Participatory Governance Assessment:

The 2012 Indonesia Forest, Land, and REDD+ Governance Index

UNDP Indonesia

UN-REDD PROGRAMME

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Foreword from the Head of the President's Delivery Unit for Development Monitoring and Oversight (UKP4)/Chairperson of the REDD+ Task Force

In 2009, President Susilo Bambang Yudhoyono expressed Indonesia's commitment to achieve a reduction in greenhouse gases emissions by 26 percent on its own - or up to 41 percent with international support - from the "business as usual" (BAU) scenario by 2020. The forestry and peatland sectors are projected to continue to be the biggest contributors to green house gases emission in Indonesia. 87% of the green house gases emission reduction target – as stated in the National Action Plan for Green House Gases Emission (RAN-GRK)–consists of the forestry and peatland sectors.

One of the most important efforts to achieve this commitment is the establishment of a REDD+ Institution, comprising REDD+ Agency, MRV Institutions and credible funding instruments. Through Presidential Decree No. 25 2011, which was amended by Presidential Decree No. 5 2013, President Yudhoyono established the REDD+ Task Force which has the duty to prepare the REDD+ institution.

The REDD+ Institution seeks to create breakthroughs to improve the governance of land-based natural resources in Indonesia, particularly from forest and peatland. Without improvement in governance, deforestation and peatland clearing will continue to take place and will hinder Indonesia's effort to reduce its green house gases emission. The importance of improving forest and peatland governance is reflected in the issuance of Presidential Instruction No. 10 2011 on Suspension of New Licences and Improvement of Primary Natural Forest and Peatland Governance.

REDD+ in Indonesia is moving beyond carbon and we are not just talking about forests. REDD+ is about good forest governance to improve people's welfare, reduce poverty and build a sustainable growth. This principle is translated into the five pillars of the REDD+ National Strategy, namely: (1) Institutional Structure and Process, (2) Legal and Regulatory Framework, (3) Strategic Programme, (4) Change of Paradigm and Work Culture and (5) Multistakeholder Engagement.

The Participatory Governance Assessment (PGA) initiated and implemented by UNDP and the UN-REDD Programme provide valid baseline information, policy recommendations, roadmap and monitoring intruments for forest, land and REDD+ governance. The information need to be produced periodically to serve as inputs for ministries/agencies, local government, business community, civil society and Indigenous Peoples in order to improve forest and peatland governance as well as to reduce forest degradation and deforestation in Indonesia.

We extend our appreciation to UNDP and UN-REDD Programme for initiating and facilitating the assessment, and support the use of the study as a reference for improving forest and peatland governance in Indonesia.

Head of President's Delivery Unit for
Development Monitoring and Oversight (UKP4)/
Chairperson of REDD+ Task Force

Kuntoro Mangkusubroto

Foreword from Minister of Forestry

The Ministry of Forestry of the Republic of Indonesia hereby conveys the highest appreciation to UNDP Indonesia for conducting an assessment and publishing the report on forest and REDD+ governance in Indonesia. The report not only presents information on the strengths and weaknesses of forest and REDD+ governance, but it also provides a number of policy recommendations.

Forest and REDD+ governance is one of the targets of the 2010-2014 Strategic Plan of Ministry of Forestry. Various activities to strengthen forest and REDD+ governance have been undertaken, among others the strengthening of forest management institutions, improvement of human resources in the forestry sector, increasing opportunities for communities living around forest areas to participate actively in forest management, improving internal control of each forest development and improving quality of public services to be more efficient, effective, transparent and participatory. Various mechanisms have also been established including the Moratorium on New License Issuance; Timber Legality Verification System (SVLK); Forest Development Financing Center (BLU-Pusat P2H) – which provides micro credit access for the development of community plantation forest (HTR), community forest (HKm), village forest (HD) and community partnership forest (HRPK) - and one stop service for permit applications.

Continuous improvement of forest governance through REDD+ is expected to reverse deforestation rate, reduce forest degradation, improve forest conservation, enhance best practices on sustainable forest management and ultimately promote forest rehabilitation in Indonesia.

Minister of Forestry of the Republic of Indonesia

DR. (HC). ZULKIFLI HASAN, SE, MM.

Foreword from UNDP Indonesia

Good governance is critical to the reduction of greenhouse gases from the land and forestry sector. This message was driven home during the Sixteenth Session of the Conference of the Parties (COP 16) of the United Nations Framework Convention on Climate Change (UNFCCC) in Cancun. In many countries, deforestation and forest degradation are linked to weak spatial planning, land tenure problems, limited community participation in law-making and forest management, poor harmonization in laws and regulations, and law enforcement issues. Following the COP 16 agreement, developing countries have promised to establish forest governance safeguards as a part of the implementation of Reducing Emissions from Deforestation and Forest Degradation (REDD+).

In 2011, the UN-REDD Programme piloted the 'Participatory Governance Assessment for REDD+ Implementation (PGA)' in response to the COP 16 agreement. Indonesia is the first of four pilot countries to launch the PGA report. Vietnam, Ecuador and Nigeria are shortly to follow.

The report provides vital baseline data and analysis on the current state of forest governance under REDD+. In addition to identifying challenges and areas for further strengthening in forest governance, the PGA report contains detailed policy recommendations, outlines a roadmap, and provides monitoring instruments that can all be used to improve forest governance in Indonesia. The assessment was produced in close consultation with the REDD+ Task Force, Ministry of Forestry and BAPPENAS. It was also developed following intensive public consultations and with the assistance of a multi stakeholder expert panel.

I would like to take this opportunity to convey my deep appreciation to everyone who supported the development of this assessment. I would especially like to thank Dr. Kuntoro Mangkusubroto, Head of UKP4 and Chairman of the REDD+ Task Force; Dr. Hadi Dariyanto, Secretary General of the Ministry of Forestry; and PGA Indonesia Expert Panel.

I am also grateful for the technical and financial support provided by the UN-REDD Global Programme, and also for the very fruitful collaboration with, and contributions from FAO and the UNDP Oslo Governance Centre. The assessment is truly the work of many!

We hope the assessment results will translate into concrete actions to improve forest, land and REDD+ governance. This is a necessary prerequisite for us to achieve meaningful reductions in the release of greenhouse gases that contribute to climate change and threaten our common heritage and well-being.

Beate Trankmann
UNDP Country Director

Acknowledgement

The Participatory Governance Assessment (PGA) is truly the work of many. Therefore, UNDP Indonesia and the UN-REDD Global Programme wish to acknowledge and extend our highest appreciation to all of our partners and stakeholders who have supported us in the implementation of this study. We would especially like to thank Dr. Kuntoro Mangkusubroto, Chairperson of the REDD+ Task Force/Head of the President's Delivery Unit for Development Monitoring and Oversight (UKP4), and Dr. Hadi Dariyanto, Secretary General of Ministry of Forestry who have given us their full support since the beginning.

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Table of Contents

Foreword from the Head of The President's Delivery Unit for Development Monitoring and Oversight (UKP4)/Chairperson of the REDD+ Task Force iii
Foreword from Minister of Forestry v
Foreword from UNDP Indonesia vii
Acknowledgement xi

EXECUTIVE SUMMARY 1

CHAPTER 1
BACKGROUND AND BENEFITS OF THE PARTICIPATORY GOVERNANCE ASSESSMENT: EVALUATING THE CONDITION OF FOREST, LAND AND REDD+ GOVERNANCE IN INDONESIA 17
1.1. Background 19
1.2. Deforestation and Forest Degradation 21
1.3 The Potential for Corruption in the Forestry Sector 22
1.4 REDD+, Indigenous Peoples, Women, and Forest Dependent Communities 24
1.5 Local Government Capacity Determines Effectiveness in Implementing REDD+ 27
1.6 The Participatory Governance Asessment Process 27

CHAPTER 2
GOVERNANCE CONCEPTIONS 35
2.1 Conceptual Frameworks of Governance 37
2.2 Conceptual Frameworks of Forest Governance 41
2.3 Conceptual Framework of the Participatory Governance Assessment for REDD+ 44
2.4 Operational Framework of the PGA Taking into Account Forest, Land and REDD+ Governance Issues 45

CHAPTER 3
METHODOLOGIES OF THE FOREST, LAND AND REDD+ GOVERNANCE ASSESSMENT IN INDONESIA 57
3.1 Focal Points of the PGA in Indonesia 60
3.2 Data Collection Methods 61
3.3 Data Collection and Management 64
3.4 Formulation of the Index and Policy Recommendations 64
3.5 Limitations of the PGA 68

CHAPTER 4
THE FOREST, LAND AND REDD+ GOVERNANCE SITUATION IN 2012 71
4.1 The PGA Components 74
4.2 Significant Correlations of the Components 76
4.3 Scores Based on Principles of Good Governance 78

CHAPTER 5
CONCLUSIONS AND UTILIZATION OF THE PGA RESULTS- TAKING INTO ACCOUNT FOREST, LAND AND REDD+ GOVERNANCE ASSESSMENT IN INDONESIA 167
5.1 Conclusions from the PGA on the Condition of Forest, Land and REDD+ Governance 169
5.2 Utilization of the PGA to address Forest, Land and REDD+ Governance Challenges 175

CHAPTER 6
POLICY RECOMMENDATIONS TO STRENGTHEN FORESTRY, LAND AND REDD+ GOVERNANCE IN INDONESIA 187
6.1 Improving the Legality and Legitimacy of State Forest Areas 191
6.2 Ensuring Rights to Forest Resources and Reducing the Incidence of Forestry Conflicts 192
6.3 Reducing Transaction Costs and Illicit Costs in Obtaining Forestry Licensing 193
6.4 Improving Law Enforcement in the Forestry Sector 194
6.5 Realizing REDD+ Infrastructure through Applying Good Governance Principles 195

BIBLIOGRAPHY 197

APPENDIX MATRIX PARTICIPATORY GOVERNANCE ASSESSMENT: THE 2012 INDONESIA FOREST, LAND AND REDD+ GOVERNANCE INDEX 203
- Matrix PGA Indicators Under Components 205
- Matrix PGA Indicators Under Governance Principles 217
- PGA Data Collection Instrument 223

GLOSSARY 259

Executive Summary

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Good forest governance is critical to the successful implementation of efforts to Reduce Emissions from Deforestation and Forest Degradation (REDD+) in Indonesia, and for forest and land management in general. Good governance is characterized by legal certainty, transparency and the free flow of information, public participation, equality, accountability, effective and coordinated management of public resources, and control of corruption. This governance assessment provides a diagnosis of the condition of Forest, Land and REDD+ Governance, and is comprised of robust baseline data, policy recommendations, a roadmap, and a mechanism for monitoring specific governance issues.

The development of this assessment began with the identification of the key issues in forest, land and REDD+ governance in Indonesia, which was done in consultation with stakeholders from civil society, private sector and government. Issues such as forest planning and zoning, rights to land and forests, and the need for a fairer allocation of benefits currently remain unresolved in natural resource management in Indonesia. The strengthening of the existing forest and land governance is required to effectively regulate natural resource exploitation and move towards more sustainable forest and land management.

This assessment of forest, land and REDD+ governance was undertaken via a Participatory Governance Assessment for REDD+ (PGA) and includes a closer look at the underlying drivers of deforestation, as well as recommendations for a number of policies and actions necessary to improve or overcome key governance challenges. The PGA approach as applied by the UN-REDD programme builds both on the UNDP Oslo Governance Centre's knowledge and experience within the field of conducting governance assessments in a wide range of sectors and themes (such as anti-corruption, justice and gender issues) as well as the FAO's experience in data collection and monitoring in the forest sector.

Good forest governance is critical to the successful implementation of efforts to Reduce Emissions from Deforestation and Forest Degradation (REDD+) in Indonesia, and for forest and land management in general.

A Panel of Experts with members from government, civil society organizations, academia, Indigenous and local communities and business actors was established to lead the PGA process, with significant inputs from stakeholders at national, provincial and district level. It was jointly decided that an independent and credible third party was to be hired for data collection to ensure the objectivity of the data. The Expert Panel conducted public consultations and continuously gathered inputs from key stakeholders (from national, provincial and regional level) throughout the entire process up to the validation of the PGA data collected and analysed.

Work around the globe shows that robust governance data can provide the basis for policy reform. The purpose of this report is to provide the necessary assessment of key forest governance issues in Indonesia as an input not only to planning and prioritization to strengthen forest governance mechanisms, institutions and policies in Indonesia, but also to track progress on the state of forest governance across time. It is furthermore anticipated that the governance data could feed into Indonesia's national Safeguards Information System for purposes of reporting under the United Nations Framework Convention on Climate Change (UNFCCC) process to demonstrate how social and environmental safeguards in the country's REDD+ process are promoted, addressed and respected.

PGA: RESULTING INTO THE 2012 INDONESIA FOREST, LAND AND REDD+ GOVERNANCE INDEX

The PGA process – leading into the Indonesia Forest, Land and REDD+ Governance Index - is constructed based on three main components, namely (i) whether or not policies and regulations support agreed principles of good governance, (ii) the capacity of actors (government actors, CSOs, Indigenous/local communities, and businesses at national and local levels) to support REDD+ readiness activities and implementation, and (iii) the performance of the various actors in relation to forest governance policies, regulations and practices. Six critical governance issues were identified and prioritised after an analysis of the forest governance situation and are used to further analyse these three components. They are 1) spatial and forest planning, 2) rights to land and forest resources, 3) forest and land organization, 4) forest management, 5) control and law enforcement, as well as 6) REDD+ readiness (such as institutional readiness and infrastructure and MRV systems). In addition, six governance principles were also applied to describe the overall condition of forest governance in Indonesia. These six principles are: participation, transparency, accountability, effectiveness, capacity, and fairness.

The index is derived from a total of 117 indicators, which represent the combination of the above outlined issues and governance principles and measure the conditions of forest governance in the three main components or categories.

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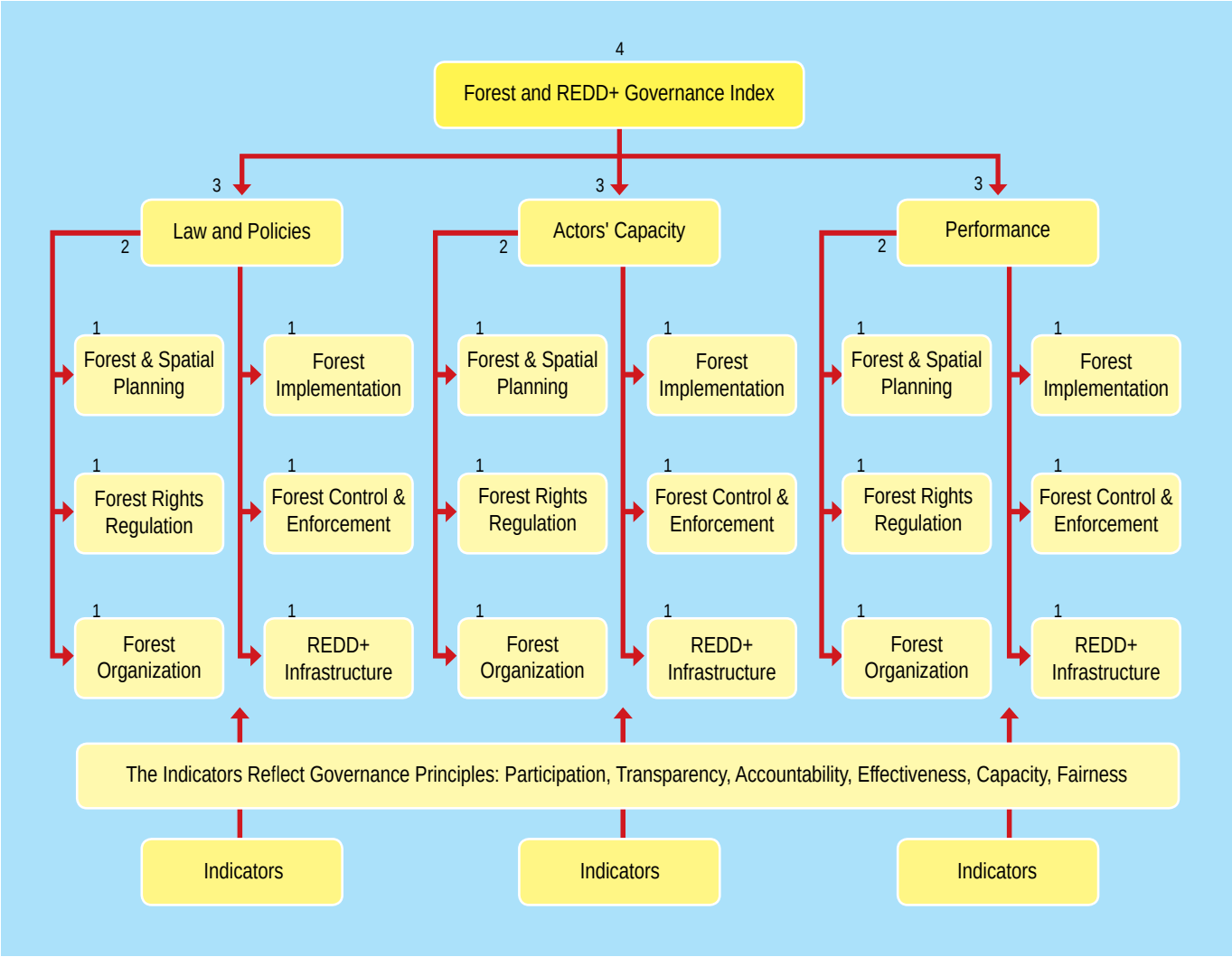


Diagram 1. PGA Index Measurement Structure

Data was collected for Indonesia's ten most forested provinces as well as two districts in each of these provinces, in addition to national level data. Relevant stakeholders at all levels were consulted for different perspectives and inputs throughout the process.

The data collected was ranked on a scale of 1 (insufficient) to 5 (very good) to calculate an overall index value of forest, land and REDD+ governance. The result was an aggregate index value of 2.33 for Indonesia's national level forest, land and REDD+ governance in 2012. This value is derived from the aggregate value established for the various index components on forest, land and REDD+ governance at the central level (2.78) combined with the average index value calculated for the 10 provinces with the largest forest areas (2.39), and the average index value of 20 districts surveyed within these provinces (1.80).

The fact that the nationwide index for forest, land and REDD+ governance falls short of the maximum score underlines the need to strengthen current forest governance

PGA LOCATION

standards - especially at district level where the weakest score is recorded (1.80) Given that the main authority to manage forest resources is assigned to district administrations under Indonesia's decentralized system of governance, capacities at district level will require considerable strengthening to adequately perform these functions.

The assessment of the capacities of the various actors dealing with REDD+ issues shows that civil society with an aggregate index of 2.54 earned the highest score, followed by Indigenous/local communities and women with an index value of 2.38, and by the business community with an index of 2.32. The capacity of Government overall was rated at a value of 2.30.

Significant differences can be observed between the aggregate forest governance indexes calculated for central, provincial, and district levels, with the central government achieving higher scores than the provinces and districts. The difference in central, provincial and district index values is attributable to the differences in individual and institutional capacities of the different stakeholders involved at the various levels. The capacity of actors at the central level is rated higher than that at the provincial level and the capacities of actors at provincial level are generally stronger than at district level.

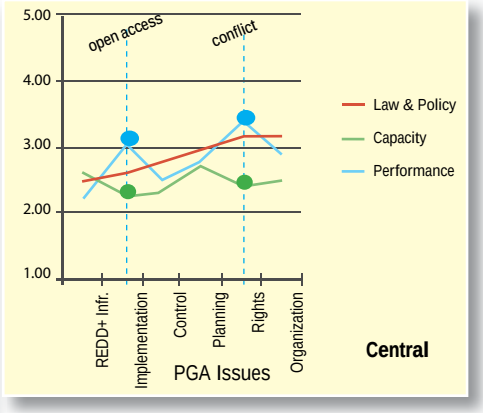
Turning to the principles of forest governance, the aggregate combined score for all levels (i.e. central, provincial, district) is calculated at 2.33. The underlying scores for the six governance principles that the index uses to assess the overall quality of governance are as follows: **Transparency** achieved the highest score of 2.60, followed by **participation** with 2.49 and **fairness** at 2.36. **Capacity** scored 2.32, followed by **accountability**, scoring 2.28, and **effectiveness** scoring 2.02.

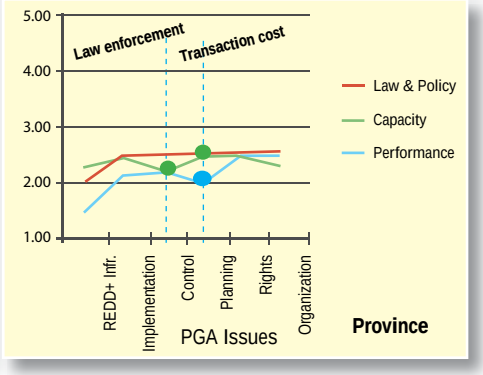
The relatively high scores for **transparency** and **participation** are supported by a number of legal and policy frameworks that ensure transparent and participatory decision-making related to the management of forests and peatlands. An example for this is the issuance of Law 14 of 2008 on Freedom of Information as well as several regulations that call for public participation. In addition to that, a number of actors such as the government, civil society, indigenous groups and businesses also have their internal rules and procedures which require them to be more transparent and inclusive in their decision-making. The comparatively lower scores for fairness, accountability and effectiveness highlight the need for an increased application of justice principles to the management of forest and peatlands. The score on capacity indicates room for improvement in the enforcement of policies, while the results on accountability and effectiveness point to the prevalence of corrupt practices, collusion and nepotism in

The comparatively lower scores for fairness, accountability and effectiveness highlight the need for an increased application of justice principles to the management of forest and peatlands.

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

- **Province**:
  - Main problem: low law enforcement index and high transactions cost;
  - Both problems are related to low law and policy index.

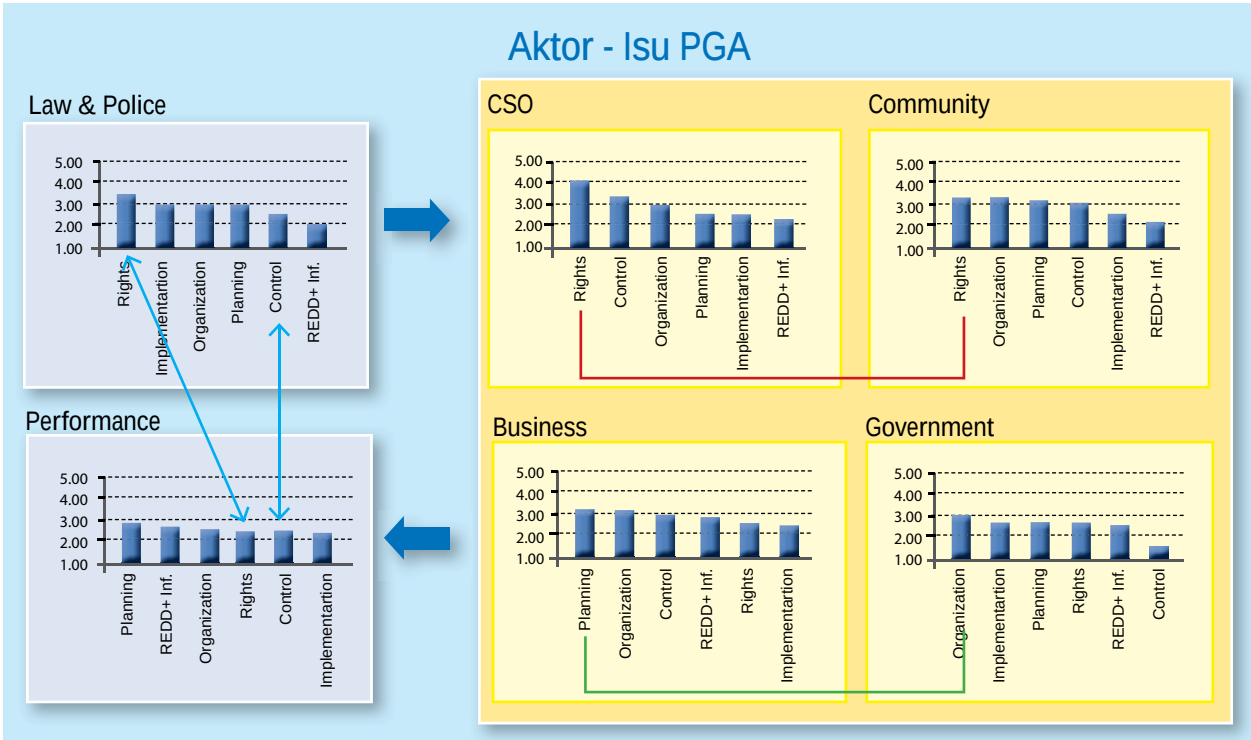




forest and land management. With fairness and effectiveness parameters scoring even lower at district level, despite the formulation of policies to improve transparency, district governments will need to increase their commitment to improving the governance of land and forest resources in their areas of jurisdiction.

There are several interesting trends that can be observed in the index results. The general score for the component index on laws and policies is relatively good, but this does not translate into good implementation of policies or enforcement of laws. Capacity building of the actors might lead to tighter laws and policies, but does not have a noticeable impact on the acceleration of land gazetting and rezoning at central level nor has it led to strengthened law enforcement and reduced transaction costs at provincial level.

Turning back to actor capacities, the capacities of civil society and Indigenous communities are strongest in relation to land and forest right issues while the interest (and corresponding capacities) of the business community is mostly focused on planning and forest management with a view to reducing transaction costs for the issuance of land use permits. And while government capacites are reasonably strong in forest management, more attention needs to be paid to law enforcement capacities - an issue that has attracted attention from relevant civil society actors.



- Substance of law and policy related to forest and land rights and management are relatively sound but not performed.
- Capacities of CSO and community concentrate on forest and land rights issues, whereas businesses are on organization planning and government is on organization and management.
- Law enforcement issue are driven by CSO not by government.

A strong mutually reinforcing correlation is furthermore observed between the capacities of civil society and the capacities of government and other actors such as Indigenous communities and the business sector. The analysis for example shows that if the capacities of civil society are strengthened, the capacities of government will follow suit to better address demand from civil society. Likewise, if civil society capacities are strong, this will also contribute to the strengthening of the capacities of other actors such as Indigenous/ local communities and the business community due to the advocacy and facilitating role of civil society actors.

Similarly, the capacity of Indigenous communities is naturally impacted by the actions of the business sector: when a business company follows good governance practices, this will have a positive impact on indigenous communities, and vice versa. Therefore, in the context of strengthening forest, land and REDD+ governance, both parties should seek opportunities for cooperation and mutual reinforcement. The process can be advanced by changing the perspective of business actors who currently see Indigenous communities as a threat to the sustainability of their businesses rather as potential allies.

MAPPING STRENGTHS

Utilising a scorecard methodology, the PGA covering forest, land and REDD+ governance issues helps to map strengths and weaknesses in capacity across the three core components of the index at central, provincial and district level. The mapping can also be used to prioritise components that most urgently require strengtheing as well as to identify the drivers that could be used to push relevant improvements.

The scorecard methodology was used to analyse the findings. None of the PGA locations covered reached the 3.50 mark required to attain a green ranking. Ninety percent of the areas assessed earned a yellow marking (between 2.00 and 3.50) and the remaining 10 percent registered red markings (less than 2.00). This shows that virtually all the actors at national, provincial and district levels require further strengthening of their ability to address laws and policies, their capacities to govern forest, land and REDD+ issues, and their overall ability to perform their key functions. Particular focus for capacity and performance strengthening should be placed on Aceh with currently three red ratings recorded. For details please refer to table 1 below:

Location	Overall Index	Laws & Policies	Actors' Capacity				Performance
			Government Capacity	CSO Capacity	Community Capacity	Business Capacity	
Central Level	2.78	2.80	2.49	3.00	2.95	2.97	2.46
Aceh	2.07	2.47	1.82	2.75	2.26	1.24	1.90
Riau	2.28	1.89	2.11	2.72	2.05	2.68	2.23
Jambi	2.38	2.26	2.23	2.78	2.04	2.63	2.34
South Sumatera	2.19	2.05	2.64	2.30	1.37	2.36	2.45
West Kalimantan	2.73	2.28	2.24	3.32	3.39	2.97	2.20
Central Kalimantan	2.64	2.29	2.47	3.21	2.56	2.72	2.59
East Kalimantan	2.42	1.98	2.36	2.60	2.47	2.76	2.34
Central Sulawesi	2.52	2.03	2.66	2.71	2.86	2.15	2.71
West Papua	2.29	1.99	2.37	2.40	2.11	2.47	2.40
Papua	2.41	2.32	2.12	2.63	2.51	2.32	2.56

Notes on color marking: red - less than 2; yellow - between 2 and 3.5; green - index value over 3.5

Table 1. The Index of Forest, Land and REDD+ Governance in 2012 at Central and Provincial Levels

- **Law and Policy.** None of the assessed locations at central and provincial levels reached an index value above 2.78 in this core category of the index. The existing regulations have had some positive effects. They have strengthened transparency in the spatial and forestry planning process, fortified forest management, regulated the rights of various parties in the forest, strengthened the accountability of Forest Management Units, and harmonized laws and policies. However, the policy framework should also include public participation and capacity building in the decision making process and it should provide for a complaint mechanism, protect the rights of communities in the forest, and provide an efficient process in the issuance of forestry permits and licenses.

- **Government Capacity.** Government capacities in each of the assessed locations remain below the critical mark of 3.50 with provincial government capacities in Central Sulawesi at 2.66 reaching the highest score. This indicates that overall government capacity to handle issues of forest, land and REDD+ governance requires further strengthening. While relevant government institutions have qualified personnel for forestry and spatial planning as well as for the administration of forest rights with budget allocations in place for Forest Management Units (FMUs), government capacities need to be further strengthened to ensure that forest and spatial planning processes are conducted in a participatory manner involving all key stakeholders. Other critical areas that require the strengthening of government capacities include handling of conflicts, the administration of community rights, as well as law enforcement and the prosecution of forest related crimes. At this point

in time, there is, for example, neither a permanent REDD+ institution nor a REDD+ safeguards system in place that could monitor, report and address violations of forestry laws and implement the necessary safeguards.

- **Civil Society Capacity:** Civil society capacity in the respective locations has received a yellow grade. The overall capacity of civil society in the various areas of forest, land and REDD+ governance is reasonably good, particularly at the central level where civil society was awarded a combined overall score of 3.00 – the highest score awarded to any of the actors at the central level. Civil society actors have the capacity to apply governance principles in their organizations as well as to provide inputs for spatial and forestry planning processes. There are also general capacity building programmes implemented for local communities and advocacy for complaint handling. However, further capacity strengthening is required in order for civil society to handle the technical aspects of spatial and forestry planning processes. To effectively perform their checks and balances and advocacy roles, there is also a need for civil society organisations to reinforce their capacity to assess and highlight the costs of non-transparent spatial planning and forestry processes as well as the high transaction costs for the issuance of permits and costs caused by corruption in the forest sector.

- **Community Capacity** (Indigenous/local communities and women)**:** The capacity rating of Indigenous and local communities falls within the yellow category with community capacity at the central level reaching an overall score of 2.95 (and thus being largely comparable with the capacity of civil society at central level). With a score of 3.39 local and Indigenous communities in West Kalimantan not only registered the strongest capacity result of all the actors assessed but also came very close to a green scoring rate. Indigenous groups and forest dependent communities generally have the capacity to apply governance principles in order to provide inputs to the spatial and forestry planning process. They will, however, need to increase the number and capacity of community rights activists to advocate on their behalf and develop greater capacities for monitoring the issuance process of forest permits, Furthermore, Indigenous and local communties should also strengthen their ability to partner with the business sector to facilitate the issuance and monitoring of sustainable forest management labels for relevant business sector products and increase their involvement in REDD+ institution building.

- **Business Community Capacity.** The capacity of business communities received a reasonably strong rating, especially at central level and in West Kalimantan, where a rating of 2.97 is recorded. None of the business actors in any of the assessment locations, however, reached a score of 3.50 necessary for a green rating. The business sector in general has adequate capacity to be involved in the forestry planning process. It also has internal control mechanisms in place with some business actors having developed and adhered to a forest governance code of conduct. However, business companies require further strengthening in the implementation of Free Prior and Informed Consent (FPIC) principles in their plantation and forest

management operations. Furthermore, increased resource allocations are required by private companies in particular to cover the costs for gazetting as well as certification and labeling. Currently only 20 percent of 520 registered companies operating in the forestry sector attained any sort of Sustainable Forest Management label (both mandatory and voluntary).

- **Performance Component:** Similar to the capacity issues outlined above, the performance of the various actors in the assessment locations requires further strengthening with most locations achieving a yellow performance rating.

  Key findings of the performance assessment reveal that the percentage of regions in Indonesia that have legalized spatial plans in place is still limited. Specifically, spatial plans have been legalised in 13 provinces (39 percent), 121 districts (32 percent) and 37 cities (43 percent). Meanwhile, the percentage of forest areas that have been gazetted is 11 percent, or 15 million out of 136 million ha. Furhtermore, out of a total number of 103 forest related conflict cases up to February 2012 (cases handled by Directorate of Forest Plantation Development, Ministry of Forestry) only one case has so far been fully resolved. Forestry crime cases submitted to court were only 6 out of 128 cases handled in 2012. Media news coverage of community rights at central and provincial level is insufficient with only one news story every 21 days during the period 2010-12. Furthermore, there are high transaction costs for obtaining forest permits (official & unofficial). The cost of gaining a permit from the local government in Kalimantan for example, amounts to Rp. 50,000 per hectare. The government issued forest permits covering less than 450,000 ha to communities but more than 30 million ha to private sector actors.

POLICY RECOMMENDATIONS

As demonstrated through the PGA process and the results computed for the overall aggregate index on forest, land and REDD+ governance as well as the component indices, overall forest governance in Indonesia needs to be further strengthened. The following factors are considered particularly important to properly address and improve for the successful implementation of REDD+ in Indonesia:

- The neglect of four key issues: forest and land management, a management agency in the field to control open access to forests or forest areas, law enforcement, and high transaction costs for licensing.
- Although new laws and policies have been drafted, their implementation remains a challenge partly because of limited awareness due to the lack of public participation in the legislative process and the limited disclosure of information.
- The capacities of central, provincial and district governments need to be reinforced in order to strengthen the operation of forest and land management in the field.

The government plays a key role in the implementation of relevant policies in the forest sector. The strengthening of government capacities across the various levels in the

implementation of regulatory policies and law enforcement for the sector is therefore of particular importance. There is agreement on the need for a roadmap for better forest, land and REDD+ governance based on the analysis and discussions generated by the PGA process. Key steps in this roadmap include the following:

- A more integrated role for local communities and CSOs is needed to strengthen governance processes especially with regards to forest and land management, open access to forests and forest areas, law enforcement, and the issuance of forest licenses.
- Increased involvement by business groups to strengthen the government licensing system, and to facilitate the adoption of Good Corporate Governance (GCG) for members of business associations;

The overall objectives, direction and resources assigned to strengthen structures and practices for good forest governance must be accompanied by the identification of the main drivers for improving the governance situation in the respective provinces. The strengths mapping matrix for governance components should be used as a reference in this regard.

The scores for forest, land and REDD+ governance in this study call for more attention to the fundamental challenges encountered in land and forest management, and in particular the implementation of REDD+. The capacity building needs of actors from government, civil society, local communities and business require to be appropriately addressed. It is suggested that periodic monitoring should be undertaken by the new (soon to be established) REDD+ Agency to ensure that the capacity building measures offered to stakeholders address their weaknesses as well as their respective roles and functions.

Then , there are five key recommendations from this PGA process for strengthening forest, land and REDD+ governance. The policy recommendations pertain to two main areas, namely the improvement of legal and policy frameworks and the strengthening of capacities and capabilities of the key relevant actors.

The first recommendation relates to the strengthening of the clarity of legal status and legitimacy of the status of state forest areas through enhanced Forest, Land and REDD+ Governance. This will be achieved through:

- The issuance of a regulation by the Minister of Forestry on the mechanism to determine in a transparent and participatory manner which forest areas are sensitive to conflicts. This may be done by involving the stakeholders and by conducting capacity building for the parties involved.
- A joint Decree by the Ministry of Forestry, the Ministry of the Environment, the Ministry of Home Affairs and the National Land Agency on the rights of Indigenous and local communities in forest areas and other land use areas.
- Issuance of a Minister of Forestry Regulation on the mechanism to simplify the process for determining the boundaries of the working areas of forest utilization

permits in a transparent and participatory manner, accompanied by capacity building for the relevant parties.

- Issuance of a Minister of Forestry Regulation on a mechanism to integrate the determination of forest area boundaries into the forest gazetting process. This should be done by establishing a Working Group that includes Indigenous peoples' organizations, NGOs, businesses and academics accompanied by capacity building for the implementing agency.

The second recommendation relates to clarifying the rights to forest resources and ultimately reduce the number of forest conflicts. This will be achieved by:

- The extension of Presidential Decree No. 10 of 2011 on the Postponement of Awarding New Permits and Improving the Governance of Primary Forests and Peat lands. It is suggested that over time as the capacities of the relevant government institutions for enforcement and monitoring of forest governance policies are strengthened, the time-bound moratorium on the postponement of issuance of logging and plantation concessions could be replaced by a performance based mechanism that allows limited and regulated issuance of concession permits by central government for provinces and districts that have the required enforcement and monitoring capacities in place.
- The issuance of a Minister of Forestry Regulation for a mechanism to handle complaints, mediate and resolve forest tenurial conflicts using multiparty participation, including capacity building of the relevant parties.

The third recommendation is to avoid high costs and bribes in the issuance of forestry permits and licenses. This will be realized by:

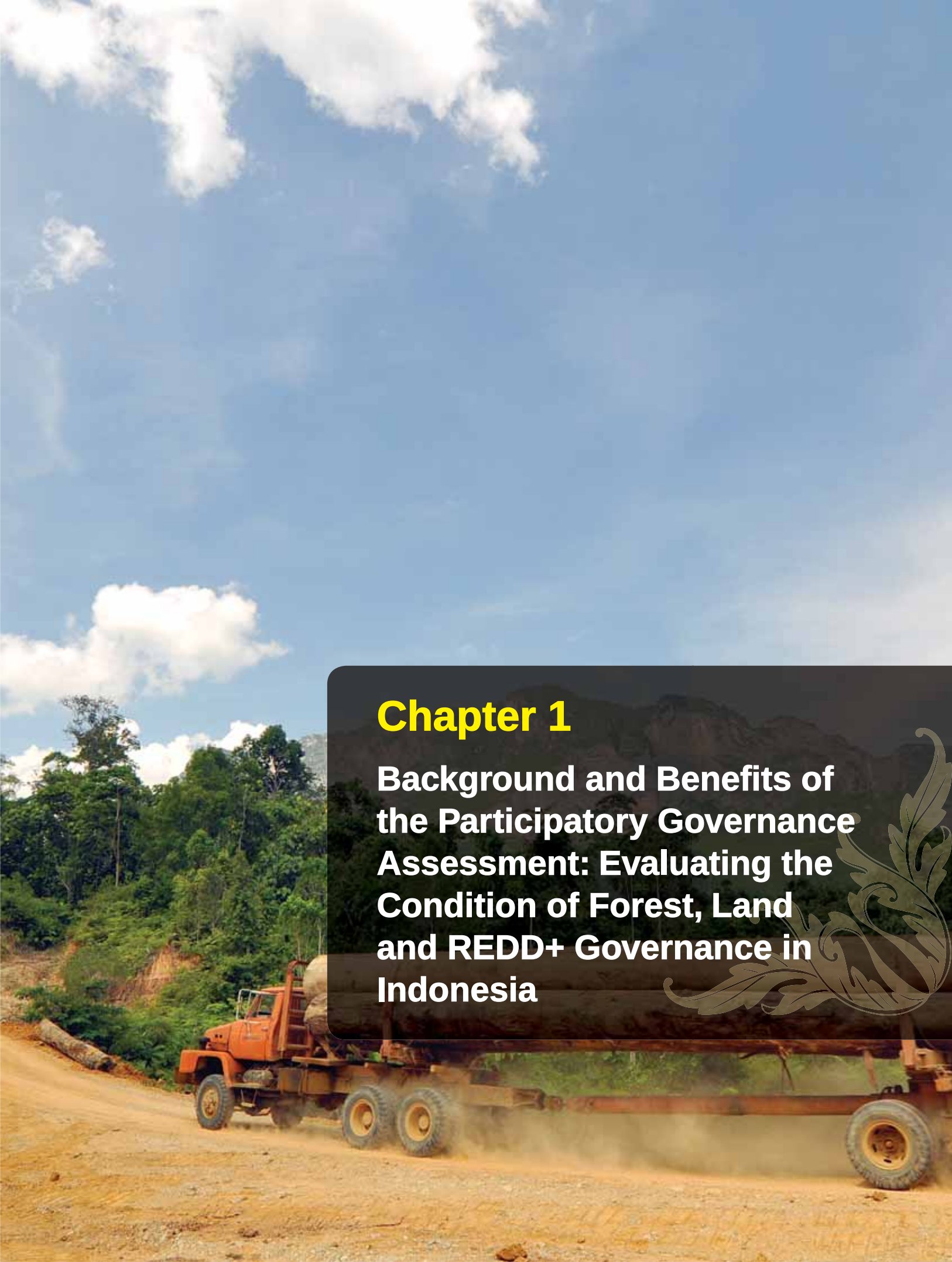
- The issuance of a Minister of Forestry Regulation for a mechanism to procure forest permits and licenses that is simple, efficient, transparent, accountable, and ensures public monitoring. This is to be accompanied by capacity building of the implementing agency.
- The preparation of a Minister of Forestry Regulation for a mechanism to issue forest utilization permits to community groups in a transparent, accountable and efficient manner and the establishment of a public monitoring mechanism for application and implementation of these permits. This must be accompanied by capacity building of the relevant officials at the Ministry of Forestry and the Provincial Forest Departments.
- The drafting of a Minister of Forestry Regulation for the issuance of low-cost utilization permits for customary forests, village forests, community forests, and smallholder plantations. Likewise, this must be accompanied by capacity building measures for the Ministry of Forestry and Provincial Forest Departments.

The fourth recommendation is to strengthen law enforcement in the forestry sector. This will be achieved by:

- The issuance of a Minister of Forestry Regulation for a mechanism that deals with complaints from the forestry sector and includes whistle-blower protection and is based on the principles of public complaints handling already developed by the Ombudsman Commission. This will include capacity building for all the parties.
- The issuance of a Minister of Forestry Regulation for a supervision mechanism for the licensing system that incorporates both public and government control by applying the principles of good governance. This will include capacity building of the parties.
- The issuance of a Minister of Forestry Regulation for a mechanism to develop the policy for an audit of forestry permits. This must also include capacity building for the implementing agency

Lastly, the fifth recommendation focuses on the development of REDD+ infrastructure that applies the principles of good governance. This will be carried out by:

- A mechanism to involve multi stakeholders (civil society, academics, indigenous groups, women and journalists) in the preparation for, and implementation of REDD+ at all levels.
- A framework regulation for social protection, the environment and governance in the implementation of REDD+ in Indonesia.
- A transparency and accountability mechanism for the preparation and implementation of REDD+ including detailed arrangements for the application of FPIC.
- Acceleration of the establishment of a new REDD+ institution which is strong, transparent, participatory and accountable.



Chapter 1

Background and Benefits of the Participatory Governance Assessment: Evaluating the Condition of Forest, Land and REDD+ Governance in Indonesia

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1.1 Background

Nations world wide have agreed to an incentive mechanism for countries to protect, better manage and wisely use their forest reseources, while at the same time contributing to the global fight against against climate change: the REDD+ mechanism (Reducing Emissions from Deforestating and Forest Degradation). REDD+, as one of the approaches to climate change mitigation, was first discussed at the 11th Conference of Parties (COP) in Montreal, Canada, in 2005. REDD+ has been discussed in various working groups of the United Nations Framework Convention on Climate Change (UNFCCC) since, and the scope of REDD+ has broadened. The primary focus of REDD+ rests on five approaches: (a) reduction of the level of deforestation and; (b) forest degradation; (c) conservation of carbon stocks; (d) sustainable forest management, and; (e) enhancing carbon stocks.

REDD+ as one of the climate change mitigation solutions can not be separated from the analysis of economist Nicholas Stern. Stern asserted that approximately 17-20% of global emissions were caused by deforestation in countries possessing tropical forests, such as Brazil, the Democratic Republic of the Congo and Indonesia. If the rate of deforestation of tropical forests can be addressed, 75% of emissions from the forestry sector could be reduced (Stern, 2010). In other words, carbon emissions resulting from unregulated human activities related to forest management (or mis-management) can be addressed, and, at the same time, the forests' absorption capacity of carbon from the atmosphere can proceed while preserving existing forests.

Studies of the effectiveness of funding approaches have also shown that the cost of reducing emissions through the forestry and peatland sectors are lower compared to the results of reducing emissions in other sectors, such as energy, reclamation of waste

The Government of Indonesia has placed great importance on forestry and land reforms in the anticipation that it is through these sectors that Indonesia can do most to actually reduce emissions in accordance with established targets

materials from mining and public transportation (DNPI, 2009). Such findings have interested many countries, listed in Annex II[1], including Indonesia, in preparing to eventually receive payments based on actual reductions in deforestation and forest degradation.

The Government of Indonesia has placed great importance on forestry and land reforms in the anticipation that it is through these sectors that Indonesia can do most to actually reduce emissions in accordance with established targets, that is: a 26% reduction on its own resources, 41% of which with support from international partners, and more than 41% through market mechanisms. Within overall national efforts to reduce greenhouse gas (GHG) emissions, the forestry and peatland sectors will contribute reductions of around 672 $mtCO_2e$ of the total 767 $mtCO_2e$ set as the target reduction level by the year 2020. The resting 18% of reduction will be contributed through energy, transportation, waste and agricultural sectors. This target is seen as realistic if forest and peatland management is improved, even though the forest sector continues to contribute to Indonesia's economic growth.

Indonesia lost 0.48 hectares of forests during the period between 2009 and 2010. Deforestation over the period 2000-2006, which reached 1.7 million hectares per year

[1] Countries as listed in the UNFCCC conventions on climate change that have special obligations to provide financial resources and to facilitate technological transfer.

1.2 Deforestation and Forest Degradation

The high rate of deforestation and forest degradation is caused by a number of factors, including: high market demand for products that require large land resources; forestry policies that provide incentives to convert forested areas rather than protect them; and the failure of forest management (Trines, 2007). Factors such as these have have contributed to countries with tropical forests like Indonesia not being able to control the rate of deforestation and degradation of forests and peatlands. Forestry statistics of 2012 indicate that Indonesia lost 0.48 million hectares of forests during the period 2009-2010. This figure is smaller than the rate of deforestation over the period 2000-2006, which reached 1.7 million hectares per year. These figures place Indonesia amongst one of the world's biggest GHG emitters in the forestry and peatland sectors.

There is agreement among REDD+ countries, civil society actors and donor countries alike on the importance of improving governance and forest management systems – supported by clear and systematic policies. In fact, this is argued as one of the determining factors for any country involved in REDD+. The importance of appropriate governance measures and systems is also reflected the Cancun Negotiation Text. There are a number of requirements that need to be addressed seriously in realizing the goal of sustainable forest management, including under REDD+, namely (WRI, 2009):

- Effective forest management institutions, with clearly defined roles and responsibilities;
- Adequate policies and regulations, including clear land regulations and regulatory mechanisms;
- Transparent land use planning;
- Equitable management and distribution of income from forest resources;
- Economic incentives for local people and indigenous inhabitants;
- Mechanisms and authority to implement and enforce laws and policies;
- Monitoring capabilities, and;
- Access, participation and capabilities to influence decision-making processes.

Efforts to work in this direction were already instigated by the National Planning and Development Agency (Bappenas) with the support of the UN-REDD Programme in Indonesia–both taking inputs from the national and global stakeholders. Public consultations were held on Indonesia's seven largest islands as well as discussions with experts at the national and international levels over the period June until December 2010. The process led to 400 individuals being well-informed on the REDD+ process, and agreement was reached on four main explanations for the deforestation and forest degradation in Indonesia: (a) ineffective spatial planning, (b) tenurial issues, (c) forest management that is not yet efficient and effective, and (d) poor law enforcement coupled with corruption in the forestry and land management.

This process also revealed that forest-related spatial planning was not functioning effectively as intended to support sustainable and just forest utilization, and, indeed, could not resolve land tenure conflicts and challenges.

This process also revealed that forest-related spatial planning was not functioning effectively as intended to support sustainable and just forest utilization, and, indeed, could not resolve land tenure conflicts and challenges. As a result, conflict over ownership and the extensive conversion of forests to agricultural and mining plantations were becoming hard to manage. These sorts of land conflicts were increasingly difficult to handle efficiently due to the unclear legal status and owners of the forests, associated borders, as well as non-transparent forest management. Forestry laws did not clearly define the relevant terms and did not acknowledge the rights of Indigenous People, women and other parties living within or in the vicinity of forest areas, among others.

Challenges largely centered on the problem of ineffective forest management coupled with citizens' perception of unfair management and processes. Ineffective management was caused by a number of factors, including: limited availability of robust and credible data agreed by relevant parties; need for a single map of forest areas agreed by all parties; need to strengthen human resources and capacity; need to strengthen integrity of all parties involved in issuing permits and exerting control over existing permits, and lastly; the prevalence of permits issued without going through proper consultative processes or without the agreement of affected local communities.

