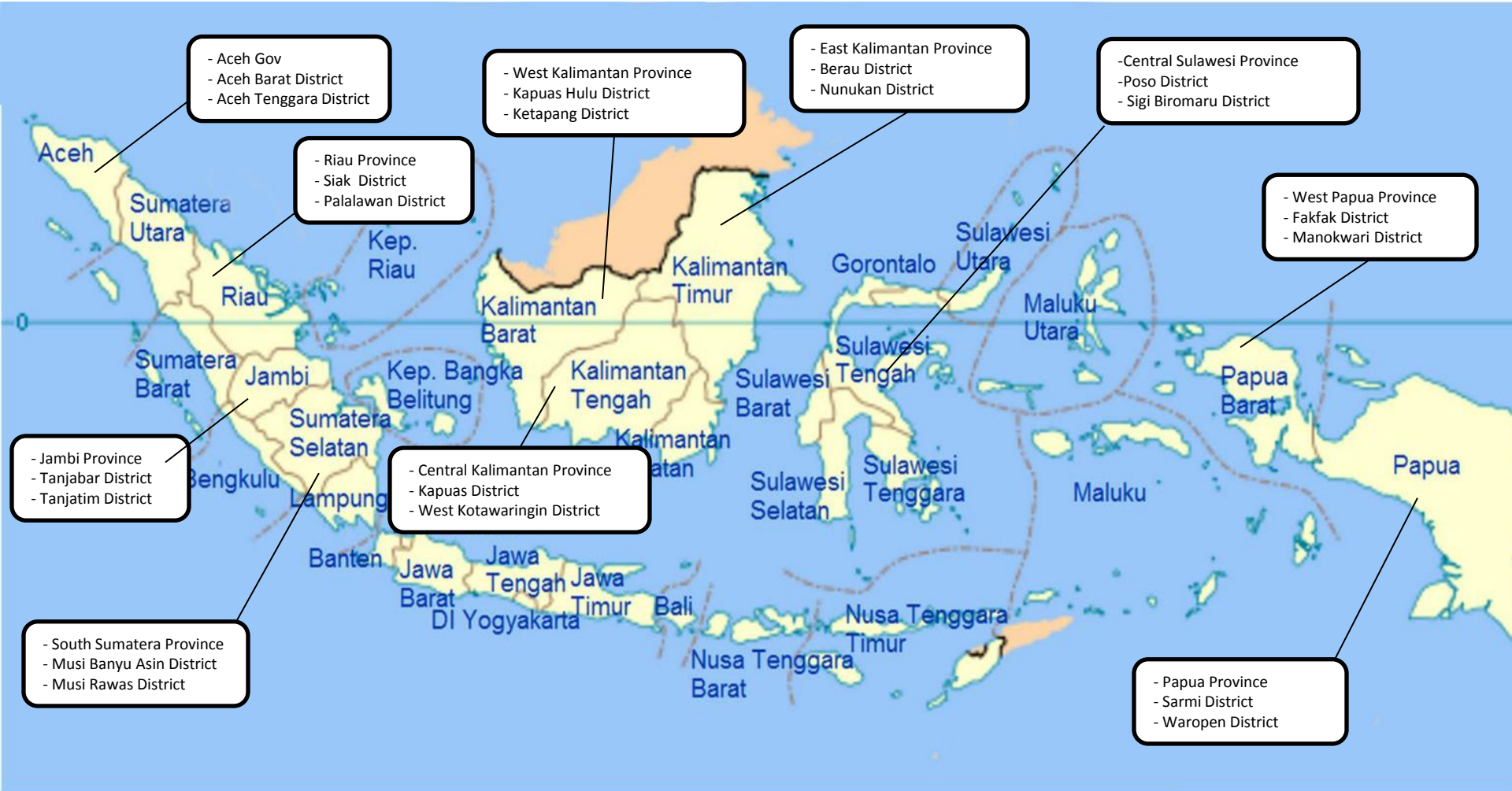
1 Background of PGA

- **Hypothesis** ..Good forest governance is critical to address the main drivers of deforestation i.e. illegal logging, illegal mining, illegal palm oil plantation. This will contribute significantly to reduce emission from forestry sector.
- **UNFCCC COP 16**, Also requests developing country Parties, when developing and implementing their national strategies or action plans, to address, inter alia, ... forest governance issues, and the safeguards identified in paragraph 2 of appendix” (Article 72).
- **REDD+ National Strategy Paper...** Development of Institutional System, Policy Review & Strengthening, Shift of paradigm and work culture-especially strengthening of forest governance and land use.
- **Forest Governance and REDD+ Indicator...**There is limited of sets of forest governance and REDD+ indicators which are formulated in a participatory manner and used to diagnose the condition of forest governance and REDD+

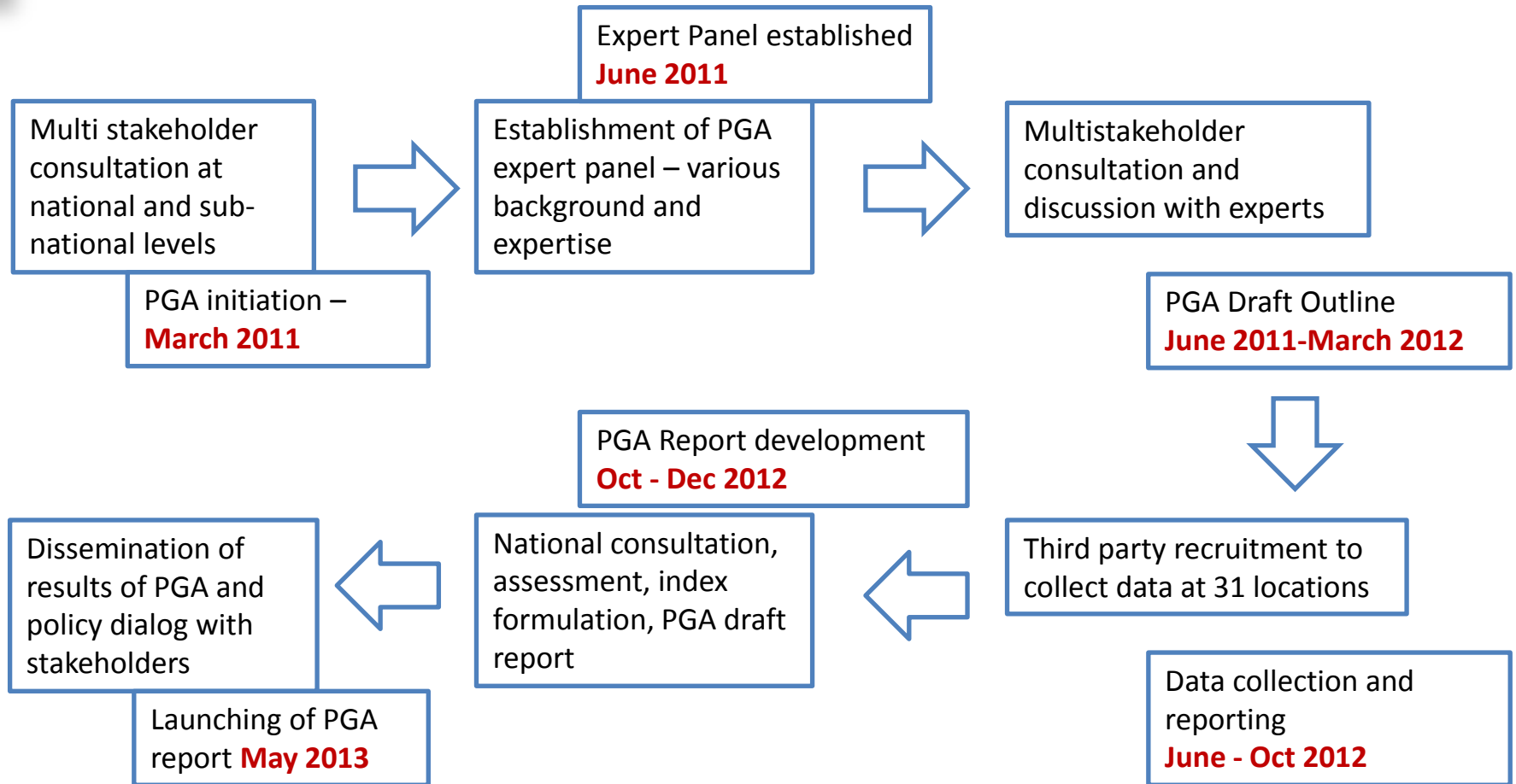
2 What is PGA...