Taking into account the legal perspective associated with REDD+ and the need to coordinate it became clear that forestry management is characterized by a sectoral approach with considerable overlap between sectors, such as mining, agriculture, plantation agriculture among others. This situation allows loopholes to misuse forest concessions and land use licensing processes, which have been exploited by illegal logging interests in many regions of the country. Illegal logging has in fact been responsible for the loss of approximately 76-80% of Indonesia's wood and timber stocks prior to 2004 (Greenpeace 2004). The rate of illegal logging has reportedly slowed in recent years, although a Chatham House report (2009) states that more than 45% of Indonesia's timber stocks have been illegally logged. Crimes related to the forestry sector, however, are rarely met with serious punishment, if any punishment at all. Distortions, overlap and ambiguity, lack of human capacity and inefficiencies in the process beginning with initial investigations, proceed cases to court, as well as the court proceedings itself all lead to illegal loggerse and main drivers of deforestation are not caught and held accountable for their forest related crimes.

1.3 The Potential for Corruption in the Forestry Sector

The Corruption Eradication Commission (*Komisi Pemberantasan Korupsi* - KPK) conducted a survey of integrity in the public service at the provincial level revealing insufficient performance (2009). Insufficient performance on the public service performance index at the provincial level is directly related to the need for further action taken by local governments to prevent and eradicate corruption in the licensing,

monitoring and managing of the forestry sector. In other words, the low level of integrity is sustaining corruption in the forestry sector.

A corruption risk assessment conducted by the KPK in the forestry sector in 2010 revealed several 'gaps' that explained why policies from the national through to local levels were vulnerable to abuse. Firstly, the definition of forests and the boundaries of forest zones in several regulations were found to be ambiguous and weak leading to different interpreations and a significant element of uncertainty.[2] Secondly, government institutions with authority in the management of natural resources as well as other relevant stakeholders, including Indigenous People and local peoples, need an agreed, consolidated map of forest areas. This means that concerned parties had no central frame of reference when managing licensing and resolving disputes.

The third 'gap' identified by the KPK is the lack of harmonization and existing overlap between regulations, in addition to uncertainty surrounding the rights of local communities as well as investors. The fourth 'gap' is the limited capacity and integrity of forest management units at every step of the way. Capacity to conduct forestry planning and enhance forest units at the local level was considered relatively weak. In addition, it was found that the government does not yet possess a mechanism for monitoring and evaluating the performance of local governments in managing and protecting forest zones.

According to the KPK, these gaps have given rise to an unfavorable environment in which legal instruments are vulnerable to misuse and free illegal logging interests from responsibility. As a result, the KPK judged that all activities in forest zones had a very high risk of corruption. They identified 19 main areas of corruption i.e. the lack of a definition of forest area, and legal certainty for forest areas in the forestry sector. UNDP has also identified a number of corruption risk factors in the preparation and implementation phases of REDD+ activities. In the preparation phase, the potential for corruption emerges particularly related to efforts by various elements of the political and economic elite – such as the police, timber companies and political parties – to influence those involved in formulating and designing strategic plans and REDD+ action plans with the aim to ensure that self-interests are well preserved, improved and/ or are not disturbed by REDD+ activities. Other instances of corrupt practices may occur during the phases in which the distribution of benefits are determined (UNDP, 2010).

In the implementation phase of REDD+ activities, the potential for corruption may emerge in the efforts of the economic and political elite to bribe officials and civil servants to turn a blind eye to illegal logging activities. Officials and civil servants may also actively misuse their positions to determine forestry concessions and the parties allocated rights to carbon benefits.

The definition of forests and the boundaries of forest zones in several regulations were found to be ambiguous and weak leading to different interpretations and a significant element of uncertainty.

[2] See: Law No.41/1999 on Forestry; Government Regulation No. 44/2004 on Forestry Planning; Minister of Forestry Regulation on Standards and Criteria of a Territory Designated a Forest Area, and; Minister of Forestry Regulation No.50/2009 on the Status and Function of Forest Areas.

The prevalence of corrupt practices in the forestry and land sectors has caused concern and speculations claiming that Indonesia will not be able to reach its emissions reduction target. The funding offered through REDD+ activities has a high risk of being misused by the elite, and for this reason it is imperative that REDD+ finance is appropriately regulated and disbursed effectively without being depleted by corrupt practices.

1.4 REDD+, Indigenous Peoples, Women, and Forest Dependent Communities

In Indonesia Indigenous Peoples, women and forest dependent communities are considered particulary vulnerable with regards to Indonesia's REDD+ efforts. They are not adequately involved in forest and land decision-making processes. Women often have little or no effective access to these processes, not only when official decisions are taken, but also in terms of controlling the use of natural resources and capturing the benefits from the just management of forests and land.[3]

In many cases, Indigenous Peoples, women and other social groups dependent on forest and land resources do not have sufficient access to information and communication channels. They often do neither possess the equipment, the 'voice,' nor the capacity to fully participate in forest governance and political processes although this significantly and directly impacts their lives. The rights of these groups have until now been disregarded, including their cultural and linguistic rights, their rights to manage and own land and forest areas, as well as

[3] In the feminist view, improving access and control are understood in terms of strengthening five kinds of equality and empowerment, which encompass: (a) access – the acknowledgement of women's rights in decision making processes, as well as the opportunity, guarantee and freedom to act upon them; (b) awareness – the process of raising public awareness about the identities and contributions of women to their societies as well as drawing attention to the economic, political and social structures that oppress, obstruct and otherwise devalue the identities and consciousness of all women; (c) participation – the full involvement of women in all levels of decision-making processes; (d) control – the authority or right of women to be equal in directing and monitoring all decisions, and; (e) welfare – equal rights to obtain benefit from all decisions taken and equal rights to use resources or productive assets such as capital, natural resources and labor. (Empowerment Framework/Longwe, in *Solidaritas Perempuan* 2004: *Menguak Janji-Janji Partai Politik terhadap Perempuan* (Exposing Political Party Promises to Women))

their right to access basic public services, such as health, education and food. They continually face conditions of poverty and deprivation, they need for instance access to clean water and safe housing.

REDD+ activities have the potential to bring benefit to Indigenous Peoples, women and others forest dependent stakeholders. Soriano et al (2010 pp.46-7) found the following REDD+ activities are able to contribute to solve the forestry issues:

- Promoting progressive legal and policy reform in land administration and forest resource management that respects the rights of indigenous People and other local peoples.
- Resolving overlapping claims in the management of forest resources.
- Accessing funding as well as recognition and support for people's conservation zones.
- Promoting indigenous people's concepts, methods and practices of forest resource management that are in tune with the natural environment.

Several actions have been taken to address these concerns, including developing guidelines on free, prior and informed consent (FPIC) and obliging parties to involve stakeholders in all REDD+ process and agreements.

While all this may be true, a significant proportion of Indigenous People, women, and forest dependent communities have the impression that REDD+ activities will potentially bring very negative consequences and even threaten their existence. Many fear that REDD+ will support the centralization of state control over tropical forests, as was the case in the past. Indeed, forest management is still rife with tensions between local people's rights and state policy, especially in large-scale business contracts.[4] Many women's groups have raised concerns that REDD+ will sever or disturb their productive and consumptive activities and associated roles in resource management, especially in terms of local practices of cultivation, drawing water, collecting fire wood and producing household and saleable goods such as rattan and bamboo mats, red sugar, honey, traditional medicines and remedies and food stuffs (Women Solidarity, 2011).

Several actions have been taken to address these concerns, including developing guidelines on free, prior and informed consent (FPIC) and obliging parties to involve stakeholders in all REDD+ process and agreements. A number of multi-national and bi-lateral institutions, however, have yet to agree on the meaning of the term 'consent'. A portion of these institutions define the term as meaning 'agreement', but others, including the World Bank, interpret the term as 'consultation'. The Government of Indonesia does not yet have a clear regulation, and there are no ministerial-level policies that can be used as the foundation for regulating the meaning and implementation of FPIC measures in REDD+ activities.

FPIC measures in themselves, of course, cannot ensure that Indigenous Peoples, women and other forest dependent groups will participate effectively in REDD+ planning and decision making. For the majority of women in forest areas, for example, it is not

[4] See the main findings, conclusions and recommendations from the Asia Summit on Climate Change and Indigenous Peoples, organized by AMAN and Tebtebba, Bali, 24-27 February 2009.

enough to impart information through formal channels or seek to involve them in the planning stages of REDD+ activities. A more appropriate approach is needed to help them understand the issues, based upon their own values and beliefs. Women also need assistance to build their capacity to participate in and influence decision-making forums that affect their rights and interests.

Indigenous Peoples and women are also unlikely to possess negotiating skills and a basic knowledge of relevant laws which, among other things, inhibits their ability to understand the risks as well as the opportunities associated with participating in REDD+ activities. In cases where awareness of legal issues and capacity to participate are very limited, the inclusion of FPIC measures can signify little more than a procedure and will provide no assurance that Indigenous People, women and others dependent on forest resources will benefit from activities in their environments.

In many countries, including Indonesia, regulating forest tenure[5] remains unclear and consequently is the source of conflict. Concepts of land ownership regulated

Learning from past mistakes, it is clear that many challenges related to sustainable forest management were not only caused by insufficient transparency and participation in land use planning and monitoring, or by failings in licensing processes, but also by problems inherent in local government agencies, such as insufficient human resources and capacities to deal with REDD+ planning and implementation coupled with insufficient accountability in decision-making.

[5] this means to determine who has a right to utilize forest resources, the physical boundaries, and the rights and obligations of relevant parties

under state laws, moreover, remain foreign to the majority of Indigenous Peoples, women and forest dependent communities. This, in turn, inhibits the effective and just distribution of forest and land use rights. State recognition of the tenurial rights of these groups is therefore imperative. By providing legal certainty on matters of tenure, the implementation of REDD+ activities will not cause more problems for Indigenous People, women and others dependent on forest resources. In this way, REDD+, as a set of policies intended to prevent the release of carbon from deforestation and forest degradation, can be accepted by all parties.

In effect, clarity in matters of forest tenure determines the legitimate parties with 'carbon rights' under REDD+ schemes. This in turn assists just benefit sharing of REDD+ income to holders of those rights that have succeeded in meeting the REDD+ targets.

1.5 Local Government Capacity Determines Effectiveness in Implementing REDD+

Government capacity is directly linked to the effective implementation of REDD+. Institutional capacity - including sufficient competency, time and resources at local levels are essential to ensuring satisfactory control, monitoring and legal certainty in REDD+ activities. As such, reforming local governance institutions, especially at the provincial and district levels, will be a central feature of REDD+ activities. Learning from past mistakes, it is clear that many challenges related to sustainable forest management were not only caused by insufficient transparency and participation in land use planning and monitoring, or by failings in licensing processes, but also by problems inherent in local government agencies, such as insufficient human resources and capacities to deal with REDD+ planning and implementation coupled with insufficient accountability in decision-making. Within the context of implementing REDD+, the extent to which a legal and policy framework already exists that will enable government to effectively implement the REDD+ strategy must be assessed. Equally important is whether or not government (at national and sub-national levels) implements the REDD+ strategy in a manner which aptly deals with relevant governance challenges.

1.6 The Participatory Governance Asessment Process

1.6.1 Governance Efforts to Date

The Indonesian President's commitment to reducing emissions from a variety of sectors has been realized in government policy, not least: Presidential Decree No.61/2011 on the National Action Plan for the Reduction of Greenhouse Gas Emissions, and Guidelines for the Implementation of the Action Plan on the Reduction of Greenhouse Gas Emissions (Bappenas, 2011); Presidential Instruction No.10/2011 on the Postponement of the Issuance of New Licenses and Improvements to the Governance

Steps have also been taken to support the targets of REDD+ in the provinces.

of Primary Forests and Peatlands (also known as the 'moratorium'); Presidential Decree No.25/2011 on the Formation of a Task Force for the Preparation of the Formation of a REDD+ Agency, and; the National REDD+ Strategy (Satgas REDD+, 2011). Various kinds of technical policies on the implementation of REDD+ were subsequently issued by the Ministry of Forestry, and there have been many follow-up measures taken by provincial and district governments, including the establishment of 'demonstration activity areas'.

The establishment of the independent Measurable, Reportable and Verifiable (MRV) agency is still awaiting final approval in the capital.

Steps have also been taken to support the targets of REDD+ in the provinces. Several provinces, notably Central Kalimantan, are restructuring their plantation and mining licenses to support better governance. The government of Aceh province has also withdrawn a number of licenses from plantation companies over violations of environmental protection policies in one of its high-value ecosystem areas.

At the national level, the government has set a precedent by working through a Joint Coordination Team, which is concerned with law enforcement in forest and peatland areas. The aim is to have 12 cases of alleged forestry crimes submitted to the courts in 2012. In terms of land conflict resolution, the Coordinating Ministry for Legal, Political and Security Affairs together with the Presidential Delivery Unit for Development Monitoring and Oversight (known by its Indonesian abbreviation UKP4) are currently working with a broad variety of stakeholders to formulate more comprehensive strategies for resolving land conflict cases. An example of a land conflict case being handled by the coordination mechanism is that of Mesuji in the provinces of Lampung and South Sumatra. A Joint Fact Finding Team first brought the case to the fore. The process is being overseen by stakeholders and it is hoped will serve as a learning experience or test case in land conflict resolution approaches for the future.

Participative initiatives to improve forest governance are also being developed under Central Kalimantan's program to accelerate forest boundary mapping. The program is being run with the collaboration of the Indonesian Indigenous People Alliance (*Aliansi Masyarakat Adat Nusantara* - AMAN), which is involved in the mapping of traditional lands. The Directorate General for Plantations within the Agriculture Ministry is also endeavoring to improve governance of the plantation sector, paying special attention to revising the procedures for the issuance of related permits, making them more transparent, accountable and open to systematic monitoring.

Efforts to reform and streamline governance mechanisms are inextricably linked to the 'One Map' policy. While the REDD+ Task Force is coordinating the work, the communication forum attached to the Indicative Map for Suspension on New Permits (PIPIB) initiative has been empowered to develop a 'movement' to garner support for the 'One Map'. They aim to finalize the scale map by the end of 2013. The map will then be used as the central reference point for producing maps of forest areas, including their boundaries, spatial planning-related themes, and defining peatland areas. It is hoped that

this central reference framework will assist in resolving problems of overlap and thereby provide a greater degree of legal certainty in matters pertaining to forest and peatland governance.

1.6.2 The Importance of Robust and Validated Data and Information on Governance Issues

With this backdrop, assessing both the state of governance related to REDD+ and forest management, identifying bottlenecks and shortcomings, provide solid and credible governance data are all important first steps to tackle some of the associated governance challenges when a country embarks on REDD+ readiness activities and later implements the REDD+ strategy.

Of the numerous governance challenges mentioned so far, the limited availability of data which several stakeholder groups deem credible represents one of the most serious. Robust and accurate data is needed to inform well-measured action plans, especially in terms of reforming legal and policy frameworks and improving the capacities of government, civil society, traditional communities and private sector stakeholders. Such data can also serve as valuable evidence for civil society groups in their advocacy and lobbying work, which may be an important element in holding decision- makers accountable.

The government also needs robust governance data to fulfill its international commitments, such as those agreed at the 16th and 17th conference of parties (COP) in Cancun, Mexico, and Durban, South Africa, respectively. Governance information is central to achieving the agreement pertaining to "transparent and effective national forest governance structures" as well as "respect for the knowledge and rights of

The Safeguards information System requires and must be based on credible and reliable studies and appropriate validation.

Indigenous Peoples and members of local communities" and "the full and effective participation of relevant stakeholders" – three of the seven agreed safeguards, which will constitute part of the national Safeguards Information System (SIS).

The (SIS) require and must be based on credible and reliable studies and appropriate validation. Resulting information may be used to help gauge the success of the Measurable, Reportable and Verifiable (MRV) system of accounting for carbon stocks in REDD+ activities, which has so far been based only on reductions in levels of emissions (UN-REDD, 2011) by more adequately pointing to challenges and issues in need of urgent attention.

Governance assessments based on solid information can improve transparency in the preparation and implementation of REDD+, highlight challenges and issues in need of urgent attention, prepare for more informed policy-making, planning and reform, and eventually – if used appropriately – function as an accountability mechanism. So far, the government action plan to provide data is still limited to the basic information collected according to the Reference Emission Level (REL) system.

1.6.3 The Importance of a Participatory Assessment Taking Into Account Forestry, Land and REDD+ Governance Issues

Discussion of governance issues is often difficult and there are generally more questions than answers, especially in the early stages of a consultative process and given the differences in stakeholders' understandings of governance and their varying access to information. Actors from different backgrounds, such as government, civil society, academia and business, rarely sit together to discuss – let alone propose solutions –governance associated challenges, although they are all affected by them.

The Participatory Governance Assessment for REDD+ (PGA) is aiming to inform planning and decision-making and as an accountability mechanism.

The Participatory Governance Assessment for REDD+ (PGA) is aiming to produce credible and robust governance data through an inclusive manner. By bringing stakeholders together to analyze and discuss the state of governance the PGA process provides the opportunity to see the challenges from different perspectives and also provides the space for supposedly more realistic recommendations which take into account the realities, contexts and perspectives of the different stakeholders.

With the joint decision making by different stakeholders on areas that the PGA will obtain data on, indicator development, data collection methods, as well as involvement to validate the findings, the stakeholders also find the results and goverance data legitimate and are more inclined use this data in the further work to improve governance shortcomings.

As such, involving all key actors or stakeholders from the onset is of essence, especially with regards to involving vulnerable groups, such as Indigenous People, women's groups and others dependent on forest and land resources. Academics and other experts contribute mainly in terms of assisting the process of collecting data and formulating frameworks and indicators, which tend to require more technical skills. Overall, the principle of participation works to ensure that the assessment process is comprehensive and conducted by all the actors in a democratic spirit, but also ensures that the data that is being produced is in demand by the target audience. The overall aim is to ensure that the assessment rests not only on its findings, but also on its role in developing legitimate processes to work towards better results in future.

An inclusive assessment process such as the PGA is also needed to demonstrate that no actor – whether from government or donor circles – has the 'correct' model of conducting assessments. Another reason for applying a participatory approach is the increased ownership which accompanies ones involvement in a process to produce data. Not only do stakeholders who have been involved throughouth feel that the results are "theirs" once the data is on the table, but the impetus to act on the findings and recommendations are also likely higher than when a report is being produced by someone else.

The involvement in producing robust governance data also highlights the need for monitoring performance in the future, and may lead stakeholders to seek capacity building to continue their involvement in assessing and monitoring government's performance.

1.6.4 The Participatory Governance Assessment (PGA) Process in Indonesia

The PGA process began with discussions with relevant government institutions about the potential relevance of an assessment to take stock of forestry, land and REDD+ governance and how it would be implemented. There were three relevant government agencies involved from the onset; the Ministry of Forestry, the Presidential Delivery Unit for Development Monitoring and Oversight (UKP4)/REDD+ Task Force and the National Planning and Development Agency (*Badan Perencanaan dan*

Special issues, such as gender perspectives and equality were also considered when deciding the composition of the panel, as well as throughout the consultative process at national and sub-national levels.

Pembangunan Nasional - Bappenas). All three agreed that the assessment was important and even necessary to obtain strategic information and efforts to streamline their work. The UKP4 in particular expressed the hope that this assessment would be independent while also maintaining its participative characteristics.

Consultations were also held in the early stages with governments at the provincial level, such as Riau, Central Kalimantan, Central Sulawesi and Papua, to get their views and garner support for the assessment's suggested activity plan. Provincial governments also saw the assessment as very useful. Similar support was also expressed by civil society organizations, such as the Indonesian Center for Environmental Law (ICEL), Epistema, and customary communities such as those represented through the Indonesian Indigenous People Alliance (*Aliansi Masyarakat Adat Nusantara* - AMAN).

The Panel of Experts was composed of representatives of various stakeholders, some with different interests and concerns. The panel was made up of two representatives of government institutions, two representatives of civil society, one academic, one representative of the business sector and one representing UNDP Indonesia. Special issues, such as gender perspectives and equality were also considered when deciding the composition of the panel, as well as throughout the consultative process at national and sub-national levels.

To support the implementation of the principle of participation and gender equality, consultation forums were held at national and sub-national levels involving all parties. The forums were developed with the aim of ensuring support for the assessment process and its results from all those with a direct interest. The forums were also used to gather input on the draft reports produced by the panel of experts.

A Panel of Experts was assembled after obtaining input and advice from stakeholders to ensure balance between and representativity both from within government and civil society respectively. The Expert Panel was responsible for formulating the scope of work, the assessment framework (see Chapter 2), indicators and instruments for gathering data. All suggestions and drafts produced by the Expert Panel were discussed with key stakeholders to obtain their input, and this was fed back into the formulation process.[6]

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[6] A panel of experts, including several prominent Indonesian experts in forest policy and governance, public administration, anti-corruption, indigenous people and civil society participation, has been established. The panel consisted of Prof. Dr. Hariadi Kartodihardjo (from the Bogor Agriculture Institute and the President of National Forestry Council), Dr. Sunaryo (senior advisor to the Ministry of Forestry), Abdon Nababan (Secretary General of Indigenous Peoples Alliance of the Archipelago/AMAN), Dr. Mryna Safitri (Director of Epistema, a civil society think tank on natural resource management), Josi Katarina, SH, LLM (legal advisor to the REDD+ Working Group/ICEL), Prof. Sofian Effendi (senior advisor to UNDP Indonesia), Purwadi Soeprihanto, S.Hut., M.E. the Executive Director of the National Forest Holder Concession (APHI) and Mas Achmad Santosa (Deputy Head/Minister for President's Delivery Unit for Development Monitoring and Oversight)

The formulation of the operational framework, indicators and instruments for gathering data was completed in March 2012, after extensive consultations within the Expert Panel and after consultations on sub-national and national-level. Deliberations over the scope of work were particularly challenging as consensus needed to be reached between Panel members. The question, "Is this assessment only concerned with REDD+ or does it go beyond REDD+?" was often raised. The many interests, perspectives and experiences of the stakeholders were far from easy to bring together, mainly because an assessment of forest governance has few precedents of this kind. Other complications arose because of the tendency to bundle together general issues of the forest governance assessment with assessments of Sustainable Forest Management, although they have significant differences. However, this combination was necessary – and requested by stakeholders - to ensure that this assessment was able to map out aspects of REDD+ and forestry management and their part in the sector's governance challenges, such as the high levels of conflict and corruption in licensing processes.

After joint decisions on roadmap, structure, scope and indicators by the stakeholders, data collection commenced in June 2012, after a third party was selected to develop the necessary data collection instruments through an open tender process, which attracted more than 20 service providers. The services of a third party were sought because of considerations over the credibility of the systems and results and the need to meet scheduled targets. Researchers in the data collection team visited 30 district locations to gather data, some of which were very remote. It was also deemed appropriate to use a third party to avoid bias in collecting data once the framework and indicators had been developed by the Expert Panel.

The PGA partners, such as Ministry of Forestry, UKP4, Bappenas, AMAN, the coordination team for the PGA provided administrative and personal support which enabled the data collection to progress quickly and effectively. The results obtained by the third part data collection agency – the Institute for Social and Economic Research, Education and Information (*Lembaga Penelitian, Pendidikan dan Penerangan Ekonomi dan Sosial* - LP3ES) - were reviewed by the Expert Panel and all stakeholders through various consultative mechanisms. These consultations were important steps to ensuring the quality of the data and associated analysis. Members of the Expert Panel with special interest or skills in certain issues gathered to discuss them in greater depth and work began on the final report in November 2012. A soft launching of the report to once more validate the findings and associated analysis was organized with representation from sub-national and national level stakeholders and beneficiaries of the report.[7] The Indonesian version of the PGA report was launched in Jakarta 6th May, 2013.

[7] The report from the validation in October 2012 is available here: http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=9116&Itemid=53

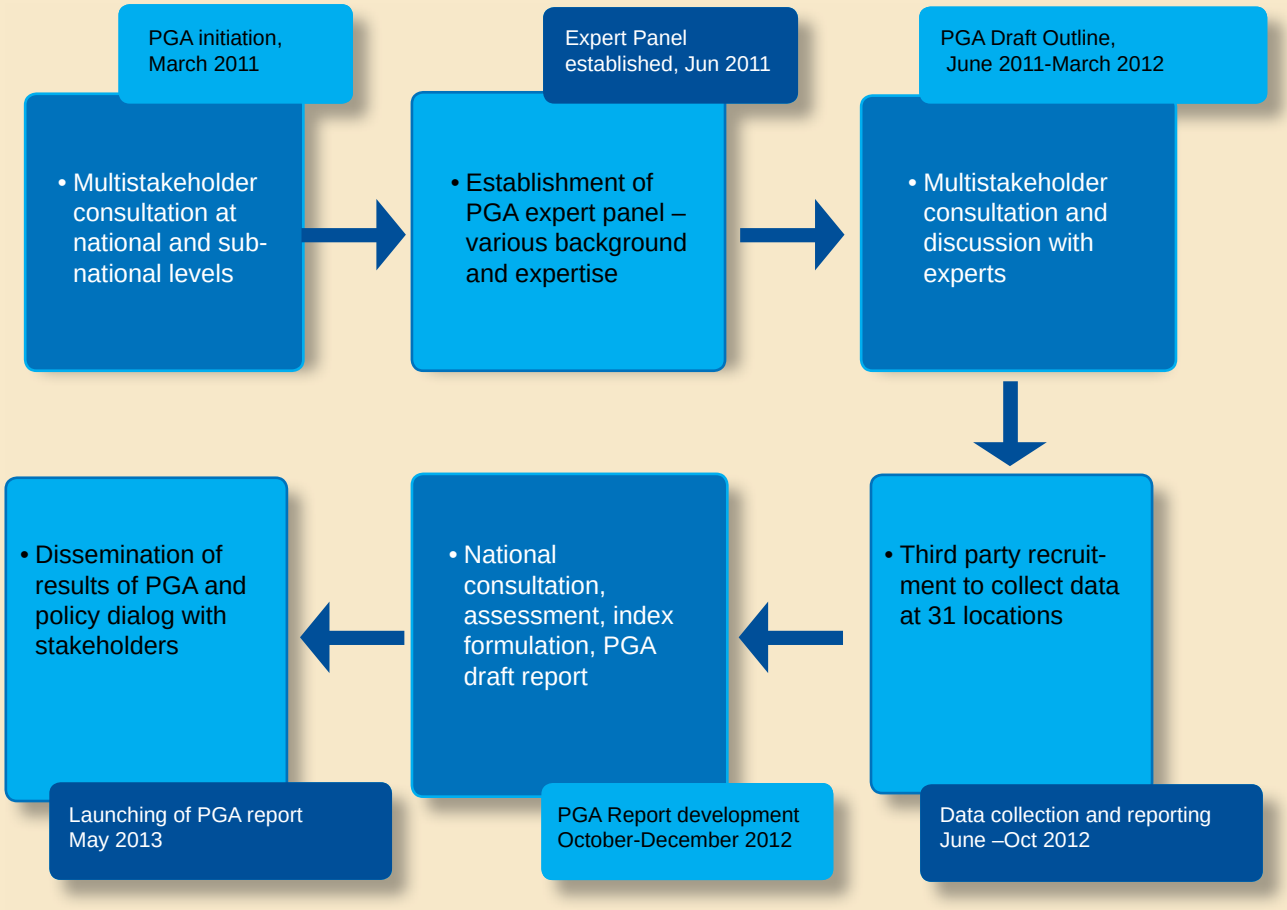
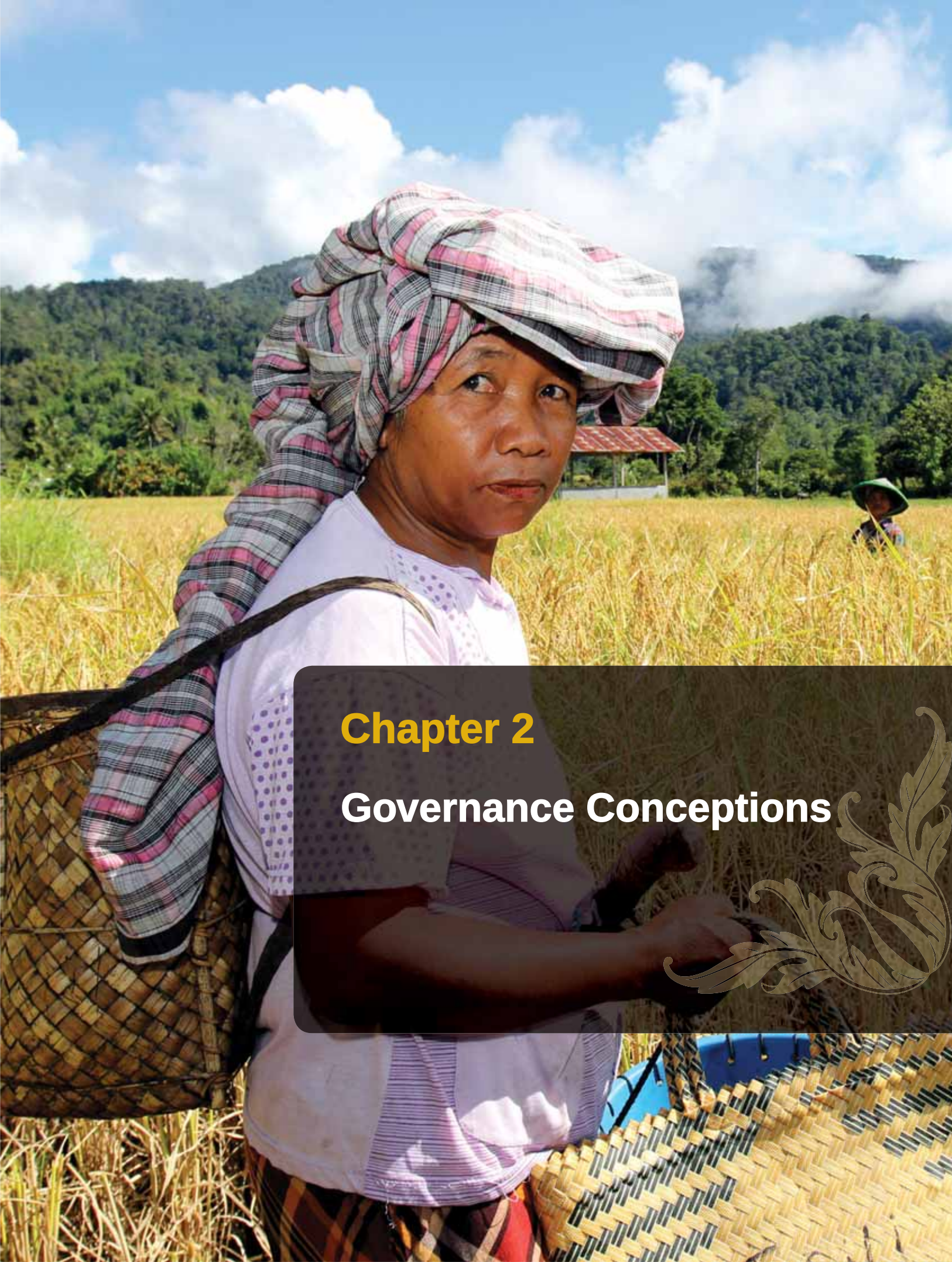


Diagram 1 The Stages of the REDD+ Governance Assessment Process:



Chapter 2

Governance Conceptions

Chapter 2
Governance Conceptions

"It is now broadly understood that good governance in the forest sector is vital for achieving sustainable forest management. Furthermore, realizing the full potential of forests to contribute to reducing poverty can only be achieved if the forest sector is governed in such a way that it ensures poor people's access to and benefits from forest resources. However, forest governance means different things to different people and there is no internationally agreed definition. Originally, the term was understood as being almost synonymous with government or the way the government was ruling. With the changing vision of the role and responsibilities of governments, a broader vision of governance has evolved, which takes into consideration the new roles of civil society and the private sector. It involves multiple actors and multiple levels (local, national and international) and acknowledges that different stakeholders have different views, values and interests. Improving forest governance to move forward towards sustainable forest management therefore is a complex endeavour involving the active participation of a range of stakeholders, not just forestry administrations" (FAO, 2010)

2.1 Conceptual Frameworks of Governance

Forest, land and REDD+ governance has rather recently become a popular theme in academic circles and among practitioners in the forestry sector. Although there are numerous attempts to define and explain governance, the dominating concept of governance as it stands today – its definition, measurement and improvements – can be traced back to mid-1990s. It was introduced to many developing countries, such as Indonesia, through aid packages from more developed countries. The initial focus rested squarely on enhancing the functions of government institutions.

Conceptually, governance tends towards two main approaches, namely, the approach based on law and regulations and the approach based on human rights and political economy. The former, often referred to

Conceptually, governance tends towards two main approaches, namely, the approach based on law and regulations and the approach based on human rights and political economy.

as the 'rules-based approach', is linked to Weberian notions of the state. It rests upon the functions of the state, such as its formal institutions, including legal frameworks, normative values and models of service delivery. A human rights approach by contrast focuses on relationships between state and non-state actors, the structures that shape interactions between them, the negotiation of public authority and accountability mechanisms between actors (Saunders & Reeve, 2010: 9).

Both approaches have their strengths and shortcomings. According to Pierre and Peters (2000), the rules-based approach has various shortcomings associated with its 'top-down' and 'command-and-control' tendencies, which can undermine its effectiveness and legitimacy. Such shortcomings have been extensively examined in light of the crisis of the welfare states in northern Europe in the 1980s when economic crisis raised questions about the efficiency of the models and the nature of welfare in modern societies. From this time, there was a slow but unstoppable shift from concepts and approaches that focused on 'government' to those that dealt with 'governance'. These developments were inextricably linked to the shift in the focus on authority and expertise from the state to a variety of non-state actors, particularly international institutions, non-government organizations (NGOs) and the private sector.

Saunders & Reeve (2010) continue to consider the rules-based approach essential to understanding the transformations occurring in the forestry and land sectors. The approach functions to identify the kinds of political and economic policies that need to be in place to redress the problems of legal uncertainty and law enforcement. The rules-based approach is also important in determining appropriate criteria to regulate the distribution of benefits that accrue from the protection of forest resources, and is useful in ensuring whether accountability mechanisms between stakeholders are working acording to established regulations.

In terms of scope, one of the rights-based approach's main strengths is the inclusion of different kinds of actors – from the state, as well as the private sector and civil society - and the different ways in which they manage and address public issues at all levels, whether independently or through interactions with other stakeholders. The approach sees governance as a broad spectrum, not merely in terms of the roles, functions and authority of state actors. It recognizes the fact that non-state actors play important roles in addressing the public interest, including issues of poverty, health and pollution (Ingrid & Hamakers, 2012: 4).

The two streams are brought together in the definitions of governance used by the World Bank and UNDP. The World Bank sees the rules-based approach as being particularly relevant to its concerns with improving the effectiveness of development aid and is, as such, very much influenced by the classical economic development model promulgated by OECD countries. Governance, according to the World Bank's basic definition, consists of:

> *"…the traditions and institutions by which authority in a country is exercised. This includes the process by which governments are selected, monitored and replaced; the*

capacity of the government to effectively formulate and implement sound policies; and the respect of citizens and the state for institutions that govern economic and social interactions among them."

This definition emphasizes the rules-based approach, with greater attention paid to the role and functions of the state, and less on the roles and functions of informal regulation and the roles of non-state actors (Saunders & Reeve, 2012: 11).

By comparison, a formulation that emphasizes operational matters from a human-rights perspective is found in the definition used by the UNDP, which defines 'governance for human development' as comprising:

"…the mechanisms, processes, and institutions that determine how power is exercised, how decisions are made on issues of public concern, and how citizens articulate their interests, exercise their legal rights and meet their obligations and mediate their difference." (Nahem 2010 in Saunders & Reeve, 2012).

This definition indicates that the concept of good governance comprises multiple views of the democratic ethos. As such, good governance is democratic governance, with its emphasis on principles of participation and inclusiveness, responsive institutions, respect for human rights, gender,e justice and integrity. UNDP emphasizes that governance is both the means and the end to this democratic ethos (UNDP, 2009).

A broader perspective on governance is taken by World Governance Assessment (WGA). The WGA approach uses a human rights perspective to define and establish a number of indicators that measure governance conditions. As put forward by Hyden, Court and Mease (2004), the WGA defines governance as "the formation and stewardship of the formal and informal rules that regulate the public realm, the arena in which state as well as economic and societal actors interact to make decisions." Based on this definition, the WGA has defined six parameters to evaluate governance conditions: (a) the level of freedom enjoyed by the people in exercising their political rights; (b) political stability and the absence of conflict; (c) the effectiveness of government; (d) the quality of regulation; (e) law enforcement, and; (f) control of corruption (Saunders & Reeve, 2010: 11).

Besides the general differentiation between rules-based approaches and human rights-based approaches to governance, the concept is sometimes narrowly defined in terms of efforts to tackle corruption. This is the definition adopted by organizations such as Transparency International. They define corruption as the misuse of power given by the people to enrich certain individuals or groups or the various forms of bribery enacted with officials of the state in order to obtain preferential or special treatment that should be properly regulated according to law (UNDP, 2009).

Good governance emphasizes principles of participation and inclusiveness, responsive institutions, respect for human rights, gender equality, justice and integrity.

In any conception of forest governance, the government is the primary actor in managing forests. This is true regardless of whether

the country is already a developed country, or somewhere on the road to becoming one, or whether it embodies principles of socialism, liberal democracy and so on. State stewardship and associated roles need to be strong to avoid the kind of 'tragedy of the commons' identified by (Hardin 1968) in which various parties – individuals and actors from the private sector and the state – exploit natural resources owned by all for private gain to the detriment of the public interest. As such, the state needs to regulate matters of stewardship and access to natural resources, including forests. If the state neglects such regulations, forests will fall into the hands of private concerns.

Scott (1998) has pointed out that both socialist and capitalist states during the colonial and post-colonial periods have failed equally as capable forest managers. Humphreys (2006) and Peluso (1994) have argued that the state in whatever form has exploited natural resources well beyond sustainable levels and identified myriad associated problems – primarily concerned with licensing processes that lack effective regulation and monitoring and the poor credibility of private sector actors. These concerns can be traced back to the industrial revolution in the western world, after which the rate of forest destruction escalated markedly.

The conditions described by Scott, Humphreys and Peluso have given rise to many forms of conflict and resistance and to many kinds of demands voiced by various concerned parties. Many conservation organizations demand that forests be protected and guarded from all forms of exploitation. As noted by Bose et al (2012) and Situmorang (2012), grass-roots movements demand formal recognition of local people's rights over the areas they manage and greater legal certainty. Demands of an 'eco-populist' nature have inspired many local, national and international movements.

Organizations such as the World Wildlife Fund (WWF), the Nature Conservancy, and United Nations Environment Programme (UNEP) are urging all countries to implement sustainable forestry approaches. In the meantime, however, countries possessing tropical forests continue to view forests as primarily an economic resource not amenable to, for example, the establishment of moratoriums or other severe constraints.

From the multitude and cross-purposes that characterize the understanding of modern forest governance, three discursive categories may be discerned. The first is the discourse of decentralization, which concerns the transfer of authority from central governments to the regions. Ribot et al (2006) explain that this type of forest governance discourse centers on the technical capacity and formal authority over forests that is transferred from the central to the local level in managing forest resources that fall within their administrative jurisdiction. In many places, the transference of authority does not ensure that forest management improves. New powers may be misused or abused, especially in the provision of licenses, as has happened in Indonesia. The rate of deforestation and forest degradation has in fact increased following the transference of licensing powers to the regions where principles of good and sustainable forestry are not systematically upheld (Hariadi et al, 2011).

The second category of the current discourse on forest governance is a 'participative discourse' in which the emphasis rests upon the joint management of local resources. This approach maintains that forest management can be more effective if it is conducted collectively, involving local peoples and other stakeholders, rather than by centralized government agencies. This is the 'ideal approach' but, as has been found in Nepal, even when implemented to the satisfaction of concerned parties, benefits tend to accrue to local formal institutional actors, such as local government, rather than to local people (Arts and Hamakers, 2012).

The third category concerns forest management through market mechanisms. According to this perspective, products or enterprises that meet certain standards are certified within recognized systems, which enhances their value in the market place. Such measures have arisen in response to market pressures – from consumers and their representative institutions, including governments – as the demand for greater environmental accountability in productive systems has grown in recent years. Systems like this, however, tend to work better for large-scale enterprises. Small scale concerns, such as those owned and operated by communities in forest areas, experience many difficulties accessing the system, primarily because certification is relatively expensive and requires specialized expertise (Arts and Hamakers 2012:6).

2.2 Conceptual Frameworks of Forest Governance

Several definitions of forest governance may be extrapolated from the conceptual frameworks and approaches mentioned in preceding sections. Rametsteiner gives the following definition of forest governance:

> *"Forest governance is a generic term for describing the way in which people and organizations rule and regulate forests. This relates to how they allocate and secure access to rights over, and benefits from forests, including the planning, monitoring, and control of their use, management and conservation." (Ramesteiner 2012: 2)*

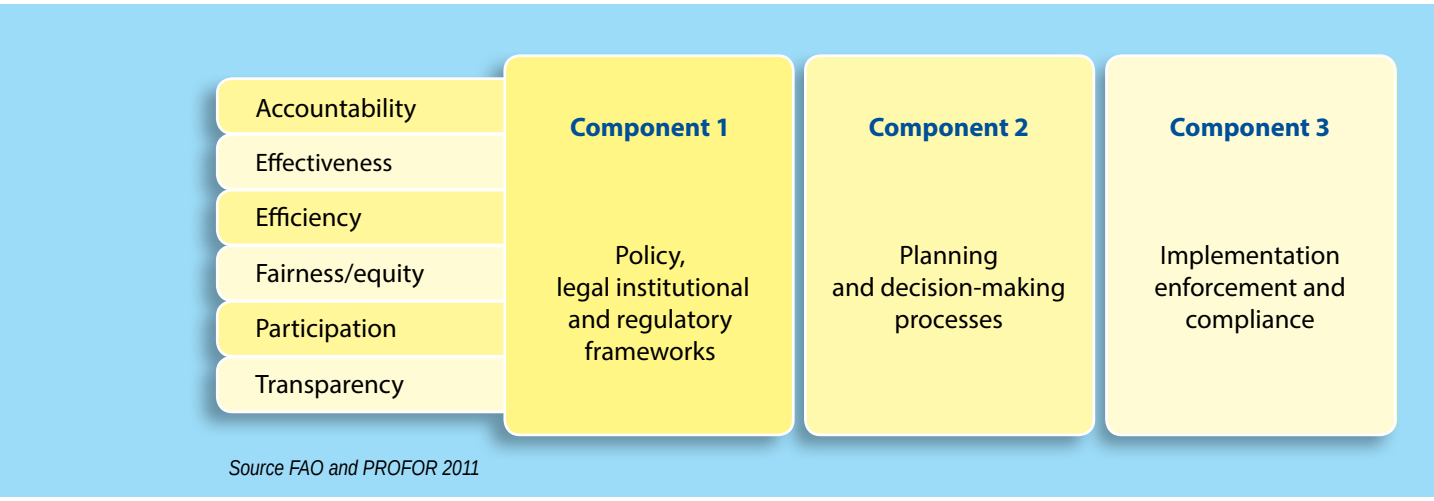
Rametsteiner's definition identifies a number of 'building blocks' that must be incorporated into the definition of forest governance, that is: a coherent and clear set of legal instruments, both specific to the forestry sector and in relation to other sectors; the effective implementation of laws; proper regulations regarding decision-making processes; clear regulations concerning the mandates of stakeholders, including government agencies at all levels, as well as stakeholders from local civil society, non-government organizations (NGOs) and business, and; the capacities of the parties to act upon them. These matters may be grouped under three broad governance 'components': (1) policy, legal and institutional frameworks; (2) planning and decision-making processes, and; (3) implementation, enforcement and compliance.

In addition, certain definitions of good governance (Kjaer 2004, Woods 2000) are anchored squarely in the reform of the public sector and private

enterprise and emphasize good governance criteria and principles such as; a) accountability; (b) effective funding; (c) efficiency; (d) justice; (e) participation, and; (f) transparency. These formulations are comparable to those developed by FAO, and Profor, which maintain that good forest governance is evident when the following are in place: (a) the pillars of the legal system; (b) policy and institutional environment; (c) decision-making processes; (d) implementation, and; (e) law enforcement and compliance.

Diagram 2.1. Proposed Pillars and Principles of Governance

By combining Rametsteiner's three components and the six basic principles of good governance developed by the FAO and Profor, a forest governance framework based on the rules-based approach may be depicted as in Diagram 2.1.



Source FAO and PROFOR 2011

The concept is based on the notion that forest governance systems rest on three components - legal and policy frameworks, decision-making processes and implementation, and lastly enforcement and compliance – supported by principles of good governance. On the basis of this conceptualization, forest governance evaluation indicators may be formulated into a framework of the three components and six principles cited above.

Forest governance systems rest on the following three main components; a) legal and policy frameworks, b) decision-making processes and implementation, and lastly c) enforcement and compliance, all supported by principles of good governance

FAO and PROFOR (the Program on Forests of the World Bank) (2012 p.6) give a brief explanation of the meaning of the six principles. Accountability refers to each individual and institution being accountable for their actions. Effectiveness refers to governance mechanisms meeting their intended targets. Fairness or equity is taken to mean that benefits and responsibilities are distributed in a just manner. The principle of participation refers to all interested parties having the opportunity to be heard and/or to influence decisions that impact on their lives. The principle of transparency, meanwhile, refers to all information on forests and forest management policies being available to all parties in accessible form.

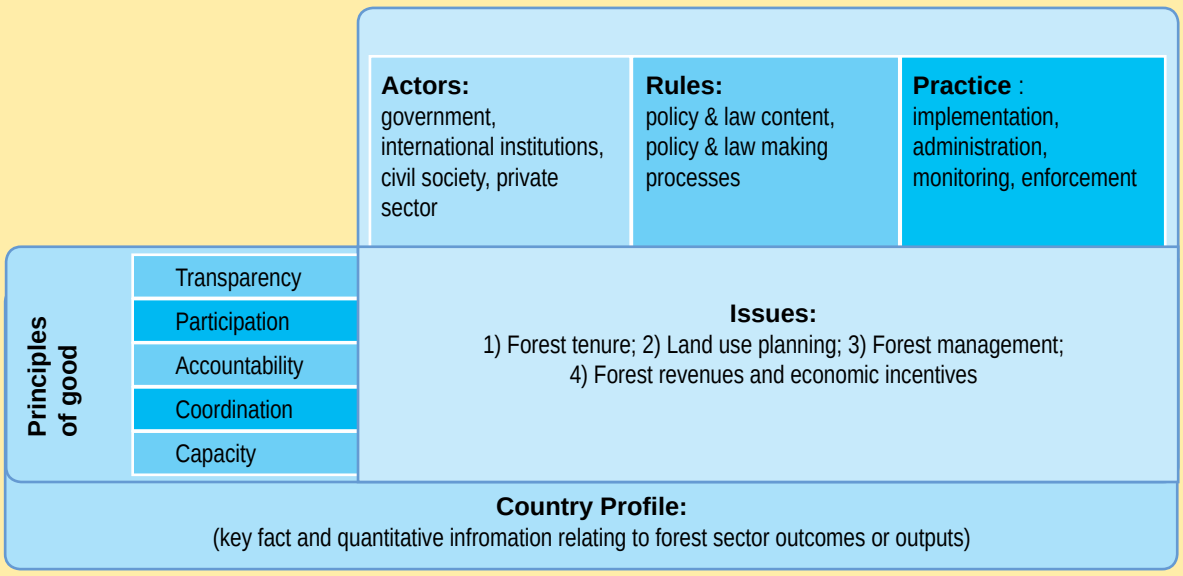
Different kinds of combined approaches have been formulated by key players, one of the most notable being that developed under the Governance of Forests Initiative (GFI) combining three partner organizations - the World Resources Institute (WRI), Amazon and Instituto Centro de Vida. If the framework formulated by the UNFAO, UN-REDD, World Bank and Chatham House does not place great emphasis on the roles of the various actors, the GFI framework puts the matter to the fore, making it one of the three main components of their forest governance conceptual framework, which comprises actors, rules and practices (WRI, 2011).

The GFI framework also identifies issues that need to be measured in a forest governance assessment: forest tenure, land use planning, forest management, and revenue distribution and economic incentives. This is the difference with the framework developed by the FAO, UN-REDD, World Bank and Chatham House, which does not make specific reference to issues that should be addressed in forest governance assessments. Another difference is the fact that the GFI does not explicitly employ principles of effectiveness, efficiency and fairness/equity but instead promotes the themes of coordination and capacity as aspects of governance that need to form the basis of assessment indicators.

The GFI framework also identifies issues that need to be measured in a forest governance assessment: forest tenure, land use planning, forest management, and revenue distribution and economic incentives.

The GFI framework, building upon the three governance components mentioned above, incorporates five principles and four primary issues of forest governance. The overall GFI framework, which may be said to represent a blending of rules-based and human rights approaches to forest governance, is depicted in Diagram 2.2.

Diagram 2.2
The GFI Framework



As in the case of the GFI, other organizations have developed governance assessment frameworks – that seek to integrate both rules-based and human rights based approaches. Very rarely do we find a framework that uses only one approach. The differences are often only minor; underlying concepts give rise to apparently different assessment approaches and models. Organizations adapt where necessary, as in the model developed by Chatham House to gauge responses to illegal logging, or the Global Witness initiative to develop transparency in the forestry sector, or Transparency International's integrity program in the sector and the initiatives of the UNDP, UN-REDD and GFI may also be cited as examples.