1. **Participatory Forest & REDD+ Governance Assessment (PGA)**
...Providing a diagnosis on the condition of forest & REDD+ governance in the form of “baseline”, policy recommendation, road map for strengthening forest & REDD+ governance and monitoring instrument for forest and REDD+ .
2. **PGA Expert Panel..** With various background of expertise, stakeholders and gender ... designing methodology, ensuring quality of data, developing assessment, analysis and policy recommendation.
3. **Third party...** Independent and credible national research institutions are responsible for collecting data on the field using **instrument formulated by multi stakeholders forum.**
4. **Multistakeholder consultation...** a forum whereby UNDP Indonesia communicates initial ideas and collecting inputs of every important phase of PGA.

3 PGA Locations

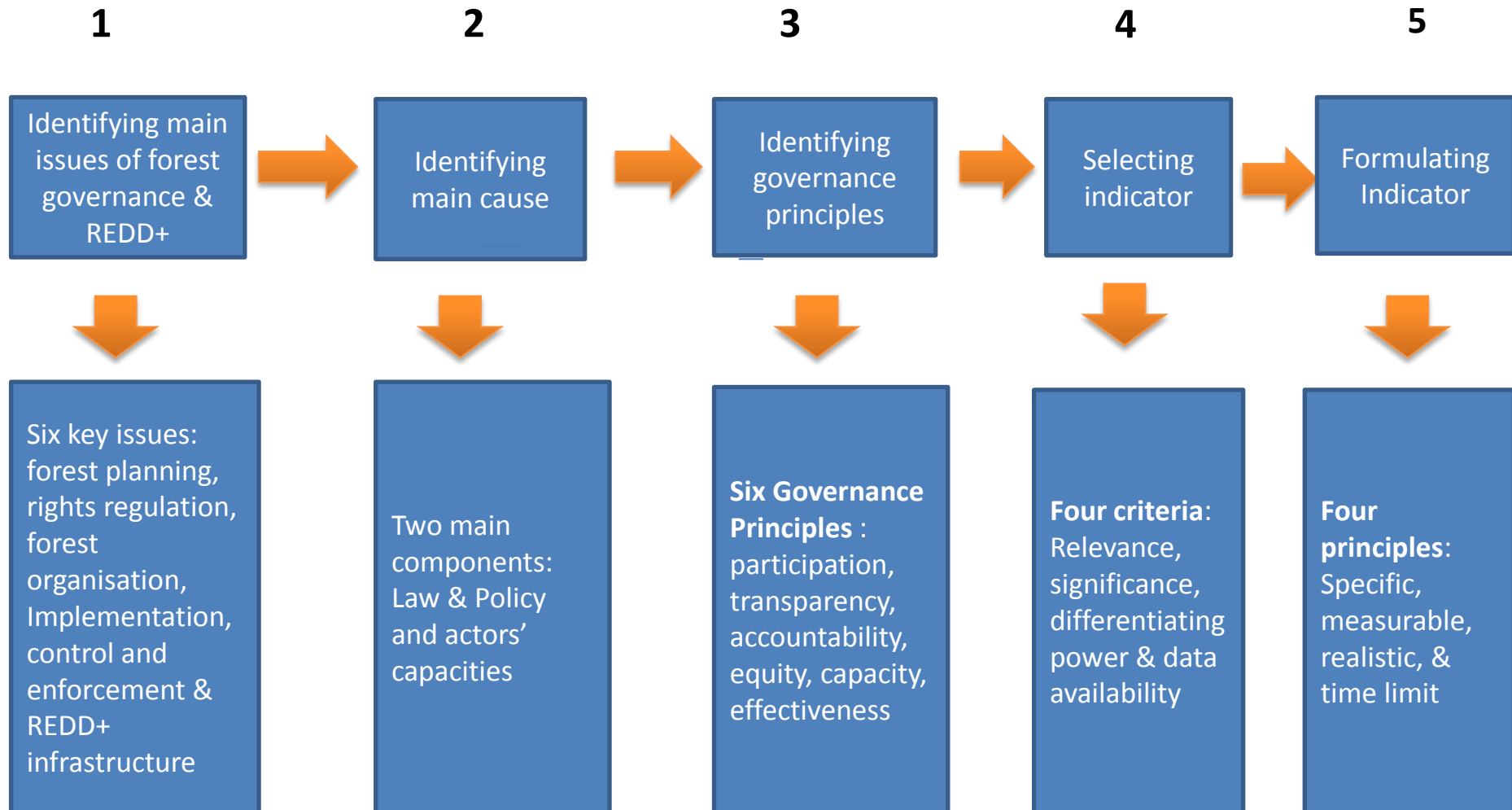


4 PGA Journey



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Formulating PGA Framework

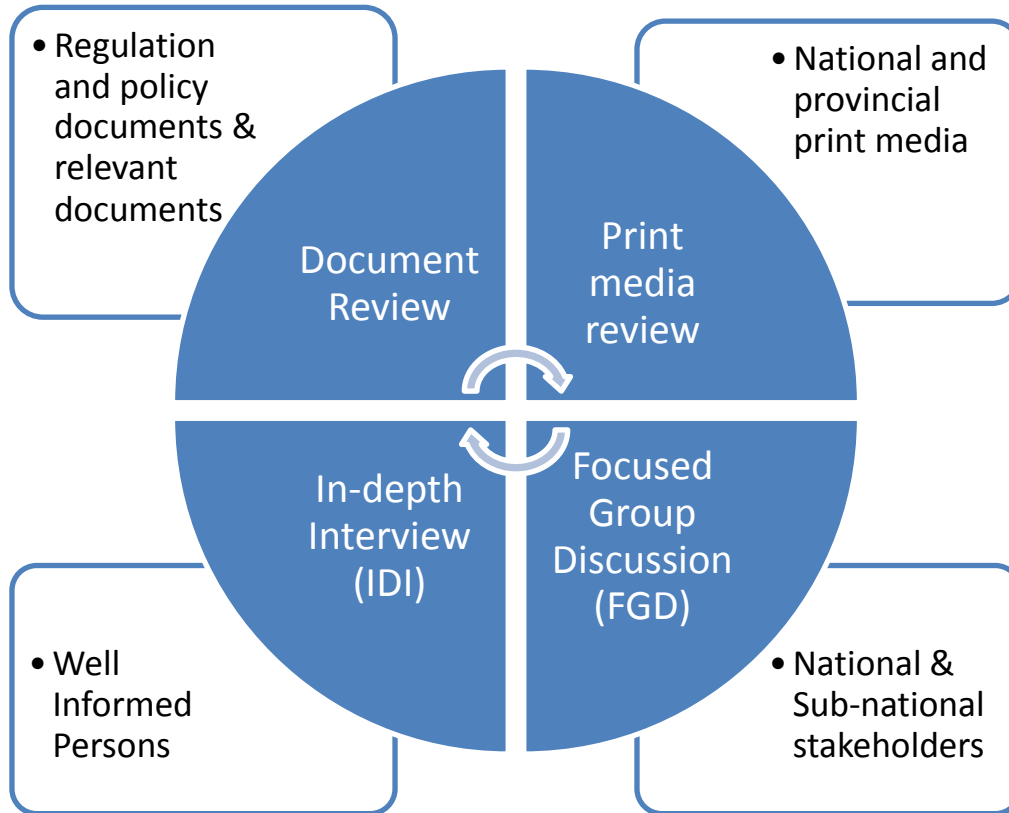


6 PGA Framework

		Governance Components			
		Regulatory framework: regulation and policy	Actors: Government, International organisation, civil society and private sector	Practice : implementation, performance	
Governance and REDD+ Issues at central, provincial and district levels	Spatial and forest planning	117 Indicators reflecting forest governance and REDD+ principles			Participation
	Rights regulation				Transparency
	Forest organisation	Accountability			
	Forest Management	Effectiveness			
	Control and enforcement	Capacity			
	REDD+	117 Indicators reflecting forest governance and REDD+			Equity
	Infrastructure				

7

Data Collection Method



1. The method can provide data to measure indicator, is complementary, sufficiently sensitive to context with real data and validity
2. Transformed into data collection instrument, including identification of observation unit per indicator
3. Validated through national consultation and expert panel

8 Formulation of PGA Index

PGA data and information, each indicator obtained from data collection process



Review by PGA expert panel based on available data & Information



Value of each PGA indicator



Index of each issue/principle



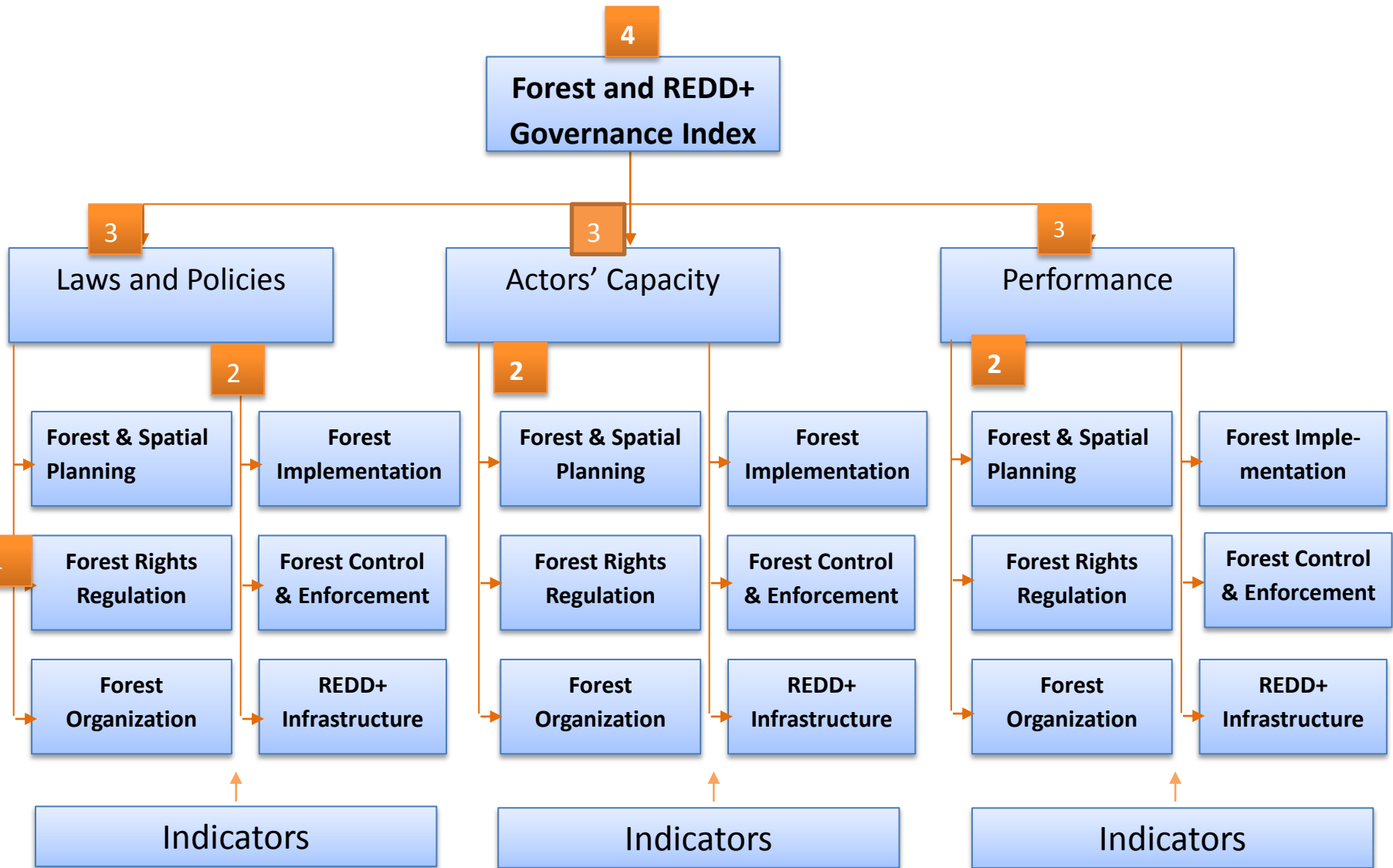
PGA Index per component



PGA Index

9

PGA Index Measurement Structure



9 Policy Analysis Matrix

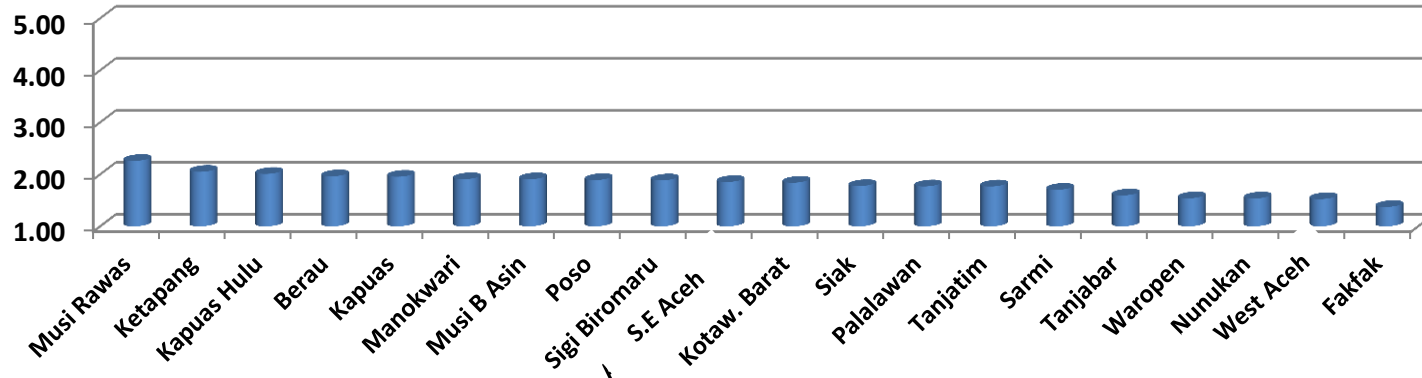
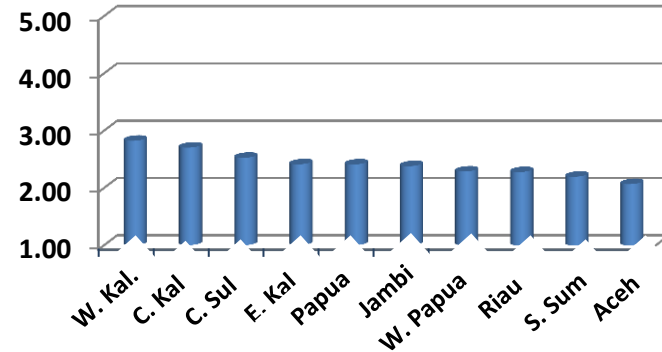
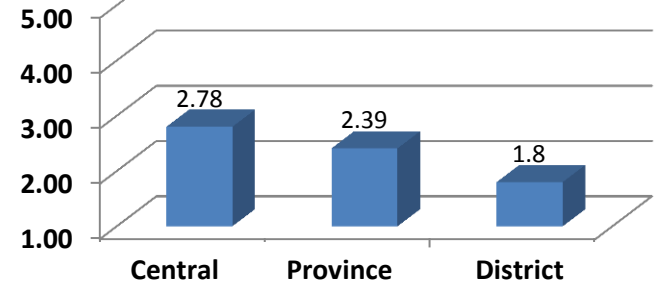
Forest Governance and REDD+ Issue	Critical Indicator	Central /Local Authority	Line ministry relevant technical agency (SKPD)	Civil society/indigenous people/local community/private sector
Regional planning				