2.3 Conceptual Framework of the Participatory Governance Assessment for REDD+

Many parties are of the opinion that improvements in forest governance will correlate positively, and in a pronounced way, with reductions in the rate of deforestation and forest degradation. The reduction of deforestation and forest degradation is then positively correlated to climate mitigation strategies via the forestry and land sectors and will contribute to the realization of these strategies.

While these points are valid, REDD+ governance as a conceptual framework is not as advanced as the conceptual frameworks in the forest sector. There are a number of initiatives currently underway to develop conceptual frameworks specific to REDD+ governance. The Oslo Governance Centre-UNDP collaboration, for example, operates on the principles that REDD+ will be effective to the extent that three main issues are addressed in conceptual frameworks for managing climate change through the forest and land sectors. The three issues are: "forest governance, the governance system of the country and the issues of poverty and livelihood. The quality of governance for REDD+ in a country will depend on (a) a robust legal and policy framework, (b) the capacity of the institutional system to implement and enforce, (c) the ability to raise and manage resources, (d) transparent and accountable decision-making systems, and (e) above all more empowered and educated citizens" (UN-REDD 2010: 4).

The quality of governance for REDD+ in a country will depend on (a) a robust legal and policy framework, (b) the capacity of the institutional system to implement and enforce, (c) the ability to raise and manage resources, (d) transparent and accountable decision-making systems, and (e) above all more empowered and educated citizens"

The Climate, Community & Biodiversity Alliance (CCBA) and Care International are also working on a conceptual framework for standard social and environmental assessments that incorporates various aspects of governance, including principles, criteria and indicators. Their framework, however, focuses more on specific activities associated with REDD+, such as the extent to which the benefits of REDD+ activities are distributed in a just manner to all stakeholders and contribute to the aims of sustainable development and good forest governance.

The Expert Panel of this Participatory Governance Assessment for REDD+ (PGA) agreed that adopting one approach or conceptual framework was unsatisfactory because each had their own strengths and shortcomings, and as comprehensive data as possible was desirable. It was also seen that the framework would have to incorporate both rules-based and human rights-based conceptual approaches, in keeping with the current consensus in the field. Consequently the importance to develop the basic conceptual framework and an approach to the assessment that would combine the strengths and seek to address the perceived shortcomings of the ideas and approaches discussed above was agreed.

2.4 Operational Framework of the PGA Taking into Account Forest, Land and REDD+ Governance Issues

The final formulation of the operational framework of the PGA comprised of the following three parts: Firstly, components of forest, land and REDD+ combining rules, actors and the performance of the various actors in relation to forest governance policies, regulations and practices; Secondly issues of forest, land and REDD+ governance at the national, provincial and district level, and thirdly, principles of forest, land and REDD+ governance. These three components were supported by a series of indicators formulated to assess forest, land and REDD+ governance conditions at the national, provincial and district levels.

2.4.1 Scope of the Main Issues

Although it was recognized from the onset that the PGA process would not be in a position to address all relevant governance issues, and that a prioritization was needed, the Expert Panel agreed that the operational framework of the PGA must address issues of forest governance in general. It was seen as insufficient if the assessment only concerned itself with issues specific to REDD+ because broader issues of forest governance have such a profound effect on REDD+. As such, the scope of the PGA was initially identified within the broader forest governance field.

In an effort to define the scope of the operational framework, the Expert Panel conducted a problem tree analysis to identify pertinent issues of forest governance. The analysis sought to identify the relationships between different factors and how they combined to give rise to certain observed phenomena. This approach also helps avoid the tendency to oversimplify the indicators that would be used to assess forest governance issues. The analysis of causality assisted in shedding light on the real condition of forest, land and REDD+ governance, especially in terms of seeing indirect causalities, causes of bottlenecks and shortcomings, and also allowing to more systematically look at how changing some of these factors may lead to positive outcome and support policy reform.

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This approach reflects the view of Gareth William:

> *"By their nature governance indicators are more useful for describing the governance conditions in a country rather than explaining how these arose and what processes may lead to change. An excessive focus on indicators can lead to a rather superficial type of governance assessment that merely tracks symptoms and does not address root causes...(therefore) prioritise the development of indicators that are suited to political economy analysis and relevant to explaining the causes of observed patterns of governance." (William 2011: 6)*

Agreement was reached, through series of discussions within the Expert Panel and with a variety of stakeholders at the national and sub-national levels produced on the following issues of forest, land and REDD+ governance that the PGA would cover: (a) Participatory and transparent forestry and spatial planning; (b) Fair and clear regulation of rights; (c) Accountable forest organization; (d) Forest management systems that are not susceptible to corruption; (e) Law enforcement that is transparent and not susceptible to corruption alongside proper control and structuring of legal instruments, and; (f) development of REDD+ infrastructure in a participatory, transparent and just manner.

These six main issues were primarily formulated from a consideration of indirect causes – the main aspects of the forest governance situation that perpetuate the high rate of deforestation and forest degradation in Indonesia at present. There is clearly much overlap with the formulations developed by the GFI, CCBA, Care International and other assessments concerned with REDD+ social and environmental standards. While those assessments do not cover all relevant aspects of forest governance, the PGA Framework takes into consideration all aspects relevant for forest, land and REDD+ assessment in Indonesia.

The PGA Expert Panel and various resource persons consulted in the process were aware of the fact that the prioritized governance issues are not 'stand-alone issues' and that they will always be inextricably related one to another. Forestry and spatial planning

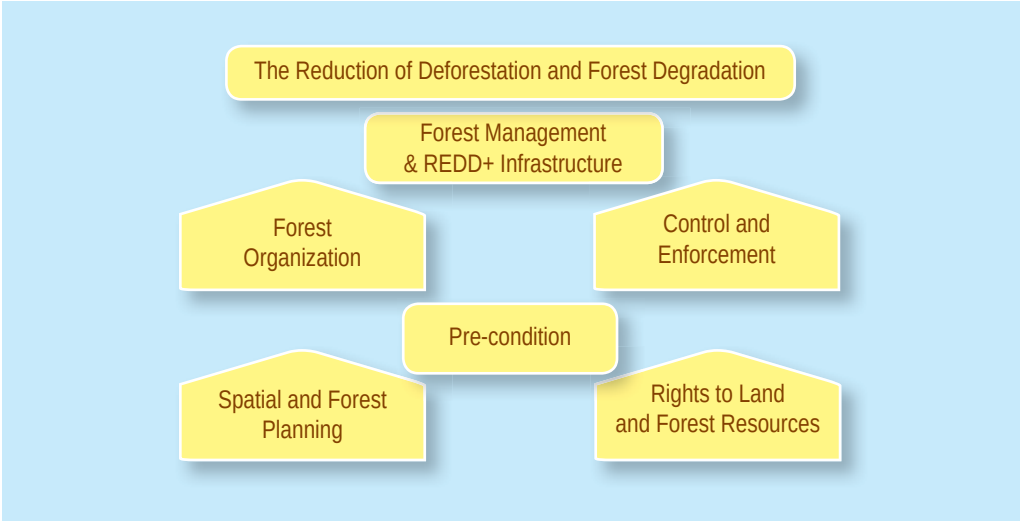


Diagram 2.3
The Scope of and Relationships between Issues

as well as the regulation of rights were seen as the basic preconditions or issues by which to assess to what extent forest management was progressing in line with principles of good forest governance. Further, accountable and just forest organization, referring to the individuals, groups and institutions involved in the implementation of forest and peatland governance was seen as key to involve in the assessment along with their relative capacities. Forest organization should be complemented by effective control, regulation and enforcement of laws and regulations not susceptible to corruption. Addressing these issues was seen to directly contribute to the improving effective forest management and REDD+ infrastructure and the achievement of the ultimate aim: the reduction of deforestation and forest degradation. Moreover, achievements made in these matters were thought to have a positive impact on poverty reduction and livelihoods development, which are dependent on improvements in forest management and REDD+.

The scope of and relationships between issues are illustrated in Diagram 2.3. This configuration contains a number of important issues in forest, land and REDD+ governance, but is by no means exhaustive. The PGA not only evaluates conditions and problems in terms of corruption and illegal logging, although they are the main drivers of deforestation and forest degradation in Indonesia, but also other underlaying causes, as can be seen in Diagram 2.3.

2.4.2 Governance Components

Subsequent stages of the process sought to refine the scope of governance issues mentioned above by identifying their sub-components, especially those aspects amenable to assessment in the field. The Expert Panel considered in-depth a range of concepts, definitions, inputs and analysis results gathered about good governance issues, components, and principles.

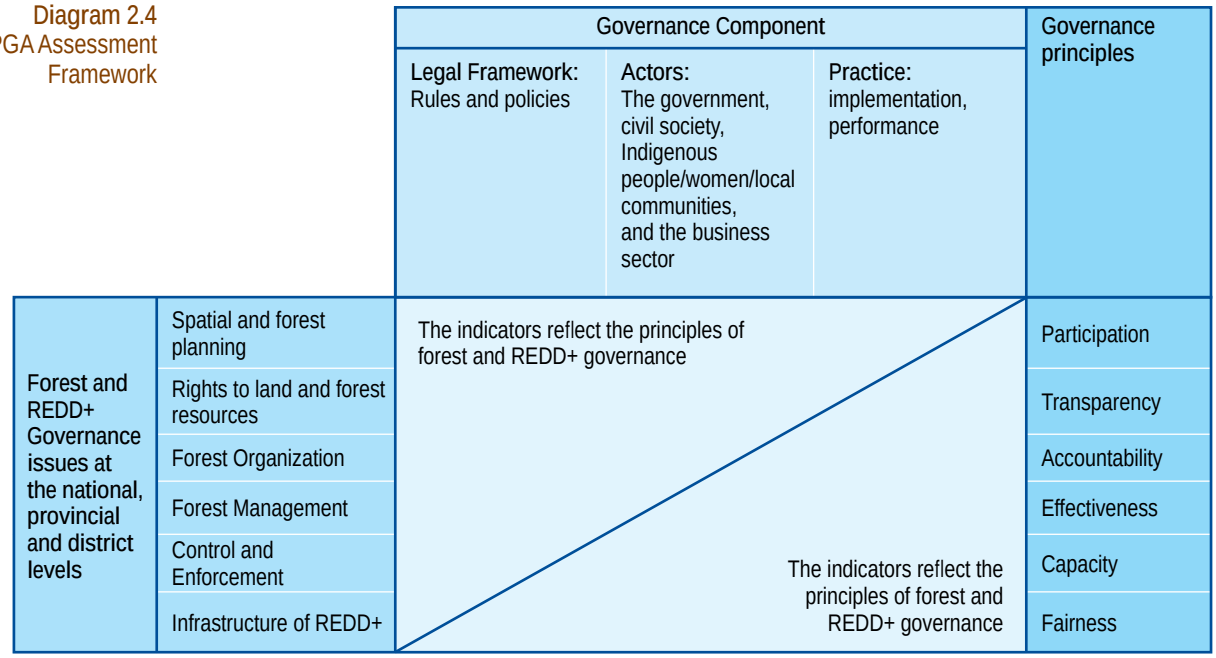
The final formulation of the PGA's operational framework comprised three parts (identified above). First, forest, land and REDD+ issues at the national, provincial and district levels relating to the six main issues above. Second, forest, land and REDD+ components that combined the following kinds of rules and actors: (a) law and policy; (b) government representatives; (c) civil society actors; (d) stakeholders from communities (Indigenous People, local communities and women); (e) business community actors, and (f) the performance of the various actors in relation to forest governance policies, regulations and practices. Third, principles of forest, land and REDD+ governance.

The operational framework was then further developed with indicators reflecting the main issues and principles, which were formulated with the purpose of assessing and providing information on forest, land and REDD+ governance conditions at national, provincial and

First, forest, land and REDD+ issues at the national, provincial and district levels relating to the six main issues above. Second, forest, land and REDD+ components that combined the following kinds of rules and actors: (a) law and policy; (b) government representatives; (c) civil society actors; (d) stakeholders from communities (Indigenous People, local communities and women); (e) business community actors, and (f) the performance of the various actors in relation to forest governance policies, regulations and practices. Third, principles of forest, land and REDD+ governance.

district levels and the performance of the various stakeholders. The configuration of the operational framework for the forest, land and REDD+ governance assessment in Indonesia is as follows in Diagram 2.4:

Diagram 2.4
PGA Assessment Framework



The multi-dimensional nature of the configuration was developed to accommodate the interests of the many parties engaging with the PGA operational framework. The column of issues on the left side, for example, would be more easily accessible to parties not directly involved in governance, such as planners and forestry sector workers, and they would have a better chance of understanding the issues if juxtaposed against the principles of forest governance. At the other end of the spectrum, parties very much involved in forest governance issues would want to see the relations between principles of transparency, accountability, participation, capacity development, fairness and effectiveness in the right-hand column with the aspects of forest, land and REDD+ governance.

Within this operational framework, laws, regulations and policies are needed as a working basis for the authorities as well as a clear guide for the participation of stakeholders in the planning, management and monitoring of forest management and REDD+ activities. In addition, a legal framework is needed to ensure that transparency in decision making and accountability in all activities is maintained in the field. In terms of the need to support gender equality, a legal framework is needed which supports gender mainstreaming in all matters, from planning and implementation to monitoring and evaluation of performance.

The roles and capacities of the various actors are important, not just in terms of contributing to the improvement of relevant laws and regulations, but also in implementing the kind of legal framework that best regulates forestry and REDD+ governance matters. The 'actors' identified for the assessment are not only from government circles, but also from civil society, Indigenous Peoples, women, local communities, as well as from the private sector.

Communities (Indigenous Peoples, women's groups and local communities) are herein combined to form one category of actors because they are the direct beneficiaries of forest and REDD+ activities, and they often have different views to civil society groups. Civil society in this assessment refers to non-government organizations (NGOs), journalists and academics, often with a strong possibility to influence other actors.

In the approach adopted in this assessment, informal as well as formal 'rules and regulations' deemed instrumental to non-state actors are included because they can have a profound impact on governance matters.

2.4.3 Basic Principles of the PGA – Taking into Account Forest, Land and REDD+ Governance Issues

In the context of assessing forest, land and REDD+ governance issues, the Expert Panel decided to use six basic principles. Each principle has been defined as follows:

- **Participation:** guarantee the involvement of relevant stakeholders in both planning and implementing pertinent activities and policies.
- **Accountability:** every action, policy, decision and final result from any activity must be held to be the responsibility of some actor or community. Accountability herein involves the establishment of complaint mechanisms and the means to manage and resolve conflict.
- **Transparency:** every action, policy, decision and final result from any activity, especially those attributable to government agencies, are open and may be accessed by, and are informed to, any and all public information users.
- **Capacity:** serious and ongoing efforts by state and non-state institutions to increase the capacities of state and non-state actors so that good governance may be realized.
- **Effectiveness:** focus on success in planning, resource allocation and goals that have been determined.
- **Fairness:** state guarantee given to non-state groups, primarily to local communities, women's groups and traditional communities, that they will receive recognition, benefit, protection and certainty in matters of forest resource management.

2.4.4 Indicators of the PGA – Taking into Account Forest, Land and REDD+ Governance Issues

The formulation of the PGA indicators was a complex process because the team had committed to accounting for a broad scope of issues, components and principles of forest, land and REDD+ governance. Each suggested indicator was also considered

Each suggested indicator was also considered in light of widely accepted criteria, such as relevance, degree of interest, extent of differences, and availability of data.

in light of widely accepted criteria, such as relevance, degree of interest, extent of differences, and availability of data. Each indicator was then reviewed by the members of the Expert Panel to double-check their relevance and relation to the scope of issues and agreed criteria. Each was then subjected to an analysis to determine if it was 'SMART' (specific, measurable, attainable, relevant, and time bound).

The series of indicators are divided into the six components and each component addresses the six issues and the six principles of good forest, land and REDD+ governance.

1) Indicators of the Law and Policy Framework Component

There are 24 indicators for the assessment of forest, land and REDD+ governance conditions from the perspective of law and policy, as follows:

- **Issue of Forestry and Spatial Planning:** assessed on the basis of the existence and quality of regulations concerning the formulation of spatial and forest plans, level of transparency and its level of involving relevant stakeholders when applicable. Further, the existence and quality of regulations concerning government's obligations to increase the capacity of local communities in spatial and forest planning, as well as mechanisms to manage complaints and conflict are being assessed.
- **Issue of Regulation of Rights:** assessed on the basis of the existence and quality of regulations concerning the establishment; recognition and protection of the management rights of indigenous communities; local community members (in a gender sensitive perspective), as well as business entities. Further, the existence of regulations that oblige governments to increase the capacity of local peoples in managing forests are included.
- **Issue of Forest Organization:** assessed on the basis of the existence and quality of regulations concerning the accountability of forest managing institutions; harmonization of relevant laws and policies; considerations about existing integrity and expertise in strategic matters, and lastly; law enforcement in forest and peatland management.
- **Issue of Forest Management:** assessed on the basis of the existence and quality of regulations concerning obligations in the formulation of management plans; transparency and involvement of all parties in forest management; mechanisms for the provision of licenses and for the submission of complaints and resolution of conflict.
- **Issue of Law Enforcement and Control over Law Processes:** assessed on the basis of the existence and quality of regulations concerning transparency in the control and structuring of legal instruments and law enforcement; integrity in monitoring thereof; improvements in the capacity of local people in matters of monitoring; appropriateness in the follow-up of matters indicating corrupt practices, and; a "multi-door approach" mechanism to address cases of forestry crimes. This means, that different legal instruments are needed in order to combat forestry crime.

- **Issue of REDD+ Infrastructure:** assessed on the basis of the existence and quality of regulations concerning the formulation of transparent REDD+ policies and institutions; complaint and conflict mechanisms; improvements in stakeholders' capacity, and follow-up actions where corruption is indicated.

2) Indicators of the Government Capacity Component

With regards to the government actors' capacity component, there are 27 selected indicators, grouped in the following terms:

- **Issue of Forestry and Spatial Planning:** assessed on the basis of the number and quality of human resources involved in conducting forestry and spatial planning; implementing the proper status and function of forest zones; the amount of funds allocated to forestry and spatial planning process; standard operating procedures for conflict resolution over forest zone planning; and legislators advocating for local and indigenous people's forest management rights.
- **Issue of Regulation of Rights:** assessed on the basis of the number and quality of personnel tasked with handling the administration of Indigenous Peoples' rights; women and other local communities' rights; as well as the rights of business enterprises; the allocation of funds for administrative costs; cooperative mechanisms between units and agencies with administrative tasks; the extent to which available human resources fulfill certain qualifications in managing conflict and the allocation of funds to manage conflict.
- **Issue of Forest Organization:** assessed on the basis of the number of personnel employed in forest management units (*Kesatuan Pengelolaan Hutan* – KPH) can facilitate interactions between stakeholders, and the allocation of funds for management with local communities.
- **Issue of Forest Management:** assessed on the basis of the number of forest areas allocated to the community; the number of forest management units formed; and the level of understanding about the licensing process as a means to control and regulate forest use by all stakeholders within the government.
- **Issue of Law Enforcement and Control over Law Processes:** assessed on the basis of the number of forest management units applying internal discipline measures; the number of police, judges and public prosecutors who possess qualifications in forestry and environmental cases, and the number of forestry and environmental cases pursued through the courts.
- **Issue of REDD+ Infrastructure:** assessed on the basis of the existence of institutions concerned with REDD+, MRV and financial management; the number of personnel with qualifications in REDD+; the amount of funding allocated by the government for the participatory process; the provision of security or safety frameworks, and; the number of personnel in REDD+ institutions who posses qualifications in mediation.

3) Indicators of the Civil Society Capacity Component

There are a total of 18 indicators related to the component concerned with institutions of civil society. Capacity in civil society has two main functions: to exercise control or balance towards the state and at the same time to strengthen the capacities of indigenous and local people in realizing the aims of good forest governance. Institutions of civil society herein comprise only NGOs, academics, and the media. The 18 indicators used to gauge their capacities are as follows:

- **Issue of Forestry and Spatial Planning:** assessed on the basis of the number and quality of activists and academics providing input to forestry and spatial planning processes; actively highlighting deviations in procedures and matters in planning processes in which the state may suffer losses, and; accompanying local people in mapping activities. This also includes the funding used and the mechanisms available for providing feedback about results and processes.
- **Issue of Regulation of Rights:** assessed on the basis of the number of NGOs and academics possessing legal drafting skills; rights monitoring programs; a code of ethics in conducting rights monitoring, and; capacities in drawing public attention to deviations that cause losses related to problems in realizing rights over forest and land resources. Issue of Forest Organization: assessed on the basis of the number of NGOs running programs to improve local people's capacities in conducting monitoring activities; mechanism for NGO selection, and the number of corruption eradication advocacy initiatives in the forestry sector.
- **Issue of Forest Management:** assessed on the basis of the number of NGOs conducting monitoring of the provision of licenses, and the level of knowledge among activists involved in monitoring about the principles and procedures for the provision of licenses, as well as the number of NGOs that actively develop the capacities of Indigenous/local People in managing forests.

- **Issue of Law Enforcement and Control over Law Processes:** assessed on the basis of NGOs receiving complaints about forestry-related problems and crimes**.**
- **Issue of REDD+ Infrastructure:** assessed on the basis of the number of NGOs monitoring the preparation and implementation of REDD+; the level of knowledge within NGOs in regards to monitoring, and the number of print media that regularly report on the preparation and implementation of REDD+, and the frequency with which the different media report on these matters.

4) Indicators of Communities (the Indigeous People, Women and Local Community Capacity Component)

This component has 12 indicators concerned with assessing forest governance conditions from the perspective of the capacities of indigenous people, women and local people. These indicators represent two different aspects: an assessment of governance conditions within organizations of Indigenous Peoples, women and local communities in REDD+ and forest management and the capacities of Indigenous Peoples, women and local communties in driving the good governance agenda in government and business circles. The 12 indicators used to gauge the capacity of local stakeholders are summarized below.

- **Issue of Forestry and Spatial Planning:** assessed on the basis of the number of Indigenous Peoples, women and local community activists advocating for their interests in forestry and spatial planning forums; the level of knowledge about forestry and spatial planning; mechanisms in the selection of representatives, and the availability of information given to and the feedback from Indigenous People, women and local communities in forestry and spatial planning forums.
- **Issue of Regulation of Rights:** assessed on the basis of the number of activists from Indigenous Peoples, women and local communities fighting for good forest management, and the number of internal regulations pertaining to forest management.
- **Issue of Forest Organization:** assessed on the basis of mechanisms employed in the selection of Indigenous Peoples, women and local communities' representatives.
- **Issue of Forest Management:** assessed on the basis of the number of initiatives and partnerships to develop sustainable forest management models.
- **Issue of Law Enforcement and Control over Law Processes:** assessed on the basis of the number of Indigenous Peoples, women and local community organizations conducting monitoring functions in forestry implementation and control mechanisms for Indigenous Peoples, women and local community organizations in conducting forest management activities.
- **Issue of REDD+ Infrastructure:** assessed on the basis of the level of participation of Indigenous peoples, women and local communities in REDD+ task forces; the number of Indigenous Peoples and women activists who possess project design skills in developing REDD+ and the number of Indigenous Peoples and women's organizations conducting monitoring of REDD+ activities.

5) Indicators of the Business Community Capacity Component

There are 11 indicators used to assess the condition of forest, land and REDD+ governance within the business community in this assessment. The indicators were formulated based on the assumption that business actors are one of the key actors that can contribute to the realization of good forest, land and REDD+ governance. More than one third of forest areas have been given to actors in the business sector through various forest management licensing mechanisms. The following indicators were formulated to assess capacities in the business sector:

- **Issue of Forestry and Spatial Planning:** assessed on the basis of the number of representatives from the business community that attend forums to deliberate spatial planning issues, and the level of knowledge among those who participate and the existence of feedback mechanisms.
- **Issue of Regulation of Rights:** assessed on the basis of the existence and quality of their documents concerning free, prior and informed consent (FPIC) and the amount of funding allocated to determining and marking the boundaries of their operational areas.
- **Issue of Forest Organization:** assessed on the basis of the mechanisms for selecting business representatives in multi-stakeholder institutional processes.
- **Issue of Forest Management:** assessed on the basis of the number of enterprises pursuing principles of sustainable forestry management (SFM).
- **Issue of Law Enforcement and Control over Law Processes:** assessed on the basis of internal control mechanisms that affect implementation of activities in keeping with SFM principles, and the number of companies that have a governance code of ethics.
- **Issue of REDD+ Infrastructure:** assessed on the basis of the availability if documentation that indicates the presence of business representation and development of REDD+ infrastructure, and the level of commitment of the business community in supporting the implementation of REDD+.

6) Indicators of the Performance of the Various Actors in Relation to Forest Governance Policies, Regulations and Practices

Although governance is being defined in numerous ways, many of the definitions include matters of planning, policy-making, regulation and implementation processes. It is important to assess performance and progress in the different aspects of governance. To this end, 25 indicators were developed to assess implementation and performance, with special reference to evaluating the availability of legal frameworks and policies as well as the relevant capacities of the various actors. The following section explains the indicators used to assess implementation and performance associated with forest, land and REDD+ governance.

- **Issue of Forestry and Spatial Planning:** assessed on the basis of the level of acceptance of spatial planning; the number of areas associated with community

interests that are included or accommodated in spatial plans, and; the number of conflicts over spatial plans that have been resolved.

- **Issue of Regulation of Rights:** assessed on the basis of the number of rights held by business interests and Indigenous Peoples under administration; the total overlapping of forest areas; the number of conflicts between forest users; the number of best practices employed in conflict resolution, and the frequency of media coverage about Indigenous People, women and local people.
- **Issue of Forest Organization:** assessed on the basis of the total costs of transactions in obtaining licenses, and the authority to intervene in forest management processes by those implementing the licenses.
- **Issue of Forest Management:** assessed on the basis of the number of Indigenous Peoples involved in forest management; the number of areas managed sustainably; the percentage that possess forest management units, and the extent of ecological services in forest management.
- **Issue of Law Enforcement and Control over Law Processes:** assessed on the basis of the number of violations in budget utilization; the number of serious administrative sanctions on license holders; the number of forestry-related criminal cases processed by the police, prosecutors, judges with a verdict of guilty; the integrity index of the Corruption Eradication Commission (*Komisi Pemberantasan Korupsi* – KPK); corruption and the value of losses on forest management units; results reported by the Supreme Audit Agency (*Badan Pemeriksa Keuangan* – BPK), and; the number of complaints from local people regarding forestry management performance issues.
- **Issue of REDD+ Infrastructure:** assessed on the basis of the number of civil society groups that have access to REDD+ areas; the level of acceptance of REDD+ strategies; deforestation and forest degradations levels, and the number of areas managed sustainably by forest management parties.

Chapter 3

Methodologies of the Forest, Land and REDD+ Governance Assessment in Indonesia

Chapter 3
Methodologies of the PGA; Assessing Forest, Land and REDD+ Governance Issues in Indonesia

"Not everything that can be counted counts, and not everything that counts can be counted" by Albert Einstein.

The above quote is highly relevant for researchers and assessors alike because their work is based on certain philosophical and methodological assumptions that help them observe, understand and clarify the present in order to prepare predictions about and recommendations for the future. Addressing an issue from only one angle is seldom satisfactory. Trying to use just a quantitative or just a qualitative approach has rarely proven worth while. In order to get the best quality and most comprehensive information, a combined approach is necessary. The approaches seem to support and validate each other andbased on this acknowledgement the PGA employs a mixed-method approach.

Researchers and assessors alike base their work on certain philosophical and methodological assumptions that help them observe, understand and clarify the present in order to prepare predictions about and recommendations for the future.

To paraphrase Creswell (2009), a mixed-methodological approach seeks to bring together and integrate quantitative and qualitative data to obtain a comprehensive analysis of the research problem. In this approach, the researcher collects both kinds of data at the same time and then combines them into the type of information that assists an overall interpretation of results. Researchers make decisions along the way about which kinds of data and information to use.

The selection of a mixed methodology also reflected the fact that the assessment of forest, land and REDD+ governance was designed to not only present information and improve concerned parties' understanding of the issues, but to also draw out important issues on which recommendations would be formulated along with suggestions

This assessment was conducted in order to better understand the conditions of forest, land and REDD+ governance issues at the central, provincial and district levels from a holisitic perspective.

for addressing short comings experienced by the various actors and highlighted through the assessment process. As such, the assessment incorporates issues such as social, environmental, political and economic justice that have a real impact on forest, land and REDD+ governance.

3.1. Focal Points of the PGA in Indonesia

This assessment was conducted in order to better understand the conditions of forest, land and REDD+ governance issues at the central, provincial and district levels from a holisitic perspective. Such a view would enable a better understanding of what needs to be done in order to improve forest, land and REDD+ governance in Indonesia. The assessment focused on three levels of the government structure ('units of analysis') –central because each has its own responsibilities in managing forest resources and REDD+ activities. Choosing only one level would not only lead to limited results in the assessment but also a constricted view of the multi-dimensional reality of forest, land and REDD+ governance in Indonesia

In order to obtain a more comprehensive 'snapshot' of forest, land and REDD+ governance conditions throughout the country, this Participatory Governance Assessment (PGA) was conducted at 31 locations - at the central level as well as in 10 provinces and 20 districts. The selection of the provinces to involve in the assessment was based on total forest coverage calculations and the ten provinces with the largest forest areas were selected. The selection of two districts within each of these provinces was based on considerations of ecological vulnerability, as well as economic factors and the number of settlements within forest areas.

Diagram 3.1. The PGA Assessment Locations

3.2 Data Collection Methods

This PGA was not intended to interrogate or verify any theory, nor to contribute to the development of theory in related fields. It was intended to collect various kinds of data that would enable a comprehensive understanding of the state of forest, land and REDD+ governance conditions in Indonesia. As such, the methodology used is a combination of quantitative methods, such as content analysis and document analysis, and qualitative methods, such as document reviews, interviews and focus group discussions (FGD).

This PGA was not intended to interrogate or verify any theory, nor to contribute to the development of theory in related fields. It was intended to collect various kinds of data that would enable a comprehensive understanding of the state of forest, land and REDD+ governance conditions in Indonesia.

The decision to combine methods of data collection in this assessment was also influenced by the kinds of indicators that emerged through the analysis and consultation processes. In terms of sources and interview objects, certain indicators relied on the appraisals of sources as much as established facts. Indicators concerned with assessing the extent of impact are associated with the level of input, processes, performance and impact.

All information sources in the assessment of the law and policy component were written legal and policy documents issued by government agencies ('observation units') at central, provincial and district levels. Drawing on these written legal documents, the indicators of the law and policy component were assessed by the 'content analysis' method.

Data and information for the assessment of the capacity-related components were the result of analysis of institutional documents and media reports and of the results of interviews. Data and information obtained from institutional documentation was given precedence, while the results of media analysis and interviews were used in comparison to assess the validity and relevance of the results of the documentation analysis. Certain categories, however, were more reliant on the results of interviews because the issues examined were very typical. All indicators of the capacity-related componentsintend to measure input and processes.

Data sources and information linked to the implementation and performance component comprised written documents and the results of interviews, with 'hard data' obtained from documents given precedence, unless interviews were the only option to obtain the data. All indicators of the implementation and performance component were chosen with the view to measure performance and impact.

As an illustration, this is the indicator used to measure the issue of transparent and participative forestry and spatial planning: "The existence and comprehensiveness of regulations that regulate the formulation of forestry planning; and the formulation of Regional Spatial Plans (*Rencana Tata Ruang Wilayah* - RTRW) is conducted transparently."

The 'observation units' were the Ministries of Forestry, Public Works, and Home Affairs, the National Planning and Development Agency (*Badan Perencanaan dan*

Pembangunan Nasional - Bappenas) and the National Land Agency (*Badan Pertanahan Nasional* – BPN) at the central level. The analysis of the quality of the regulations was conducted through a content analysis approach to see if the following issues were present in the relevant regulations: data and information about the production of forestry and spatial plans; mechanisms for conveying information to the public about the formulation of forestry plans; mechanisms covering public announcements on suggested changes to land allotments, and; the clarity of information that can be accessed based on a test of consequences.

3.2.1 Documents and Media Reports Content Analysis

The document and media content analysis methods were chosen because they would provide a snapshot and objective data and information within the specified timeframe. Alan Bryman (2004:195) explained the benefits of using content analysis and media content analysis:

1. *Primarly, content analysis is a very transparent research method. The coding scheme can be clearly set out so that replications and follow up studies are feasible. It is this transparency that often causes content analysis to be referred to as an objective method of analysis.*
2. *It may also allow a certain amount of longitudinal analysis with relative ease... [with] a highly flexible method. It can be applied to a wide variety of unstructured information.*

Data collection efforts began by examining whether the required documents were available or not. Where available, the document contents were examined against the various indicators and examined for their relevance. Data in the law and policy category were accessible to collectors without difficulty. At several locations, especially at the provincial and district levels, accessing relevant legal and policy documents sometimes proved more difficult, mainly due to factors such as poor management of archiving systems and personnel's limited knowledge about the material.

The most serious challenges to the collection of data and supporting documentation was encountered when attempting to access information about: the budgets of provincial and district government offices (*Satuan Kerja Perangkat Daerah* – SKPD); internal hierarchies; reports on the misuse of government funds; authorization and administration mechanisms; cases of forestry crimes handled by the relevant authorities, and; the minutes of meetings and attendance lists, which were all useful in providing verifiable data for a broad range of indicators. Many of the difficulties encountered were caused by the absence of regulations about what kinds of information were or should be accessible to outside parties, and the fact that some kinds of documents were categorized as 'sensitive', such as those pertaining to forestry crime cases and budget management matters.

Many of the difficulties encountered were caused by the absence of regulations about what kinds of information were or should be accessible to outside parties

In many instances, although the documents were not available or not accessible to collectors, relevant sources were willing to provide

verbal information associated with the assessment indicators. Where the issues were classified as 'sensitive' and the documents difficult to access, the assessment and valuation of indicators relied on information obtained from interviews, FGD, media analysis and the knowledge of experts in the relevant field.

In relation to media content analysis, two national media publications and media in each province were used in the assessment. The national media publications chosen were Kompas (*Harian National Kompas*), a paper published since 1965 with the largest circulation of any paper in the country, and the Koran Tempo newspaper, which has a national circulation and progressive reputation. The latter was used to crosscheck and provide additional information about important points.

At the sub-national levels, the media analysis centered on newspapers published in the provincial capital. Newspapers published at the district level were not examined owing to the fact that not all locations possessed a local newspaper. These are the publications employed at the provincial level in the media analysis: Harian Serambi Indonesia (Aceh), Harian Jambi Ekpress (Jambi), Riau Pos (Riau), Sriwijaya Pos (South Sumatera), Pontianak Pos (West Kalimantan), Kalteng Pos (Central Kalimantan), Samarinda Post (East Kalimantan), Cendrawasih Pos (Papua) and Radar Sorong (West Papua).

3.2.2 Semi-Structured Interviews with Sources

The data collection method of using semi-structured interviews was employed to gather information, data and views from a number of sources throughout the PGA. This method possesses several advantages, especially in terms of gathering the same kinds of information from participants in the 31 locations, thereby supporting the formulation of categories and enabling comparison between them. Its other main advantage is saving time, because lost data rates are lower for this kind of assessment approach than in open interview processes.

Sourcesat each of the observation units were identified by the Expert Panelin the initial stages of the PGA. One week prior to the interview, the selected persons were sent a letter of notification about the data collection efforts from the offices of the Ministry of Forestry and the Presidential Delivery Unit for Development Monitoring and Oversight (known by its Indonesian acronym "UKP4"). A letter was also sent from the PGA team in UNDP Indonesia to relevant sources enquiring about their readiness to be interviewed. Serious challenges were sometimes encountered, despite the guidelines in place, when interviewing sources from the police force, inspection units, public prosecutors and the courts. These agencies all possessed internal bureaucratic processes that determined the proper person or persons to be interviewed.

3.2.3 Focus Group Discussions (FGD)

The focus group discussion (FGD) method - one of the qualitative methods chosen was employed to access in-depth information and to validate data obtained in interviews. Group discussions also meant that participants could directly verify or dispute

Data collection in the field was conducted by a third party recruited by UNDP Indonesia through an open, selective and competitive process.

certain points and thereby increase the likelihood of accurate data being incorporated. This method was also useful in terms of gathering views associatedwith indicators on priorities, responsible institutions and action plans.

Participants from the 31 locations were determined basedon the following criteria: (a) being key information sources at the central level as well in the 10 provinces and 20 districts; (b) must represent institutions of government, civil society, business and Indigenous and local communities while maintaining gender equity issues, and; (c) being key information sources who had already been interviewed directly, with a maximum number of 10 persons representing the institutions mentioned previously.

FGD discussions were organized between data collectors and sourcesas well as between the Expert Panel and data collection coordinators at the national, provincial and district levels. These FGDs were designed to provide technical assistance and examine the availability and quality of data gathered by the data collectors.

3.3 Data Collection and Management

Data collection in the field was conducted by a third party recruited by UNDP Indonesia through an open, selective and competitive process. Institute for Social and Economic Research, Education and Information (*Lembaga Penelitian, Pendidikan dan Penerangan Ekonomi dan Sosial* - LP3ES) was selected as the best suited candiate. This non-governmental organization (NGO) has been working in social, economic and humanitarian research since the 1970s and is seen as a credible actor in the field. In addition, the network of data collectors and personnel in the field also met the standards outlined in the terms of reference.

The results of the data collection in the 31 test case locations were presented in a summary report and matrix specifically developed to contain information about the PGA's scope of issues, components, indicators, items of data, data collection methods and summary findings. The Experts Panel contributed to ensure quality by double checking through the interviews with source persons, media reports from the central and provincial levels, and government documentation in both hard and soft-copy form.

Processing the raw data into an index started with an assessment by the Experts Panel aimed at determining whether the data collected was of an acceptable standard for inclusion in the final assessment.

3.4 Formulation of the Index and Policy Recommendations

Processing the raw data into an index started with an assessment by the Experts Panel aimed at determining whether the data collected was of an acceptable standard for inclusion in the final assessment. This stage of the process was guided by a scoring system with pre-determined maximum and minimum values. The overall process of formulating the index presented in this document is depicted in Diagram 3.2.

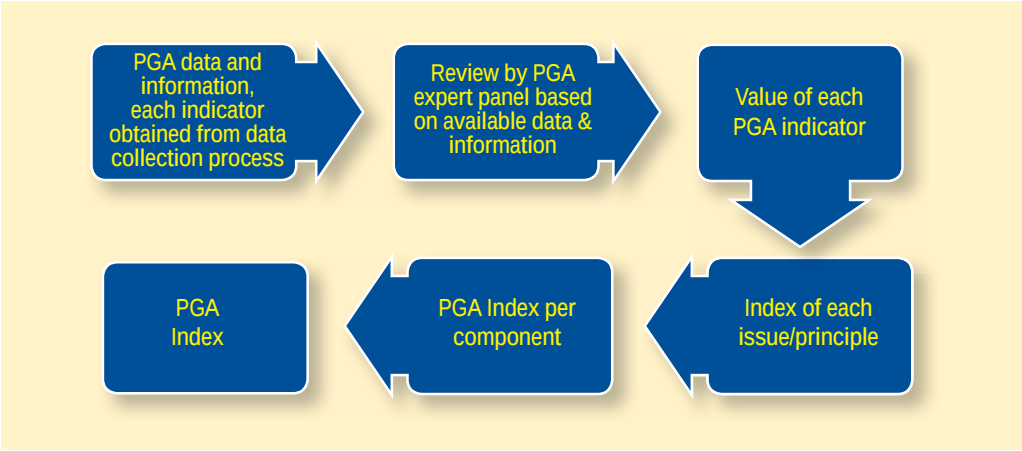


Diagram 3.2. The Overall Process of Formulating the Index

Diagram 3.2 indicates that the PGA Expert Panel used both quantitative and qualitative data and examined them in light of every item within each indicator in order to arrive at their individual values.

In this context, every item in every indicator was given the same weighting. As an illustration, the indicator "the number of government personnel possessing qualifications within the planning units to conduct spatial planning" was used to evaluate the capacity of government actors in spatial and forestry planning. This indicator was supported by three items for data collection; educational background, length of official tenure, and certified training. The overall assessment value was calculated by adding the values of each of these items and dividing by the number of data items. This method was applied in regards to each of the 31 locations. The results of this process are presented in the annexes to this report.

The scores presented in the index of this forest, land and REDD+ governance assessment are all composite figures averaged within the specific location at the national, 10 provincial or 20 district levels.

3.4.1. The PGA Index Formulation Technique

The PGA index for every one of the 31 locations was reached using the following technique: First, the values attached to every indicator were established. This value represented the average score of every 'issue cell' when aggregated make up the 'issue index' of forest, land and REDD+ governance; Second, the results of the forest, land and REDD+ governance 'issue index' were calculated to obtain the value of the sub-component index; Third, the sub-component index values were matchedwith the index value for each of the three components (law and policy, capacity and performance) to obtain the component value; Fourth, the three component index values were tallied to obtain the index value of the forest, land and REDD+ governance assessment at each of the locations. The overall process in formulating the PGA index is presented in Diagram 3.3.

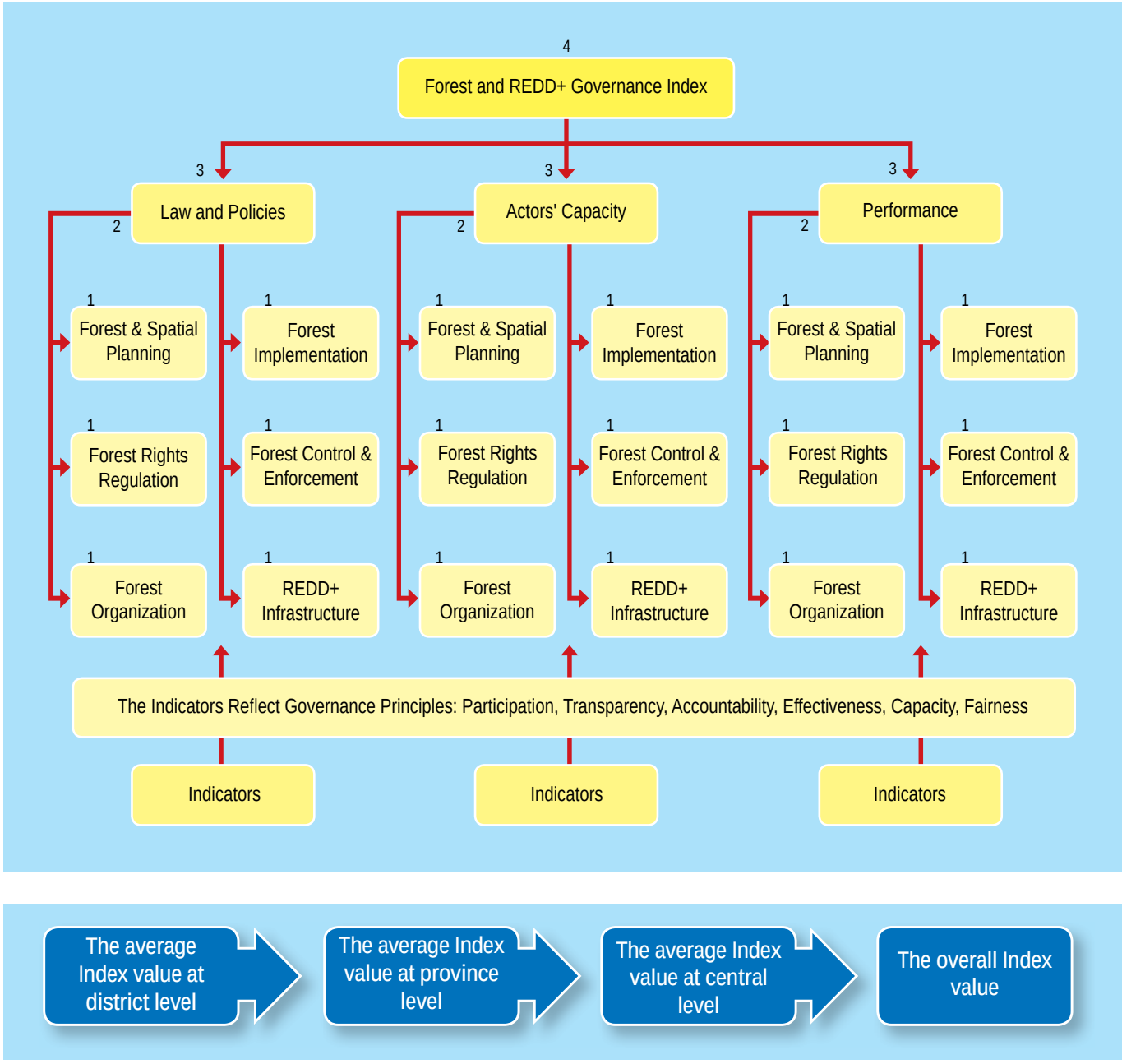


Diagram 3.3. PGA Index Measurement Structure

The overall index value was determinedusing the method of first calculating the average value of the indexes at every governance level incorporated in the assessment. The national index represents the average of each of the indexes at the central, provincial and district levels. The process is depicted in Diagram 3.3.

3.4.2 Formulation of the Policy Recommendations

In addition to the data andscores for the various indicators and the index of issues, sub-components, components and indexes for forest, land and REDD+ governance, among key results are the recommendations that grew out of the PGA process. The recommendations are structured into two main types. The first are technical policy recommendations associated with the assessment's operational framework, principles of forest, land and REDD+ governance, the components and level of authority considered in the assessment. The second are macro policy recommendations as well as preconditions that will enable the technical policy recommendations to be realized.

The technical policy recommendations were formulated through FGDs to gather views of sources at each of the assessment locations. The Expert Panel also consulted on their analysis of the results obtained in all districts and provinces, as well as at the national level. FGDs were held at each of the locations. The discussions were structured around the five-column matrix presented in Diagram 3.4.

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 to Land and Forest Resources				
Forest Organization				
Forest Management				
Control and Enforcement				
REDD+ Infrastructure				

Diagram 3.4. Policy Recommendation Matrix

The collection of input from sources began with the sending of information about the FGD material, process and aims one week prior to the convening of the focus group. During the FGD, each source asked to select four critical indicators to give a total of 24 critical indicators from the total 117 indicators designed for the forest, land and REDD+ governance assessment. The participants then discussed which parties had the highest degree of authority in handling the aforementioned problems, whether central government agencies or in the regions, in keeping with the stipulations of Government Regulation No.38/2007 about the Division of Governance Administration and Law No. 32/2004 about Local Government.

The FGD participants also identified the ministries, institutions and the provincial and district government offices (SKPD) most responsible, according to their official roles, in improving the critical indicators identified and the kinds of activities that could be suggested to improve the situation related to the aforementioned indicators. In the final stages of the FGD, each participant was asked to identify the most relevant parties from civil society, indigenous and local communities and the private sector that could assist the government or help drive the process of improving performance in the critical indicators. All of this information was used by the Expert Panelto formulate technical policy recommendations at each of the assessment locations or policies of a general nature that could be applied in all locations of the forest, land and REDD+ governance assessment.

3.5 Limitations of the PGA

This assessment focused and limited its scope to an operational framework shaped by important issues, principles and components of forest, land and REDD+ governance and to a limited number of indicators used to measure conditions in forest, land and REDD+ governance in the year 2012. Consequently, this meant that certain issues, principles and components were left out and were not examined. Non-technical limitations were associated with: methodologies that could not be pursued; the geographic limitation of the study; the understanding of data collectors and sources, interviewees as well as respondants about the assessment and its instruments, and the management and presentation of the data.

3.5.1 Limitations Related to the Scope of the Assessment

The conceptual framework used in this assessment was not constructed to evaluate the structure of political, economic, social, legal or leadership governance issues or the relationships between actors in a broad sense. The limitations imposed on the study have been described in preceding sections. All those involved in the assessment, nevertheless, were well aware that governance issues in the bigger picture have direct and indirect influences on the state of forest, land and REDD+ governance in Indonesia. The influence of variables in the broader environment on the situation in Indonesia, however, were not deliberated to a significant extent, but were considered and built into the formulation of non-technical policies. This was seen to be a response to criticisms of sectoral studies of governance issues that fail to take broader issues into account.

3.5.2 Limitations Related to the Assessment Methodology

Limitations in the methodology of the assessment were related to the fact that not all relevant data could be obtained through quantitative or qualitative methods as described earlier. In addition, the study was only able to consider conditions in 10 provinces, 20 districts and at the central level. The main types of data that could not be obtained were contained in official documents such as those concerning forestry crimes,

budget violations and information about personnel and attendance. In order to address this shortfall, interviews were held with sources to gather information. It was hoped that limitations in the methodology would be addressed through gathering key stakeholders from all of the assessment locations for a national consultation to examine and validate the data collected.

3.5.3 Non-Technical Limitations

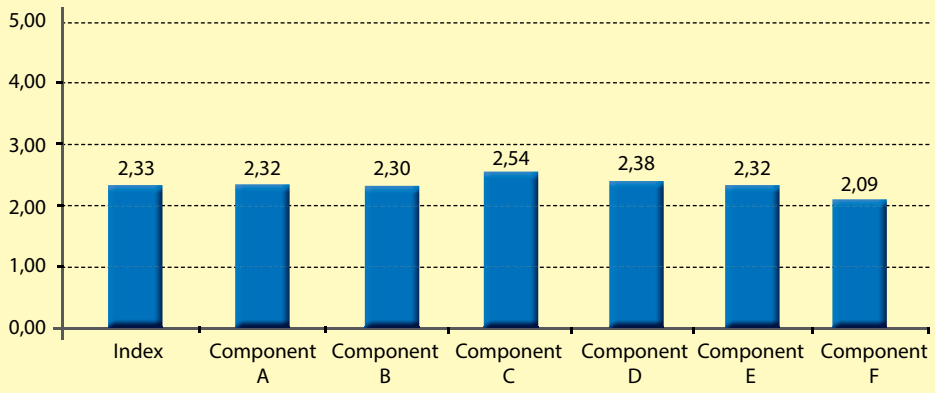
Due to the fact that forest, land and REDD+ governance is a relatively new issue, the Expert Panel together with UNDP Indonesia identified several non-technical limitations that would be faced. The first was concerned with difficulties in sourcinga sufficient number of researchers with relevant qualifications and experience in forest, land and REDD+ governance issues. This problem would extend to the capacities of data collectors at local levels in terms of their understanding of the assessment's instruments and their abilities in compiling data and reporting findings. These difficulties were anticipated from the beginning and about ananalysis of the institutional capacities of the data collection service provider was undertaken. Regular workshops and meetings were also held with data collectors and the PGA Expert Panel. The Expert Panel also met regularly to discuss the quality of the data being produced and how to mitigate these risksand make use of the data.

Chapter 4

The Forest, Land and REDD+ Governance Situation in 2012

Chapter 4
The Forest, Land and REDD+ Governance Situation in 2012

This chapter presents the results obtained from the Participatory Governance Assessment (PGA) taking into account forest, land and REDD+ governance issues, which was conducted in 2012 in 31 assessment sites across Indonesia: at the central level, as well as in 10 provinces with high forest coverage and two districts within each province. By looking at the results of the various components in the indexes it is possible to identify which principles or components of forest governance are being realized and those in need of improvements and strengthening. It is also possible to see how provinces and districts are performing in relation to each other. The associated indicators will help explain the value a component or principle of forest, land and REDD+ governance in the provinces is awarded. The figures are informed by data and information obtained through qualitative and quantitative methods, such as interviews and document



Note: Component A: Land and Policy Framework; Component B: Government Capacity; Component C: Civil Society Capacity; Component D: Indigenous People/Community/Women; Component D: Business Capacity; Component F: Performance

Diagram 1:
PGA Index Value Based on the Components

The overall forest PGA index value is based on the forest, land and REDD+ governance components and was calculated at 2.33

analysis. This chapter will also go more in depth on the correlations between the components, associated score and principles of good governance.

4.1 The PGA Components

The overall forest PGA index value is based on the forest, land and REDD+ governance components and was calculated at 2.33 (See Diagram 4.1). This value represents an aggregate score of the index values of the forest, land and REDD+ governance components: at the central level (2.78), the average value of the 10 provinces with significant forest coverage (2.39), and the 20 districts within these provinces (1.8). The index values at each of these levels represent composite values calculated according to six main issues of forest, land and REDD+ governance and 117 indicators. To briefly recapitulate, these were categorized into forest, land and REDD+ governance 'components': law and policy; capacities of the actors (government; civil society; Indigenous Peoples, women, local communities, and business) and; the performance of the various actors.

The value of the PGA index in terms of the components (2.33) is well below the maximum value of five, which indicates that the state of forest, land and REDD+ governance was not yet at a sound level – particularly in the districts where the average index value was below two. The condition of forest, land and REDD+ governance in terms of the components at the district level is worrying, especially in light of the fact that, under regional autonomy laws, all forest areas fall within the administrative jurisdiction of the districts.

Considering the PGA results in more detail – using the values of the components presented above - it is apparent that Civil Society (component C) has the highest average value (2.54), whereas the performance of the various actors in relation to forest governance structures and practices (component F) has a score of just 2.09.

It should be emphasized that the PGA data is not intended as a tool to shine the spotlight on underperformers, but rather provide useful information, insights and evidence as a starting point in strategically addressing and improving critical issues and identified shortcomings.

Diagram 4.2 shows that the three provinces which received the highest index value for forest, land and REDD+ governance based on the components were West Kalimantan, with an aggregate value of 2.73, followed by Central Kalimantan (2.64) and Central Sulawesi (2.52). At the other end of the spectrum, the three provinces which received the lowest index scores for forest, land and REDD+ governance based on the components were Aceh, with the lowest value of 2.07, followed by South Sumatra (2.19) and Riau province (2.28). It is interesting to note that the provinces with the highest scores are found in Kalimantan and Sulawesi, while those with the lowest are located on Sumatra Island.

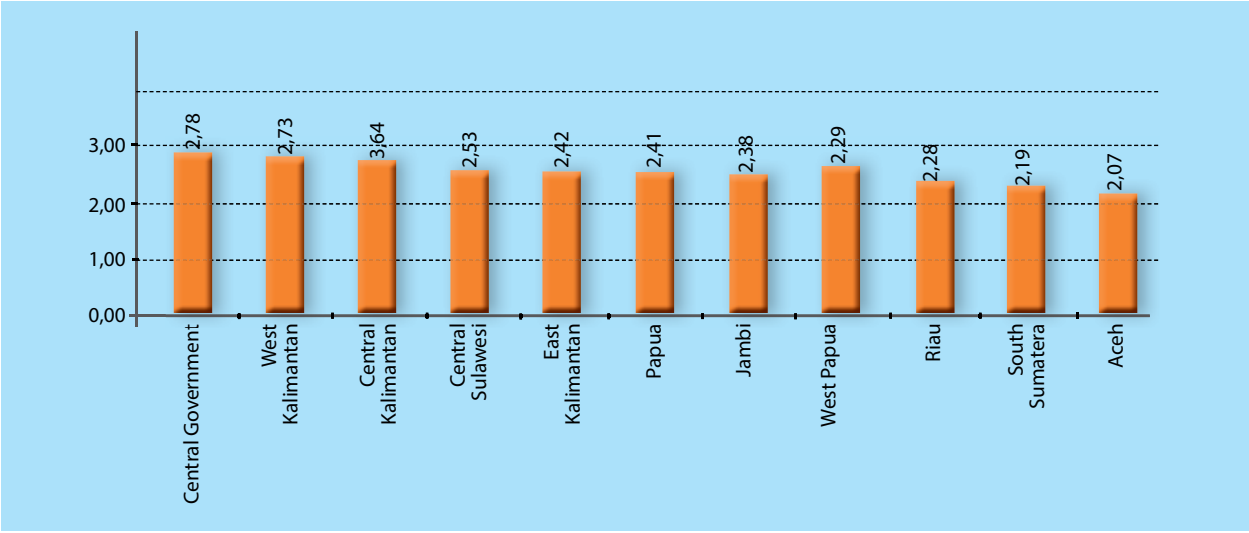


Diagram 4.2 Aggregate Value based on the Component at Central and Province Level

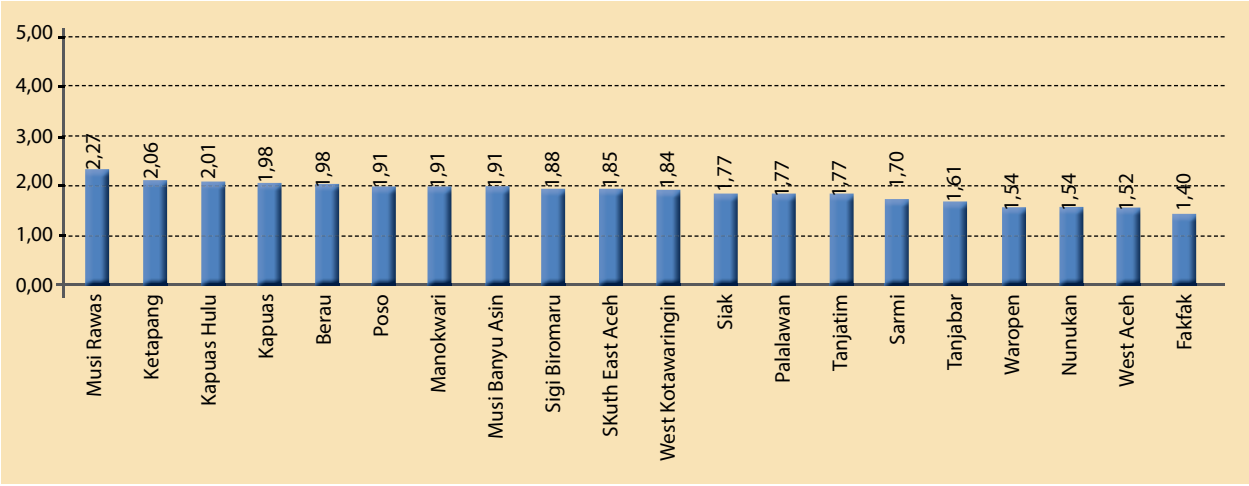


Diagram 4.3 Forest, Land and REDD+ Governance Value based on the Component at Ditrict Level

The situation at the district level is depicted in Diagram 4.3. The three districts that received the highest index values were Musi Rawas (South Sumatra) with a score of 2.27, followed by Ketapang (West Kalimantan) with a score of 2.06 and Kapuas Hulu (Central Kalimantan) with an index value of 2.01. The three districts that received the lowest scores were Fakfak (West Papua) with a score of just 1.40, followed by West Aceh (Aceh) with a score of 1.52 and Nunukan (Central Kalimantan) with a score of 1.54. The findings indicate a general pattern: provinces displaying relatively high index values tend to be home to districts that also register relatively high scores, but there are important exceptions to this rule, such as Fakfak and Musi Rawas districts.

The index values for forest, land and REDD+ governance based on the components show a clear difference between the central, provincial and district levels; components at the central level generally have a higher value than those registered at the provincial level, whereas the index value at the provincial level is significantly higher than at the district level. The component dealing with the capacities of the various actors provides indications on why this is the case.

The capacities of actors at the central level are relatively higher than of actors at the provincial level, and those at the provincial level are similarly higher than counterparts at the district level. The level of capacity of the actors ranked from the highest to the lowest are: civil society, business, Indigenous and local people and the government.

Looking a little deeper into these findings we see that the highest levels of capacity in civil society are found in Central Kalimantan, West Kalimantan and Jambi provinces. The capacities of Indigenous Peoples, women and local communities are strongest in West Kalimantan, Central Sulawesi and Central Kalimantan. The highest capacities within the business community are found in West Kalimantan, East Kalimantan and Central Kalimantan. Government capacities are strongest in Central Sulawesi, South Sumatra and Central Kalimantan.

In terms of the law and policy component, law and policy frameworks were generally deemed to be sufficient at the central level, but were not operationalized in regulations and decisions at the level of provincial governors or district heads. The insufficient performance of the law and policy component at these lower levels must be viewed in this light.

4.2 Significant Correlations of the Components

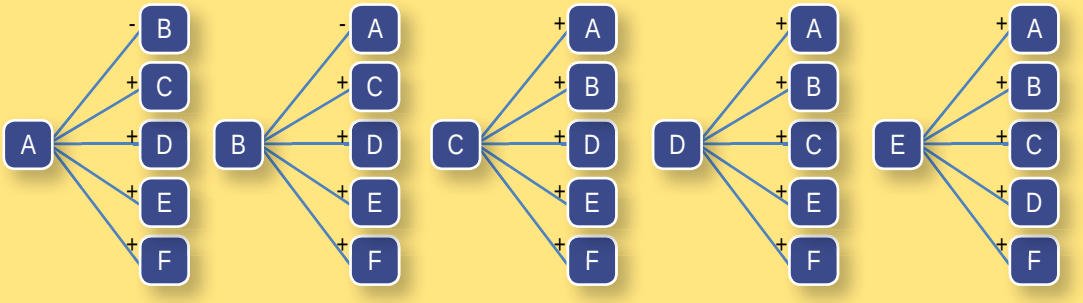
The level of influence was calculated at over 50%, which means that if the indicators within the law and policy component and the capacity components improve, there is a greater than 50% likelihood that the performance component of forest, land and REDD+ governance will also improve.

Employing regression and correlation methods developed by Pearson, a number of significant relationships emerge between certain components. Using results from the components, regression analysis indicates that there is a significant influence between the law and policy component, and the actors' capacity component as the independent variable in relation to the performance component as the dependent variable. The level of influence was calculated at over 50%, which means that if the indicators within the law and policy component and the capacity components improve, there is a greater than 50% likelihood that the performance component of forest, land and REDD+ governance will also improve.

An analysis of the relationships is depicted in Diagram 4.4. It shows that a change in one of the components has an influence on other components. If indicators in component A dealing with law and policy are improved, there will be a significant effect on indicators in the components concerning the capacity of communities (Indigenous Peoples/

women/local communities) and performance of the various actors in relation to forest governance structures and practices. If laws, regulations and policies related to the establishment, recognition and protection of the rights of Indigenous Peoples, women and local communities are improved, there seen to be a correlation with the governance capacities of Indigenous Peoples, women and local communities, which are anticipated to improve as well.

Diagram 4.4. The Correlations between the Components and Projected Changes



Note: Component A: Land and Policy Framework; Component B: Government Capacity; Component C: Civil Society Capacity; Component D: Indigenous People/Community/Women; Component D: Business Capacity; Component F: Performance

Although constitutional law recognizes the rights of Indigenous and other local communities in managing forest resources, laws and regulations at lower levels are still inadequate. It is widely recognized, however, that such laws and regulations are necessary to ensure the rights, access and control of these groups in managing local forests. This becomes even more evident when considering certain indicators, such as those concerning the amount of forest areas managed by Indigenous and local people under government licenses, which is less than 200,000 hectares. The amount of forest areas managed by private sector parties under government licenses, on the other hand, exceeds 30 million hectares.

The analysis of relationships indicates a significant and strong correlation between capacity (of government, civil society and business actors) and performance. The analysis reveals an inter-dependent connection between government, civil society and business. Improvements in the indicators of government capacity will make a strong contribution to the strength of civil society and business. This works in reverse too, with the strengthing of civil society and business having a positive effect on government capacities in implementing principles of good forest, land and REDD+ governance. Importantly, the statistical relationship reinforces the notion that government, civil society and business are very much inter-dependent in efforts to realize strong forest, land and REDD+ governance.

The relationships between component C – the capacity of civil society – and several other components are striking. Component C displays a strong and significant

relationship not only to government capacity but also to the components concerning the capacities of business and indigenous people, women and local communities. If the indicators of component C are improved, there will be a strong correlation to improvements in the indictors covering the capacities of business and indigenous people, women and local communities. In turn, this will significantly contribute to the performance component.

The consideration of the relationships between component D – the capacity of Indigenous Peoples, women and local communities – with the other components revealed an interesting correlation. In addition to displaying a significant relationship with the civil society component, component D also displayed a relationship with the business component. In other words, the capacities of these two different actors are closely linked in terms of improving forest, land and REDD+ governance. In cases where the business community implemented good governance measures, this would have a positive effect on indigenous people, women and local communities, and the reverse is also true. As such, it is important that these parties work together to improve forest, land and REDD+ governance rather than undermining each other, especially from the perspective of business, which continues to perceive local stakeholders as a threat to their enterprise.

The correlations analysis demonstrates that improving the capacities of civil society, communities (Indigenous Peoples, women and local communities) will not interfere negatively with government authorities from a governance perspective – rather the opposite seems to be the case. The government depends on strong capacities of other actors to perform well themselves. In other matters, there are interdependent relationships between efforts to reduce conflict over forest management and the rate of deforestation and forest degradation on the one hand, and improving certainty over forest areas and Indigenous and local people's access to forest management on the other. These factors will be highly influenced by the ability of all concerned parties to reduce the gap between the actors' capacities in the law and policy component, especially in regards to government capacities, which are still very poor according to the indicators of the assessment.

4.3 Scores Based on Principles of Good Governance

While the previous section looked at the index results for forest, land and REDD+ governance based on a set of components, this section examines the results from the perspective of the selected principles of good forest governance. The index values of the six principles of governance are depicted in Diagram 4.5. The principle that received the highest score in the index was the principle of transparency, with a score of 2.60, followed by the principle of participation (2.49) and fairness (2.36). In contrast, the principles that recorded the lowest scores in the index were capacity (2.32) followed by accountability (2.28) and effectiveness (2.02).

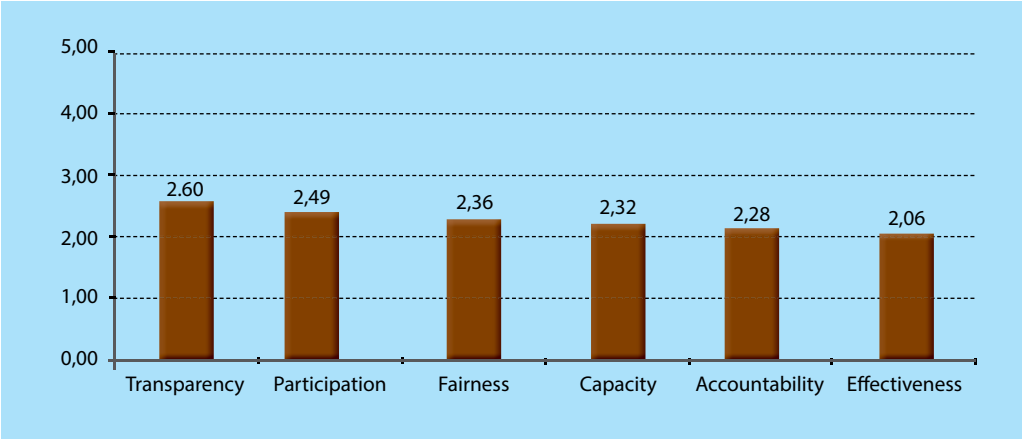


Diagram 4.5
Index of Forest, Land and REDD+ Governance Based on Principles of Good Governance

The relatively high value for the transparency and participation principles is attributable to the advent of a number of laws and policies that insist on transparent and participative decision-making mechanisms in the management of forest and peatlands. One such law is Law No.14/2008 about Disclosure of Public Information and a number of regulations that require public participation in matters of public interest. In addition, institutions of government, civil society, Indigenous and local peoples and business are establishing internal regulations that require them to be more transparent and participative in their respective decision making.

As evident in the scores cited above, the principles of transparency and participation do not seem to have a significant effect on the principles of fairness, capacity, accountability and effectiveness. This in turn, indicates that forest and peatland governance is felt to be less than fair, as evident in the indicators of the justice principle; weak in execution, as evident in the capacity results; still subject to systemic corruption, collusion and nepotism, as evident in the accountability results; and with low levels of performance, as the results for the effectiveness principle indicate. At the district level, a worrying number of scores below two are recorded, especially in relation to the fairness and effectiveness principles. It appears that the commitment of district governments to fight for better forest and peatland governance remains weak despite the fact that policy making is increasingly open and human resources increasingly available.

Diagram 4.6 lists the index scores at the level of the 'center', as well as in the 10 provinces and the two districts within them. Based on the index for forest, land and REDD+ governance based on principles, the highest value was recorded in Central Kalimantan (2.61), compared to the previous index based on components, where the highest score was recorded in West Kalimantan. The second and third highest-scoring provinces in the index based on principles were West Kalimantan (2.56) and Central Sulawesi (2.52). Meanwhile, the provinces with the lowest scores were Aceh, followed by Riau and West Papua.

Diagram 4.6 List of the Index for Forest, Land and REDD+ Governance Level Based on Principles

Location	Index	Participation	Accountability	Transparency	Capacity	Effectiveness	Fairness
Central Government	2.70	3.04	2.61	3.00	2.60	2.29	2.68
Aceh	2.11	2.10	2.09	2.52	2.00	1.83	2.11
West Aceh	1.73	1.46	1.59	2.43	1.87	1.31	1.71
South East Aceh	2.15	2.30	1.96	2.51	2.62	1.55	1.94
Riau	2.19	2.54	2.13	2.15	2.23	2.25	1.85
Palalawan	1.86	1.92	2.06	2.19	2.18	1.26	1.50
Siak	1.90	1.87	2.04	2.22	2.14	1.30	1.85
Jambi	2.30	2.42	2.43	2.25	2.26	2.25	2.22
Tanjabar	1.81	1.59	1.61	2.35	1.88	1.50	1.92
Tanjatim	1.90	1.97	1.97	2.24	2.20	1.44	1.61
South Sumatera	2.24	2.09	2.35	2.18	1.86	2.22	2.76
Musi Banyu Asin	2.09	2.27	2.02	2.43	2.17	1.84	1.83
Musi Rawas	2.48	2.64	2.26	2.58	2.37	2.10	2.92
West Kalimantan	2.56	2.83	2.67	2.89	2.36	2.04	2.61
Kapuas Hulu	2.14	1.83	1.99	2.51	2.33	1.83	2.37
Ketapang	2.24	2.08	2.18	2.45	2.79	1.51	2.42
Central Kalimantan	2.61	2.93	2.48	2.57	2.71	2.35	2.65
Kapuas	2.09	2.00	1.87	2.40	2.39	1.55	2.33
West Kotawaringin	2.06	1.89	1.95	2.28	2.47	1.78	2.02
East Kalimantan	2.35	2.57	2.24	2.36	2.09	2.24	2.59
Berau	2.10	1.83	1.81	2.63	2.12	1.68	2.54
Nunukan	1.67	1.27	1.61	2.29	1.71	1.37	1.76
Central Sulawesi	2.52	2.81	2.52	2.25	2.46	2.51	2.55
Poso	2.05	2.21	1.86	2.40	2.08	1.87	1.87
Sigi Biromaru	2.06	2.35	1.97	2.41	2.21	1.39	2.04
West Papua	2.24	2.33	2.21	2.42	1.87	2.20	2.41
Fakfak	1.50	1.42	1.38	2.26	1.51	1.14	1.29
Manokwari	2.10	2.39	1.97	2.61	2.34	1.37	1.92
Papua	2.38	2.48	2.42	2.29	2.37	2.25	2.44
Sarmi	1.85	1.59	1.68	2.47	1.74	1.68	1.92
Waropen	1.76	1.54	1.40	2.49	1.71	1.46	1.97

As was the case in the index concerned with components, the provinces with the highest scores in the index based on principles were also located in Kalimantan and Sulawesi, and the lowest scores were recorded in provinces in the islands of Sumatra. The score at the central level was also higher than that recorded in the provinces overall, and the provincial index score was higher than that recorded in the districts. Conditions in the districts were weaker in matters of transparency, participation and accountability, but possessed relatively strong and effective capacity in forest and peatland management.

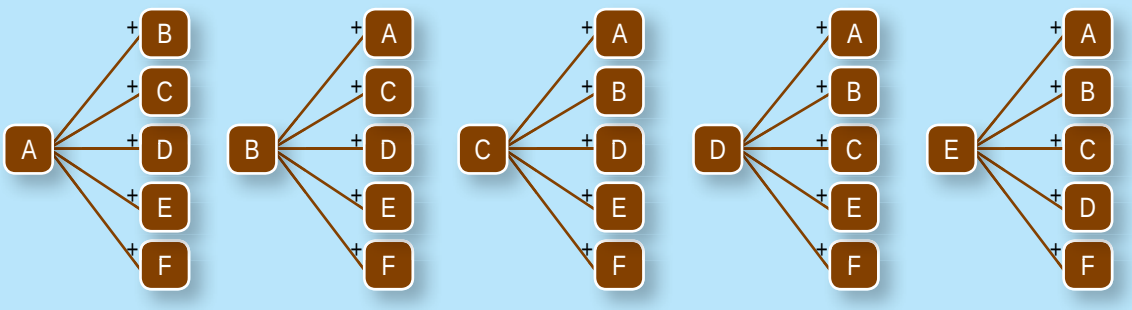
Looking deeper into the index values for the principle of participation, we see that the highest levels were recorded in Central Kalimantan province followed by West Kalimantan and Central Sulawesi, while the lowest scores were found in Papua, Aceh and South Sumatra. The highest scores for the index of accountability were found in West Kalimantan, Central Sulawesi and Central Kalimantan, and the lowest in West Papua, Riau and Aceh. The highest scores in the index of transparency were recorded in West Kalimantan, Central Kalimantan and Aceh, and the lowest in Jambi, South Sumatra and Riau.

Furthermore, the highest scores for the principle of capacity were recoded in Central Kalimantan, Central Sulawesi and Papua, and the lowest in Aceh, South Sumatra and West Papua. Although the province of Central Sulawesi scored relatively low in the other principles, its results for the principle of effectiveness were the highest, followed by Central Kalimantan and Riau. The lowest effectiveness scores were found in West Kalimantan, Papua Barat and Aceh. The provinces of Central and West Kalimantan occupied the highest ranking in the index of the principle of fairness.

The district that recorded the highest aggregate index for all the principles was the district of Musi Rawas, with a score of 2.48, followed by Ketapang and Kapuas. The districts with the lowest overall scores were Fakfak, Nunukan and Waropean.

The correlations or relationships between the principles and projected changes from interventions are depicted in Diagram 4.7. It appears that the principle of participation (A) has a significant and strong relationship to the principles of accountability (B),

Diagram 4.7
The Correlations between the Principles and Projected Changes



Note: Principle A: Participation;Principle B: Accountability; Principle C: Transparancy; Principle D: Capacity; Principle E: Effectiveness; Principle F: Fairness

Improvements in the fairness principle (F) will have a positive effect on all the other principles. This clearly shows that the issue of justice and the indicators in this category are absolutely central to pursuing good forest, land and REDD+ governance.

transparency (C), capacity (D) and effectiveness (E). The participation principle, however, does not appear to have a significant relationship to the principle of fairness (F). The analysis of correlations, nevertheless, indicates that improvement in the indicators of participation will contribute to improvements in those associated with the principles of accountability, transparency, capacity and effectiveness and the reverse is also true.

It is interesting to note that improvements in the indicators associated with the principle of accountability will make a positive contribution to improvements in the indicators of all the other principles, including the fairness principle. It is also evident that improvements in transparency (principle C) will have a positive effect on the other principles with the exception of the principle of effectiveness (E). Meanwhile, improvements in the fairness principle (F) will have a positive effect on all the other principles. This clearly shows that the issue of fairness and the indicators in this category are absolutely central to pursuing good forest, land and REDD+ governance. If there is one key take-away from this section of results, it should be that future actions to improve governance should be focusing on the fairness aspect in order to reinforce forest, land and REDD+ governance across the country.

4.3 Indexes Based on the Components and Across Principles

Having already covered the scores and index values related to the PGA components and principles of good governance, this section will provide greater detail on the issues which influenced the resulting values. By analyzing the data with a view to find explanationsan correlations on the variations in values, a more detailed picture will be presented of the strengths and shortcomings of forest, land and REDD+ governance in Indonesia at present.

4.3.1. Index Component A: Law and Policy Component

The overall index value of the law and policy component in forest, land and REDD+ governance is 2.80. The score is a composite of the scores of the six 'issues' of forest, land and REDD+ governance at the central, provincial and district levels, which were determined on the basis of extensive study and consultation with stakeholders. The breakdown of the index scores of the law and policy component can be seen in Diagram 4.8.

Diagram 4.8 lists the scores of the law and policy component for each of the key issues of forest, land and REDD+ governance: issue of forestry and spatial planning (2.56); issue of regulation of rights (2.73); issue of forest organization (2.09); issue of forest management (2.73); issue of law enforcement and control over legal processes (2.28), and; issue of REDD+ infrastructure (1.53).

Forest and REDD+ Governance Issues	Central Government	Province	District	Average
Issues 1: Spatial and Forest Planning	2.83	2.45	2.39	2.56
Issues 2: Rights to land and forest resources	3.38	2.42	2.38	2.73
Issues 3: Forest Organization	2.88	1.78	1.62	2.09
Issues 4: Forest Management	3.00	2.65	2.55	2.73
Issues 5: Control and Enforcement	2.54	2.21	2.10	2.28
Issues 6: Infrastructure of REDD+	2.17	1.43	NA	1.53

Diagram 4.8
the Breakdown of the Index of the Law and Policy Component

As depicted in the matrix, the overall result for the law and policy component of forest, land and REDD+ governance is relatively low. The index of the regulation of rights in the law and policy component is in the category 'average', but most of the other scores at all the different levels are in the lower category. Diagram 4.9 gives a graphic comparison of the index values of the center compared to those of the provinces. The score for the central level is 2.80, while the province with the highest index score in the law and policy component is Aceh with a score of 2.47, followed by Papua (2.32) and Central Kalimantan (2.29).

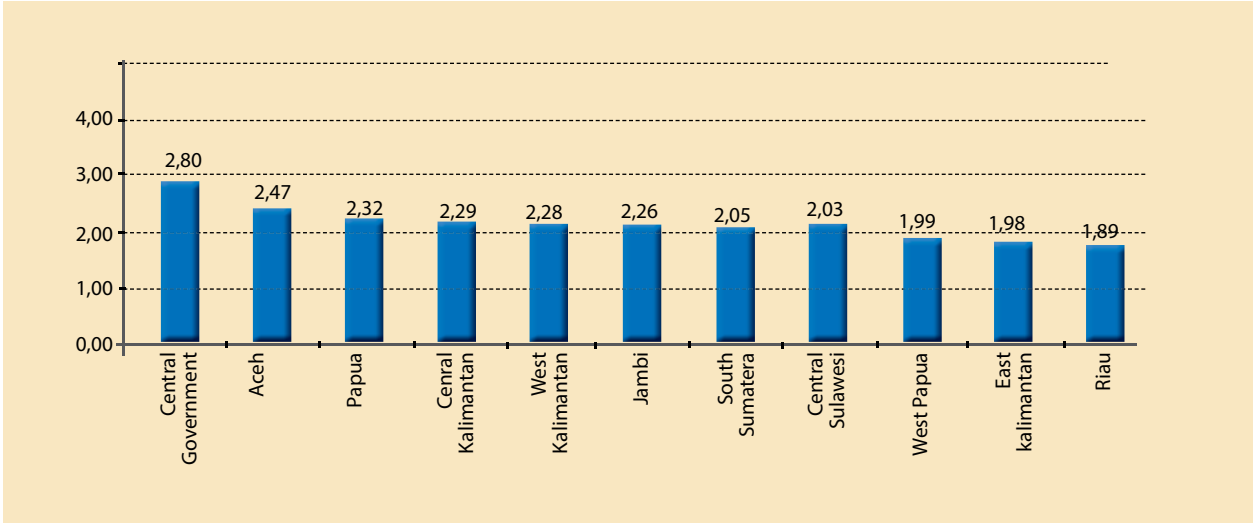


Diagram 4.9
The Index of the Law and Policy Component at Central and Province Level

The primary reason why these provinces appear at the top of this index is that they possess regulations endorsing the rights of Indigenous Peoples and local communities as well as the rights of business interests in managing forests and peatland resources. As an example, the province of Papua has issued a Provincial Regulation on the Management of Forest Resources that is bolstering the rights of the Indigenous population. This province has also produced a number of regulations that support transparency in the

development of REDD+ policies and institutions, which also brought higher results in the indicators related to REDD+ infrastructure.

Meanwhile, the provinces that scored the lowest results in the index were Riau with a score of just 1.89, followed by Central Kalimantan with a score of 1.98 and West Papua with a score of 1.99. These results show that more initiatives have to be taken in each of these areas and they highlight the limited authority in legal frameworks to regulate key issues of forest, land and REDD+ governance.

Diagram 4.10 presents the index values of the law and policy component in forest, land and REDD+ governance at the level of the districts. The three districts with the highest scores were Aceh Tenggara (2.42), followed by Sarmi (2.25) and Waropean (2.25). This result shows that provinces that register higher scores in the law and policy component are home to districts where similarly high scores are noted. The districts registering the lowest scores in this component were Palalawan, Siak, Fakfak and Manokwiri, all with a score of just 1.90. The same relationship between high-scoring provinces and their districts is also noted in provinces and districts with low scores.

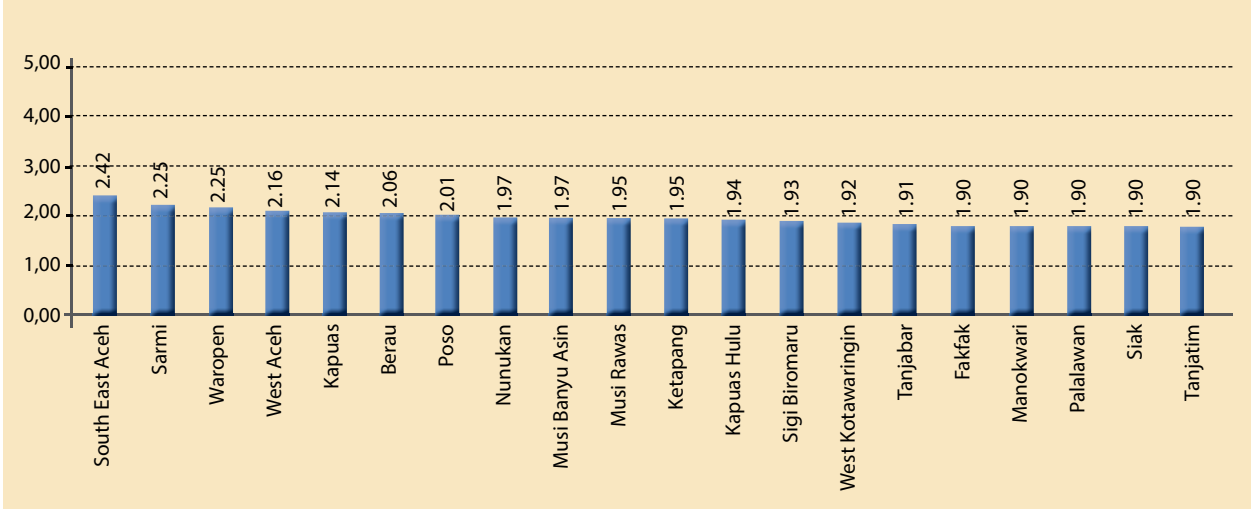


Diagram 4.10 The Index of the Law and Policy Component at District Level

Diagram 4.11 indicates that when the indicators of the law and policy component are tallied according to the principles of forest, land and REDD+ governance, the principle of transparency has the highest with a score of 3.06. The overall score is lifted by the fact that the score at the central level was relatively high at 3.63, while the scores at lower levels of government were 2.80 in the provinces and 2.75 in the districts. The score, nevertheless, indicates that matters of transparency in forest, land and REDD+ governance are being handled more seriously, relatively speaking, than other principles noted in the table. However, thisshould not undermine the fact that important aspects of transparency in forest, land and REDD+ governance at all levels still need to be strengthened and perfected.

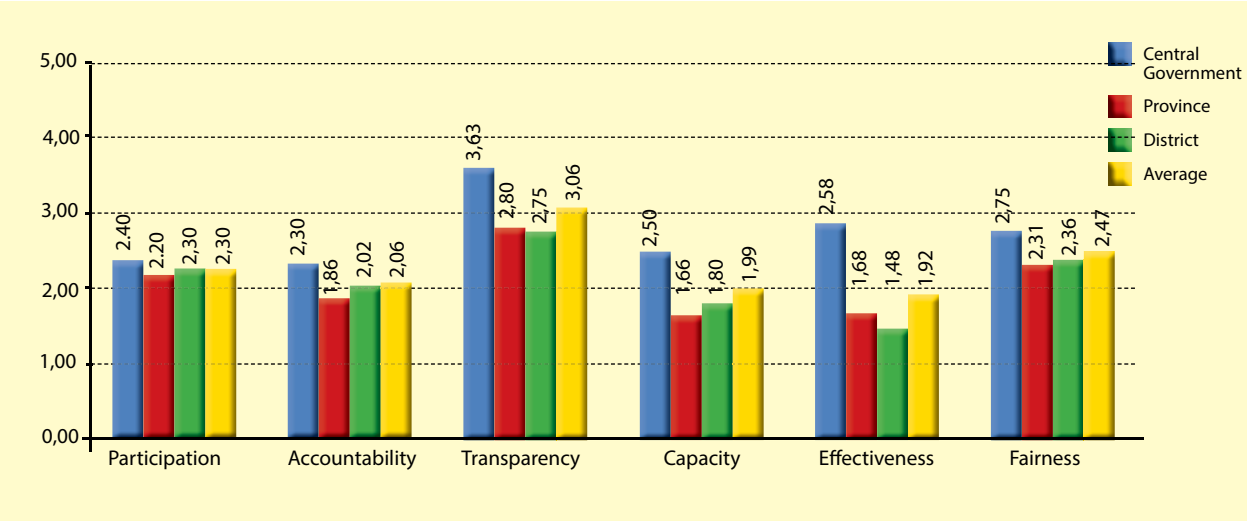


Diagram 4.11
The Index of the Law and Policy Component Based on Principles

The principle of justice ranks second in terms of the overall index score in the law and policy component. The overall value given to the justice principle is 2.47, followed by a score of 2.30 for the participation principle, a score of 2.06 for the accountability principle, a score of 1.99 for the capacity principle, and the lowest score of 1.92 for the effectiveness principle. This result displays a similar tendency to the law and policy index described above: the score at the central level is consistently better than at the provincial level, and the score in the provinces is higher than that in the districts. This serves as a timely reminder that the regulations and policies introduced in relation to forest, land and REDD+ governance have yet to reach and engage all key actors involved in direct forestry management, and that capacities need to be developed to ensure effective implementation.

The following sections contain an analysis of the strengths and shortcomings of the law and policy component in relation to the six issues of forest, land and REDD+ governance:

1) The Issue of Forestry and Spatial Planning

The assessments results of the law and policy component in terms of its forestry and spatial planning aspects reveal a higher score in one province compared to the central level. The score at the central level for forestry and spatial planning was 2.83, but this was surpassed by Jambi province, which registered a score of 3.00. The second highest score for a province was registered in Papua (2.75), followed by Aceh, West Kalimantan and Central Kalimantan, which scored 2.50 each. (See Diagram 4.12)

Diagram 4.12 the Index of the Forest and Spatial Planning in the Law and Policy Component at Central and Province Level.

when the indicators of the law and policy component are tallied according to the principles of forest, land and REDD+ governance, the principle of transparency has the highest with a score of 3.06.

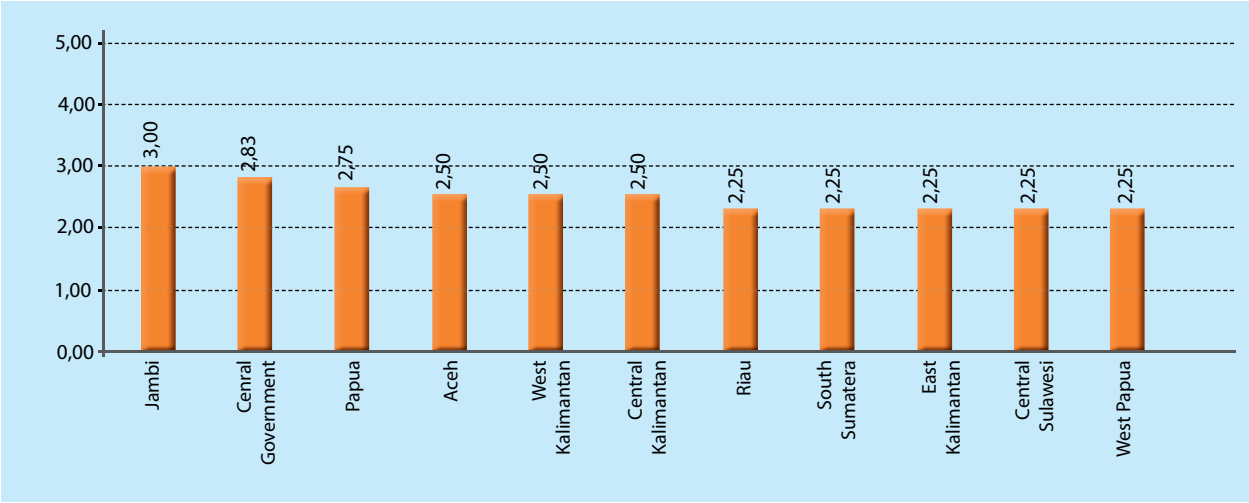


Diagram 4.12 The Index of the Forest and Spatial Planning in the Law and Policy Component at Central and Province Level

At the district level, the score of the forestry and spatial planning aspects of the law and policy component was also higher in one district than at the central level. Aceh Tenggara district received a score of 3.00. The second highest score was registered in Musi Banyu Asin (2.75), followed by West Aceh, Tanjung Jabung Barat, Musi Rawas, Kapuas, Sarmi and Waropean, which each received a score of 2.50. The remaining 12 districts received a low score of 2.25.

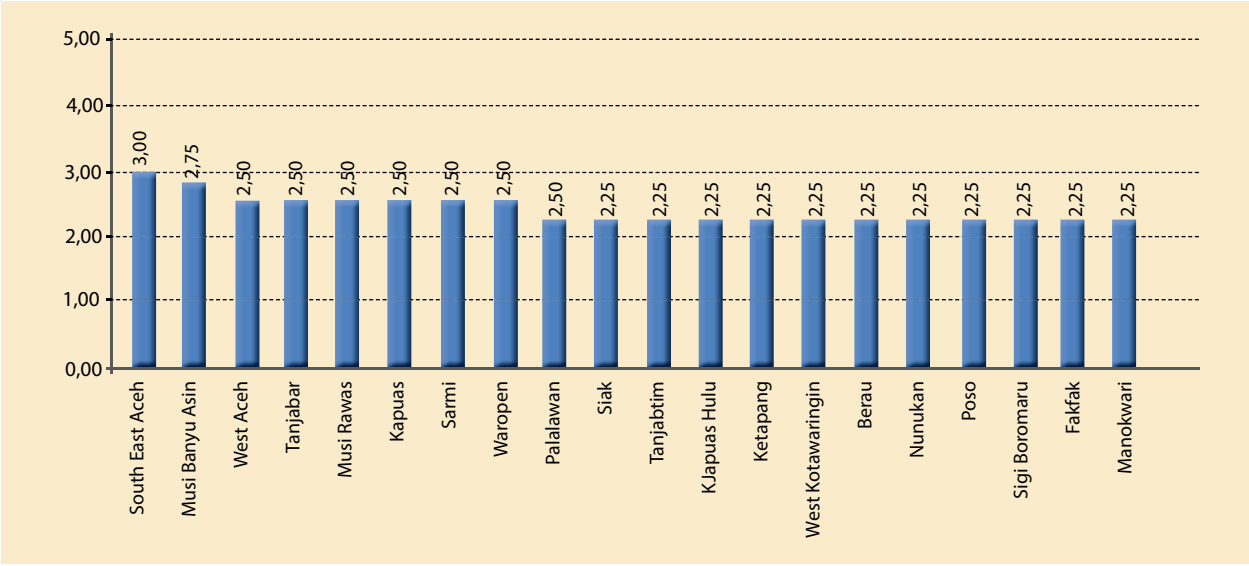


Diagram 4.13 The Index of the Forest and Spatial Planning in the Law and Policy Component at District Level

With a qualitative approach to the analysis, it must be noted that law and policy issues at the central level have been developed into measures that fit well with the indicators of the assessment, such as Law No. 32/2009 about the Management and Protection of the Environment and the instruments developed under the Strategic Environmental Assessment (*Kajian Lingkungan Hidup Strategis* - KLHS) initiative concerning the formulation of spatial plans. In terms of forestry planning, at present the Ministry of

Forestry has been required to conduct an "inventory' of forests before putting together its forestry plan. Existing regulations also cover the provision of information about preparation to formulate spatial plans, including what means of communication to be used.

It must be noted that law and policy issues at the central level have been developed into measures that fit well with the indicators of the assessment

Forestry area establishment processes are also regulated under a number of central government regulations, such as Government Regulation No.44/2004, Forestry Ministry Regulation No.50/2011 and Forestry Ministry Regulation No.47/2010. Government Regulation No.44/2004 joint Forestry Ministry Regulation No.50/2011 state, among other points, that the government has an obligation to announce to the public and all those living in nearby areas any measure to designate an area and demarcate temporary boundaries. Although this is determined "on paper", there are no mechanisms in place to determine if the people concerned are aware of the announcement. The obligation to provide public information is also regulated in Law NO.14/2008 on the Disclosure of Public Information, in the Public Information Comission Regulation No.1/2010 and in the Forestry Ministry Regulation No.7/2011, which may be used as a general guide to the information that should be accessible.

Although there are many positive developments, significant shortcomings remain. For example, there are no regulations that stipulate how responses to the forestry planning process can be made, in addition to the lack of a regulation requiring authorities to provide an explanation of their final decisions. This assessment did not identify any operational regulations to increase the capacities of local people in forestry and spatial planning matters, nor any regulations on conflict resolution mechanisms specific to forestry and spatial planning.

At the provincial and district levels, several regions have produced regulations and policies to serve as the foundation for formulating forestry and spatial plans in a participatory and transparent manner. Papua province, for example, has produced Special Autonomy Region Regulation No.21/2008 on Sustainable Forestry Management and Indigenous Law Community's Management and Protection of Natural Resources. The province of Aceh has also issued Qanun (Provincial Regulation) No.14/2002 on Aceh Forestry Management and Gubernatorial Regulation No.3/2012 on Guidelines for Aceh Government Agency Management. The majority of provinces and districts, however, lack policies and regulations to govern forestry and spatial planning processes in a transparent, participative and just manner.

2) The Issue of Regulation of Rights

The results of the assessment of the law and policy component, with reference to its regulation of rights issue, reveal that the highest score was obtained at the central level (3.38) (See Diagram 4.14). Three provinces also received relatively high scores: Central Kalimantan (3.00), Aceh (2.94) and Papua (2.77). While West Kalimantan and Central Sulawesi received relatively high scores on certain indicators, the average score was brought down by others, and they each received a total score of 2.58.

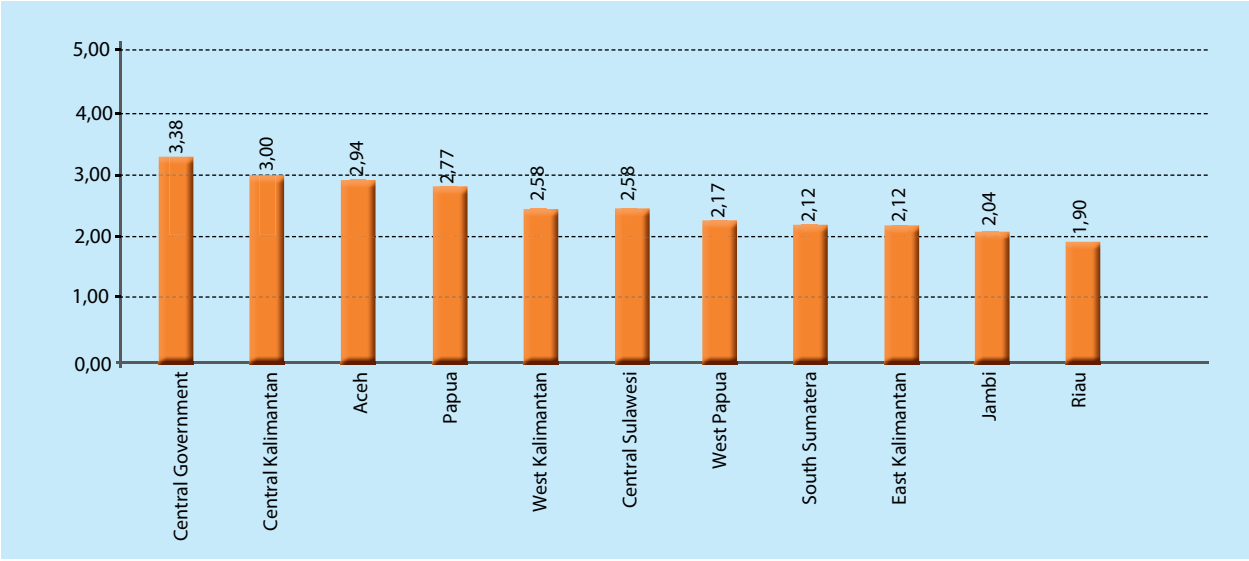


Diagram 4.14 The Results of the Assessment of the Law and Policy Component, with Reference to its Regulation of Rights Issue at Central and Province Level

The assessment of the law and policy component, with reference to its regulation of rights issue, at the district level found that four districts received relatively high scores: Aceh Tenggara (2.94), Kapuas (2.83) and Sarmi and Waropean, which both received a score of 2.77. (See Diagram 4.15) The three lowest scores were recorded for East Tanjung Jabung district (2.12), Musi Banyu Asin (2.04) and West Tanjung Jabung (1.96).

There are several points to consider while analyzing the strengths and shortcomings of the law and policy component with regards to the regulation of rights issue. First, the Government of Indonesia recognizes the presence of Indigenous Peoples and local people in the Fourth Amendment to the 1945 Constitution, Law No.5/1960 (the Agrarian law), Law No.41/1999 (Forestry law), Law No.39/2009 (Environmental Protection and Management law) in addition to several regulations issued by the Forestry Ministry on village forests (*hutan desa*), community forests (*hutan kemasyarakatan*) and people's forests (*hutan rakyat*). The government has also issued several regulations concerning the handling of land violations, as well as the issue of participatory regulation through Minister of Forestry Regulation No.16/2011, and capacity development for local people obtaining community plantation forest permits (*hutan tanaman rakyat* - HTR) and village forest permits.