Rights regulation				
Forest organisation				
Forest management				
Control and enforcement				
REDD+ Infrastructure				

PGA Data Analysis Results

1

PGA Index

- Forest Governance Index Score 2,33 (on a scale 1 to 5);
- Average Index Central—Provincial—District: 2,78—2,39—1,80;
- High-low: West Kalimantan, Central Kalimantan, Central Sulawesi-Musi Rawas, Ketapang, Kapuas Hulu.

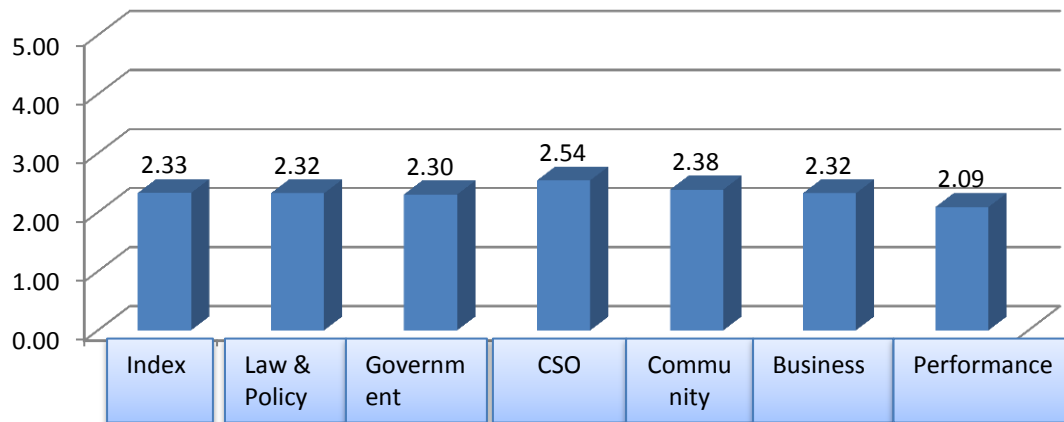


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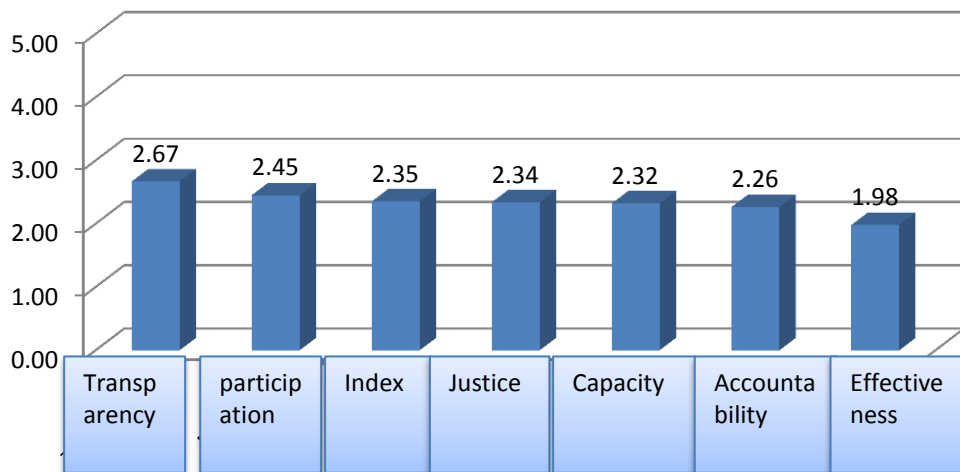
Components & Principles

- The findings calls for strengthening of governance, land and REDD+
- **Need of strengthening index of justice principle**, capacity need to be strengthened ; increase accountability.