While these legal instruments may be in place, they do not cover certain aspects of regulating rights. There is a regulation that opens the way for local people to obtain permits to access and manage forests but it is complicated and permits are difficult to obtain. Businesses also face difficulties obtaining permits to manage forest resources. Existing regulations also do not regulate the mechanisms pertaining to the management rights of Indigenous Peoples. There is a regulation on increasing their capacity but it does not describe how to increase the capacity of people who have been managing the forests throughout history.

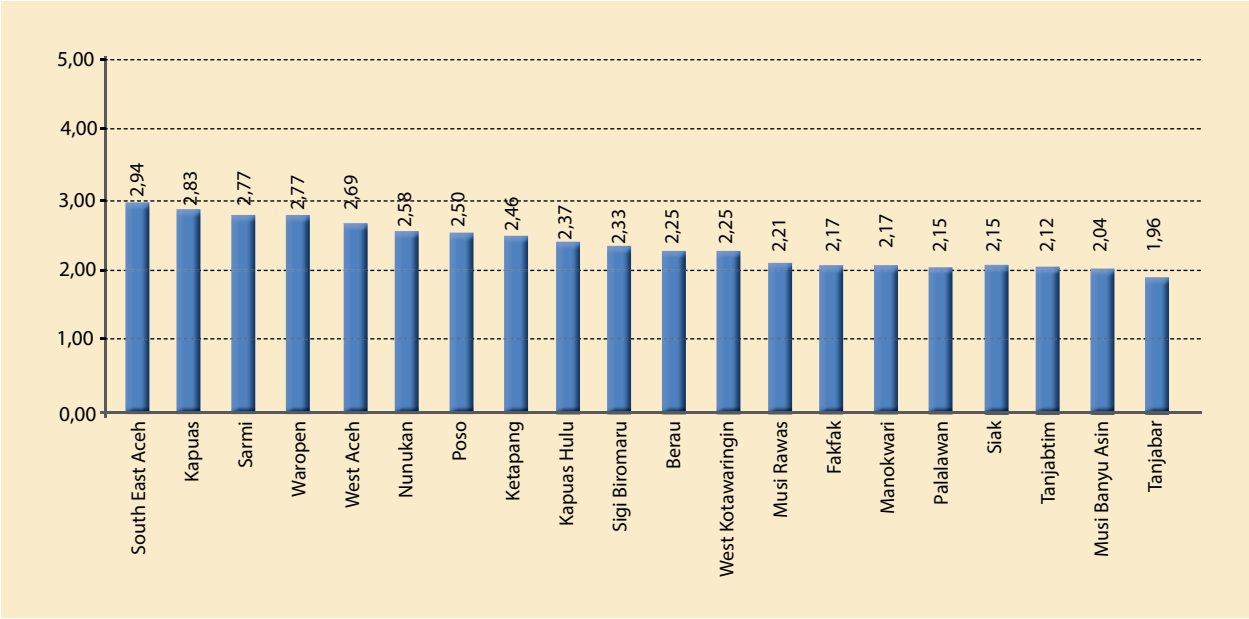


Diagram 4.15
Results of the Assessment of the Law and Policy Component, with Reference to its Regulation of Rights Issue at District Level

At the provincial level, there are instances of legal instruments being introduced to govern the recognition and protection of the rights of Indigenous Peoples, local communities and businesses: Aceh province already has its own forestry regulation; Papua has the Special Autonomous Region Regulation on forest and traditional rights protection cited previously, and Central Kalimantan has regulations governing the utilization of forest products and forest areas, traditional institutions of the indigenous Dayak people, traditional lands, and customary rights over traditional lands. The majority of provinces and districts, however, still need regulations covering the recognition and protection of the rights of indigenous people, women and local communities in managing forests and land.

3) The Issue of Forest Organization

The issue of forest organization refers to the capacities of and relationships between the individuals, groups and institutions involved in the implementation of forest and peatland governance. When considered within the law and policy component of the assessment, it was again found that the score at the central level was higher than that in the provinces and districts (See Diagram 4.16 and 4.17). The score at the central level was 2.88, substantially higher than the results obtained in the provinces, where the highest scores were obtained in Jambi and Central Kalimantan, which received a score of 2.25. Five provinces received the lowest score of 1.50, including East Kalimantan, Central Sulawesi and Papua, which generally received higher scores in other components and principles of forest governance.

There is a regulation that opens the way for local people to obtain permits to access and manage forests but it is complicated and permits are difficult to obtain.

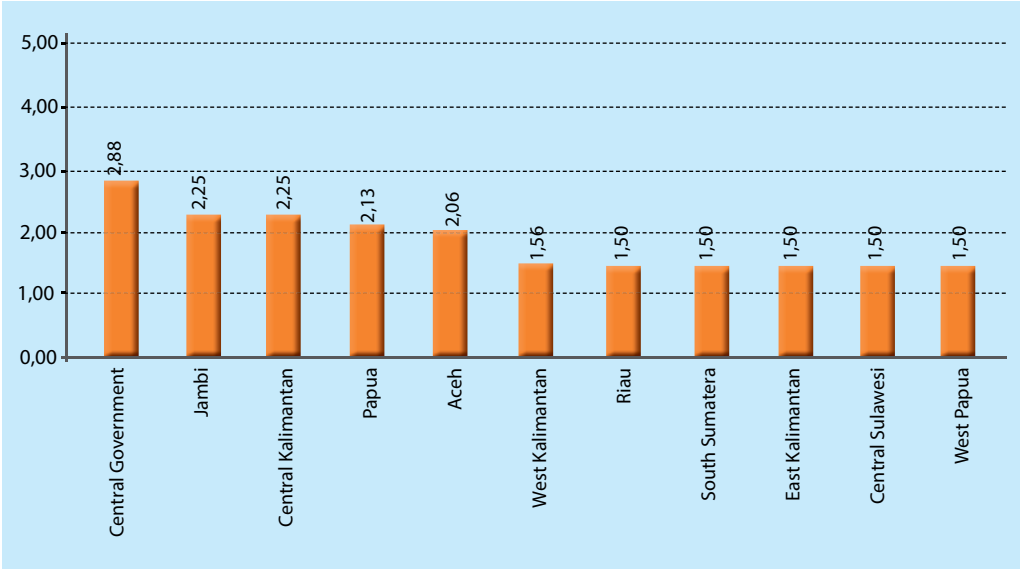
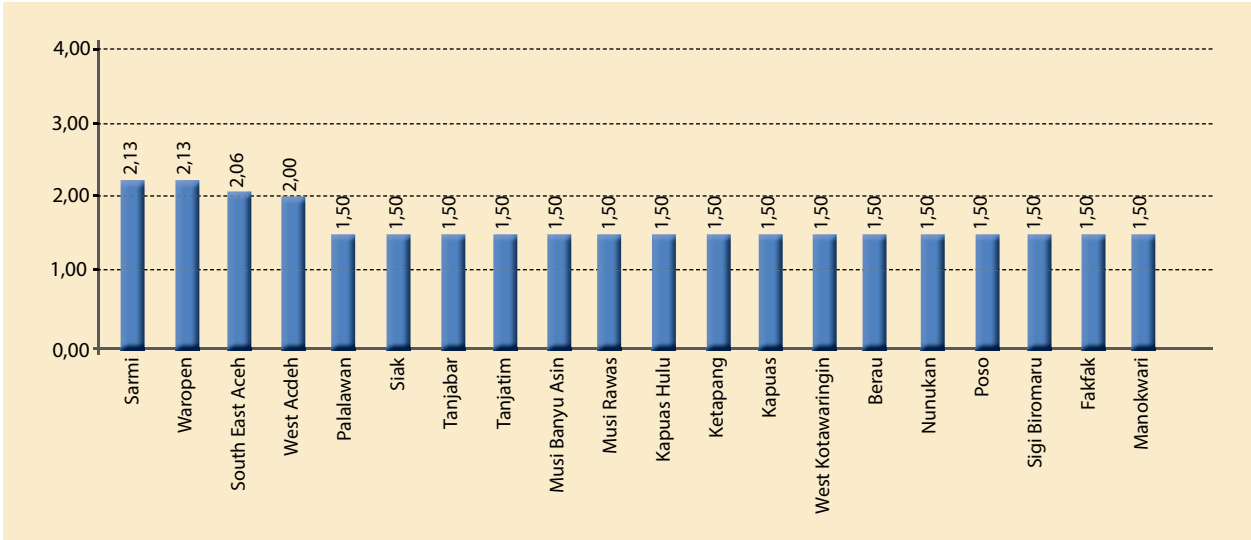


Diagram 4.16 Results of the Assessment of the Law and Policy Component, with Reference to its Forest Organization Issue at Central and Province Level

The results of the assessment of the law and policy component from the perspective of forest organization in the districts shows that only four districts were distinguished with relatively high scores, while the remaining 16 districts received a lower score of 1.50. The districts that received the higher scores were: Sarmi, Waropen, Aceh Tenggara and West Aceh.

Diagram 4.17 Results of the Assessment of the Law and Policy Component, with Reference to its Forest Organization Issue at District Level

The issue of forest organization from the beginning of this assessment has been linked to notions of accountability and transparency. Several laws and regulations have addressed this, such as: Minister of Forestry Regulation No.7/2011 and Law No.32/2004, which govern, among others, performance-based budgeting and the decentralization of duties and authority. The Ministry of Law and Human Rights has also addressed problems of the harmonization of policy and law. The promotion of civil servants must also be



managed under strict regulations, as outlined in Presidential Regulation No.5/2004, and each civil servant must adhere to an 'integrity pact', as outlined in Regulation No.49/2011 of the Ministry for the Utilization of State Apparatus and Bureaucratic Reform.

One of the main shortcomings of these laws is due to the fact that they do not regulate accountability in peatland management outside recognized forest areas to a great extent, and the decentralization of authority has proceeded without any regulation guiding the application of transparency and participation in the relevant mechanisms. Promotion of civil servants has been covered in law, but promotion is not based on any independent or third-party assessment, with high risks of corruption in the form of nepotism among others. There is also no system to examine the candidate's wealth through the Centre for Financial Transaction Reporting and Analysis (*Pusat Pelaporan dan Analisis Transaksi Keuangan* – PPATK), or specific directives regarding the verification of the state official's wealth report (*Laporan Harta Kekayaan Penyelenggara Negara* - LHKPN) in conjunction with the Corruption Eradication Commission (*Komisi Pemberantasan Korupsi* – KPK). Mechanisms for submitting complaints are regulated, but there are still problems concerning the transparency and the protection of the complainants.

They do not regulate accountability in peatland management outside recognized forest areas to a great extent, and the decentralization of authority has proceeded without any regulation guiding the application of transparency and participation in the relevant mechanisms.

At the provincial and districts levels it is very rare indeed to find any sort of regulation governing accountability in forest and peatland management institutions. The same was found in relation to indicators concerned with the integrity of civil servants undergoing promotion in the regions. These were the primary reasons why the majority of provinces and districts received very low scores for the indicators developed for this assessment. It is not surprising if we find that the regulations and personnel selected to implement them are somewhat lacking in vision and strong leadership, with regards to credibility and the disposition to favour truly sustainable forest management. Many seem to be still concerned with only short-term financial gain.

4) The Issue of Forest Management

The issue of forest management was examined within the law and policy component and several interesting discoveries were made. Two provinces obtained higher scores than at the central level. West Kalimantan scored 3.13 and Aceh 3.08, while at the central level the score was recorded at 3.00. (See Diagram 4.18)

When the issue of transparent, effective and just forest management was examined within the law and policy component at the district level, (see Diagram 4.19) three districts received relatively high scores - Aceh Tenggara, Sarmi, and Waropean – while the remaining 17 districts received a score of 2.50.

There are a number of legal and policy instruments in place that deal with transparent, effective and just forest management. For example, the issue of transparency is addressed in Law No.14/2008, Public Information Commission Regulation No.1/2010, and Minister

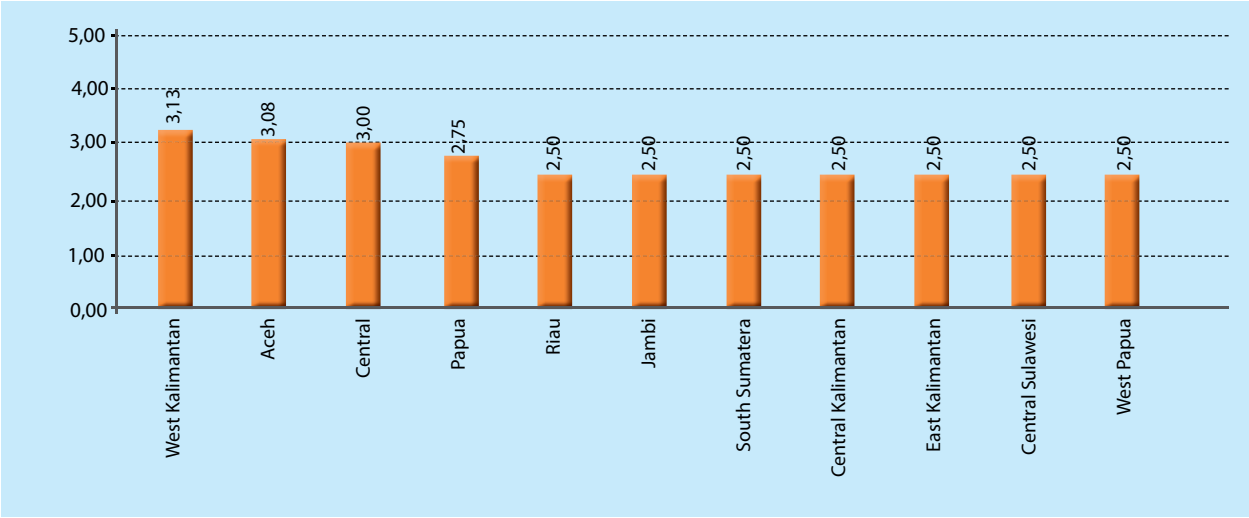


Diagram 4.18 the Results of the Assessment of the Law and Policy Component, with Reference to its Forest Management Issue at Central and Province Level

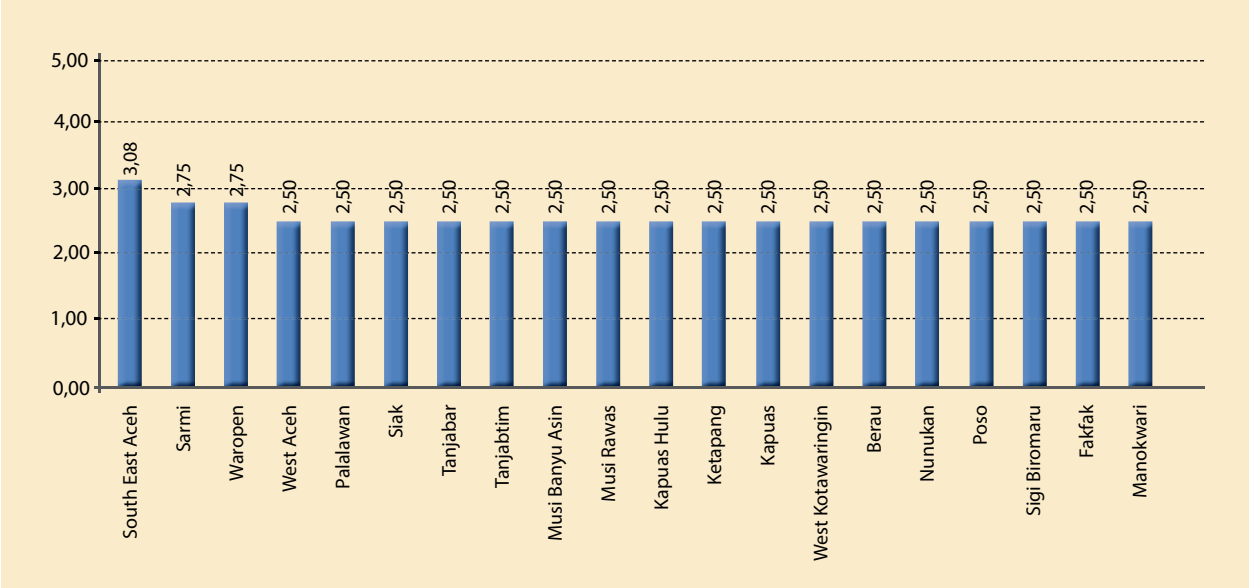


Diagram 4.19 Results of the Assessment of the Law and Policy Component, with Reference to its Forest Management Issue at District Level

of Forestry Regulation No.7/2011. These laws, however, have a number of very important 'loop holes', such as regulations concerning access to tender documents after the closure of the tender process, the recommendations from the provincial governors and district heads, and the various payments made by businesses to fulfill their obligations to the state. Access to documents such as these is only provided in order to support the resolution of disputes. Existing regulations also do not cover matters such as transparency guidelines on the awarding of licenses in local areas. There is also the need for a regulation concerning efficiency in the awarding of licenses and the mechanisms employed to

gauge efficiency in terms of time and cost without sidelining important issues such as accountability and stakeholder participation.

At the provincial and district levels there are not many 'breakthrough' pieces of legislation or regulations that govern transparent, effective and just forest management and the licensing and recommendation mechanisms that should be in place to support it. This is the reason why the examination of the law and policy component in terms of forest management yielded low scores at the majority of locations. Nevertheless, provinces such as Aceh have taken significant measures to address these issues with the issuance of Provincial Regulation No.15/2002 on Forestry Licensing, Gubernatorial Regulation No.3/2012 on Guidelines for Documentation and Information Management, as well as establishing an Information Commission.

At the provincial and district levels there are not many 'breakthrough' pieces of legislation or regulations that govern transparent, effective and just forest management and the licensing and recommendation mechanisms that should be in place to support it.

5) The Issue of Law Enforcement and Control over Legal Process

The assessment of the law and policy component from the perspective of its law enforcement and control aspects revealed that the score obtained at the central level (2.54) was still higher than any score received in the provinces, although three provinces – Aceh, Jambi and South Sumatra - were not far behind with a score of 2.42. (See Diagram 4.20)

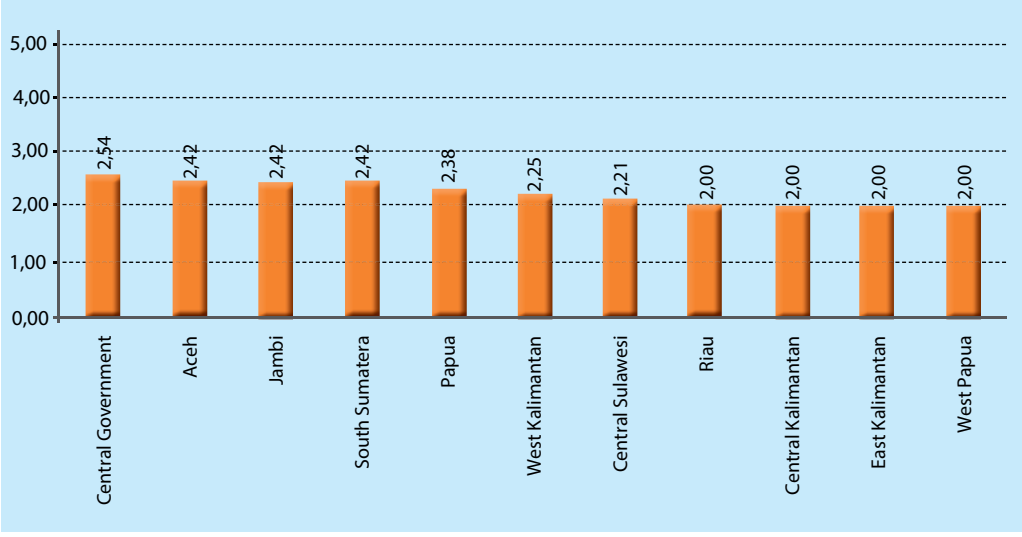


Diagram 4.20 Results of the Assessment of the Law and Policy Component, with Reference to its Law Enforcement and Control over Legal Process at Central and Province Level

Diagram 4.21 depicts the results obtained in the assessment of the law and policy component in terms of its law enforcement and control aspects at the district level. Four districts with higher scores are clustered together: Aceh Tenggara achieved a score of 2.42, and three districts – Berau, Sarmi and Waropean – each received a score of 2.38. A total of 14 of the remaining districts scored only 2.00.

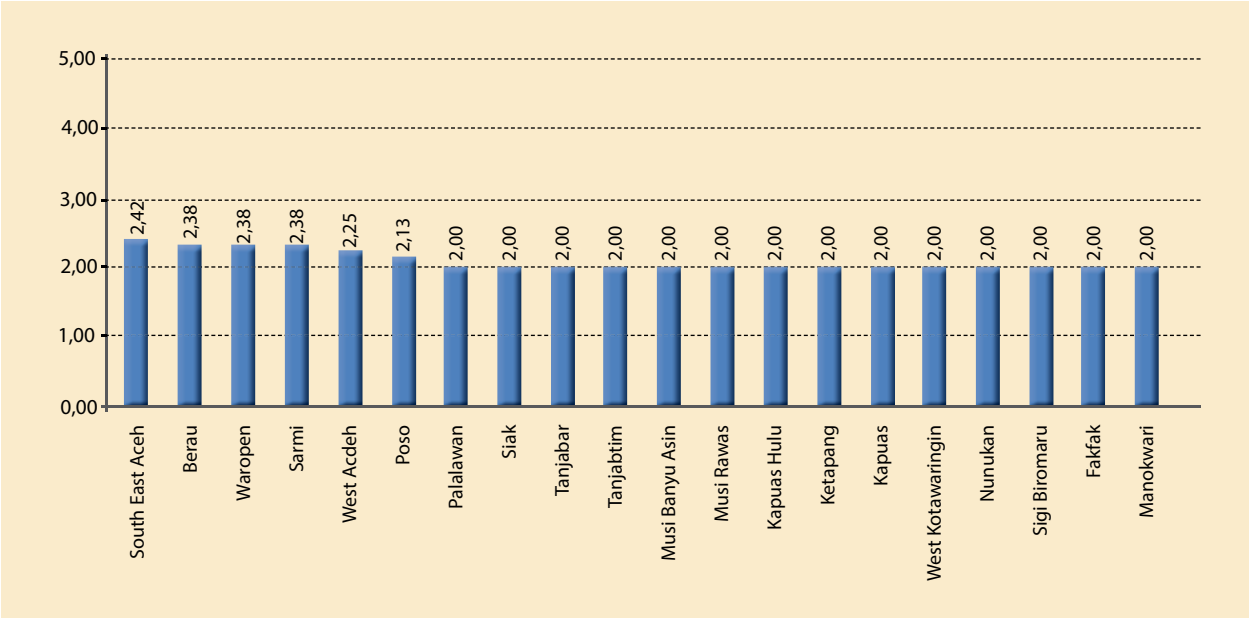


Diagram 4.21 Results of the Assessment of the Law and Policy Component, with Reference to its Law Enforcement and Control over Legal Process at District Level

A number of existing regulations deal with law enforcement and control of legal processes and problems of transparency and accountability. The most relevant are: Law No.14/2008, Head of National Police Regulation No.1/2011 and Minister of Forestry Regulation No.7/2011. In terms of transparency in supervision, regulations such as that on public information services within the Attorney General's Office (No. 32/A/ JA/08/2010) which establishes guidelines for supervision and complaints. General aspects of complaints mechanisms are also regulated in Law No.25/2009 on Public Services.

There are no regulations about the obligation to provide information to the public making the complaints, in addition to the fact that there are no mechanisms for the provision of information that can be accessed at the Ministry of Forestry. It is very rare to come across any regulations which mention improving the capacities of local people in supervisory roles and, if there are, they are very 'normative'.

A number of important shortcomings at the central level are evident. As an example, the existing complaints mechanism regulation makes no mention of information on supervision/complaints from the public. There are no regulations about the obligation to provide information to the public making the complaints, in addition to the fact that there are no mechanisms for the provision of information that can be accessed at the Ministry of Forestry. It is very rare to come across any regulations which mention improving the capacities of local people in supervisory roles and, if there are, they are very 'normative'. Another important shortcoming is the lack of regulatory mechanisms to follow up indications of corruption in forest and peatland management. Shortcomings such as these are also found at the provincial and district levels.

6) The Issue of REDD+ Infrastructure

The law and policy component seen in terms of its REDD+ Infrastructure development aspects produced low scores at all levels. The highest score of just 2.17 was obtained at the central level (See Diagram 4.22), and the scores of the 10 provinces all fell within the range of 1.83 - 1.17. The assessment was only conducted at these levels. The overall score for the REDD+ infrastructure issue of the law and policy component was in fact the lowest recorded in the assessment.

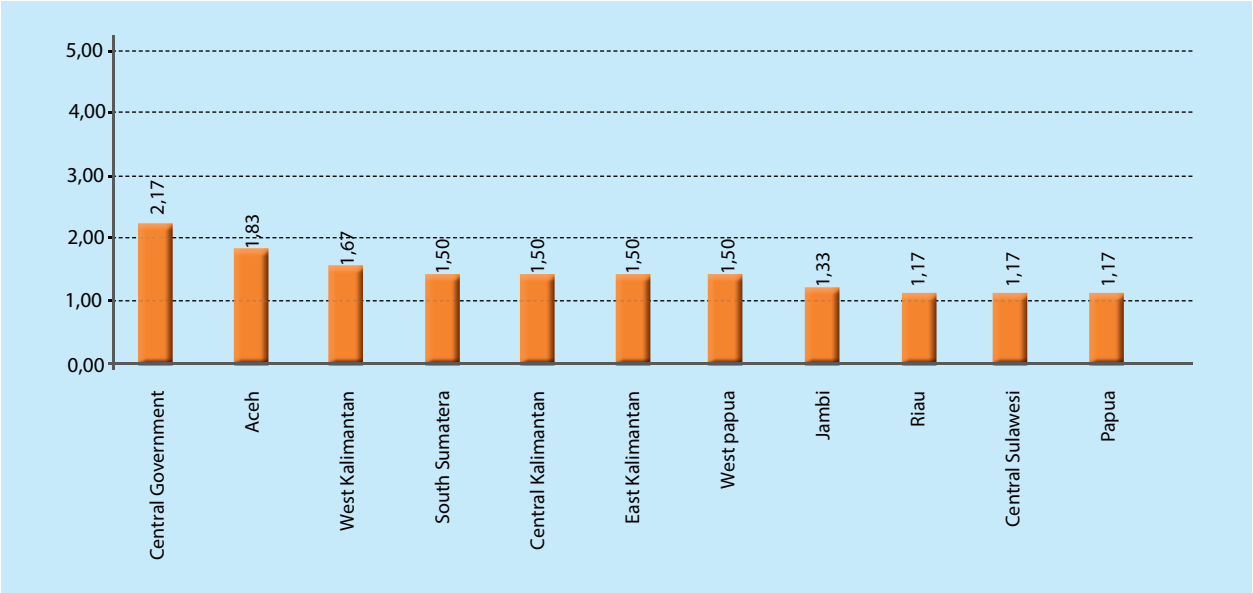


Diagram 4.22 Results of the Assessment of the Law and Policy Component, with Reference to its REDD+ Infrastructure at Central and Province Level

A number of regulations are in place that may be used as the foundation for ensuring that the development of REDD+ infrastructure is transparent, participatory and just. For example, Law No.14/2008 deals with the disclosure of public information, Law No.12/2012 concerns stakeholder involvement in producing regulations and Ministry of Forestry Regulation No.2/2011 deals with formulation, implementation and performance evaluation. Together with Law No.25/2009 and several regulations of the Ministry of Forestry and other ministries, there is a foundation to use in ensuring that REDD+ infrastructure development proceeds in accordance with the principles of good governance.

Important aspects that have to be strengthened in this component relating the development of REDD+ infrastructure are the lack of appropriate operational regulations and guidelines that should be formulated by the REDD+ Task Force. For example, there are currently no regulations concerning transparency processes and stakeholder participation in developing REDD+-related policies and institutions. The same is true for complaints mechanisms, the development of capacity among stakeholders and mechanisms to follow up 'deviations' or corrupt practices. Similar conditions are found

at the provincial level; where the processes of formulating and developing policies and institutions did not start with the production of regulations to ensure that the processes will progress in a transparent, participative and just way.

4.3.2 Index Component B: Capacity of Government Actors

The overall score of the capacity component for government actors in this forest, land and REDD+ governance assessment is 2.30. This value represents a composite of the values of the indexes listed in Diagram 4.23 at the central level as well as the average value of the 10 provinces assessed and the 20 districts.

Diagram 4.23 Breakdown of the Index Scores of the Capacity Component for Government Actors

Forest and REDD+ Governance Issues	Central Government	Province	District	Average
Issues 1: Spatial and Forest Planning	2.83	2.22	2.11	2.38
Issues 2: Rights to Land and Forest Resources	3.38	2.38	2.13	2.63
Issues 3: Forest Organization	2.88	2.24	1.50	2.20
Issues 4: Forest Management	3.00	2.70	2.32	2.67
Issues 5: Control and Enforcement	2.54	2.57	2.52	2.54
Issues 6: Infrastructure of REDD+	2.17	1.71	NA	1.94

Diagram 4.23 lists the scores for all of the six issues as they apply to the capacity of government officials at the various levels: 1) issue of forestry and spatial planning, with a score of 2.38; 2) issue of regulation of rights, with a score of 2.63; 3) issue of forest organization, with a score of 2.20; 4) issue of forest management, with a score of 2.67; 5) issue of law enforcement and control over legal processes, with a score of 2.54, and; 6) issue of REDD+ infrastructure, with a score of only 1.94.

In general terms, the scores obtained in the assessment of the capacity of government personnel at the central level tended to be higher than the scores recorded at the provincial level, and the values obtained at the provincial level tended to be higher than those in the districts. In other words, the closer personnel are to the source of power and resources in matters of forest, land and REDD+ governance, the more able they are to carry out their tasks and duties. That said, however, it should be noted that most of the index values can be described as 'insufficient'.

The overall score of the capacity component for government actors in this forest, land and REDD+ governance assessment is 2.30.

The assessment highlights that the strongest capacities of government personnel are those dealing with the regulation of rights, especially the rights of the state and management licensing for businesses and local people. Other identified strengths are found

related to the issues of forest management, legal control and planning. These strengths could provide impetus to improve other issues with relatively low results, such as forest organization and REDD+ infrastructure. Efforts to improve this component will also be noticeable in the other components concerned with capacity.

The assessment results of this government capacity component in the provinces are depicted in Diagram 4.24. The three provinces that obtained the highest results were Central Sulawesi (2.66), South Sumatra (2.64) and Central Kalimantan (2.47). The three lowest-scoring provinces were Aceh (1.82), followed by Papua (2.12) and Riau (2.11).

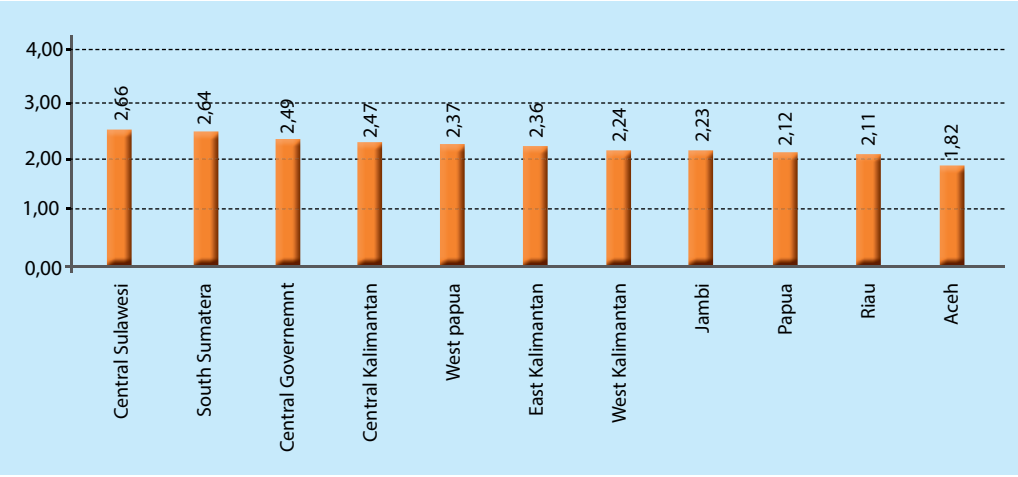


Diagram 4.24 the Index Scores of the Capacity Component for Government Actors at Central and Province Level

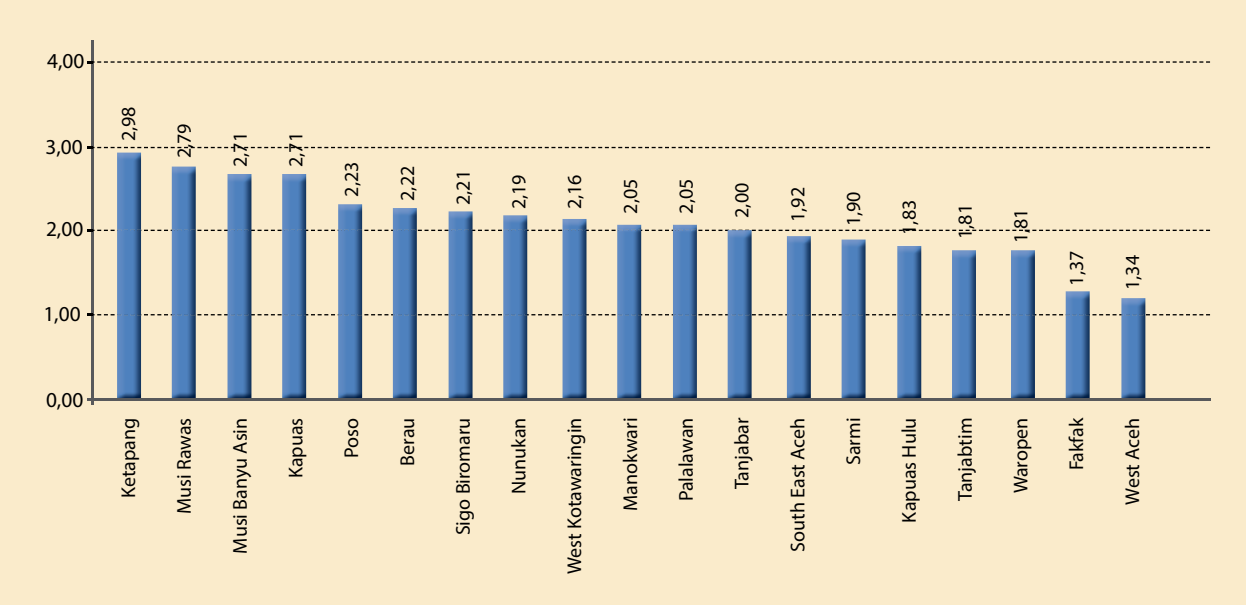


Diagram 4.25 The Index Scores of the Capacity Component for Government Actors at District Level

The highest average score was found in the fairness principle (2.53), followed by the average score for capacity (2.39), effectiveness (2.31), accountability (2.09) and participation (1.90).

Diagram 4.25 depicts the results obtained at the district level, where the highest score was recorded in Ketapang district (2.98), followed by Musi Rawas, Kapuas and Musi Banyu Asin, which each received a score of 2.71. The three districts that recorded the lowest scores were West Aceh (1.34), followed by Waropean and Tanjatim, which both scored 1.81.

The index at the district level reveals two different patterns. The first has been found in other indexes, namely, that provinces where higher scores were recorded also tend to contain the districts that receive higher scores, and the same applies to provinces at the lower end of the scale being home to districts with lower scores. The second, and somewhat conflicting, pattern emerges from the incidence of districts that received index scores higher than that scored at their provincial level. It goes to show that the capacities of government personnel are not always better at the provincial level compared to the districts.

The indicators of the capacity component with reference to government personnel are also analyzed according to the principles of good forest, land and REDD+ governance. The results are depicted in Diagram 4.26 and reveal that the highest average score was found in the fairness principle (2.53), followed by the average score for capacity (2.39), effectiveness (2.31), accountability (2.09) and participation (1.90).

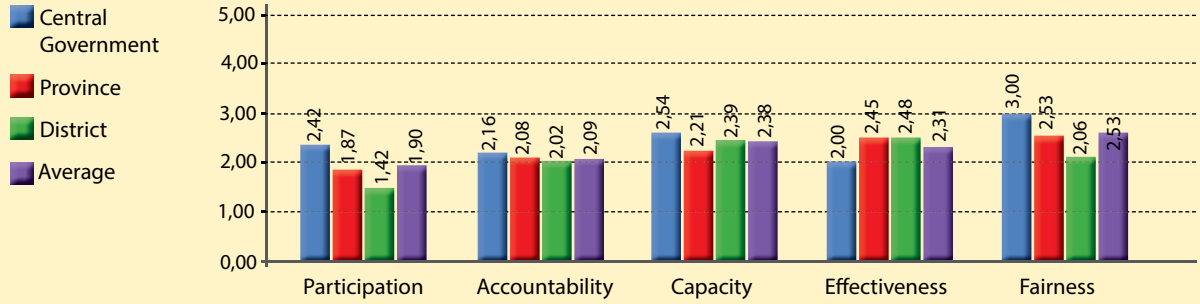


Diagram 4.26 Index Scores of the Capacity Component for Government Actors Based on Principles

Diagram 4.26 also shows the different scores of the principles at the central, provincial and district levels. In general, the highest scores for each of the good governance principles tend to be recorded at the central level, followed by the provinces and the districts. The scores found in the effectiveness principle, however, are the exception: the highest score in this principle was recorded at the district level, with the second-highest score recorded at the provincial level and the lowest at the central level.

A combined quantitative and qualitative analysis of the strengths and shortcomings of the government capacity component is applied in the following sections, looking at

the six major issues of forest, land and REDD+ governance at the central, provincial and district levels:

1) The Issue of Forestry and Spatial Planning

Diagram 4.27 indicates that, in terms of the capacity of government actors implementing forestry and spatial planning in a transparent, participative and just manner, two provinces obtained a higher score than at the central level and well in advance of the other provinces. The provinces are Central Sulawesi (2.88) and Papua (2.80). The three provinces that received the lowest scores are Jambi, West Papua and Aceh.

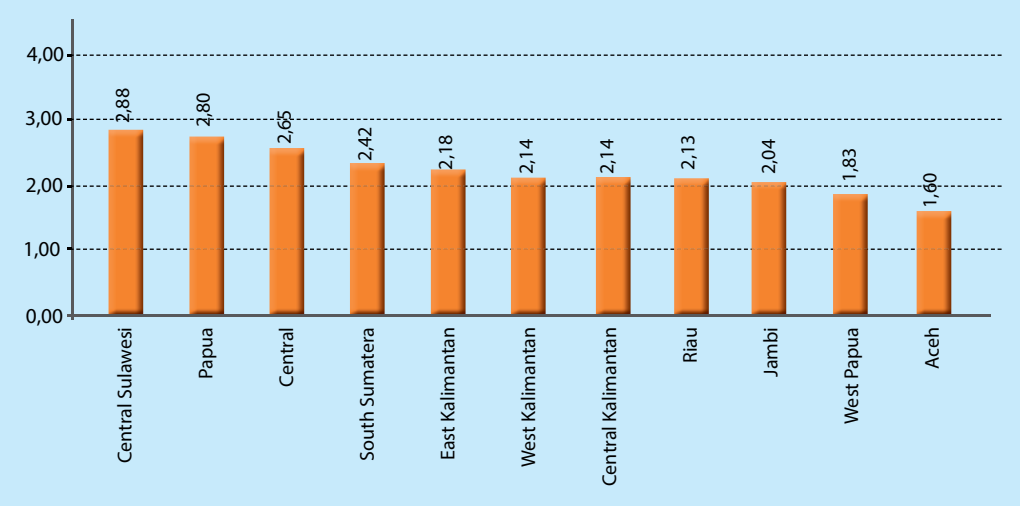


Diagram 4.27 the Results of the Assessment of the Capacity of Government Actors, with Reference to the Issue of Forestry and Spatial Planning at Central and Province Level

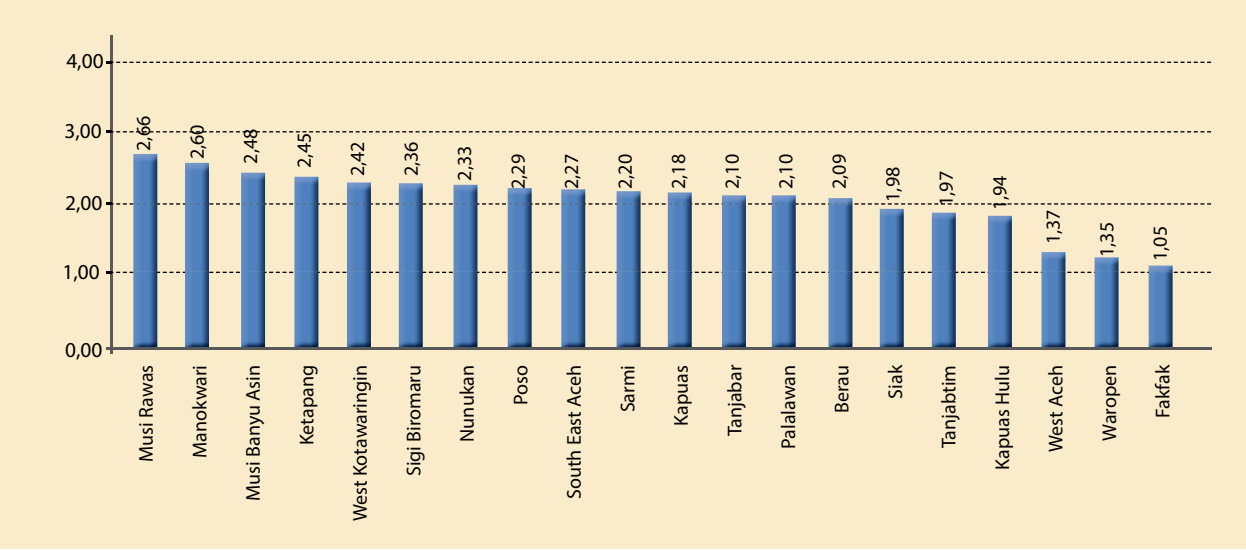


Diagram 4.28 The Results of the Assessment of the Capacity of Government Actors, with Reference to the Issue of Forestry and Spatial Planning at District Level

At the district level, meanwhile, the highest-scoring provinces are Musi Waras (2.66), Manokwari (2.60) and Musi Banyu Asin (2.48). Diagram 2.28 also shows that a total of six districts received sub-standard scores of below two: Siak, East Tanjung Jabung, Kapuas Hulu, West Aceh, Waropean, and Fakfak.

At the central level, the identified strength was the number of government personnel with recognized forestry and spatial planning qualifications. The personnel of the Ministry of Public Works, the National Planning and Development Agency (*Badan Perencanaan dan Pembangunan Nasional* - Bappenas) and associated ministries tend to possess human resources with relevant educational backgrounds and adequate levels of work experience. In terms of forestry planning, the Ministry of Forestry has established a separate directorate with specific tasks and responsibilities in macro- and micro-levels of forestry planning in Indonesia. Funding is also being allocated, especially for gathering input from stakeholders in the field.

In this category, the strengths found at the provincial and district levels are not very different from those found at the central level. Human resources with qualifications in forestry and spatial planning are available. This is because the provincial Departments of Public Works and Forestry as well as the provincial Planning and Development Agency (*Badan Perencanaan dan Pembangunan Daerah* - Bappeda) are also tasked with and responsible for planning matters. All the provinces and districts considered in this assessment have each of the three aforementioned government agencies.

Hardly any of the government personnel reviewed in this assessment had undergone certification as planners. This situation is due to the fact that the government has yet to establish any kind of official training and certification program. This kind of program would be central to ensuring quality and consistency in government personnel available for forestry and spatial planning across the country.

A number of aspects that should be further strengthened were also revealed in the assessment. First, it was found that, although the capacities of government planners are generally good, several districts have very limited personnel experienced in matters of forestry and spatial planning, such as West Aceh, Fakfak and Waropean.

In addition, hardly any of the government personnel reviewed in this assessment had undergone certification as planners. This situation is due to the fact that the government has yet to establish any kind of official training and certification program. This kind of program would be central to ensuring quality and consistency in government personnel available for forestry and spatial planning across the country. The fact remains, however, that funding allocated for participatory planning is generally minimal. Where funding is available, it is usually spent on consultant fees, meetings and 'socialization'. Appropriate funding allocations would open up space to involve all concerned parties in forestry and spatial planning processes.

Similar findings were revealed in the assessment of the number of legislators with a special interest and concern in the politics of forestry and spatial planning. Almost all parties expressed the view that only very few legislators possessed any technical ability and were inclined

to support local people in their efforts to obtain fairness in forestry and spatial planning issues or work for environmental sustainability. In several regions where there were legislators active in these kinds of justice issues, such as in Central Sulawesi, the legislators often possessed limited technical skills in understanding spatial mapping and the functions of the various spatial and forestry classifications. This finding was particularly important because legislators constitue the last line in legal processes, such as the legalization of spatial plans, and their function is very strategic in protecting the environment and the interests of local people.

In addition, hardly any of the locations assessed, whether at the central, provincial or district level, had formulated standard operating procedures (SOPs) for managing conflict over forestry and spatial planning issues. Where SOPS were found, they were very general, despite the fact that the kinds of conflict that emerge are various and require different and sometimes specialist treatment. This is the reason why the score for the indicator on planning conflict SOPS was low–2.16. It is, nevertheless, higher than the score obtained on the indicator for the allocation of funding for participative planning, which was just 1.43.

2) The Issue of Regulation of Rights

Diagram 4.29 depicts the results of the assessment of government capacity in regulating forestry rights in a transparent, participative and just manner. The three provinces that received the highest scores were Central Sulawesi (3.38), Papua (2.98) and Central Kalimantan (2.83). The three provinces with the lowest scores were Jambi, East Kalimantan and Aceh.

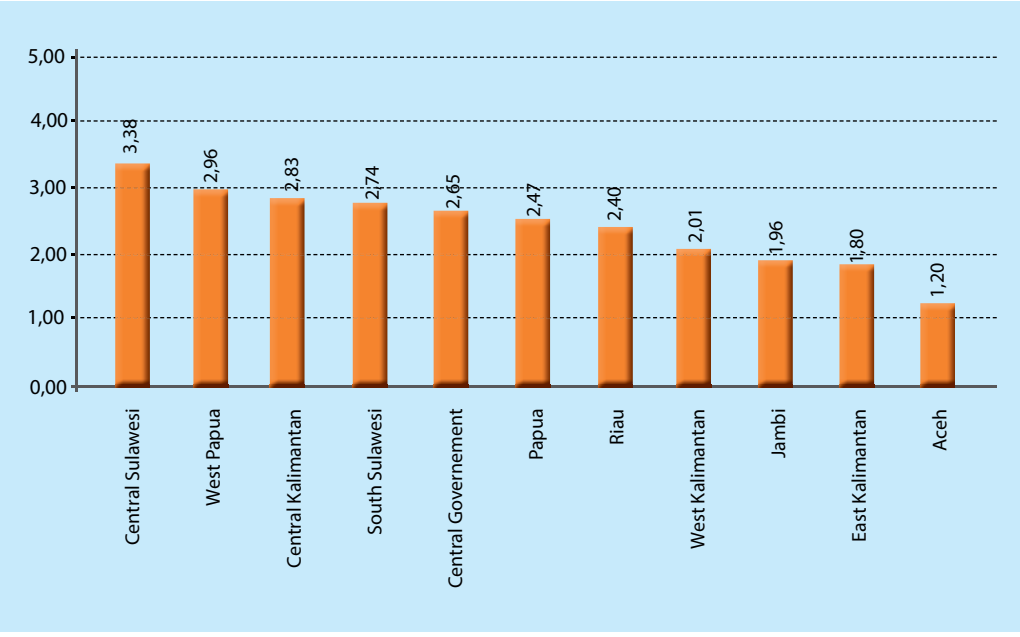


Diagram 4.29 Results of the Assessment of the Capacity of Government Actors, with Reference to the Issue of Regulation of Rights at Central and Province Level

The districts that received higher scores were Ketapang (2.80), West Kota Waringin (2.71) and West Jabang (2.70). Ten other districts received low scores in the range of just 1.10 to 2.60. (See Diagram 4.30)

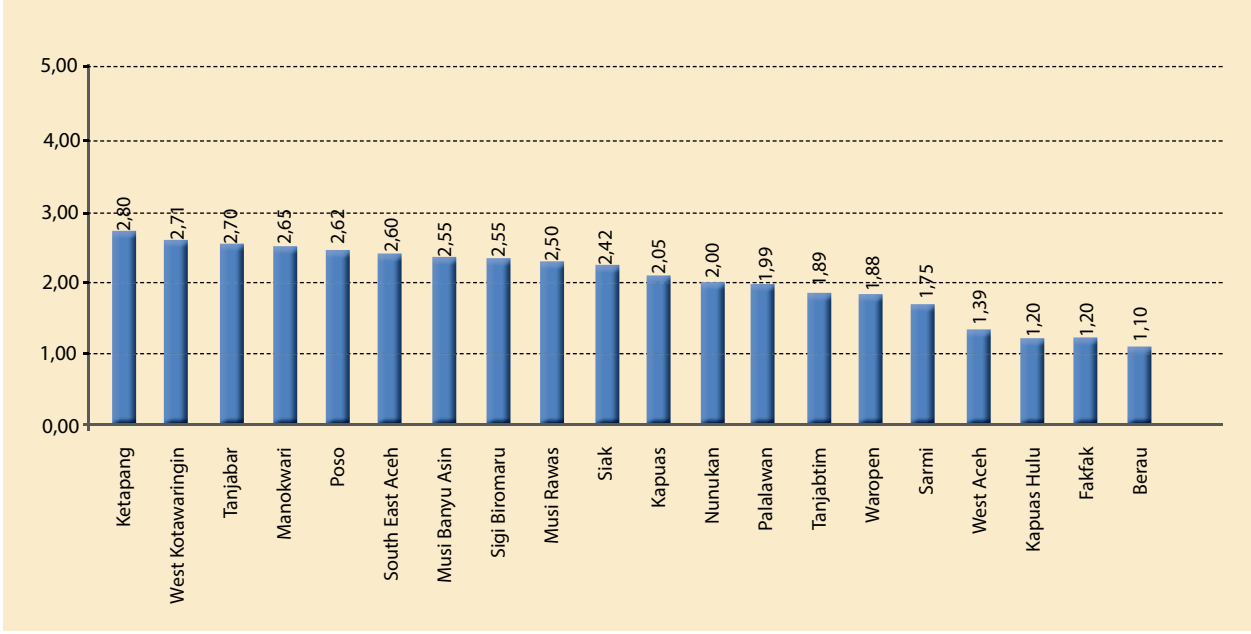


Diagram 4.30 Results of the Assessment of the Capacity of Government Actors, with Reference to the Issue of Regulation of Rights at District Level

The relatively high scores obtained by these provinces and districts is attributable to the fact that they have sufficient capacity – individual and institutional – available to administer forestry management rights given to the private sector and to Indigenous Peoples, and in matters of rights conflict resolution. It must be noted, however, that, although the capacity was found to be relatively good, human resources, funding allocations and mechanisms still need to be improved.

At the central level, various strengths were identified in the Ministry of Forestry, where a specific unit has been tasked to identify and administer the rights of local people and businesses. As soon as the licensing process enters the ministry's domain, a number of units will document all the licensing requirements. The amount of funding allocated to verifying licenses proposed by applicants in the field, whether from the private sector or local communities, appears to be sufficient. The Ministry of Environment has formed a special team tasked with identifying Indigenous People's rights within forest areas. It has also conducted trainings in some regions and cooperated with indigenous people's organizations and other non-government organizations (NGOs) active in advocating for better natural resources management.

A number of personnel from the Ministries of Forestry and the Environment have taken part in conflict resolution trainings and the ministries have allocated funding to the investigation and resolution of territorial conflict. The Ministry of Forestry, in this matter the Directorate of Forestry Business Development, has also developed cooperation with the

Association of Forest Concession Holders (*Asosiasi Pengusaha Hutan Indonesia* - APHI). APHI has been given authority to regulate the Transporting Document for Round Logs system (*Surat Keterangan Sah Kayu Bulat* - SKSKB). The system is operated online, not through the ministry or the provincial department. If any suspicions arise, the online system is thought not to be fully operating, or there are indications of abnormalities, APHI freezes the SKSKB in question.

The strengths identified at the central level are almost the same as those found at the provincial and district levels. The Ministry of Forestry is the place to look into the inventory of recommendations on forestry concessions given to businesses and communities. Several provinces and districts have allocated funding for forestry conflict resolution and administering licenses. Personnel have also received conflict resolution training from the ministries and other central government agencies as well as activities sponsored by donors.

Although there may be units, funding allocations and human resources to manage conflict, it is evident that a number of aspects have to be improved. The existing units within the Ministry of Forestry and other ministries tend to be passive and more concerned with identifying the licenses already given. These units do not have the capacity to act in a more pro-active way to keep an inventory of the areas managed by local communities, especially Indigenous Peoples. Cooperation with these groups and communities has been discussed at great lengths and workshops have been held, however no formal arrangements have been realized to date. The lack of formalized cooperative relationships between the government and Indigenous organizations indicates that the government has yet to come to terms with Indigenous People's presence and roles in managing forests.

This situation is not only the case at the central level, but at the provincial and district levels too where strong Indigenous communities still exist, such as in Aceh, Papua and the provinces of Kalimantan. No regional governments have formed units to identify the locations, extent and types of forestry management practices undertaken in state forests. An initiative such as this could be an important step in developing conflict resolution mechanisms. No government at the provincial or district levels have official collaborations with Indigenous organizations or local NGOs advocating for Indigenous People's rights in local forest management.

Government at the central, provincial and district levels have never conducted research to determine how much staff is actually needed in the ministries and agencies at lower levels with skills in conflict resolution for appropriate delivery in this areadespite the fact that this problem is pervasive in the field. Specific funding allocations for forest conflict resolution have also never been budgeted. As a result, the approaches to resolve conflict between local people and the government or with business interests are found to be partial and unpredictable. This is seen as the main reason for why the rate of conflicts associated with

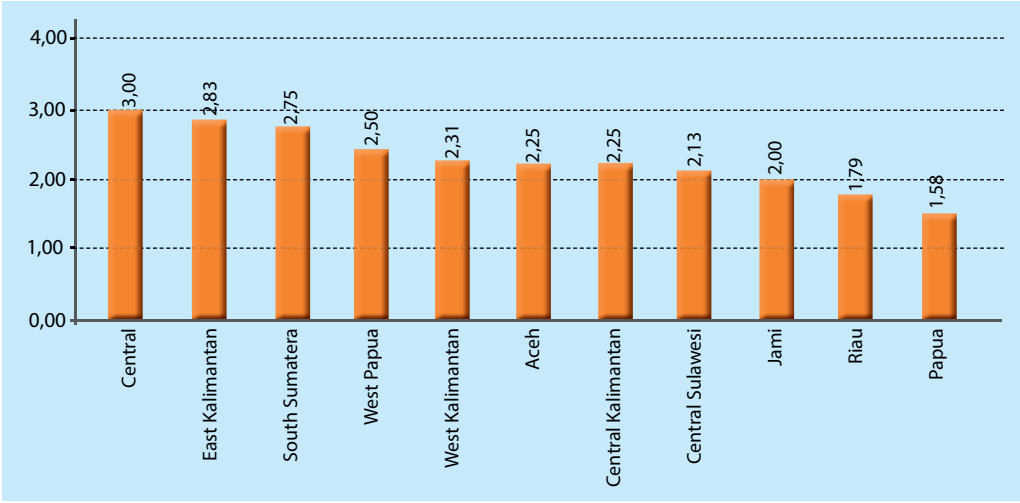
These units do not have the capacity to act in a more pro-active way to keep an inventory of the areas managed by local communities, especially Indigenous Peoples.

forest management continue to rise. They have not yet been systematically addressed through establishing good forest governance principles as the basis for dealing with the causes.

3) The Issue of Forest Organization

Diagram 4.31 reveals that the three provinces that received the highest scores in the government capacity component in relation to matters of forest organization were East Kalimantan (2.83), South Sumatra (2.75) and West Papua (2.50). The remaining seven provinces obtained scores between 2.31 and 1.58.

Diagram 4.31 Results of the Assessment of the Capacity of Government Actors with Reference to the Issue of Forest Organization at Central and Province Level



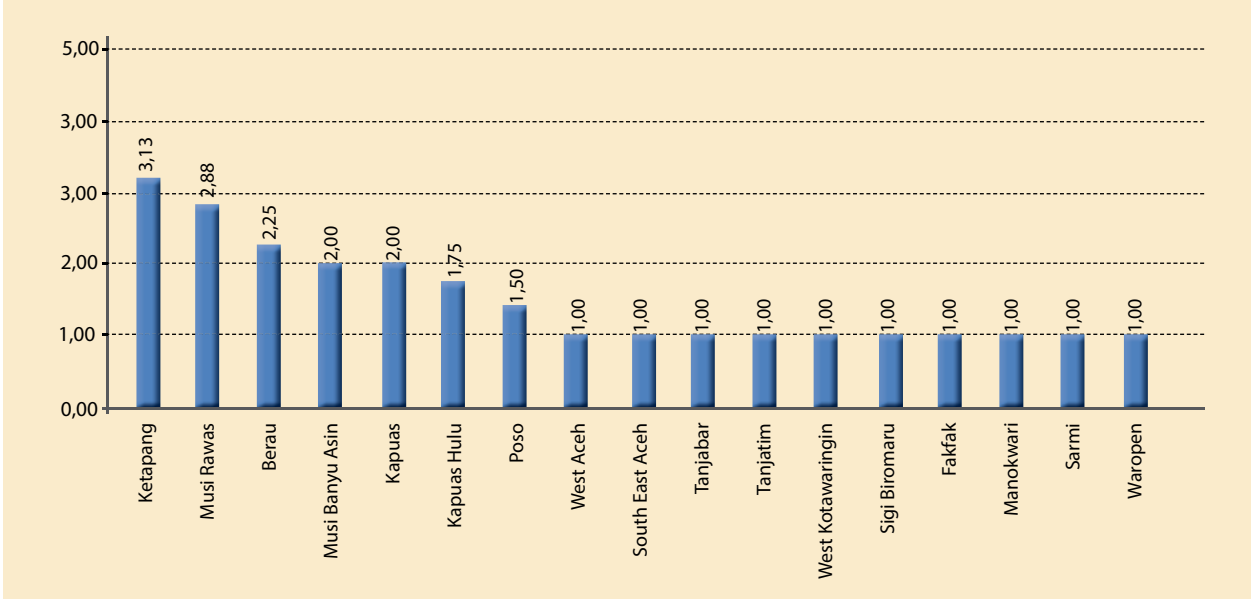


Diagram 4.31 Results of the Assessment of the Capacity of Government Actors with Reference to the Issue of Forest Organization at District Level

At the district level, Ketapang (3.13), Musi Rawas (2.88) and Berau (2.55) received the highest scores. Some 15 other districts received lower scores of between 1 and 2, as depicted in Diagram 4.32.

Strengths at the central level revolve around the number of personnel with technical qualifications in research and development. There is also capacity in personnel of the directorates facilitating forest management units (*Kesatuan Pengelolaan Hutan* – KPH) and stakeholder interactions. The amount of funding allocated to the forest and peatland KPH to conduct joint forest management with local people also appears to be sufficient. Funding allocations may be made when local people obtain management licenses within the KPH area. The number and capacities of personnel available to facilitate these activities however, still has to be strengthened.

Strengths at the provincial and district levels are found in the number of staff who have a more open attitude with local people in the area of their KPH, although capacities in multi-stakeholder management planning are limited. Funding allocated to forest management activities with local people also appear to be sufficient, as in the case of the Forestry Department of Central Sulawesi province where funding is available for re-forestation activities with local people in the KPH area.

The majority of KPH do not prioritize the selection of staff with appropriate qualifications in cooperative forest management with local people. Appropriate measures to increase the capacities of the staff of the KPHs in facilitating forest management planning with local people also needs to be fortified.

In the context of forest management, however, the deficits and shortcomings outnumber the strengths. The majority of KPH do not prioritize the selection of staff with appropriate qualifications in cooperative forest management with local people. Appropriate measures to increase the capacities of the staff of the KPHs in facilitating forest management planning with local people also needs to be fortified. The amount of funding is still very small compared to the number of people living in the KPH areas. As an example, one KPH is Central Sulawesi allocated funding of around Rp300 million for re-forestation activities but the KPH area is home to more than ten villages.

4) Issue of Forest Management

The index of the government capacity component in relation to the issue of forest management is depicted in Diagram 4.33 and reveals that three provinces received relatively high scores. The provinces are South Sumatra (3.67), East Kalimantan (3.67) and West Papua (3.33). Diagram 4.34 shows that the three districts receiving the highest scores were Kapuas (4.00), Musi Banyu Asin (3.67) and Musi Rawas (3.00). Some 13 other districts received low scores of between 2.33 and 1.

At the central level, the strengths identified were linked to the Ministry of Forestry's allocation of forest areas to small-scale businesses totaling 6.97 million hectares, or about 5% of the total forest area of approximately 130 million hectares. The Ministry has also set aside 2.65 million hectares for community plantation forests (*hutan tanaman rakyat* - HTR), around two million hectares for community forests (*hutan kemasyarakatan*) and

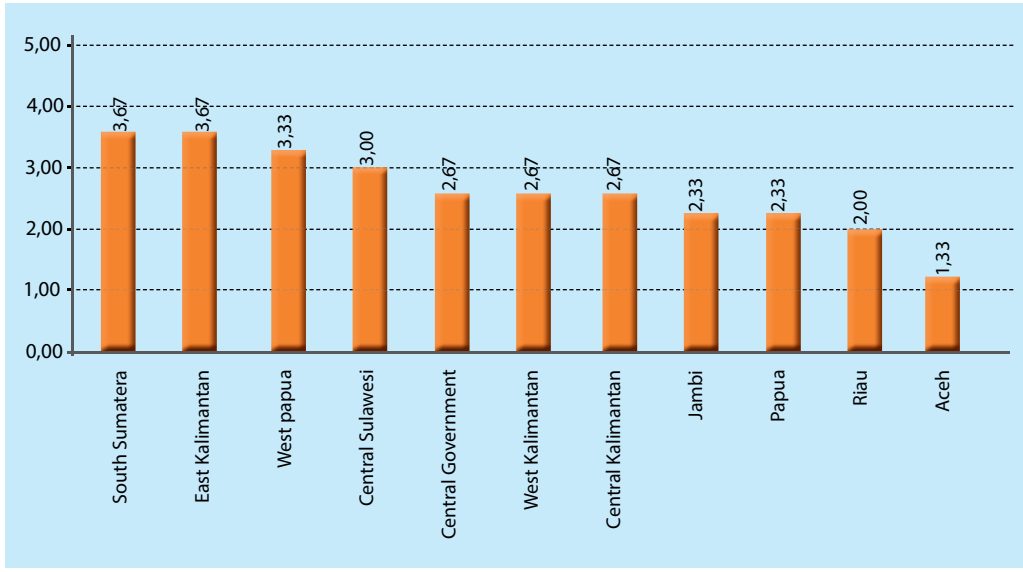


Diagram 4.33 Results of the Assessment of the Capacity of Government Actors with Reference to the Issue of Forest Management at Central and Province Level

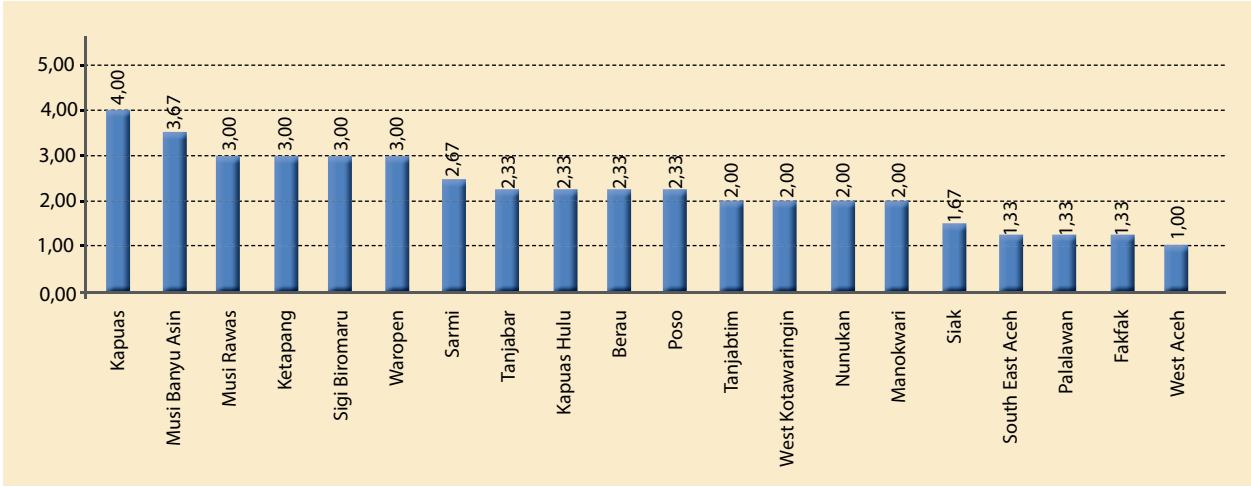


Diagram 4.34 Results of the Assessment of the Capacity of Government Actors with Reference to the Issue of Forest Management at District Level

0.25 million hectares for people's forests (*hutan rakyat*). The Ministry has also put aside productive forest areas for timber (*kawasan hutan produksi untuk pemanfaatan kayu*) and community forest areas totaling 0.333 million hectares.

In the context of forest management units (KPH), the Ministry of Forestry and several provincial-level Departments in the assessment locations are aiming to have operational KPH models in the field by meeting certain targets, such as establishing territorial boundaries, human resources and organizations, and providing facilities. There are 22 productive forest stakeholder units (*kesatuan pemangku hutan produksi* - KPHP) covering 1.676 million hectares, and 38 protected forest stakeholder units (*kesatuan pemangku hutan lindung* - KPHL) covering 6.476 million hectares. However, only seven

KPHP and KPHL are operating in the field. Another identified strength is the fact that officials tasked with providing licenses, and those that make recommendations on licensing issues to their superiors, understand that licenses are a means to control deforestation and forest degradation, which is not always the case.

In several provinces and districts, local government agencies have formulated and implemented plans to assist local people get access to management in forest areas. This is evident in Musi Banyu Asin district, Sigi Biromaru, and Kapuas. Several provinces and districts have set a target to have KPH covering all forest areas and many are operating in South Sumatra, West Kalimantan, Central Kalimantan and Central Sulawesi. This is what brought these areas relatively high scores in the index. Licensing officials also understood that the processes are a means to control forests. At present, there are 11,942 hectares of community plantation forest permits (*hutan tanaman rakyat* - HTR) and 33 forest management units (KPH) – in protected and productive forests – where management is regulated through licenses.

In the background, however, are a number of shortcomings that outweigh the strengths identified. The main challenge concerns the extent to which local people are unable to access forest management mechanisms. According to forestry statistics, only 10,044 hectares of community forest permits (*hutan kemasyarakatan*) were realized in 2011, compared to a target of 400,000 hectares. Such shortfalls were also noted in relation to people's forests (*hutan rakyat*) and similar kinds of permits. The establishment of functional KPH has also been very slow despite clear directives and significant institutional facilitation. Problems of accessing forest management for local people are generally related to the fact that providing permits to local people are not profitable for the 'elite' in licensing institutions. Such matters are very difficult to monitor. The KPH have come to be seen as a place to hand over money, rather than a way to secure livelihoods.

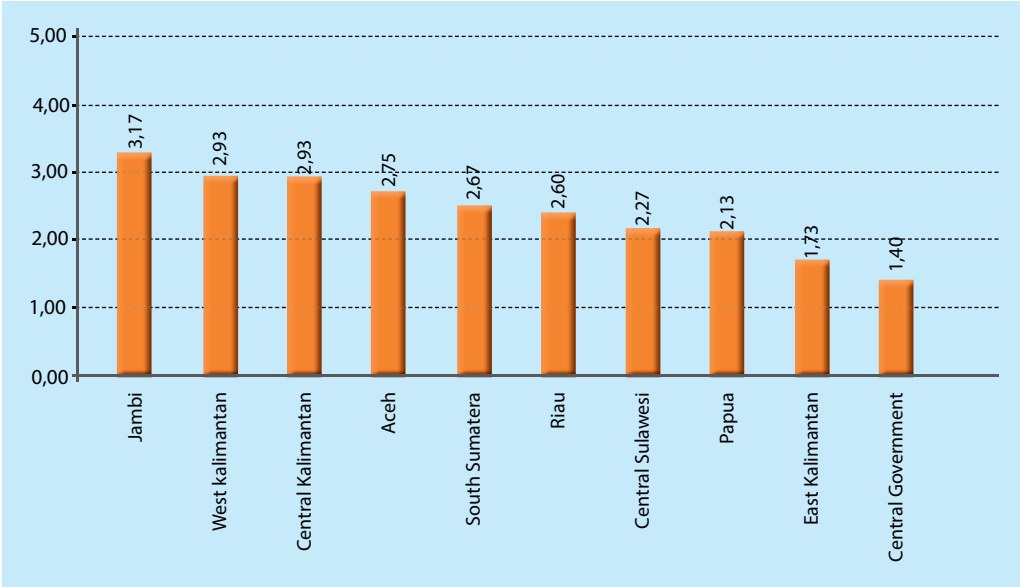
Local people are unable to access forest management mechanisms. According to forestry statistics, only 10,044 hectares of community forest permits (*hutan kemasyarakatan*) were realized in 2011, compared to a target of 400,000 hectares. Such shortfalls were also noted in relation to people's forests (*hutan rakyat*) and similar kinds of permits.

This assessment did not find a region that possessed a systematic plan to assist local people access forestry management. The regions are heavily reliant on the central level, and matters are complicated by the fact that the central level is also not making this a priority.

5) The Issue of Law Enforcement and Control over Legal Process

Diagram 4.35 presents the results of the assessment of the government capacity component with reference to the issue of law enforcement and control over legal processes. It shows that the three highest-scoring provinces were Jambi (3.17), West Kalimantan (2.93) and Central Kalimantan (2.93). Diagram 4.36 shows that the three highest-scoring districts in the same assessment were Ketapang (3.50), Kapuas (3.33) and Berau (3.30).

Diagram 4.35 Results of the Assessment of the Capacity of Government Actors with Reference to the Issue of Law Enforcement and Control over Legal Process at Central and Province Level



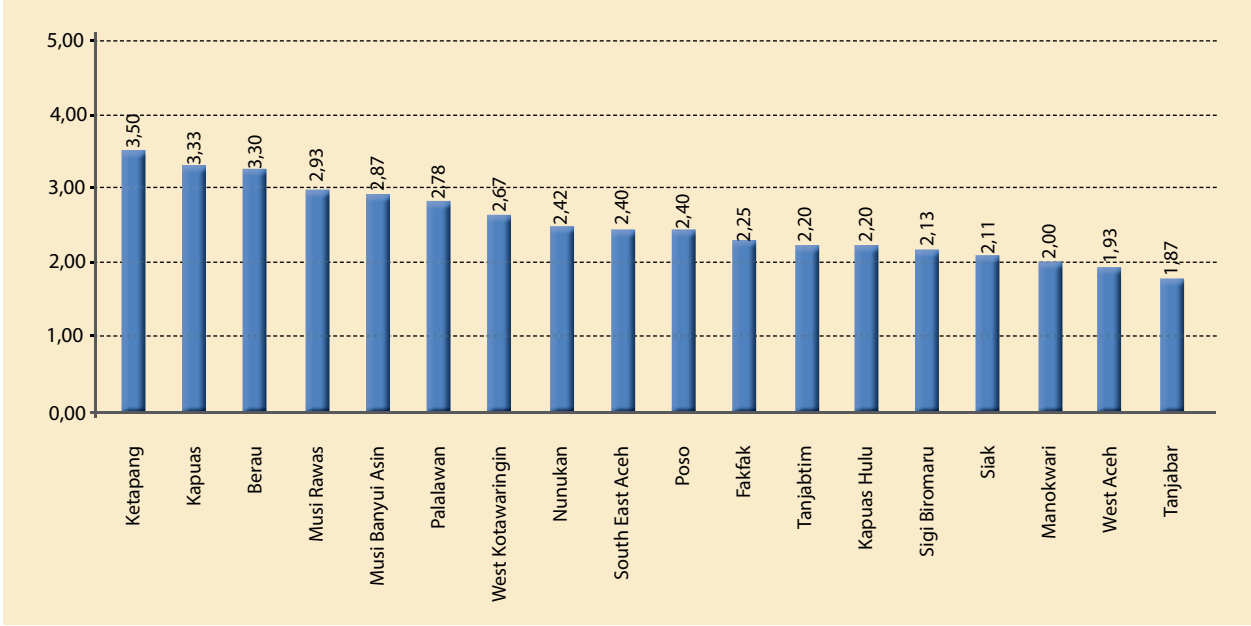


Diagram 4.36 Results of the Assessment of the Capacity of Government Actors with Reference to the Issue of Law Enforcement and Control over Legal Process at District Level

These relatively high scores are attributable to recent increases in the number of forestry police and civil servant investigators (*penyidik pegawai negeri sipil* - PPNS) tasked with guarding forest areas. In the year 2010, there were 7,084 forestry police in the country. The number increased to 8,433 in 2011. The number of PPNS in 2010 was 1,864, and the number was increased by 791 in 2011. Public prosecutors and judges in the regions also claim to have increased capacities in handling forestry and environmental issues. A

number of different trainings have been run by the Forestry Ministry, the REDD+ Task Force and the Environment Ministry with support from the national budget and donors.

Several challenges are identifiable, however, especially in regards to the fact that, although the number of forestry police officers is increasing, their number remains small compared to total forest areas across the country that need guarding. As such, there needs to be a breakthrough, such as developing a system of forest guardianship that involves communities living in and around forest areas. Another challenge is the fact that judges with training and qualifications in cases of forestry and environmental crimes are not being rotated to the locations where these cases are occurring.

There needs to be a breakthrough, such as developing a system of forest guardianship that involves communities living in and around forest areas. Another challenge is the fact that judges with training and qualifications in cases of forestry and environmental crimes are not being rotated to the locations where these cases are occurring.

6) The Issue of REDD+ Infrastructre

Diagram 4.37 shows that the three provinces that scored higher in the assessment of government capacity in relation to the establishment of REDD+ infrastructure were Central Sulawesi (2.29), Central Kalimantan (2.00) and East Kalimantan (1.93). The score at the central level was 2.57, somewhat higher than the score achieved in any of the provinces. The three lowest-scoring provinces were Papua (1.43), West Kalimantan (1.36) and West Papua (1.21).

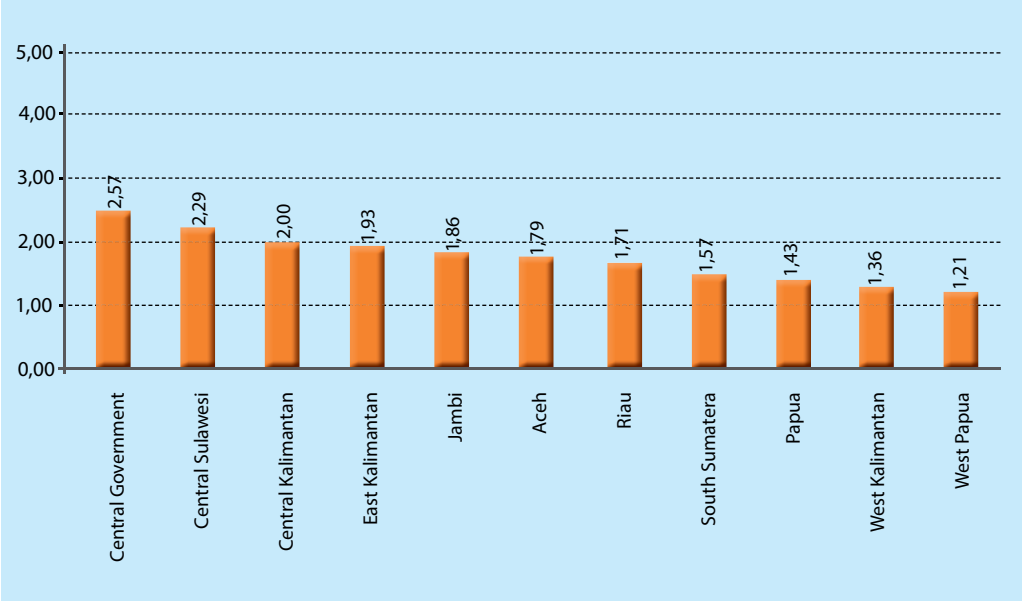


Diagram 4.37 Results of the Assessment of the Capacity of Government Actors with Reference to the Issue of REDD+ Infrastructre at Central and Province Level

The scores in this component of government capacity with reference to REDD+ infrastructure are not high but represent recent improvements and advances. There is

There is already a 'blue print' on institutional and financial frameworks, a security framework, as well as plans for training and participatory development of REDD+ infrastructure. More time to implement them is needed.

already a 'blue print' on institutional and financial frameworks, a security framework, as well as plans for training and participatory development of REDD+ infrastructure. More time to implement them is needed. This is the case in several provinces that have received support form donor agencies, such as Central Sulawesi and Central Kalimantan. In Central Sulawesi, the free, prior and informed consent (FPIC) security framework has been formalized in a Governor's Decree and Central Kalimantan already has its own REDD+ task force, which is active and receiving adequate financial support.

The regions receiving support from the central level and/or from donors obtained higher scores than those which are not. This is reflected in conditions in West Papua and West Kalimantan, which do not receive support from donors and appear on the bottom rungs of the index.

Quite apart from the positive aspects of recent developments, a number of challenges were identified. First, REDD+ institutions, finances and the measurement, reporting and verification (MRV) system have not yet been formed at the central or lower levels, or where they have been established, still require time to operate. A draft social, environmental and governance protection framework is still only in the form of criteria and indicators and has yet to become a policy guideline document for all concerned parties. Second, a range of trainings for personnel tasked with handling instances of conflict have not yet been implemented despite the fact that this is an important need.

In such a system, the agencies at the district level are beholden to those at the provincial level, and those at the provincial level are dependent on their counterparts at the center. A change in this system does not mean that capacities and inputs are more evenly spread. Capacities and inputs tend to remain better at the central level compared to the provinces, and in the provinces compared to the districts.

The challenges identified in every issue of the government capacity component – especially at the provincial and district levels - are related to the ongoing processes of transformation affecting all government systems in Indonesia. Government was created under a highly centralized model, which only began to change significantly in 1999. A turning point was the issuance of Law No.22/1999 - later revised to Law No.32/2004 - on Regional Governments which re-distributed central government powers to the provinces and districts. This process was not complemented by a commensurate increase in the preparedness of government agencies at these levels to manage their newfound, relatively autonomous powers and duties.

In centralized systems, the management capacities and inputs of government units at the central level tend to be better compared to counterparts at lower levels. In such a system, the agencies at the district level are beholden to those at the provincial level, and those at the provincial level are dependent on their counterparts at the center. A change in this system does not mean that capacities and inputs are more evenly spread. Capacities and inputs tend to remain better at the central level compared to the provinces, and in the provinces compared to the districts.

4.3.3. Index Component C: The Civil Society Actors

The overall score in the index concerning the capacities of civil society actors (component C) in forest, land and REDD+ governance is 2.54. This score is a composite of the average index scores at the central level, as well as in the 10 provinces and 20 districts involved in the PGA.

As depicted in Diagram 4.38, this component (and all the other components in this assessment) are assessed in accordance with six 'issues', which obtained the following average scores: forestry and spatial planning (2.49); regulation of rights (3.08); forest organization (2.62); forest management (2.40); law enforcement and control over legal processes (2.78), and; REDD+ infrastructure (1.88).

Forest and REDD+ Governance Issues	Central Government	Province	District	Average
Issues 1: Spatial and Forest Planning	2.58	2.85	2.04	2.49
Issues 2: Rights to land and forest resources	4.00	3.14	2.11	3.08
Issues 3: Forest Organization	3.00	2.87	2.00	2.62
Issues 4: Forest Management	2.50	2.66	2.04	2.40
Issues 5: Control and Enforcement	3.50	2.73	2.12	2.78
Issues 6: Infrastructure of REDD+	2.42	2.23	NA	1,88

Diagram 4.38
Breakdown of the Index Scores of the Capacity Component for Civil Society Actors

The study has shown that, the further away from the center of power and information, the weaker the function of public control from civil society actors. That is, the capacities of civil society actors at the central level score are better on average than those found in the provinces, and the capacities of civil society actors at the provincial level score better than those in the districts. In some districts it was difficult to even find any non-government organizations (NGOs) or academics working on forest governance issues.

The study has shown that, the further away from the center of power and information, the weaker the function of public control from civil society actors.

The index in Diagram 4.38 also shows that civil society actors' best capacities in advocating and implementing principles of good forest, land and REDD+ governance are found in the 'regulation of rights', as well as in terms of law enforcement and control over legal processes. This highlights that civil society actors are primarily oriented towards fighting for the realization of Indigenous and local people's rights in forest management. Civil society organizations are also inclined to see issues of misuse of power (in the form of corruption and in licensing provisions that are not transparent) as important problems requiring concentrated advocacy efforts. These sorts of priorities, preoccupations and considerations clearly shape the kinds of capacities developed.

At the central level, capacities in civil society received a mid-range score of 3.00. Capacities that would enable quality involvement in forestry and spatial planning are still very limited. Better capacities were identified in advocacy on law enforcement, whether by environmental NGOs or by anti-corruption NGOs advocating on environmental and forestry issues. It is at the central level that capacitates are greatest in terms of supporting REDD+ infrastructure development, especially in terms of regulation of local people's rights and implementing codes of ethics in rights monitoring. The national average score for the capacity of civil society in establishing good forest, land and REDD+ governance, however, remains relatively low, at just 2.20.

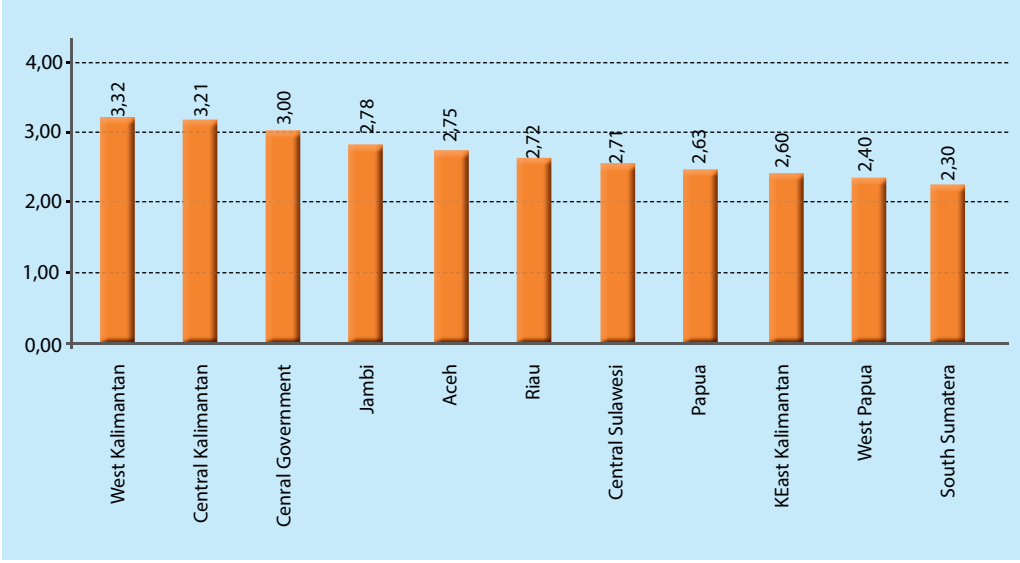


Diagram 4.39 Index Scores of the Capacity Component for Civil Society Actors at Central and Province Level

At the provincial level, the average score for the capacity of civil society actors is just 2.74, which is an unsatisfactory level for sufficiently advocating good forest, land and REDD+ governance. Nevertheless, some regions are forging ahead, with two provinces obtaining higher scores than that recorded at the central level. The two provinces are West Kalimantan, with a score of 3.32, and Central Kalimantan, with a score of 3.21. The next highest-scoring province was Jambi with a score of 2.78. The three provinces that received the lowest scores were East Kalimantan (2.60), West Papua (2.40) and South Sumatra (2.30).

At the district level, the average score for the capacity of civil society actors in the context of good forest, land and REDD+ governance is just 1.88 (See Diagram 4.40). This average score is very far indeed from a satisfactory level, and could be categorized as bad. It is below the mid-range score in this assessment, which is the value of three on a scale with the highest value of five. This score repeats previously highlighted trends; the further one gets from the central level, the lower the capacities of civil society in engaging in the processes and issues surrounding forest, land and REDD+ governance.

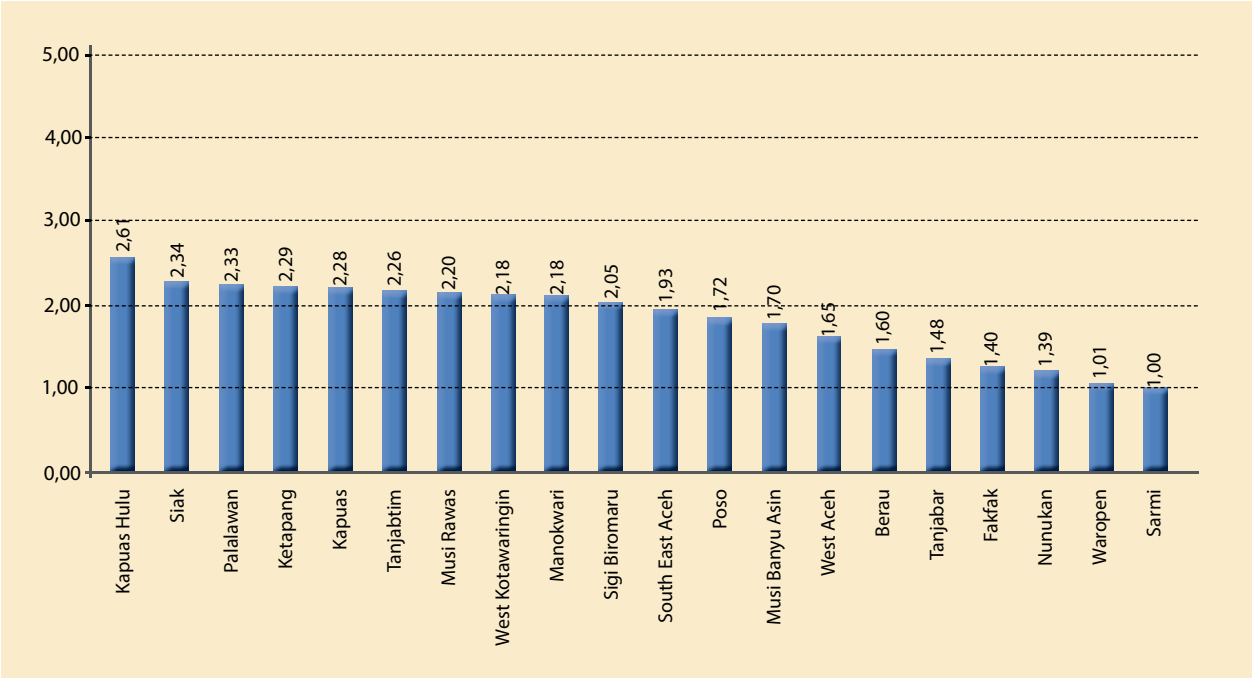


Diagram 4.40
Index Scores of the Capacity Component for Civil Society Actors at District Level

The three highest-scoring districts in terms of the capacity of their civil society actors were Kapuas Hulu (2.61), Siak (2.34) and Kapuas (2.28). Three districts received a score of below two, and one district in fact received a score of just one, which represents the single lowest score of the entire assessment. The three districts are Fakfak (1.40), Waropean (1.01) and Sarmi (1.00). These low scores represent the limited capacities of civil society actors in becoming involved in forest, land and REDD+ governance issues in the field.

Diagram 4.41 presents the results in terms of the six principles of good forest, land and REDD+ governance in the civil society capacity component. The overall highest score – the average of the central, provincial and district scores – was attached to the principle of participation, which registered a score of 2.73. The next highest overall score was for the principle of capacity (2.58), followed by accountability (2.57), transparency (2.32) and the principle of justice (2.25). One conclusion to draw from these figures is that, in general terms, the index score at the central level is higher than scores recorded in the provinces and districts. Interestingly, the score for the principle of participation at the provincial level was higher than the scores recorded at the district and the central levels.

The assessment results indicate that the capacity of civil society actors to involve members in decision-making processes and decision-making forums established by external parties are stronger than in any of the other principles assessed. Another finding was that civil society actors have established relatively good internal accountability systems, although they may have limited capacities in influencing government institutions to be more accountable and to hold decision-makers to account. While some elements of the index have relatively high scores, the fact remains that the majority fall below

the mid-range score. Overall, the capacities of civil society in the context of forest, land and REDD+ governance remain weak.

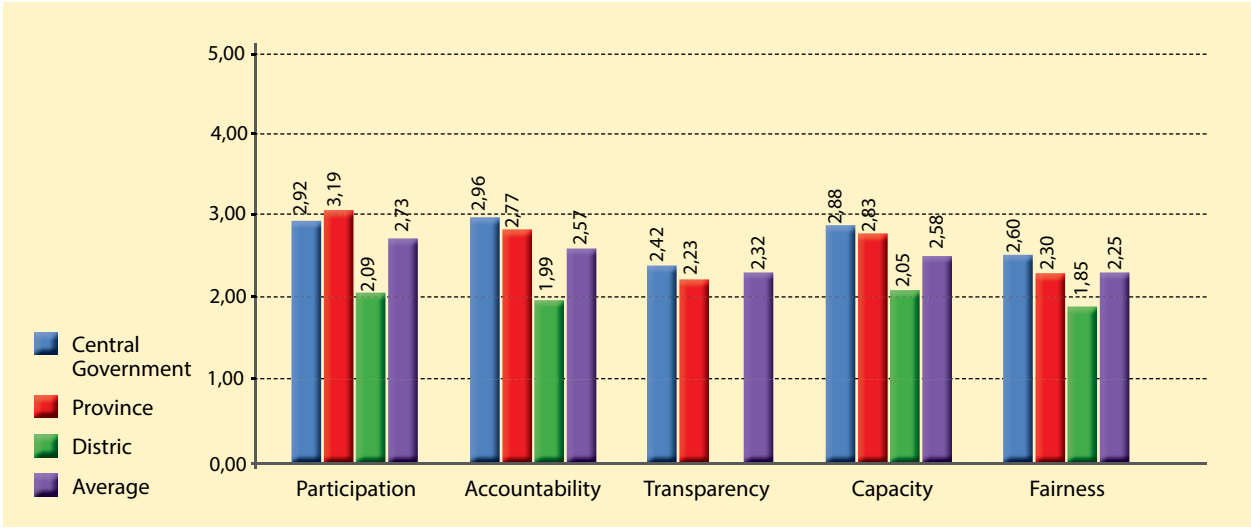


Diagram 4.41 Index Scores of the Capacity Component for Civil Society Actors Based on Principles

The following sections present an overview of findings according to the six main issues of the forest, land and REDD+ governance assessment, providing quantitative and qualitative explanations to support a better understanding of the strengths and challenges facing civil society actors at all levels in 2012.

1) The Issue of Forestry and Spaital Planning

Diagrams 4.42 and 4.43 present some very interesting results on the capacities of civil society actors in matters of forestry and spatial planning. The three highest-scoring provinces were West Kalimantan (3.66), Central Kalimantan (3.28) and Central Sulawesi (3.03). The three lowest-scoring provinces, meanwhile, were Jambi (2.54), Aceh (2.44) and West Papua (2.38).

The three districts that obtained the highest scores for the capacities of their civil society actors in forestry and spatial planning issues were Ketapang (2.94), Siak (2.75) and Pelalawan (2.69). The three districts registering the lowest scores were Fakfak, Waropean, and Sarmi, which each received scores of around one.

The assessment uncovered a number of strengths and challenges among civil society actors in terms of their capacities to work on forestry and spatial planning issues. At the central level, for example, the Ministries of Forestry and Public Works often seek input on spatial planning from academics and non-government organizations (NGOs) such as the World Wildlife Fund (WWF), the Center for International Forestry Research (CIFOR), Greenomics and Burung Indonesia. Other NGOs provide substantial input through press releases and conferences, such as the Indonesian Indigenous People Alliance (*Aliansi Masyarakat Adat Nusantara* - AMAN), the Indonesian Forum on the

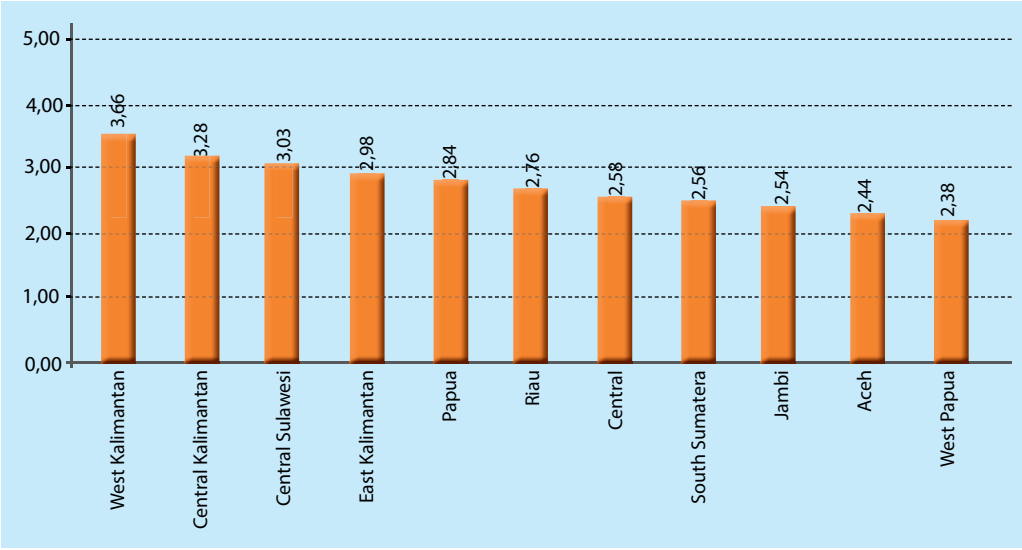


Diagram 4.42
Results of the Assessment of the Capacity of Civil Society Actors with Reference to the Issue of at Forestry and Spaital Planning at Central and Province Level

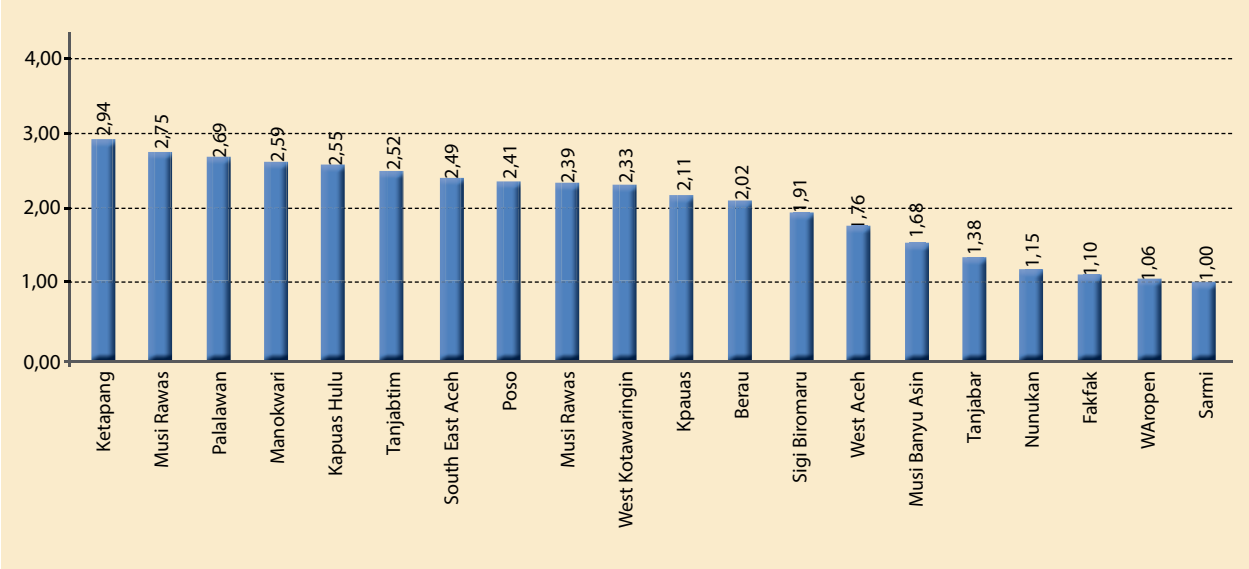


Diagram 4.43
Results of the Assessment of the Capacity of Civil Society Actors with Reference to the Issue of the Forestry and Spaital Planning at District Level

Environment (*Wahana Lingkungan Hidup Indonesia* - Walhi), HUMA, the Indonesian Center for Environmental Law (ICEL), the Mining Advocacy Network (*Jaringan Advocacy Tambang* – Jatam), the Participative Mapping Working Network (*Jaringan Kerja Pemetaan Partisipatif* – JKKP) and Sawit Watch. Much of their input concerns fairness and conservation issues, and the cases of environmental crimes that they are advocating. In addition, several NGOs at the central and provincial level possess substantial capacity and experience in conducting mapping of the lands of indigenous peoples.

At the provincial level, academics are involved in formulating spatial plans by being involved in integrated teams, as noted in Riau and Papua. In addition, several provinces have developed networks to monitor deviations in procedures and other ways in which

Indigenous Peoples may suffer or experience losses as a result of forestry and spatial planning activities. Walhi has developed a working group to conduct monitoring in Sumatra, Kalimantan and Java. Several regions have spatial planning forums, as in Central and East Kalimantan provinces.

In Riau province, several NGOs, such as Jikalahari and Walhi-Riau, as well as the Walhi affiliates in Jambi, South Sumatra, Central Sulawesi and East and Central Kalimantan, often conduct monitoring and reviews of spatial plans being deliberated in their respective areas. At the district level, strong capacities are linked to the existence of networks extending through the provinces to the central level. As the number of problems associated with forestry and spatial planning grows, so too does the number of NGOs active in the issue. The assessment also found that NGOs participating in forestry and spatial planning forums provided inputs on how to ensure a just and sustainable spatial planning, whether at the central, provincial or district level.