The 2012 Indonesian Forest, Land REDD+ Governance Index Based on Components



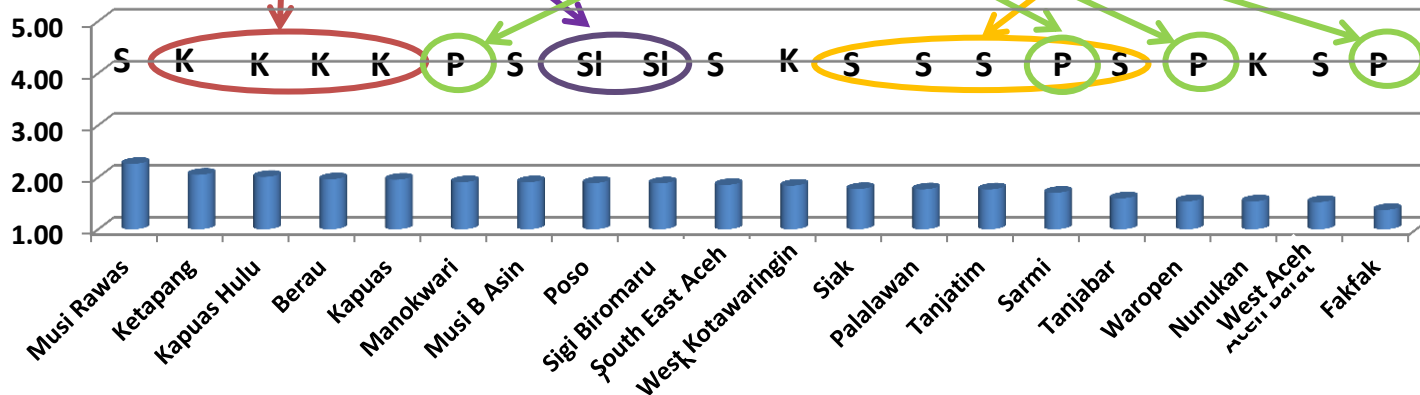
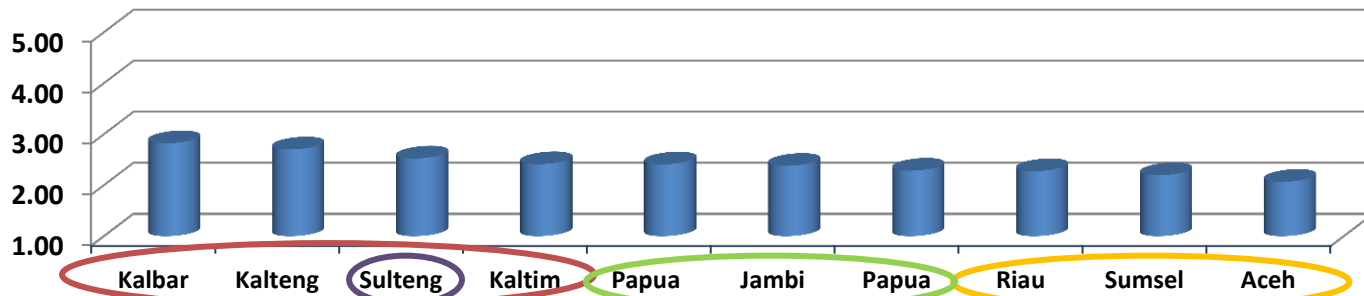
The 2012 Indoensian Forest, Land and REDD+ Governance Based on Governance Principles



3

Relation between Province and District.

- Provincial performance in Kalimantan-Sulawesi-Sumatera tends to be followed by district performance ;
- There is a gap between performance of Papua/West (high) and district, except Manokwari.



4 Law & Policy Framework

Notes: Scale 1-5
 Red Color: < 2
 Yellow Color: >2-< 3.5
 Green Color: > 3.5

Issues: Spatial & Forestry Planning	Central	Jambi	Papua	Aceh	West Kal	Central Kal	Riau	South Sumatera	East Kal	Central Sulawesi	West Papua
Index	2.83	3.00	2.75	2.50	2.50	2.50	2.25	2.25	2.25	2.25	2.25
Issues: Rights Regulation	Central	Central Kal	Aceh	Papua	West Kal	Central Sulawesi	West Papua	South Sumatera	East Kal	Jambi	Riau
Index	3.38	3.00	2.94	2.77	2.58	2.58	2.17	2.12	2.12	2.04	1.90
Issues: Forest Organization	Central	Jambi	Central Kal	Papua	Aceh	West Kal	Riau	South Sumatera	East Kal	Central Sulawesi	West Papua
Index	2.88	2.25	2.25	2.13	2.06	1.56	1.50	1.50	1.50	1.50	1.50
Issues: Forest Implementation	Central	West Kal	Aceh	Papua	Riau	Jambi	South Sumatera	Central Kal	East Kal	Central Sulawesi	West Papua
Index	3.00	3.13	3.08	2.75	2.50	2.50	2.50	2.50	2.50	2.50	2.50
Issue: Control & enforcement	Central	Aceh	Jambi	South Sumatera	Papua	West Kal	Central Sulawesi	Riau	Central Sulawesi	East Kal	West Papua
Index	2.54	2.42	2.42	2.42	2.38	2.25	2.21	2.00	2.00	2.00	2.00
Issue: REDD+ Infrastructure	Central	Aceh	West Kal	South Sumatera	Central Kal	East Kal	West Papua	Jambi	Riau	Central Sulawesi	Papua
Index	2.17	1.83	1.67	1.50	1.50	1.50	1.50	1.33	1.17	1.17	1.17

- The policy framework has governed transparency aspect in spatial and forestry planning process, forest management; regulated the rights of parties in the forest, accountability of Forest management Unit (s), and harmonization of law and policy
- However, the policy framework need to be strengthened in governing public participation and capacity building in decision making process, complaint mechanism, protection of rights of community in the forest, and permit process efficiently

5

Government Capacity

Notes: Scale 1-5
 Red Color: < 2
 Yellow Color: >2-< 3.5
 Green Color: > 3.5

Issues: Spatial & Forestry Planning	Central	Central Sulawesi	Papua	South Sumatra	East Kal	West Kal	Central Kal	Riau	Jambi	West Papua	Aceh
Index	2.65	2.88	2.80	2.42	2.18	2.14	2.14	2.13	2.04	1.83	1.60
Issues: Rights Regulation	Central	Central Sulawesi	West Papua	Central Kal	South Sumatra	Papua	Riau	West Kal	Jambi	East Kal	Aceh
Index	2.65	3.38	2.96	2.83	2.74	2.47	2.40	2.01	1.96	1.80	1.20
Issues: Forest Organization	Central	East Kal	South Sumatra	West Papua	West Kal	Aceh	Central Kal	Central Sulawesi	Jambi	Riau	Papua
Index	3.00	2.83	2.75	2.50	2.31	2.25	2.25	2.13	2.00	1.79	1.58
Issues: Forest Implementation	Central	South Sumatra	East Kal	West Papua	Central Sulawesi	West Kal	Central Kal	Jambi	Papua	Riau	Aceh
Index	2.67	3.67	3.67	3.33	3.00	2.67	2.67	2.33	2.33	2.00	1.33
Issue: Control & enforcement	Central	Jambi	West Kal	Central Kal	Aceh	South Sumatra	Riau	Central Sulawesi	Papua	East Kal	West Papua
Index	1.40	3.17	2.93	2.93	2.75	2.67	2.60	2.27	2.13	1.73	ND
Issue: REDD+ Infrastructure	Central	Central Sulawesi	Central Kal	East Kal	Jambi	Aceh	Riau	South Sumatra	Papua	West Kal	West Papua
Index	2.57	2.29	2.00	1.93	1.86	1.79	1.71	1.57	1.43	1.36	1.21