While these strengths were evident, a number of shortcomings were also duly noted in the assessment. The number of academics providing input into forestry and spatial planning deliberations, for one, was found to be quite low. While many NGOs are invited by government agencies in the regions to become involved in formulating forestry and spatial plans, the number of NGOs providing analysis of deviations and other problems remains very limited. Only a couple of regions have active civil society actors in this respect, such as Riau, Central Sulawesi and Central Kalimantan. In addition, the amount of funding available is heavily reliant on donors and it is very rare that resources are provided "indefinitely" or public funds can be found to support the activities of civil society actors. As a result, provinces with donor programs have higher civil society capacities in forestry and spatial planning, such as in Riau, Central Sulawesi, West Kalimantan and Central Kalimantan.

Many of the challenges identified in civil society actors' capacities to engage with forestry, spatial and licensing planning systems are related to the limited amount of information they receive. The relationship between their access to information on the one hand, and their limited knowledge and ability to control policy developments on the other, is clear. In addition, while there are a number of NGOs at the central and provincial levels with significant experience in mapping the traditional lands of Indigenous Peoples, their number is not proportionate with the extensive spread of territory claimed by these communities across the country. Another significant challenge is faced when indigenous communities and their civil society supporters attempt to integrate the results of their mapping exercises into the maps prepared by government authorities.

While many NGOs are invited by government agencies in the regions to become involved in formulating forestry and spatial plans, the number of NGOs providing analysis of deviations and other problems remains very limited.

2) The Issues of Rights Regulation

Diagram 4.44 presents the scores of the capacity of civil society actors in terms of regulating the rights of rights-holders in 10 provinces. The three highest-scoring provinces in the assessment were

Central Kalimantan (3.92), West Kalimantan (3.75) and Jambi (3.50). The three highest-scoring districts were Kapuas Hulu (3.50), Sigi Biromaru (2.88) and West Aceh (2.50). (See Diagram 4.45) These scores at the provincial and district levels are still lower than the score of 4.00 recorded at the central level.

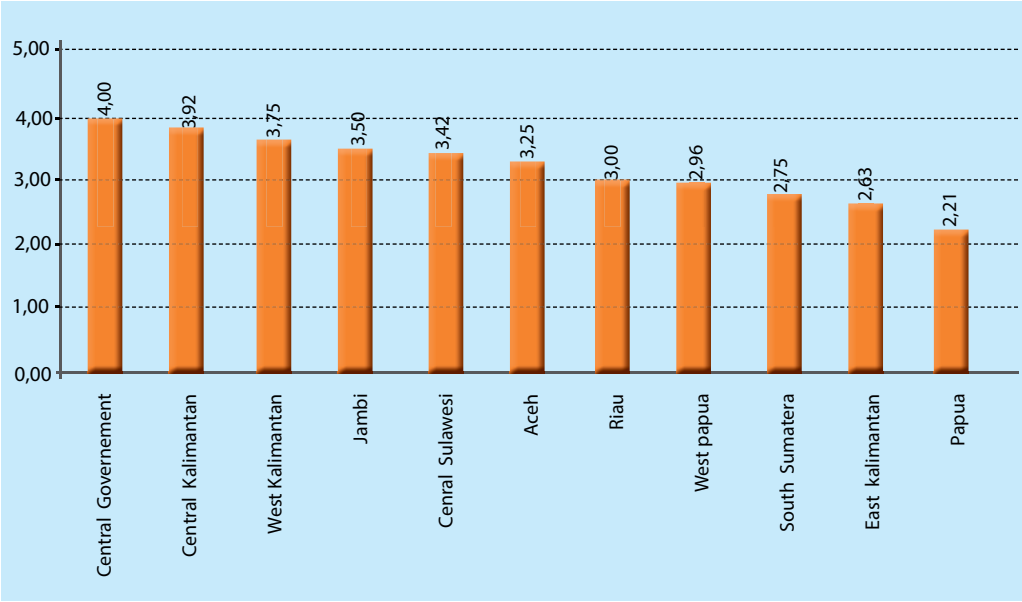


Diagram 4.44 Results of the Assessment relating to Civil Society Actors' Capacity with Reference to the Issue of the Regulation of Rights at Central and Province Level

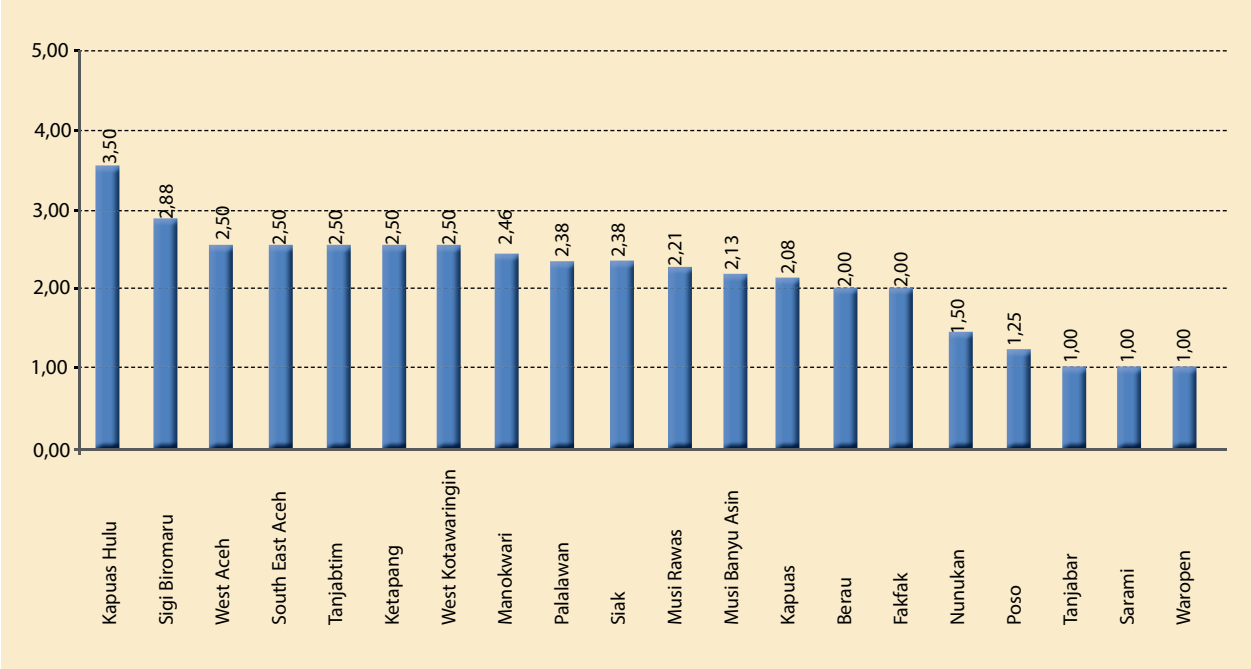


Diagram 4.45 Results of the Assessment relating to Civil Society Actors' Capacity with Reference to the Issue ofthe Regulation of Rights at District Level

The shortcomings of NGOs in the regulation of rights issue are related to the limited number and capacity of NGO staff in conducting rights monitoring, especially at the provincial level, and especially in a number of provinces such as Papua. The frequency at which local communities and Indigenous Peoples experience difficulties in claiming their rights remains high.

There were many strengths identified in the capacity of civil society actors in the regulation of rights at the central level, some at the provincial level, and less at the district level. Firstly, NGOs conducting monitoring of the rights of indigenous and local people had a code of ethics that followed principles of good governance. For example, the Indonesian Forum on the Environment (*Wahana Lingkungan Hidup Indonesia* - Walhi) and its networks in the 10 provinces considered in this assessment have instated their code of ethics in a statute. The Participative Mapping Working Network (*Jaringan Kerja Pemetaan Partisipatif* – JKKP) has also established criteria, as have the Indonesian Center for Environmental Law (ICEL), the Mining Advocacy Network (*Jaringan Advocacy Tambang* – Jatam), HUMA, and Sawit Watch. A number of local NGOs such as Jikalahari in Riau, Forum of the Green Earth (*Wahana Bumi Hijau* – WBH) in South Sumatra, and the Anti-Mafia Coalition of West Kalimantan have done the same.

Secondly, the majority of NGOs advocating on environmental and natural resource issues had a focus on the rights of Indigenous and local peoples in accessing and managing forests. This is evident in the vision, mission, programs and activities of NGOs such as Walhi, HUMA, Jatam, Sawit Watch and SHK. A number of local NGOs in West Kalimantan (*Kontak Rakyat Borneo, Yayasan Titian and Riak Bumi*) and in Central Kalimantan (SOB, YBB, Foker SHK) followed a similar path. Some element of this trend was evident in almost all the provinces and districts in this assessment.

As mentioned in relation to the previous issue, the shortcomings of NGOs in the regulation of rights issue are related to the limited number and capacity of NGO staff in conducting rights monitoring, especially at the provincial level, and especially in a number of provinces such as Papua. The frequency at which local communities and Indigenous Peoples experience difficulties in claiming their rights remains high. The majority of districts – with the exception of the three highest-scoring districts – do not have NGOs dedicated to monitoring and reporting on procedural deviations and other ways in which Indigenous and local peoples may suffer or sustain losses resulting from problems in claiming their rights to land. This is evident in Sarmi and Waropean districts.

3) The Issue of Forest Organization

As shown in Daigram 4.46, three provinces received relatively high scores in terms of the capacity of their civil scoiety actors assisting in forest organization. The three provinces are Central Kalimantan (3.44), Central Sulawesi (3.28) and Riau (3.22). The three highest-scoring districts were West Tanjung Jabung (3.00), Pelalawan (2.56) and Siak (2.56) (See Diagram Gambar 4.47).

The score recorded at the central level was relatively low (3.00) indicating that capacities in the provinces are not always behind those near the center of power and information. In terms of civil society actors' capacities in forest organization at the district

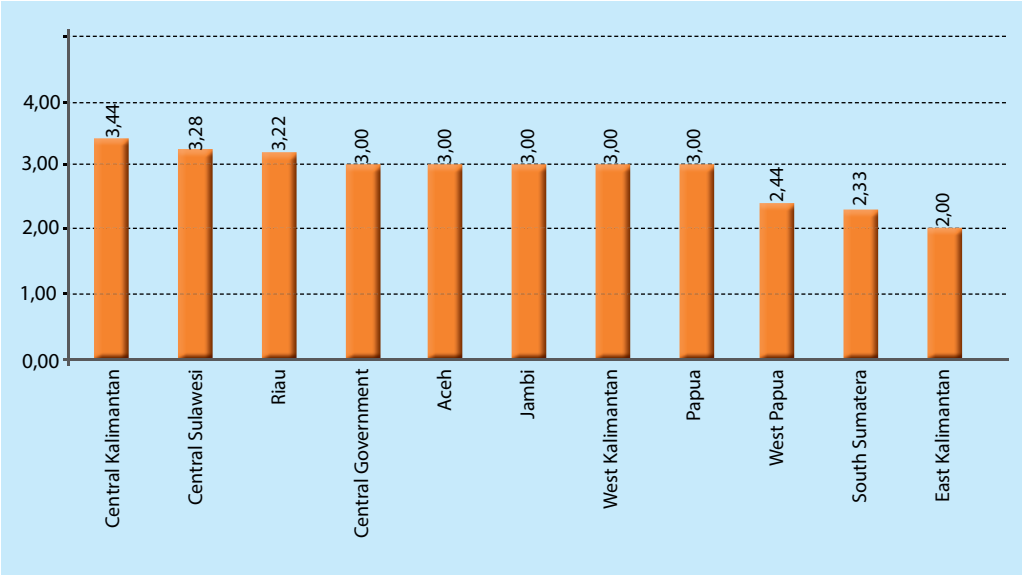


Diagram 4.46 Results of the Assessment related to Civil Society Actors' Capacity with Reference to the Issue of the Forest Organization at Central and Province Level

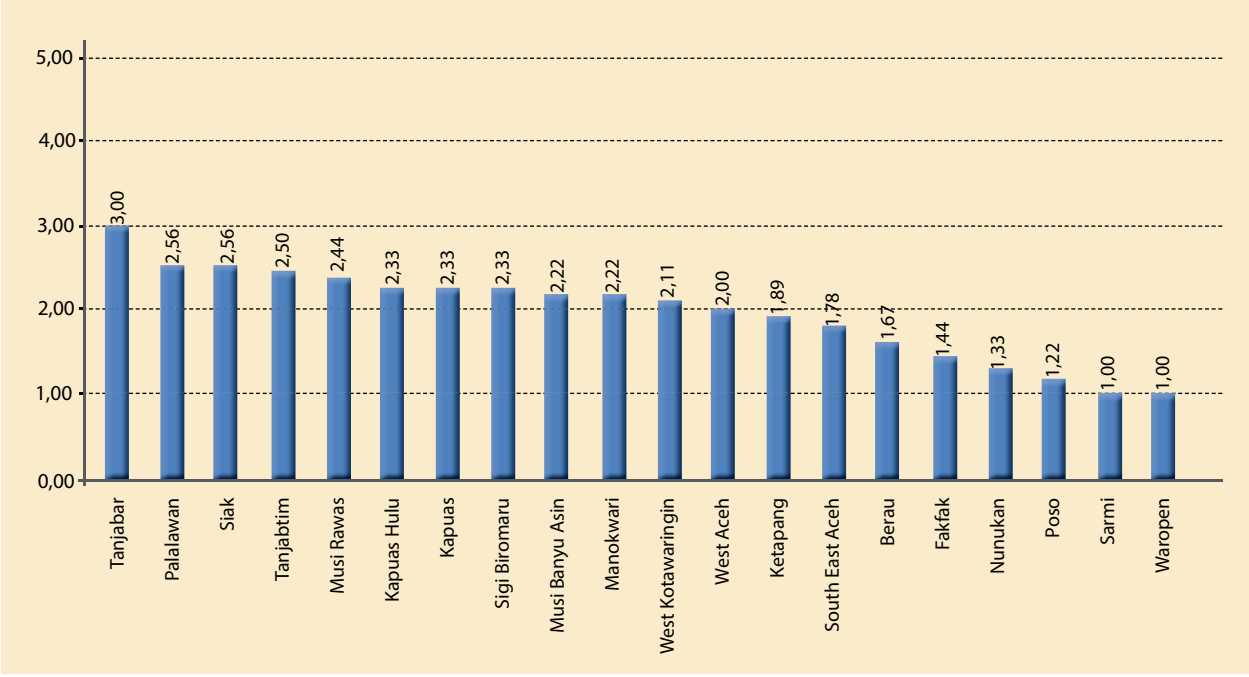


Diagram 4.47 Results of the Assessment related to Civil Society Actors' Capacity with Reference to the Issue of the Forest Organization at District Level

level, however, only one district scored on par with the central. This illustrates that NGO's human resources dedicated to dealing with these matters tend to be concentrated at the provincial level, despite the fact that most of the work occurs in the districts.

The review of qualitative data and information revealed a number of strengths in civil society actors' involvement in forest organization. Walhi, for example, is an extensive

The scope of the programs aimed at monitoring forest, land and REDD+ governance is still very limited. This is caused by the limited amount of funding available and the complexity of the issues and the instruments that must be employed to conduct monitoring.

network of local NGOs – more than 400 members across the country – including in the 10 provinces covered in this assessment. They run a program to improve capacities in investigation and monitoring. Other organizations also have extensive networks: the HUMA network reaches into 10 provinces; there is now a Consortium to Support the People's Forestry System (*Konsorsium Pendukung Sistem Hutan Kerakyatan* – KPSHK); and NGOs formed at local levels inevitably link up to counterparts elsewhere and seek to develop the capacities of their staff and multi-stakeholder forums. Gender equity considerations are also prominent in these organizations.

A number of NGOs, such as Indonesian Corruption Watch and Greenomics, have initiatives aimed at eradicating corruption in the forestry sector. Several local NGOs, such as Jikalahari and the Walhi affiliates in the 10 provinces surveyed in this assessment, also advocate on issues pertaining to the provision of industrial forestry plantation permits (*izin hutan tanaman industri*), timber utilization permits (*izin pemanfaatan kayu*), plantation permits (*izin perkebunan*) and permits releasing forest areas for mining (*pelepasan kawasan hutan untuk tambang*).

While revealing strengths, the interviews conducted in the field also uncovered shortcomings among civil society actors. The first problem is that the scope of the programs aimed at monitoring forest, land and REDD+ governance is still very limited. This is caused by the limited amount of funding available and the complexity of the issues and the instruments that must be employed to conduct monitoring. In addition, assessments of forest, land and REDD+ governance are almost never conducted with any regularity, and there are other problems associated with limited capacity in utilizing data for monitoring purposes.

The second major shortcoming is that the majority of environmental advocacy NGOs very rarely concentrate their efforts on advocating for the eradication of corruption in the forestry sector, which may be done through calculating state losses incurred through improper licensing or bribery in the administration of licenses. Environmental advocacy NGOs tend to focus on issues of conflict, environmental destruction, pollution and sustainable forestry management. We have yet to see the development of strong synergies and cooperative relationships between NGOs advocating on environmental issues and those working on corruption. This applies at the district level also. In some areas, like Sarmi district and Fakfak district, the conditions are disturbing, with no NGOs at all advocating on corruption eradication in the forestry sector.

4) The Issue of Forest Management

Diagram 4.48 presents the results of the assessment of civil society actors' capacity in matters of forest management. The three provinces receiving the highest scores were West Kalimantan (3.50), Jambi (3.17) and Aceh (3.00). The three highest-scoring districts,

as depicted in Diagram 4.49, were Kapuas Hulu (3.50), Ketapang (3.06) and Aceh Tenggara (2.83).

According to Diagrams 4.48 and 4.49, seven provinces and eight districts received scores higher than that recorded at the central level. This may have occurred because the indicators of this issue were focussed on the capacities of civil society actors working directly in the field.

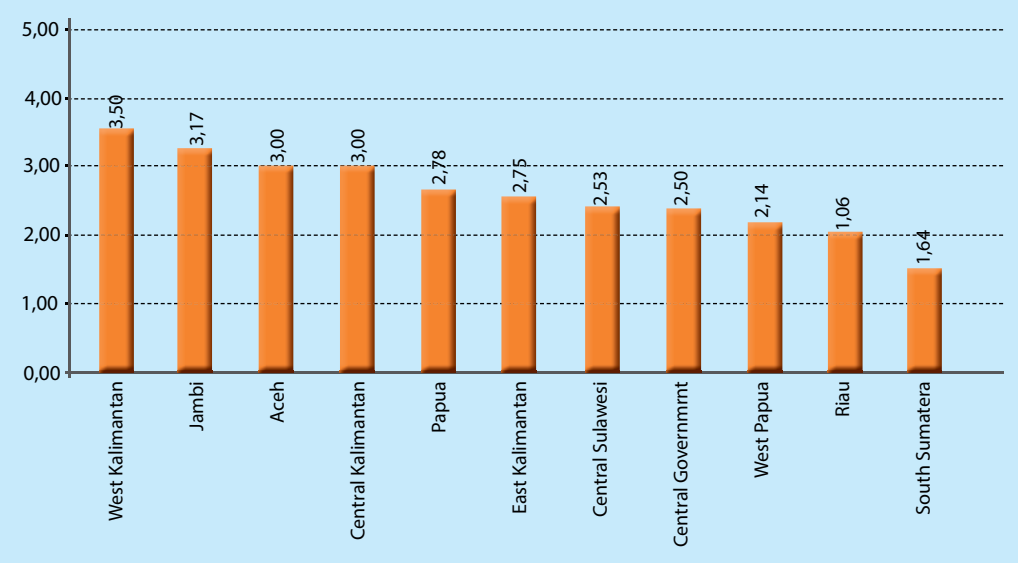


Diagram 4.48 Results of the Assessment related to Civil Society Actors' Capacity with Reference to the Issue of the Forest Management at Central and Province Level

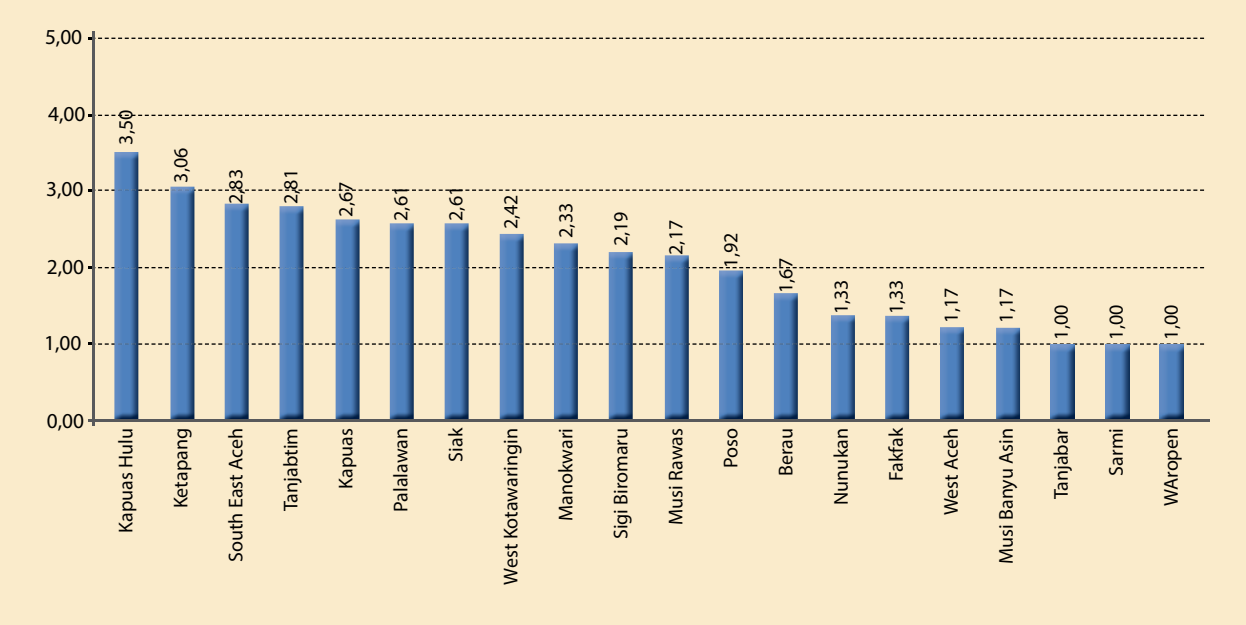


Diagram 4.49 Results of the Assessment related to Civil Society Actors' Capacity with Reference to the Issue of the Forest Management at District Level

The strengths in civil society in this issue of forest management are the number of NGOs conducting monitoring of licensing processes. NGOs such as Greenomics are active, as are HUMA, which also works on good forest governance issues. Walhi is the driving force behind a coalition of NGOs dedicated to protecting the country's forests, with a membership including ICEL, Jikalahari, Save our Borneo (SOB), ICW, Greenpeace, KPSHK, JKPP, Sawit Watch, Bank information Center (BIC), Debt Watch, and the Anti-Forest-Mafia Coalition (*Koalisasi Anti Mafia Kehutanan*). Whenever a policy is identified as having detrimental effects, these NGOs will announce it publically and build a coalition with other NGOs in the affected regions.

Several NGOs are embedding new kinds of practices in monitoring licensing and the management of conservation areas by directly involving local communities and teaching them how to use new digital and internet-based technologies. Local people document the activities of companies in localities by taking digital photos and sharing them through the online 'enviro map' network. In this way, local people directly participate in environmental monitoring and the protection of conservation areas, as well as monitoring related issues, such as water quality.

There are quite a few NGOs currently working to improve the capacities of Indigenous and other local peoples, such as Yayasan Petak Danum, Poker SHK in Central Kalimantan, the Walhi networks across the country, KPSHK, HUMA, Epistema, and the Indonesian Farmers' Association (*Serikat Petani Indonesia*). The numbers of NGOs working to increase capacities and conduct monitoring, however, are small compared to the numbers of people dependent on forests and the expanse of forest areas.

These limitations are related to insufficient funding levels at the NGOs. Funding from government sources, such as 'social assistance funds' from provincial budgets, are not being allocated to activities of this kind because members of the legislative are not prioritizing this issue when it comes to determine policy on the allocation of budgetary funds. If these funds were allocated to Indigenous Peoples, women and local peoples to increase their capacities and supervisory roles, targets would more likely be met. The fact remains, however, that government officials tend to view NGOs and Indigenous communities as threats to the authority of the government and their way of managing forest resources.

5) The Issue of Law Enforcement and Control over Legal Processes

Diagram 4.50 present the results of the assessment of civil society actors' capacities in regards to the issue of law enforcement and control over legal processes. Four provinces received the highest score of 3.25 – Riau, West Kalimantan, Central Kalimantan and East Kalimantan. In the districts, Kapuas received the highest score of 3.50, followed by Musi Rawas with 3.00 and a number of districts received the next highest score of 2.75. As has been found in other parts of the index, the score at the central level tends to be higher than in the provinces, and the scores in the provinces higher than in the districts.

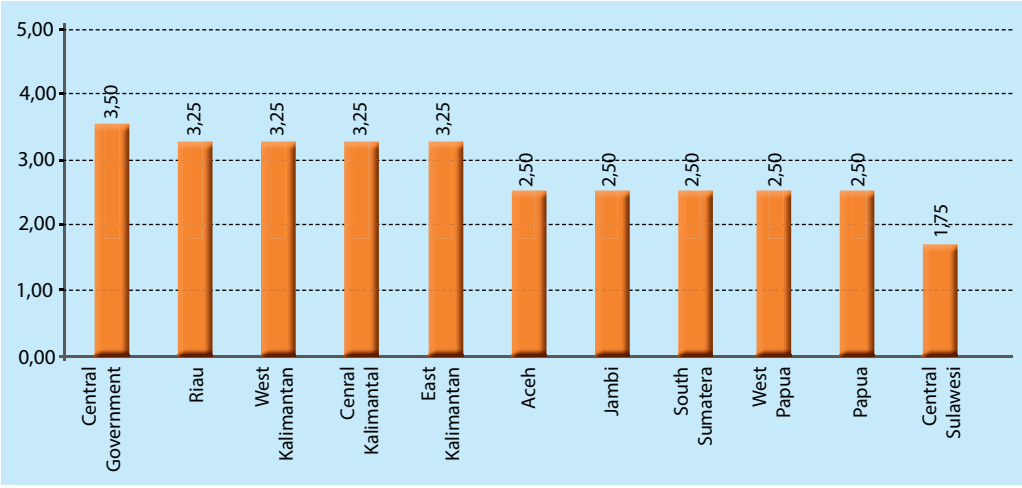


Diagram 4.50 Results of the Assessment related to Civil Society Actors' Capacity with Reference to the Issue of the Law Enforcement and Control over Legal Processes at Central and Province Level

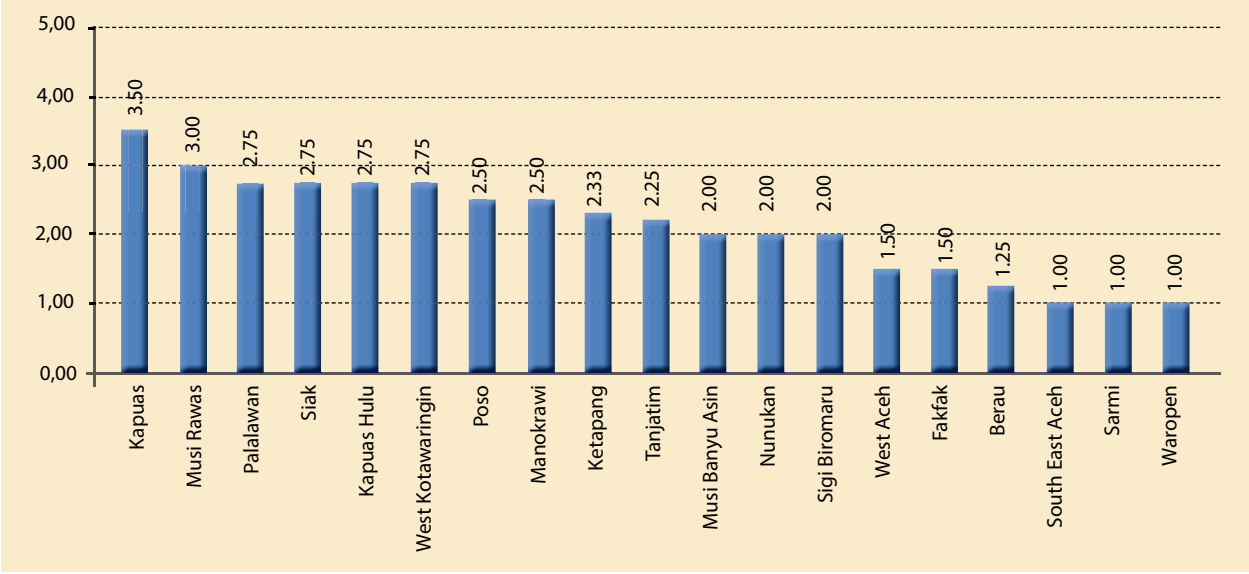


Diagram 4.51 Results of the Assessment related to Civil Society Actors' Capacity with Reference to the Issue of the Law Enforcement and Control over Legal Processes at District Level

Civil society actors possess several strengths in the issue of law enforcement and control over legal processes. All branches of the Walhi network, for example, whether at the central level or the affiliates in the 10 provinces surveyed, receive complaints from civil society about forestry problems. Complaints – including allegatios of human rights violations - are also received by Sawit Watch, Jatam, Forest Monitoring Network (*Jaringan Pemantauan Hutan*), Telapak, Greenpeace Indonesia, HUMA, Legal Aid Institute (*Lembaga Bantuan Hukum* – LBH), ICW and Kontras. Several NGOs at local levels are also involved in these activities, linking up to networks at the provincial and central levels. The kinds of complaints handled refer to problems of corruption, planning, rights, management, as well as forestry crimes.

Institutions at the central level do not have the kinds of networking relationships for handling complaints from the sub-national levels. Government agencies in the regions have also not opened special desks to receive complaints about forestry management.

In general, these civil society actors have standard operating procedures (SOPs) and, in several cases, they are of a very high standard. While provinces such as West Papua and Aceh, and districts such as Sarmi and Waropean all have systems in place to manage often complex complaints, their number is very limited. The 'channeling' of complaints through NGO networks is also limited, and institutions at the central level do not have the kinds of networking relationships for handling complaints from the sub-national levels. Government agencies in the regions have also not opened special desks to receive complaints about forestry management. As a result, many problems are not handled through institutions but rather through other, unregulated means. There is always a risk that the unregulated practice could lead to violence, especially in relation to disputes over boundaries and overlapping claims.

6) The Issue of REDD+ Infrastructure

In terms of civil society capacities to assist developing REDD+ infrastructure, the three provinces receiving the highest scores were West Kalimantan (2.75), Papua (2.47) and Central Kalimantan (2.39). The three lowest-scoring provinces were Jambi, East Kalimantan and West Papua (each receiving a score of 2.00). On average, the scores recorded at the provincial level are still lower than that recorded in the centre (4.52). (See Diagram 4.52)

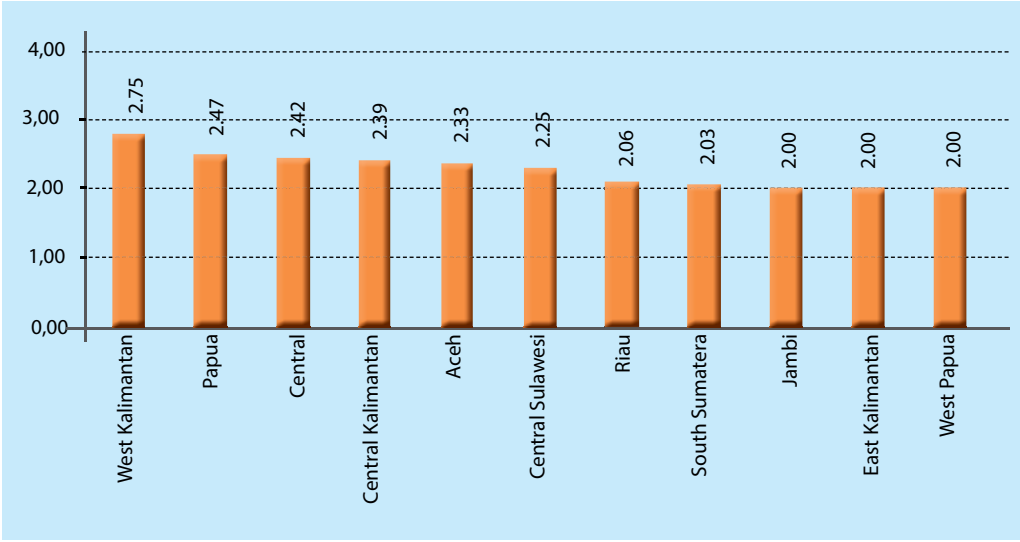


Diagram 4.52 Results of the Assessment related to Civil Society Actors' Capacity with Reference to the Issue of the REDD+ Infrastructure at Central and Province Level

The qualitative analysis approach revealed that a number of NGOs were conducting monitoring on this issue, but with a limited scope. NGOs such as Walhi, Greenpeace, Greenomics, ICEL and HUMA were more inclined to monitor government policy. Monitoring of the preparation and implementation of REDD+ was mostly done by

NGO networks such as those established in Central Sulawesi and Central Kalimantan. Knowledge of and exchange among the activists of these NGOs was also increased by participating in the meetings and trainings held around REDD+ issues.

There has also been an increase in new reports on REDD+ issues in media such as Antara, The Jakarta Post, Tempo, Media Indonesia, and Kompas, which has a special column on environmental issues and health. At the provincial level, media reports usually cover activities supported by the government or REDD+ projects, which have also sponsored trainings for journalists in several areas.

The monitoring and advocacy roles of NGOs are falling short of demand in terms of both capacity and scope. Not all regions have NGOs monitoring the preparation and implementation of REDD+ activities.

While strengths in the roles of civil society and the media are noticeable, some aspects still need further strengthening. The monitoring and advocacy roles of NGOs are falling short of demand in terms of both capacity and scope. Not all regions have NGOs monitoring the preparation and implementation of REDD+ activities. The number of journalists and media outlets reporting on REDD+ issues is also very limited. Two main reasons were identified in this regard. Firstly, REDD+ issues require special capabilities and skills in order to digest and then convey them in news items readily understandable to the public. Secondly, REDD+ has yet to become prominent as a 'media agenda item', due to political-media reasons. For the moment, REDD+ is not yet a subject treated regularly in the media.

Civil society actors are an important force in controlling public policy and empowering society. Their roles and efforts are important in pushing for improvements in forest, land and REDD+ governance. NGOs, academics and journalists usually have high mobility and work across administrative boundaries. The roles of these groups become even stronger and more effective when they are active at the district level.

The main problem is the significant gaps between the capacities of actors at the central, provincial and district levels. A significant disparity in capacities is also evident within these levels. If all 10 provinces involved in this assessment are to be the location of REDD+ activities, increasing the capacities of civil society actors within them needs to be done. The same needs to be accommodated for local NGOs, scholars and reporters at the district level. Government and donor agencies need to extend their reach.

4.3.4 Index Component D: Communities (Indigenous Peoples, women and local communities)

The overall index score for the component on the capacity of communities (Component D) in this forest, land and REDD+ governance assessment is 2.38. The score is a composite of the average scores obtained at the central level and in the 10 provinces and 20 districts covered in the assessment. As shown in Diagram 4.16, the overall score in this component measuring the capacity of Indigenous Peoples and local communities is the average of the scores recorded in the six issues of good forest governance: forestry and spatial planning (2.61); regulation of rights (2.79); forest organization (2.61); forest

management (2.25); law enforcement and control over legal processes (2.41), and; REDD+ infrastructure (1.64).

Diagram 4.53 Breakdown of the Index Scores of the Capacity Component for Communities

Forest and REDD+ Governance Issues	Central Government	Province	District	Average
Issues 1: Spatial and Forest Planning	3.25	2.46	2.11	2.61
Issues 2: Rights to land and forest resources	3.38	2.72	2.27	2.79
Issues 3: Forest Organization	3.33	2.43	2.05	2.61
Issues 4: Forest Management	2.60	2.30	1.85	2.25
Issues 5: Control and Enforcement	3.00	2.45	1.79	2.41
Issues 6: Infrastructure of REDD+	2.13	1.80	NA	1.64

The assessment attributed a score of 2.95 to the capacity of communities at the central level. This is higher than the average score recorded at the provincial level of 2.36 and much higher than the score of 1.85 at the district level. This phenomenon has been noted in many other sections of this report, wherein the capacities of different actors have been found to be greater at the central than in the provinces, and the provinces have higher capacities compared to the districts. This is a serious problem because most of the challenges are occurring and being encountered at the sub-national levels, where there should be an equivalent level of robust organizations and actors.

Diagram 4.53 also shows that the highest capacities among actors from communities are in relation to the principle of regulation of rights, followed by forest organization. This indicates that actors from this group pay greater attention to issues of forest and land management rights. Problems associated with the partiality of government in relating to communities have caused local people's organizations to strengthen their capacities in order to influence policy. These groups have also taken steps to improve their internal systems so that the autonomous forest management they conduct is more transparent, accountable and effective.

As depicted in Diagram 4.54, the three provinces with the highest scores for the capacity of their communities are West Kalimantan (3.39), Central Sulawesi (2.86) and Central Kalimantan (2.56).

At the district level, as shown in Diagram 4.55, two districts in Kalimantan and one in Sumatra obtained relatively high scores, namely, Kapuas Hulu (2.75), Berau (2.69) and Musi Rawas (2.48).

The tables also show the low scores recorded in several provinces and districts. The three lowest-scoring provinces were South Sumatra (1.37), Jambi (2.04) and Riau (2.05). The three lowest-scoring districts were Nunukan (1,08), West Tanjung Jabang (1.17) and West Aceh (1.38). While the higher-ranking provinces and districts were generally found

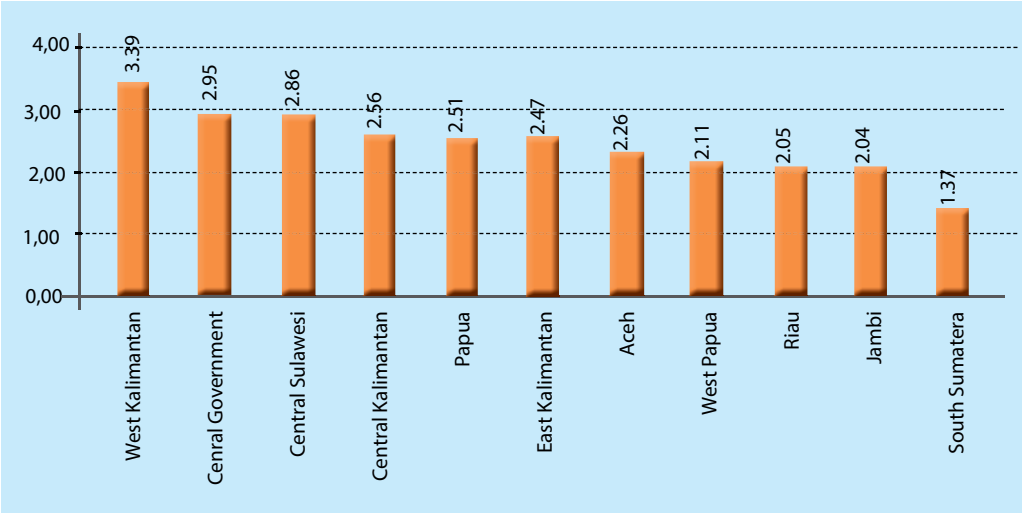


Diagram 4.54
Index Scores of the Capacity Component for Communities at Central and Province Level

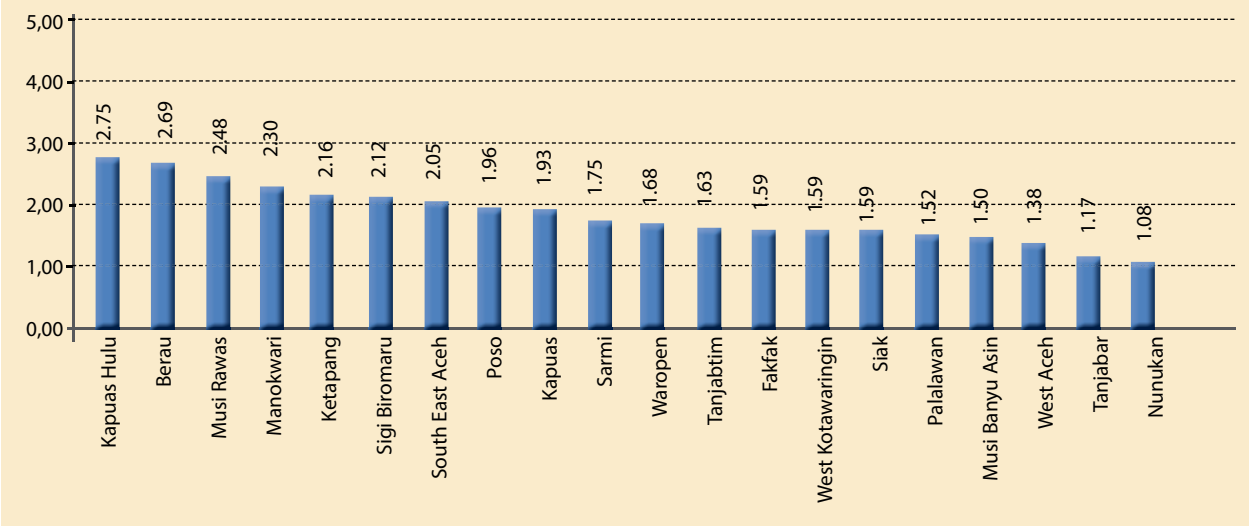


Diagram 4.55
Index Scores of the Capacity Component for Communities at District Level

in Kalimantan, the three provinces and districts with the lowest scores are all found in the Sumatran islands.

When the results are viewed in terms of the principles of good forest, land and REDD+ governance, as in Diagram 4.56, the principle of transparency received the highest average score of 2.94, followed by the score of 2.55 registered in the participation principle, a score of 2.42 for the accountability principle and 2.24 for the capacity principle.

The figures indicate that the capacity of communities is strongest in terms of transparency, especially at the central level, where a score of 3.75 was recorded, and that the participation score was also relatively high, at 3.03. These scores reflect the efforts of communities to involve their members in transparent decision-making. The capacities of communities at the district level, however, remain very low. Several of the principles

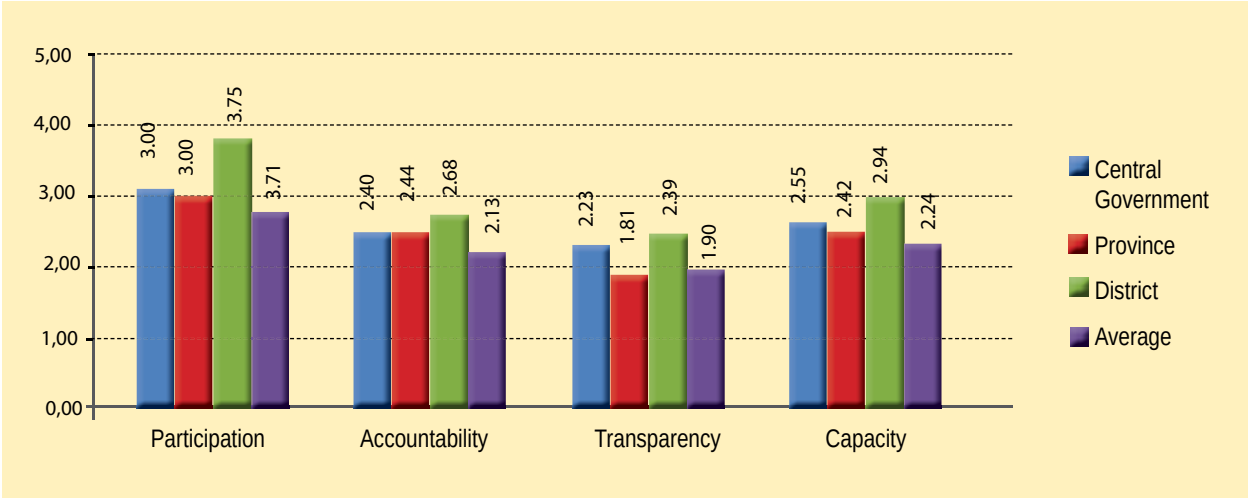


Diagram 4.56 Index Scores of the Capacity Component for Communities Based on Principles

The capacity levels of communities display a significant disparity between central and provincial levels, and between the central level, provinces and districts.

received scores of less than two at the district level, which may be categorized as a very low score. The capacity levels of communities display a significant disparity between central and provincial levels, and between the central level, provinces and districts.

The following sections explain in greater detail the findings of the PGA in relation to the capacities of in communities. The strengths and challenges at the central, provincial and district levels are explored with reference to the results of both qualitative and quantitative inquiries.

1) The Issue of Forestry and Spatial Planning

The results of the assessment of the capacity of communities in matters pertaining to forestry and spatial planning at the provincial level are presented in Diagram 4.57. Three provinces received relatively high scores - West Kalimantan (3.16), Central Sulawesi (2.99) and Papua (2.88). As depicted in Diagram 4.58, three districts are also found at the top-end of the scale, namely Musi Banyu Asin (3.48), Musi Rawas (3.48) and Manokwari (2.97). It is important to note that most of the provinces received scores relatively high (above 3.00), although none scored higher than the central level.

The research revealed that one of the strengths among communities is the relatively high number of activists fighting for their rights in forestry and spatial planning forums, although they are by no means spread evenly, especially not at the district level where the need seems greatest. The struggle in forestry and spatial planning forums is more evident in Jakarta and several provinces that have relatively strong Indigenous People's organizations, such as in West and Central Kalimantan, Central Sulawesi and Aceh. Most of these activists are affiliated with the Indonesian Indigenous Peoples Alliance (*Aliansi*

Masyarakat Adat Nusantara – AMAN) and their networks in the regions. All the provinces cited above have strong AMAN organizations.

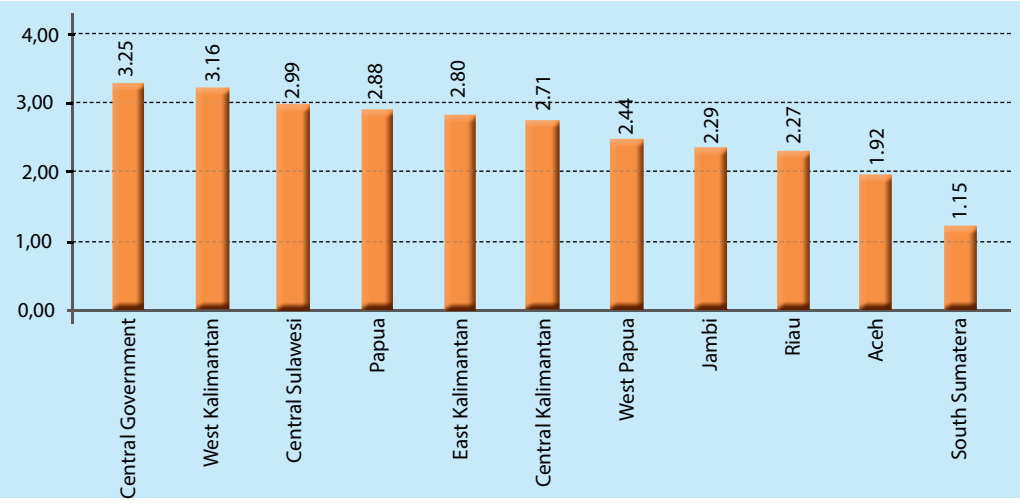


Diagram 4.57 Results of the Assessment of the Capacity of Component for Communities with Reference to the Issue of the Forestry and Spatial Planning at Central and Province Level

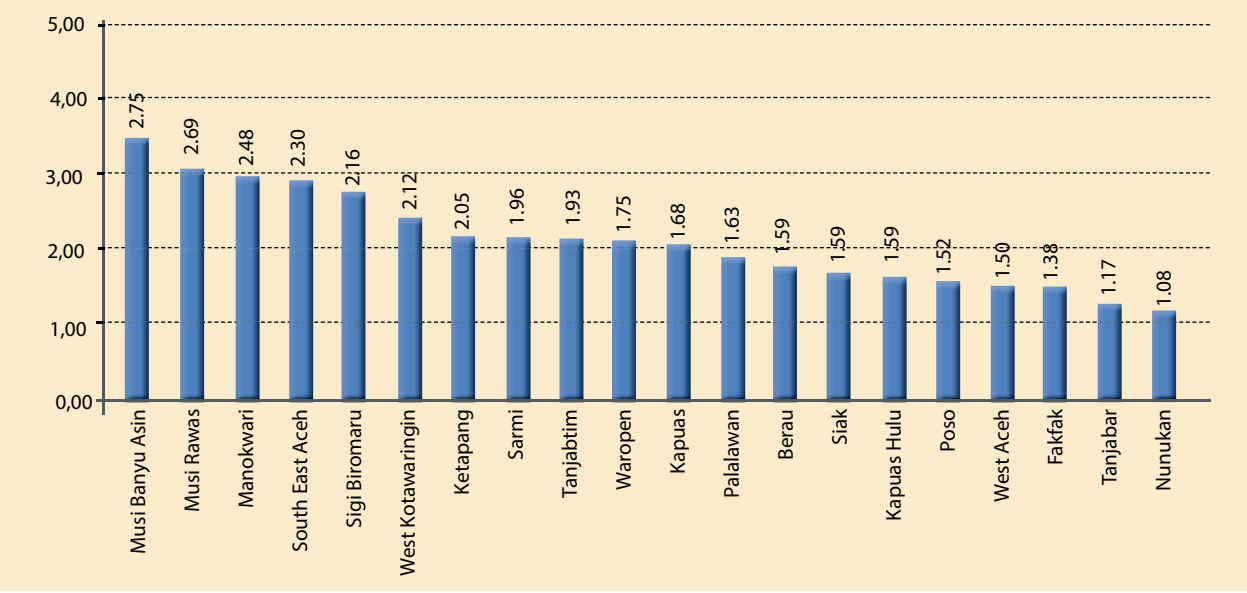


Diagram 4.58 the Results of the Assessment of the Capacity of Component for Indigenous People, Women and Local Communities Actors with Reference to the Issue of the Forestry and Spatial Planning at District Level

Activists from Indigenous and local communities generally provide information and input based on the results of their participatory mapping work, which is run with the support of AMAN itself or other NGOs, such as JKPP, KPSHK, HUMA, Walhi. They have a very good understanding of the different functions and status of forest areas, and their debates surrounding the division or classification of forest areas are informed and supported by their long-standing work and involvement in this area. Their involvement in these activities

As discovered in other aspects of this assessment of forest, land and REDD+ governance, one of the shortcomings is the fact that the number of activists originating from within Indigenous and local communities working to ensure their rights in planning forums is still very limited

also assist local communities to establish internal mechanisms to select their representatives in forestry and spatial planning forums, as well as report on their findings and provide feedback through relevant channels.