- The government capacity have qualified personnel for forestry and spatial planning, administration of rights in the forest. They also have budget allocation for administering rights, forest management organizations (FMUs). There is also REDD+ task Force
- However, the government capacity need to be strengthened on the following areas: capacity on participatory forestry and spatial planning process, forest conflict handling, administration of community rights, law enforcement in handling forest related crimes. There is also a need to have permanent REDD institutions

6 CSO Capacity

Notes: Scale 1-5
 Red Color: < 2
 Yellow Color: >2-< 3.5
 Green Color: > 3.5

Issues: Spatial & Forestry Planning	Central	West Kal	Central Kal	Central Sulawesi	East Kal	Papua	Riau	South Sumatra	Jambi	Aceh	West Papua
Index	2,58	3,66	3,28	3,03	2,98	2,84	2,76	2,56	2,54	2,44	2,38
Issues: Rights Regulation	Central	Central Kal	West Kal	Jambi	Central Sulawesi	Aceh	Riau	West Papua	South Sumatra	Kaltim	Papua
Index	4.00	3.92	3.75	3.50	3.42	3.25	3.00	2.96	2.75	2.63	2.21
Issues: Forest Organization	Central	Central Kal	Central Sulawesi	Riau	Aceh	Jambi	West Kal	Papua	West Papua	South Sumatra	East Kal
Index	3.00	3.44	3.28	3.22	3.00	3.00	3.00	3.00	2.44	2.33	2.00
Issues: Forest Implementation	Central	West Kal	Jambi	Aceh	Central Kal	Papua	East Kal	Central Sulawesi	West Papua	Riau	South Sumatra
Index	2.50	3.50	3.17	3.00	3.00	2.78	2.75	2.53	2.14	2.06	1.64
Issue: Control & enforcement	Central	Riau	West Kal	Central Kal	East Kal	Aceh	Jambi	South Sumatra	West Papua	Papua	Central Sulawesi
Index	3.50	3.25	3.25	3.25	3.25	2.50	2.50	2.50	2.50	2.50	1.75
Issue: REDD+ Infrastructure	Central	West Kal	Papua	Central Kal	Aceh	Central Sulawesi	Riau	South Sumatra	Jambi	East Kal	West Papua
Index	2.42	2.75	2.47	2.39	2.33	2.25	2.06	2.03	2.00	2.00	2.00

- The CSO capacity have enough capacity to apply governance principles in their organizations, provide inputs on spatial & forestry planning process. There are also building programme for local communities and advocacy for complaint handling.
- However, the CSO capacity still needs to be strengthened on the following aspects i.e. technical aspects of spatial and forestry planning process, capacity to assess potential losses due to un transparent spatial and forestry planning process, high permit transaction cost and corruption practices in forestry sector

7 Community Capacity

Notes: Scale 1-5
 Red Color: < 2
 Yellow Color: >2-< 3.5
 Green Color: > 3.5

Issues: Spatial & Forestry Planning	Central	West Kal	Central Sulawesi	Papua	East Kal	Central Kal	Riau	West Papua	Jambi	Aceh	South Sumatra
Index	3.25	3.16	2.99	2.88	2.80	2.71	2.42	2.29	2.27	1.92	1.15
Issues: Rights Regulation	Central	West Kal	East Kal	Central Kal	Central Sulawesi	Papua	South Sumatra	West Papua	Aceh	Jambi	Riau
Index	3.38	3.71	3.29	3.21	2.75	2.63	2.50	2.46	2.42	2.25	2.00
Issues: Forest Organization	Central	West Papua	East Kal	Central Sulawesi	Aceh	Papua	Riau	Jambi	East Kal	Central Kal	South Sumatra
Index	3.33	3.67	3.00	3.00	2.67	2.67	2.33	2.33	2.00	1.67	
Issues: Forest Implementation	Central	West Kal	East Kal	Papua	Aceh	Riau	Jambi	Central Kal	Central Sulawesi	South Sumatra	West Papua
Index	2.60	4.00	4.00	3.00	2.00	2.00	2.00	2.00	2.00	1.00	1.00
Issue: Control & enforcement	Central	West Papua	Central Sulawesi	Central Kal	Aceh	Papua	West Papua	Jambi	Riau	South Sumatra	East Kal
Index	3.00	3.89	3.28	2.94	2.89	2.42	2.22	2.06	1.72	1.56	1.56
Issue: REDD+ Infrastructure	Central	Central Sulawesi	Central Kal	West Kal	Riau	Aceh	Papua	Jambi	East Kal	South Sumatra	West Papua
Index	2.13	3.17	2.81	2.58	1.85	1.65	1.50	1.31	1.17	1.00	1.00

- The community capacity have enough capacity to apply governance principles in their organization, provide inputs on spatial & forestry planning process
- However, the community capacity needs to be strengthened on the following aspects i.e. increasing community rights activists, capacity for monitoring forest permit process, technical skill in forest planning process, partnership building for SFM model as well as the involvement of REDD+ infrastructure development

8 Business Capacity

Notes: Scale 1-5
 Red Color: < 2
 Yellow Color: >2-< 3.5
 Green Color: > 3.5

Issues: Spatial & Forestry Planning	Central	West Kal	East Kal	Central Kal	Riau	Papua	West Papua	Central Sulawesi	South Sumatra	Jambi	Aceh
Index	3.33	3.28	3.06	3.06	3.00	3.00	2.94	2.89	2.72	2.67	1.33
Issues: Rights Regulation	Central	West Papua	Central Sulawesi	Riau	Jambi	Central Kal	East Kal	West Kal	Aceh	South Sumatra	Papua
Index	2.63	2.57	2.36	2.25	2.25	2.25	2.18	2.11	1.50	1.50	1.43
Issues: Forest Organization	Central	Central Kal	Riau	Jambi	West Kal	East Kal	West Papua	Papua	South Sumatra	Aceh	Central Sulawesi
Index	3.33	3.33	3.00	3.00	3.00	3.00	3.00	3.00	2.33	1.33	1.33
Issues: Forest Implementation	Central	Riau	Jambi	South Sumatra	West Kal	Central Kal	East Kal	West Papua	Papua	Central Sulawesi	Aceh
Index	2.50	2.50	2.50	2.50	2.50	2.50	2.50	2.50	2.50	2.00	1.00
Issue: Control & enforcement	Central	West Kal	Riau	Jambi	South Sumatra	East Kal	Papua	Central Kal	Central Sulawesi	West Papua	Aceh
Index	3.08	3.50	3.00	3.00	3.00	3.00	3.00	2.67	2.00	1.50	1.00
Issue: REDD+ Infrastructure	Central	West Kal	East Kal	Central Kal	Riau	Jambi	West Papua	Central Sulawesi	South Sumatra	Aceh	Papua
Index	2.92	3.42	2.83	2.50	2.33	2.33	2.33	2.33	2.08	1.25	1.00

- The business capacity have relatively good capacity to be involved in forestry planning process, internal control mechanism, and some of them have code of conduct
- However, the business capacity need to be strengthened on the following aspects i.e. capacity to implement FPIC properly, adequate budget allocation for gazettelement, and involvement in REDD+ infrastructure development. Need to increase companies related to forestry sector get SFM label (both mandatory and voluntary) which are 20 percent out of 520 companies now .

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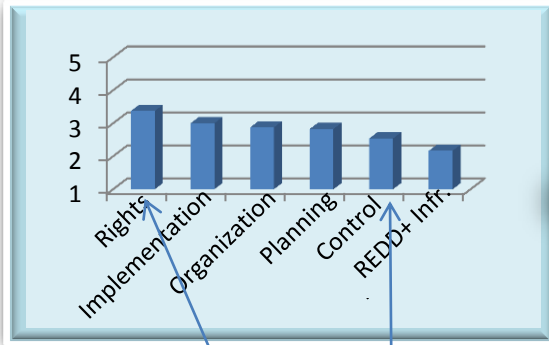
Performance

Issues: Spatial & Forestry Planning	Central	Central Kal	Jambi	South Sumatra	East Kal	Central Sulawesi	Papua	West Kal	Riau	West Papua	Aceh
Index	2.75	3.00	2.50	2.50	2.50	2.50	2.50	2.25	2.00	2.00	1.75
Issues: Rights Regulation	Central	Papua	West Papua	Central Kal	Central Sulawesi	Riau	Jambi	South Sumatra	Aceh	West Kalr	East Kal
Index	2.35	2.90	2.80	2.60	2.60	2.40	2.40	2.40	2.25	2.20	2.20
Issues: Forest Organization	Central	Central Sulawesi	Papua	Jambi	South Sumatra	West Kal	Central Kal	West Papua	East Kal	Aceh	Riau
Index	2.50	3.50	3.00	2.50	2.50	2.50	2.50	2.50	2.00	1.50	1.50
Issues: Forest Implementation	Central	Riau	Central Kal	East Kal	Central Sulawesi	South Sumatra	West Papua	Papua	Jambi	West Kal	Aceh
Index	2.25	2.88	2.75	2.75	2.75	2.50	2.50	2.33	2.25	2.25	1.38
Issue: Control & enforcement	Central	Central Sulawesi	Papua	Riau	West Papua	Aceh	Jambi	South Sumatra	Central Kal	East Kal	West Kal
Index	2.33	2.60	2.60	2.40	2.40	2.20	2.20	2.20	2.20	2.20	2.00
Issue: REDD+ Infrastructure	Central	South Sumatra	Central Kal	East Kal	Aceh	Central Sulawesi	Riau	Jambi	West Papua	West Kal	Papua
Index	2.60	2.60	2.50	2.40	2.30	2.30	2.20	2.20	2.20	2.00	2.00

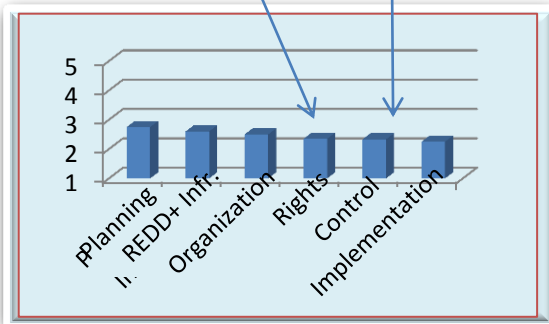
- Need to increase the percentage of regions in Indonesia which have legalized their spatial planning. The current data demonstrates: 13 provinces (39%), 121 districts (32%) & 37 cities (43%) ...Need to increase the percentage of forest area which have gazetted from 11 % or 15 million out of 136 million ha now.
- Need to increase the number of forest related conflicts solved, one case per year out of more than 100 cases per year.
- Need to increase media news coverage on community rights i.e. 1: 21 days (one news within 21 days)
- Need to reduce the transaction cost for getting forest permit (official & unofficial)-i.e. cost to get permit from local government in Kalimantan is Rp. 50,000 thousand per hectare. Need to increase community access i.e. 450,000 ha for community compared to more than 30 million ha for private sector
- Need to increase the forestry crime case proceed to court at district level i.e. 6 cases out of 128 cases recorded in 2012

Actor—PGA Issue

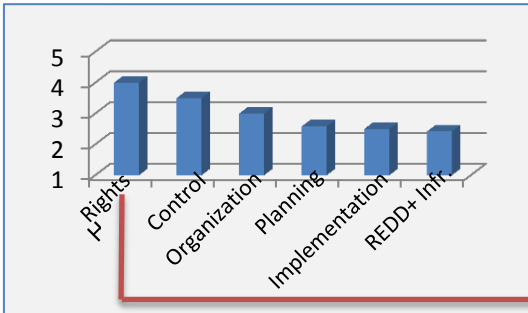
Law & Policy



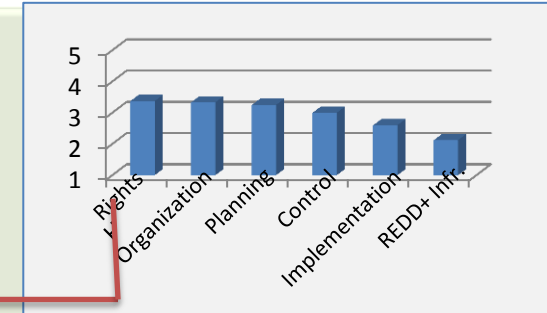
Performance



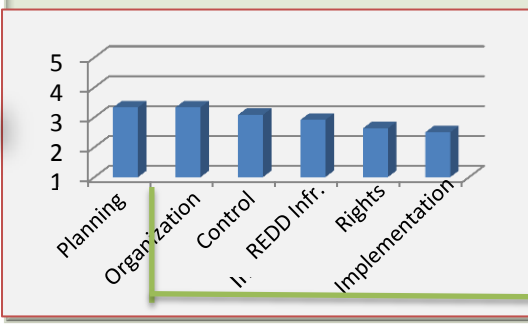
CSO



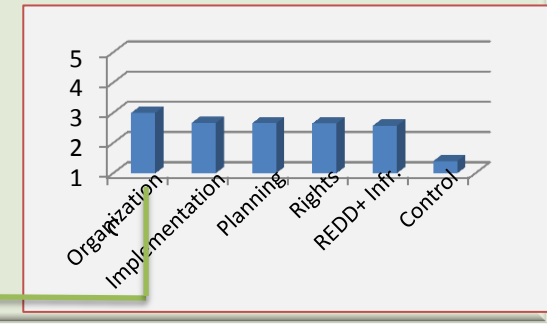
Community



Business



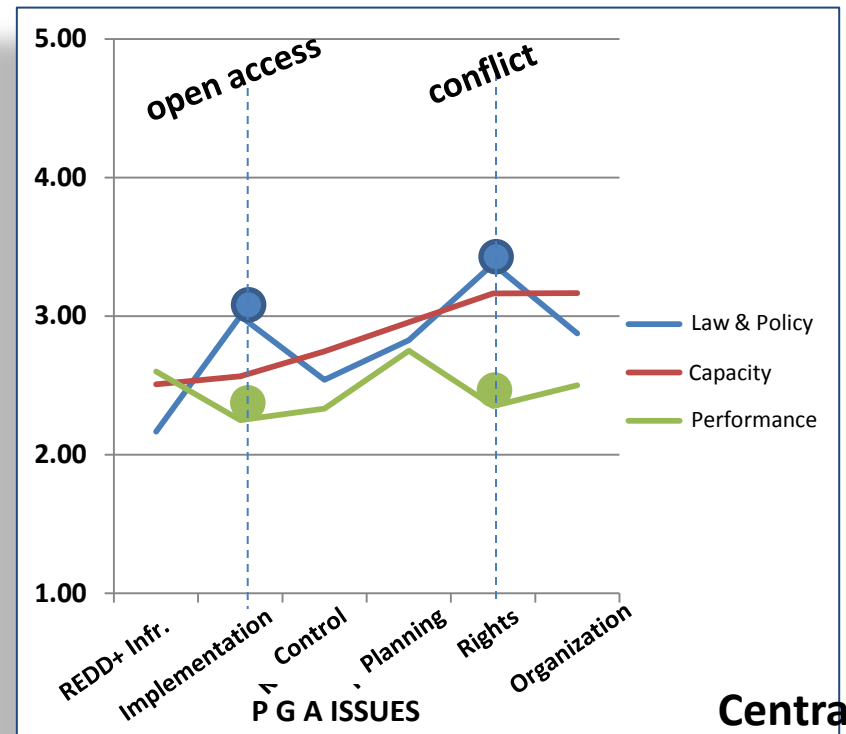
Government



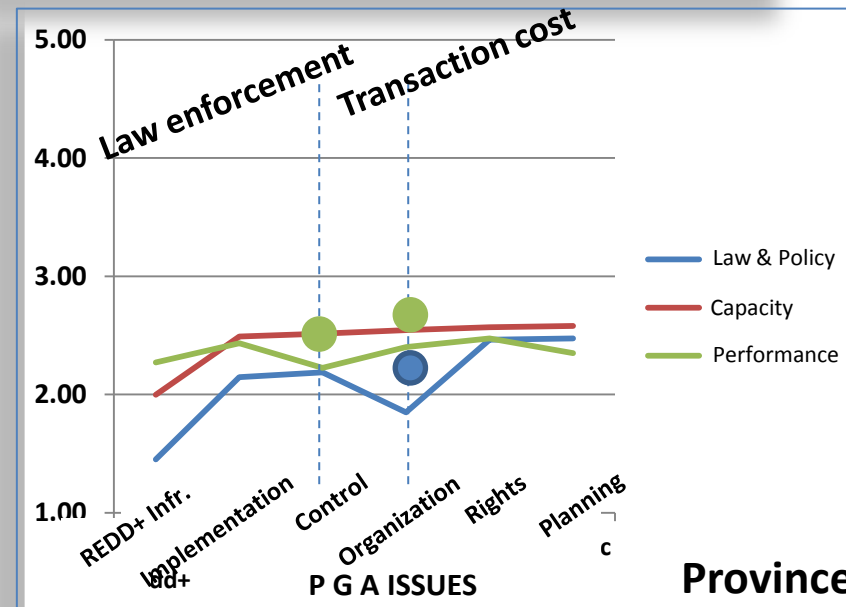
- Substance of law and policy related to forest and land rights and management are relatively sound but the performance are limited.
- Capacities of CSO and community concentrate on forest and land rights issues, whereas businesses are on organizational planning and government is on organization and management.
- Law enforcement issue are driven by CSO, and need to be followed by government.

4 Key Issues

- **Central:**
 - Capacity building can enhance the index on the issue of law and policy related to rights & management but not followed by improved performance;
 - Main issues: open access and conflict.
- **Province:**
 - Main issues: limited law enforcement index & transaction cost;



Central



Province

Key PGA Indicators

FGD at 31 Locations, n = 300

<p><u>Law & Policy Indicators</u></p>	<ol style="list-style-type: none"> 1. Comprehensiveness of regulations governing transparent and involving stakeholders in forest planning 2. Recognition of tenure rights in a transparent manner 3. Capacity building of communities to enable them to access their tenure rights 4. Mechanisms of granting efficient forest management permits 5. Public complaint handling mechanisms on forest and REDD+ related issues 6. Availability of social and environmental safeguards mechanisms in forest and REDD+ implementation at the national and sub-national level
<p><u>Actors' Capacity Indicators</u></p>	<ol style="list-style-type: none"> 1. Number of qualified personnel from the Ministry of Forestry in the Planning Unit to implement the participatory planning of statuses and functions of forest areas 2. Number of qualified personnel from the Ministry of Forestry in administering adat/local tenure rights 3. Number of qualified personnel from the Ministry of Forestry in mediating forest related conflict 4. Amount of funds allocated to develop a participatory forest and spatial planning process and administrate adat/local tenure rights 5. Amount of funds allocated to solve forest related disputes 6. Number of NGOs, adat, local and business personnel that actively provide input for regional and forest planning
<p><u>Performance Indicators</u></p>	<ol style="list-style-type: none"> 1. Level of REDD+ strategies implementation by the actors 2. Number of serious administrative sanctions comprising license revocations and fines 3. Number of forest related conflicts settled 4. Ratio of forest which is managed by local and adat communities in the forest area 5. Number of forest related crimes brought to court 6. Level of transaction cost for obtaining forest permits 7. Number of Forest Management Unit functionalizing at field

7 Policy Implication

- Limited PGA index indicates challenges to REDD+ programme, particularly:
 - 4 main issues need to be addressed (management and open access of forest areas, law enforcement and high transaction cost);
 - Implementation of the law – need for information transparency and stakeholders participation;
 - Capacity disparity Central—Province—District;
 - Government must be the main driver for policy reform.

Policy Implication

- Roadmap for improving governance:
 - Integrating roles of community and CSO to focus on improving governance particularly on the above 4 main issues;
 - Mobilizing business association initiative to improve permit system governance and internalizing GCG to members of association;
 - Clear direction and resources to improve governance need to be accompanied by identification and designation of functions of main drivers at each province.

INTEGRATION OF FOREST GOVERNANCE AND REDD+ ASSESSMENT INTO SAFEGUARD INFORMATION SYSTEM