As discovered in other aspects of this assessment of forest, land and REDD+ governance, one of the shortcomings is the fact that the number of activists originating from within Indigenous and local communities working to ensure their rights in planning forums is still very limited, as in provinces such as South Sumatra and Riau. This may be because the development of representative organizations for Indigenous and local communities is a process which requires time – particularly at the provincial and district levels. There are problems of limited funding, the number of people willing to work as activists is lower than the need, and the extent of territory that needs to be covered is vast. Another contributing factor is the process of 'co-optation' by which activists are drawn into political parties or other kinds of organizations, whether these are based on ethnic or religious identities or other interests.

While this is the case in many regions, in others the number of Indigenous and local community activists is growing, as in Musi Rawas and Musi Banyu Asin. Groups in these areas are active in fighting for their rights through existing spatial planning forums.

2) The Issue of Regulation of Rights

The index score for the capacity of communities in terms of the issue of regulation of rights shows that three provinces received relatively higher scores. West Kalimantan received a score of 3.71, followed by East Kalimantan with a score of 3.29, and Central Kalimantan received a score of 3.21. (See Diagram 4.59)

Kapuas Hulu district received a relatively high score of 3.83, as depicted in Diagram 4.60. The second highest scoring district was Berau with a score of 3.04, and Manokwari received a score of 2.92. Most of the districts covered in this assessment, however, received lower scores in this issue.

The strengths of communities noted in this issue are directly related to the number of activists and members of Indigenous People's organizations working to support the management of these groups' rights. AMAN, for example, has 15-20 activists working in areas where it maintains a strong presence, such as in West Kalimantan, Central Kalimantan and Central Sulawesi. These activists are instrumental in assisting local people advocating for their rights. Their number increases to as many as 50 activists in areas managed by Indigenous and local communities where conflict has arisen, especially where there are overlapping claims in licenses issued by government authorities.

In addition, written regulations about zoning are in place, especially in regards to traditional forest lands that have already been mapped. There are also internal regulations that cover land use and zoning within traditional lands. For example, the Dayak people

of West Kalimantan use the local terms oedas and tembawang in their zoning system. Forest areas are managed by distributing the seeds of fruit trees and assisting them grow into trees. Fruit trees and other trees are guarded in order to fulfill their function in protecting water resources, and providing food and clean air. In keeping with Dayak traditional beliefs and practices, a ceremony must be held before taking wood from the forest and the amount of wood taken must be in line with needs determined collectively beforehand.

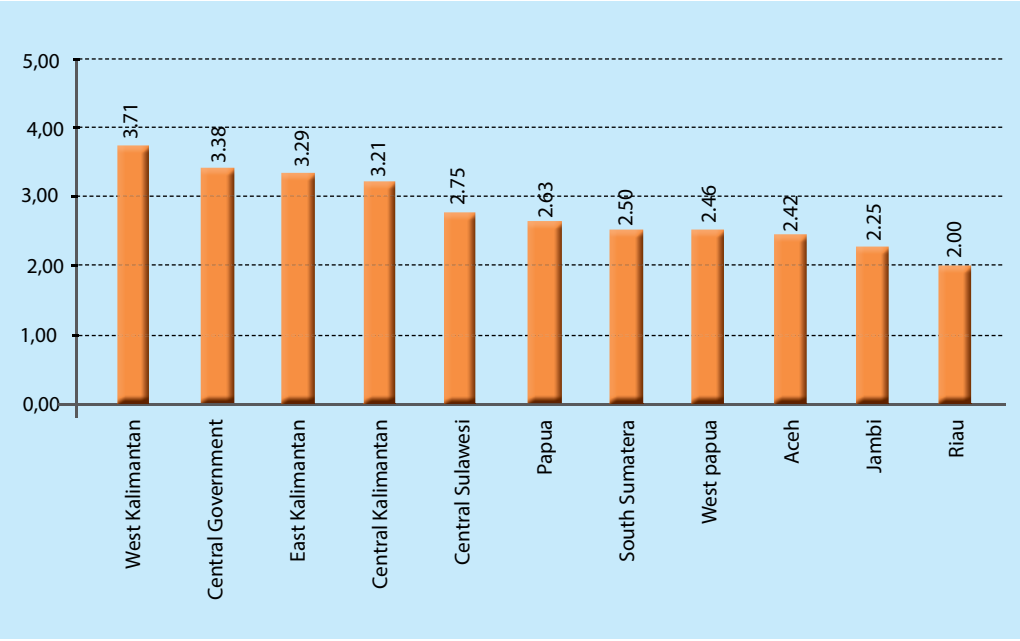


Diagram 4.59 Results of the Assessment of the Capacity of Component for Communities with Reference to the Issue of the Regulation of Rights at Central and Province Level

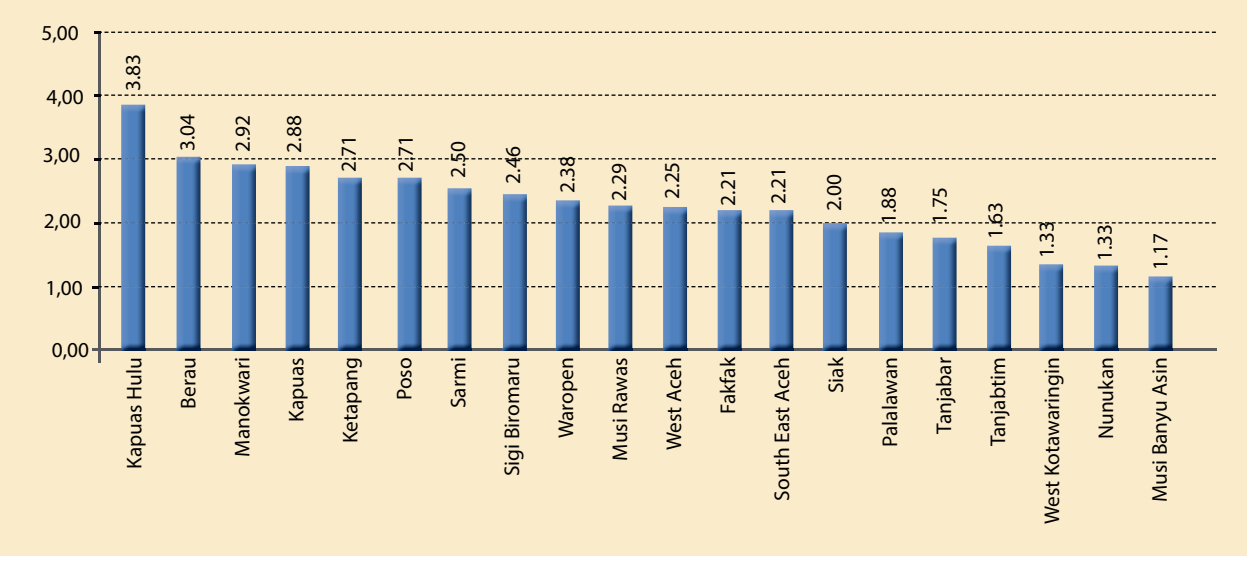


Diagram 4.60 Results of the Assessment of the Capacity of Component for Communities with Reference to the Issue of the Regulation of Rights at District Level

Most activists are concentrated in areas where there is a long history of community leaders fighting and advocating for their rights to manage local forest areas. Regulation of rights issues receive support in West Kalimantan from the Institute of Dayakology *(Institut Dayakologi)*.

AMAN, however, is well aware of the fact that, although such systems are in place in some areas, the number of activists is far too low in comparison to the area that needs to be guarded. Most activists are concentrated in areas where there is a long history of community leaders fighting and advocating for their rights to manage local forest areas. Regulation of rights issues receive support in West Kalimantan from the Institute of Dayakology *(Institut Dayakologi)*. Other organizations of Dayak peoples in Central Kalimantan, however, have not prioritized rights in forest management. Organizations concerned with forest issues are not coming forth to a great extent.

The research revealed that there is a tendency for the advocacy of Indigenous and local people's rights to be driven by non-government organizations (NGOs), which work in the 'front lines'. Indigenous and local people's organizations tend to hand over political and advocacy roles to NGO activists. All this is on top of the fact that young people are apparently less interested in defending or restoring the traditions of their societies, with particular reference here to the political-economic factors that support sustainable forest management.

3) The Issue of Forest Organization

Diagram 4.61 shows the results of the assessment of the capacity of communities in matters of forest organization, with the three highest scoring provinces being: West Papua (3.67), West Kalimantan (3.00) and Central Sulawesi (3.00). The three highest-scoring districts were Poso (3.33), Musi Rawas (3.00) and Kapuas Hulu (3.00). (See Diagram 4.62) Both Kapuas Hulu and Poso districts tend to receive relatively low scores in the six components of good governance and the six associated issues.

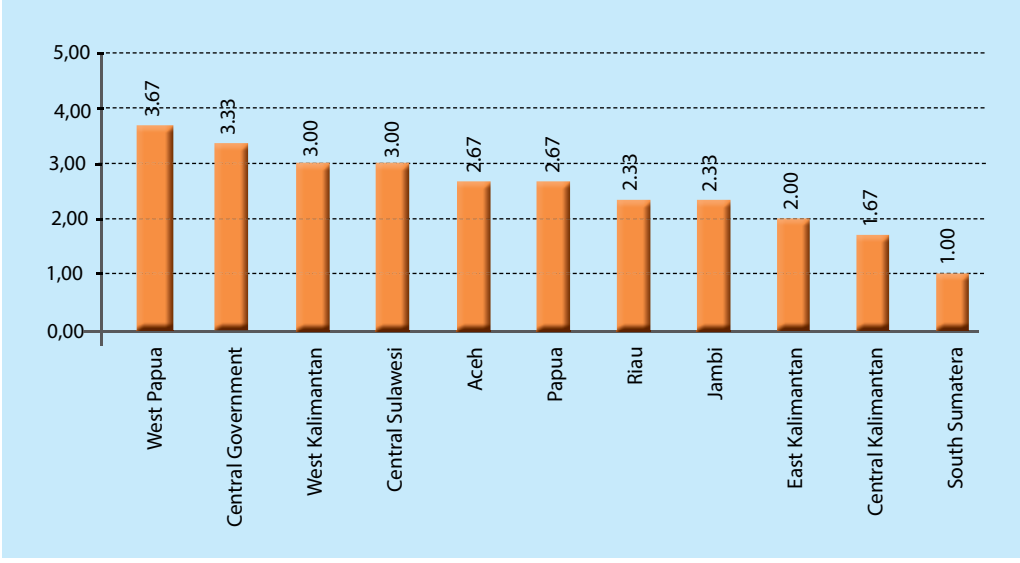


Diagram 4.61 Results of the Assessment of the Capacity of Component for Communities with Reference to the Issue of the Forest Organization at Central and Province Level

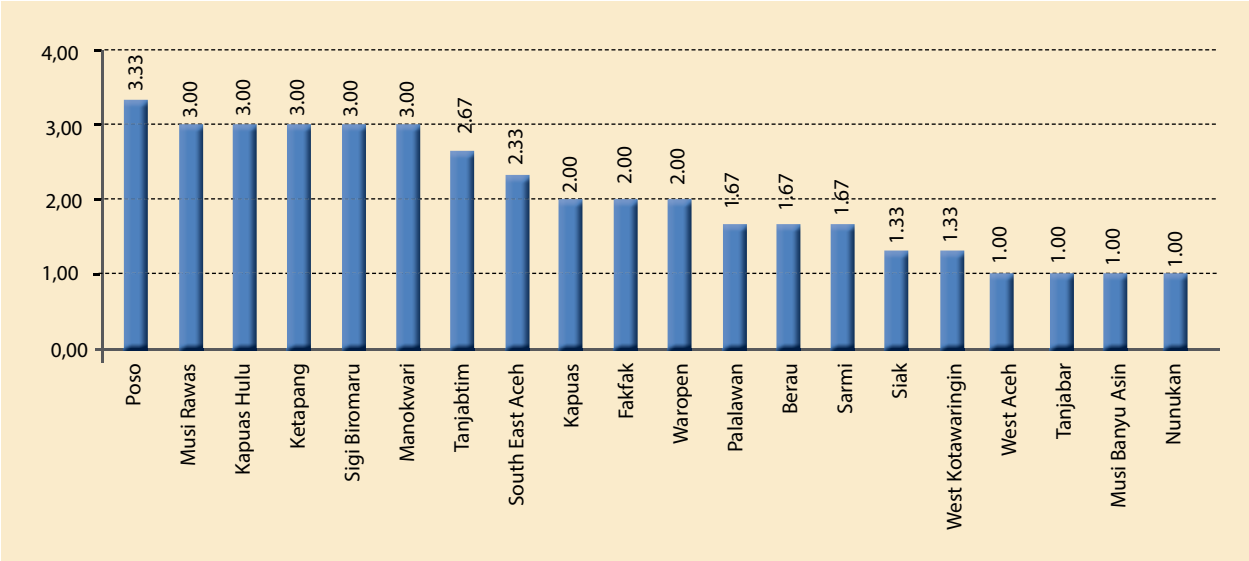


Diagram 4.62 Results of the Assessment of the Capacity of Component for Communities with Reference to the Issue of the Forest Organization at District Level

The research found that Indigenous and local people's organizations that were relatively strong and stable had established good internal organizational mechanisms. In West Papua province, for example, the result of 3.61 was better than at the central level (3.33). One of the strongest factors identfied in this issue of forest organization was the involvement of Indigenous people in multi-stakeholder forums. AMAN – whether at the central or sub-national levels – has established good mechanisms in selecting representatives to join these forums. AMAN affiliates in West and Central Kalimantan provinces and in Central Sulawesi always consider factors such as expertise and gender equity when deciding their representation in decision-making forums. At some levels, women are encouraged to pursue opportunities for participation.

The one weakness observed in this issue of forest organization is that not all Indigenous and local people's organizations have equally effective internal mechanisms for deciding on the group's involvement in broader forums. Representatives tend to be more or less permanent, with the associated risk that this representation is dominated by individuals. Determining who will represent the group is often not discussed in meetings, which in turn leads to difficulty for other members to provide input and to be heard.

Not all Indigenous and local people's organizations have equally effective internal mechanisms for deciding on the group's involvement in broader forums. Representatives tend to be more or less permanent, with the associated risk that this representation is dominated by individuals.

4) The Issue of Forest Management

Diagram 4.63 depicts the results at the provincial level after assessing the capacity of communities in forest management issues

at the provincial level. Two provinces – West and East Kalimantan – received a relatively high score of 4.00, while Papua province received the second highest score (3.00).

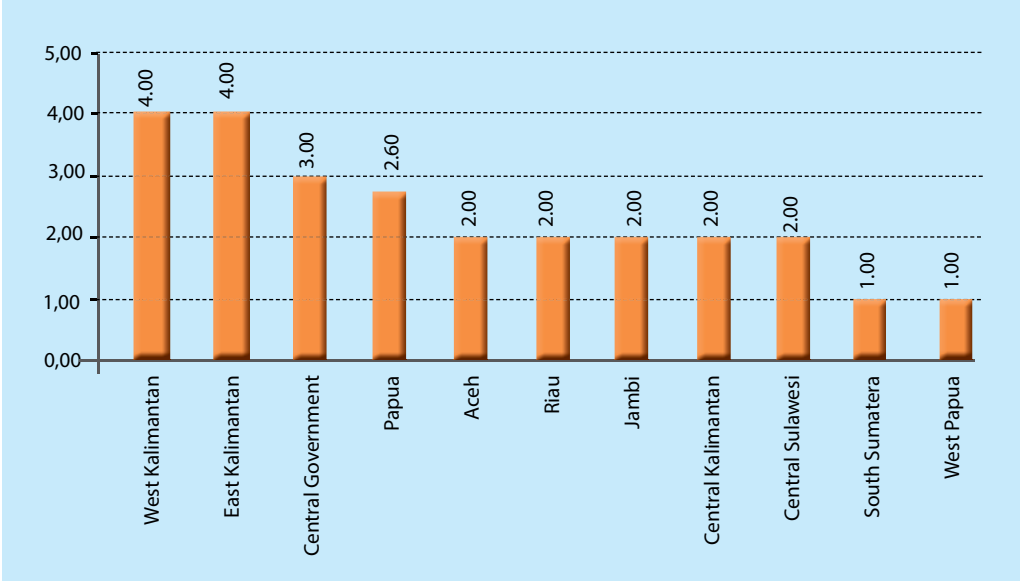


Diagram 4.63 Results of the Assessment of the Capacity of Component for Communities with Reference to the Issue of the Forest Management at Central and Province Level

At the district level, as depicted in Diagram 4.64, Berau received the highest score possible (5.00), and Kapuas Hulu district also scored a high 4.00, while Musi Rawas was the third-highest scoring district with 3.00.

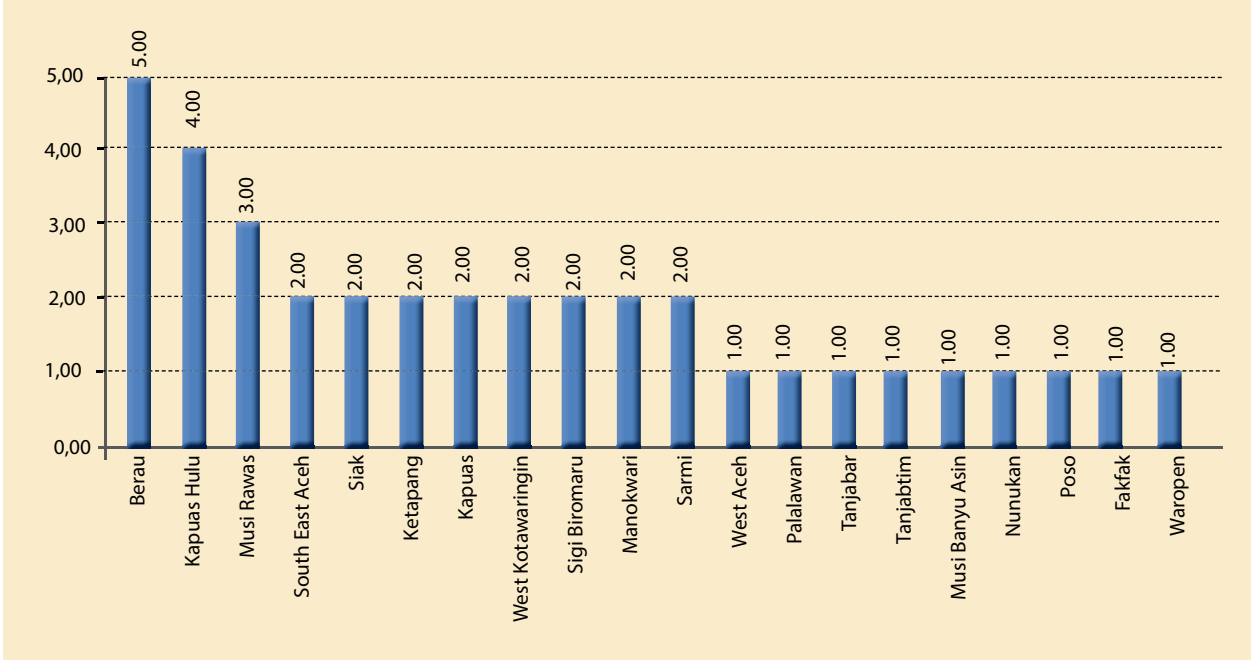


Diagram 4.64 Results of the Assessment of the Capacity of Component for Communities with Reference to the Issue of the Forest Management at District Level

All of these results are comparable to the score registered at the central level. Indeed, several of the regions received scores markedly higher than the central level in terms of the capacities of communities in forest management issues.

the number of partnerships developed by Indigenous and local communities is still very limited, especially in light of the large number of activities that businesses run in forest areas....

In terms of forestry management, communities possess several strengths. Many can be traced back to the partnerships between Indigenous Peoples and environmental groups at the provincial, national and international levels that have focused on developing sustainable forestry models. This type of arrangement has worked well in East and West Kalimantan, Central Sulawesi and Papua. Several kinds of models have been developed with timber companies, such as that between the people of Long Duhun in Berau district and forest concession holder company 'MIM'. Partnerships have also developed with government agencies through village forests (*hutan desa*), community forests (*hutan kemasyarakatan*) and people's forests (*hutan rakyat*).

This partnership approach, however, still has several important shortcomings. AMAN is concerned that the number of partnerships developed by Indigenous and local communities is still very limited, especially in light of the large number of activities that businesses run in forest areas. This may be because certain kinds of partnerships – especially with businesses – are not based on a mutual recognition of each others' rights and presence. Companies experience difficulties in this because they are concerned about the legal implications in their relations with government. At several levels, obstacles were often caused by the government's strict adherence to laws that do not accommodate the rights of Indigenous peoples and women. The government tends to adhere to its licensing regime, which, as mentioned previously, is felt to be unjust and biased. Factors such as these are responsible for the fact that partnerships with Indigenous and local communities are not developing at a rate or in a scope commensurate with the extent of forest areas and the numbers of licenses given by government to business interests.

5) The Issue of Law Enforcement and Control over Legal Processes

The results of the assessment of the capacities of communities in matters of law enforcement and control over legal processes are shown in Diagram 4.65. The three highest-scoring provinces were West Kalimantan (3.89), Central Sulawesi (3.28) and Central Kalimantan (2.94).

The three highest-scoring districts were Berau (3.67), Kapuas Hulu (3.00) and Musi Rawas (2.50). Although several areas received relatively high scores for their capacities in the issue of law enforcement and control over legal processes, most scores were still below 3.00. Several regions with limited numbers of Indigenous and local people's organizations received scores of less than 2.00, which categorizes their results as 'insufficient'. While this is a concern, the scores in several provinces and districts were on par with the central level with a score of 3.00, or exceeded it significantly.

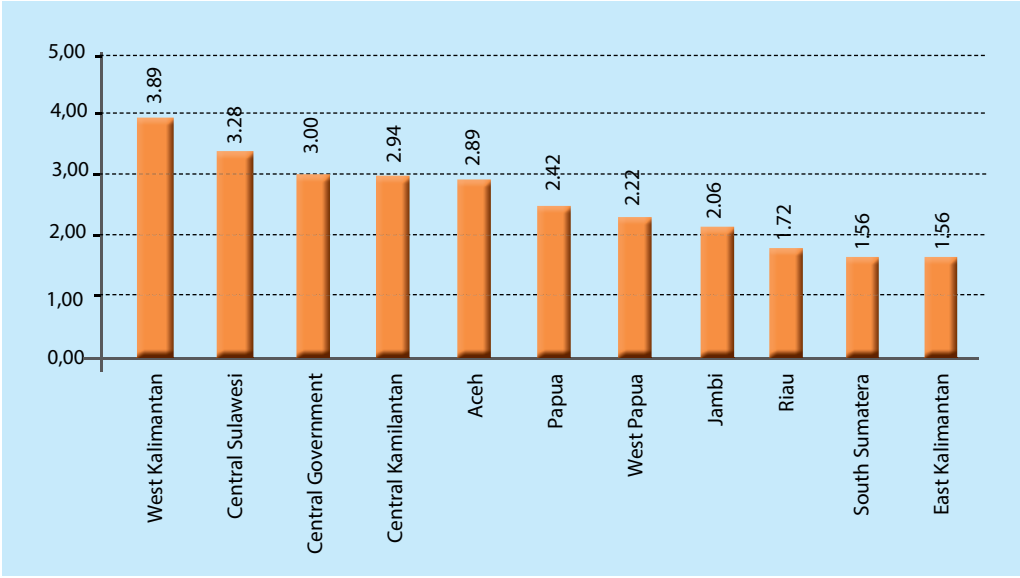


Diagram 4.65
The Results of the Assessment of the Capacity of Component for Indigenous People, Women and Local Communities Actors with Reference tothe Issue of the Law Enforcement and Control at Central and Province Level

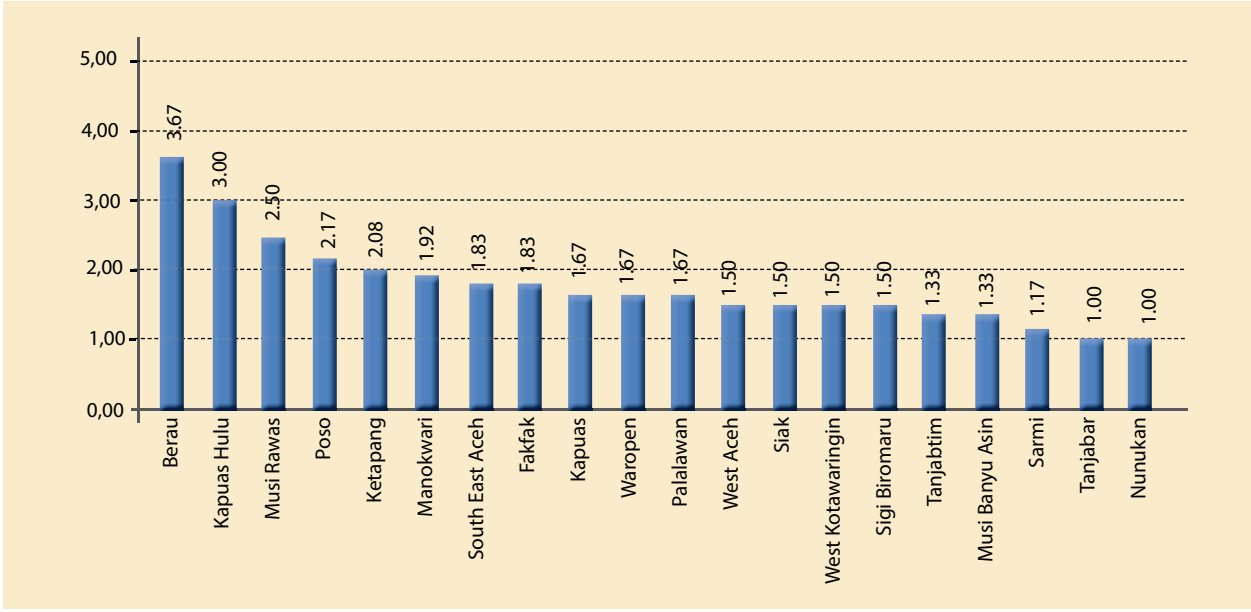


Diagram 4.66
Results of the Assessment of the Capacity of Component for Communities with Reference to the Issue of the Law Enforcement and Control over Legal Processes at District Level

Communities posses a number of strengths and assets in terms of their capacities to meaningfully engage with the issue of law enforcement and control over legal processes. AMAN is developing leaders' monitoring capacities through conducting investigations and also in formulating standard operating procedures (SOPs), such as those trialing in the AMAN affiliates in East and West Kalimantan. Monitoring is conducted at the district level by indigenous people on the activities and land use practices of forest concession holders, such as in Berau, Kapuas, Kapuas Hulu and Sigi.

Control mechanisms internal to Indigenous Peoples and local communities are also in place - in written and unrecorded forms - and adhere to principles of sustainable forest

management (SFM). In Berau district, for example, Indigenous Peoples groups have made kampung (village) rules about the management of natural resources. The rules deal with utilization of the forest and rivers, and were formulated openly in a process that involved many parties, including the local government.

Research by AMAN has shown that Indigenous Peoples conduct many of their affairs according to local traditional (*adat*) systems. If a tree is cut down or land opened without going through adat processes, for example, the perpetrator will be reported through adat channels and will be judged and punished according to adat systems. Where the effectiveness of adat law and legal systems are weak, the forest management suffers accordingly. Documentation has been developed and is being used in government processes. Working through adat systems means that costs can be reduced by, for example, conducting resolution approaches directly in the communities using their meetings places, rather than in the capital of the sub-district (*kecamatan*).

While the strengths should not be undervalued, the shortcomings in the capacities of Indigenous Peoples and local communities in the issue of law enforcement and control over legal processes are apparent. Capacities are limited in conducting monitoring by the low number of personnel available and the extent of their skills. The complaints submitted by local communities still tend to center around conflict over rights, and not so much over forestry crime, corruption or forestry and spatial planning issues. The fact remains that hardly any Indigenous People's organizations have neither SOPs nor specialist personnel tasked with monitoring the activities of government and business in licensing and managing forest areas.

6) The Issue of REDD+ Infrastructure

The results of the assessment of the capacities of communities in this issue are displayed in Diagram 4.67. Three provinces received relatively high scores: Central Sulawesi (3.17), Central Kalimantan (2.81) and West Kalimantan (2.58). The scores received in these three provinces were higher than that recorded at the central level (2.13). This score, however, is still higher than the average score for all the provinces, which comes in at just 1.80, which is far from satisfactory. REDD+ infrastructure scores are lower than any of the other issues of good forest, land and REDD+ governance considered in this assessment.

Despite these generally low results, a number of strengths and positive attributes were observed in this context. Indigenous Peoples have been actively involved in consultative processes preparing for the development of REDD+ infrastructure, such as the REDD+ National Strategy consultations as well as REDD+ Strategy consultations at the provincial level, e.g. in Central Sulawesi and Central Kalimantan. Representatives have also taken positions on regional REDD+ Commissions, as in Central Sulawesi. AMAN has also run capacity development initiatives to improve local people's proposals to become REDD+ project areas. AMAN maintains that what are considered REDD+ practices are already being implemented by local people and they only lack the capacity to engage

with REDD+ systems and report on technical matters, such as carbon emissions.

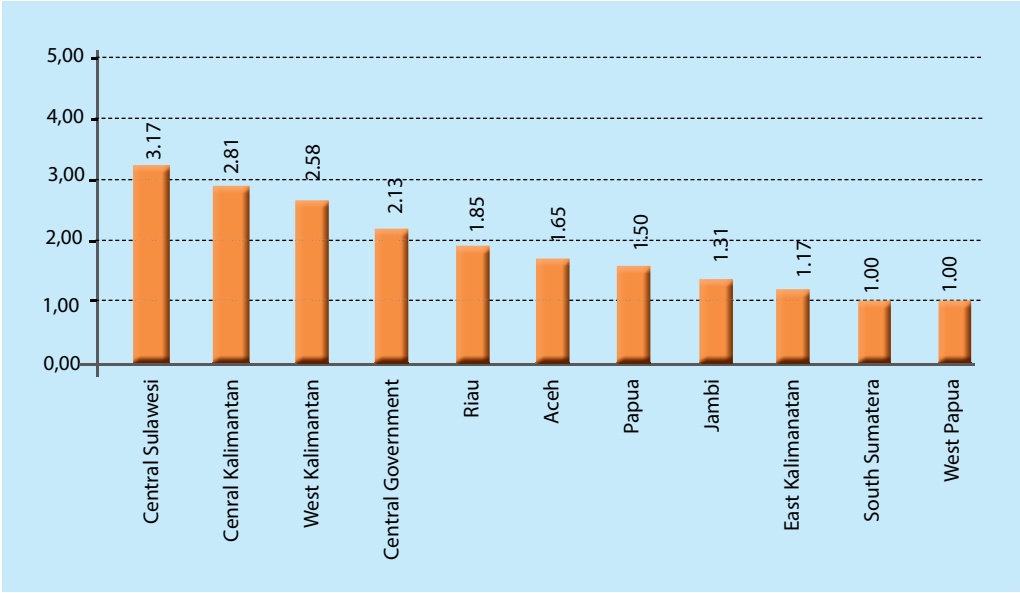


Diagram 4.67 Results of the Assessment of the Capacity of Component for Communities with Reference to the Issue of the REDD+ Infrastructure at Central and Province Level

While such strengths and initiatives are important, Diagram 4.67 shows that lindigenous People's involvement in processes to develop REDD+ infrastructure remain limited at the provincial level, with the exception of Central Sulawesi, which received a score above the mid-range mark. The reason is due to the limited capacity of the organizations representing Indigenous and local communities and the fact that the government has not yet enabled spaces or arenas for these groups to become involved. In fact, the government has not allocated funding specifically to increasing the capacities of Indigenous and local peoples, including assisting them to produce project proposals to become REDD+ locations.

In addition, Indigenous Peoples and local communities are only marginally involved in the commissions tasked with preparing REDD+ infrastructure. Indigenous communities are not represented on the REDD+ Task Force formed by the President, and the same is the case even in areas with high scores on the index, such as the REDD+ Commission of Central Kalimantan. Almost all of the working commissions in the regions tasked with handling the development of REDD+ infrastructure lack a representative from local and Indigenous communities. The technical capacities of indigenous and local communities in REDD+-related issues are limited and there are serious challenges related with stakeholders' understanding of various aspects such as the Measurable, Reportable and Verifiable (MRV) system. The number of Indigenous Peoples monitoring free, prior and informed consent (FPIC) is also very limited. Monitoring activities are still mainly handled by NGOs, even in relatively high-scoring provinces like Central Sulawesi.

Indigenous People's involvement in processes to develop REDD+ infrastructure remain limited at the provincial level

4.3.5 Index Component E: Business Actors

The overall score attached to the capacity of actors from the business community (component E) in this assessment of forest, land and REDD+ governance in 2012 is 2.32. This score is a composite of the score recorded in relation to the six issues of good governance at the central level as well as in the 10 provinces and 20 districts surveyed.

The overall score attached to the capacity of actors from the business community (component E) in this assessment of forest, land and REDD+ governance in 2012 is 2.32.

Diagram 4.68 lists the average scores of this business component according to the six issues: forestry and spatial planning (2.55); regulation of rights (2.18); forest organization (2.37); forest management (2.21); law enforcement and control over legal processes (2.58), and; REDD+ infrastructure (2.05).

As in the case of other actors assessed in this study, the capacities of actors from the

Forest and REDD+ Governance Issues	Central Government	Province	District	Average
Issues 1: Spatial and Forest Planning	3.33	2.79	1.54	2.55
Issues 2: Rights to land and forest resources	2.63	2.04	1.87	2.18
Issues 3: Forest Organization	3.33	2.63	1.13	2.37
Issues 4: Forest Management	2.50	2.30	1.83	2.21
Issues 5: Control and Enforcement	3.08	2.57	2.08	2.58
Issues 6: Infrastructure of REDD+	2.92	2.24	NA	2.05

Diagram 4.68 the Breakdown of the Index Scores of the Capacity Component for Business Actors

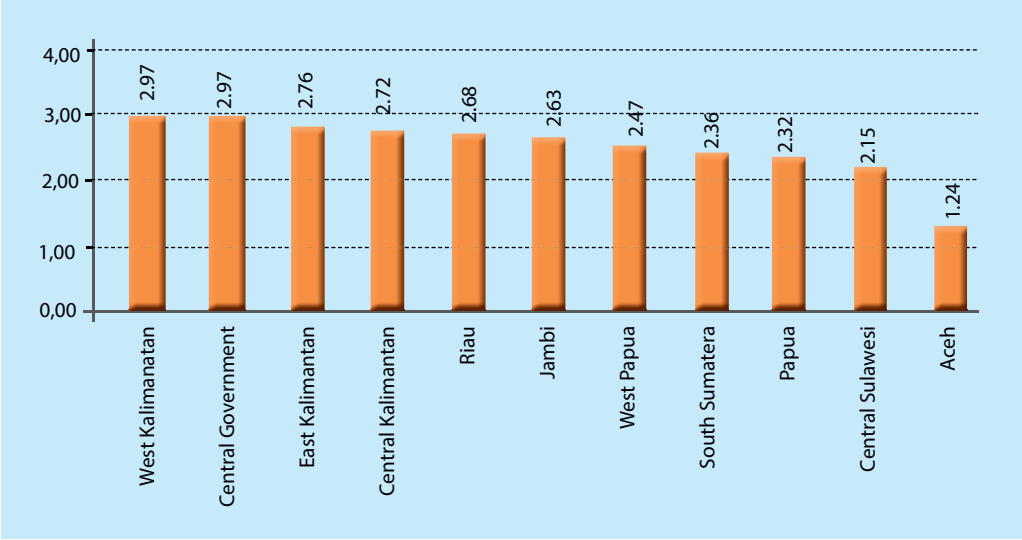


Diagram 4.69 Index Scores of the Capacity Component for Business Actors at Central and Province Level

business sector at central level are higher on average than the level of capacity measured in the provinces and the districts. The central level received a score of 2.97, while the provinces received a score of 2.43, and the districts registered at 1.47. All scores in the index of this component at the national, provincial and district levels are low.

The overall results at the provincial level are displayed in Diagram 4.69. The three highest-scoring provinces were West Kalimantan (3.28), East Kalimantan (2.76) and Central Kalimantan (2.72). The three highest-scoring districts, meanwhile, were Musi Rawas (1.97), Musi Banyu Asin (1.93) and Ketapang (1.85). These results – being below two – are categorized as ''insufficient'. (See Diagram 4.70)

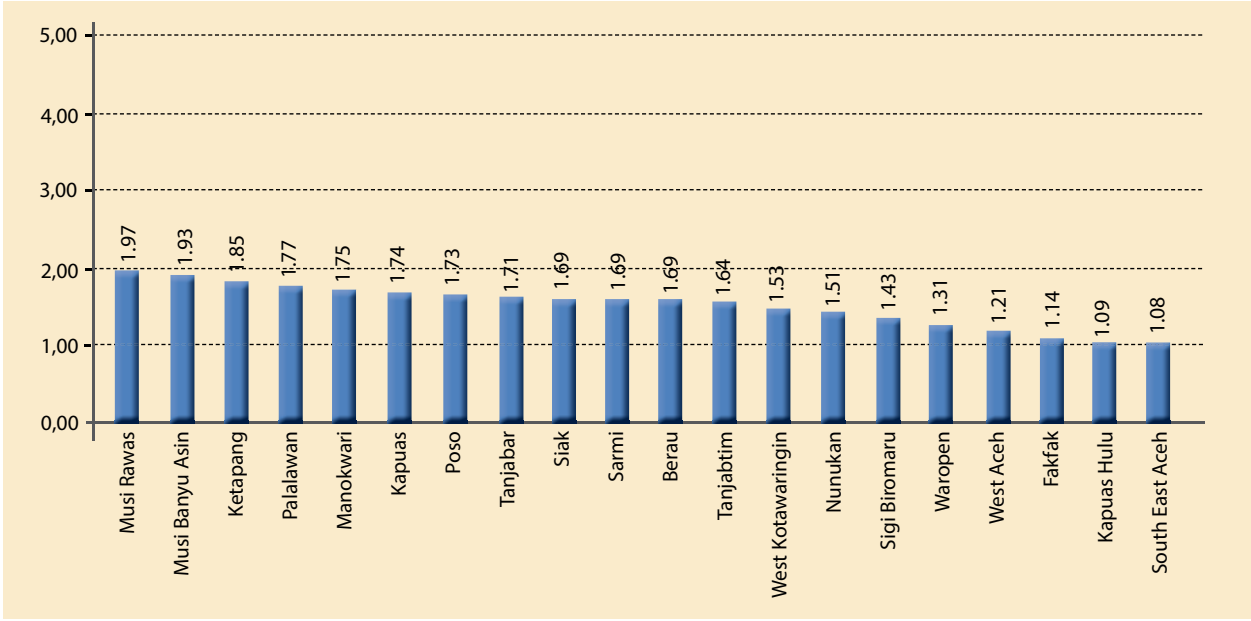


Diagram 4.70 Index Scores of the Capacity Component for Business Actors at District Level

Once again, we see that the scores for the capacities of business actors are at the lower end of the score range. It appears that the closer business actors are to the center of power, the higher their capacities. The results show significant disparities in the distribution of capacities in this component.

The information presented in the diagrams above indicates that there are particularly two sets of capacities among business actors which tend to be higher: forestry and spatial planning, and law enforcement and control over legal processes. There is logic to this because both of these matters are essential to businesses' success and the assessment provides some indications of principles of good governance being implemented, although the low scores indicate that the extent of implementation remains limited. The 'extra value' evident in these two issues may provide impetus to improve the issues of regulation of rights, forest organization, forest management and REDD+ infrastructure.

The fact that the 'top three' scoring provinces were West, East and Central Kalimantan is largely owing to the fact that business actors in all three provinces are organized into a provincial-level association of forest concession holders (HPHI). There are also a number of companies with a relatively high commitment to implement principles of good forest governance and sustainable forestry management. The businesses getting the higher marks in this component pursue both compulsory and voluntary approaches. This is also the case in Musi Rawas district, where the company (PT MHP) also has relatively satisfactory standards of internal governance.

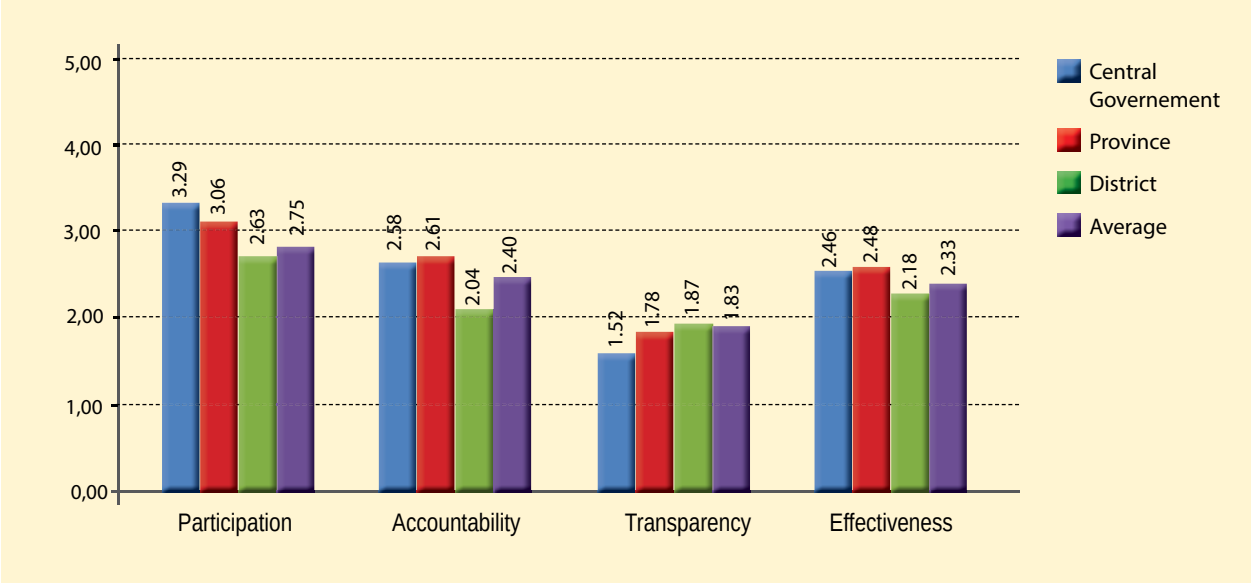


Diagram 4.71 Index Scores of the Capacity Component for Business Actors Based on Governance Principles

By examining the results in terms of the principles of good forest, land and REDD+ governance in Diagram 4.71 it is clear that the principle of accountability received the highest average score (2.48), followed closely by the participation principle (2.46), and then the principle of effectiveness with a score of 2.33 and the principle of transparency registering the lowest score of 2.18.

The index shows that capacities and capabilities among business actors are beginning to improve in matters of accountability and participation, especially at the central level where a score of 3.00 was recorded. In overall terms, however, all scores under three are considered low. It is important to note also that the lowest scores in the index at the central, provincial and district levels were recorded for the principle of transparency. This should be an indication to actors in the business community that they should pay greater attention to improving their capacities in engaging with stakeholders on the issue of transparency.

That the principle of accountability received the highest average score (2.48), followed closely by the participation principle (2.46), and then the principle of effectiveness with a score of 2.33 and the principle of transparency registering the lowest score of 2.18.

Both quantitative and qualitative methods were employed to analyze the strengths and weaknesses of the capacities of business actors at the central, provincial and district levels, in relation to the following six issues of forest, land and REDD+ governance:

1) The Issue of Forestry and Spatial Planning

The results of the assessment of the capacities of business actors in relation to forestry and spatial planning at the central and provincial levels are shown in Diagram 4.72. At the central level, business actors received a score of 3.33, while the highest score for a single province was 3.28, in West Kalimantan, followed by East and Central Kalimantan provinces, which both received a score of 3.06.

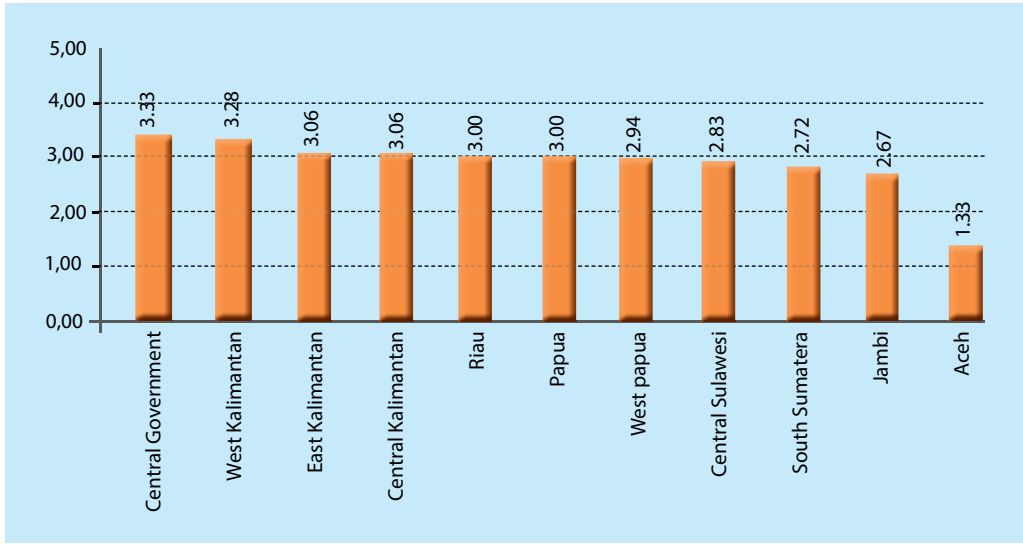


Diagram 4.72 the Results of the Assessment of the Capacity of Component for Business Actors with Reference to the Issue of the Issue of Forestry and Spatial Planning at Central and Province Level

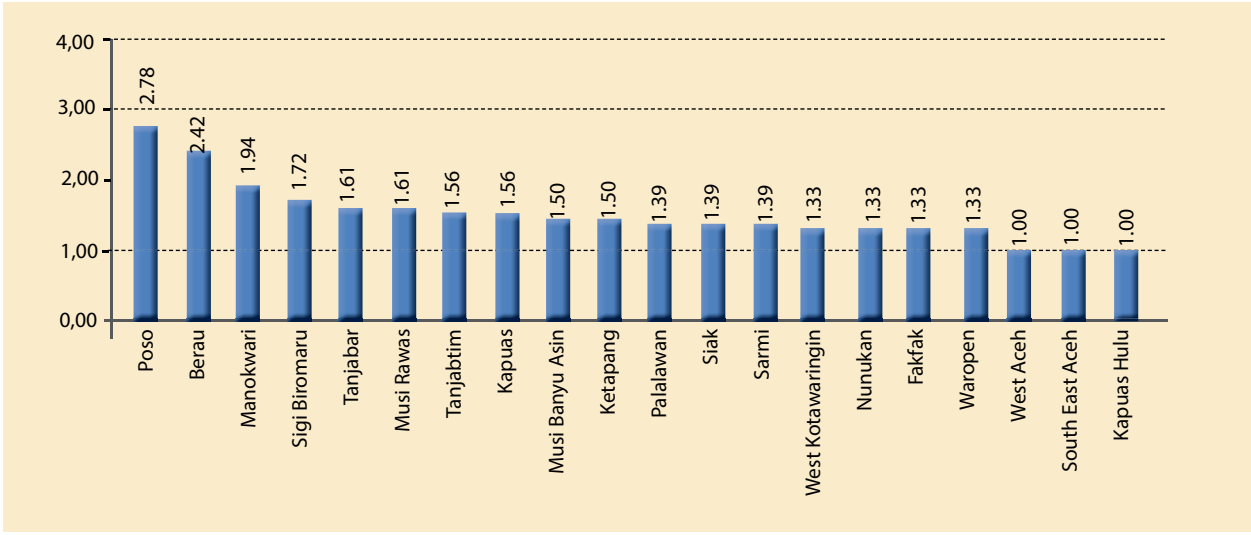


Diagram 4.73 Results of the Assessment of the Capacity of Component for Business Actors with Reference to the Issue of the Issue of Forestry and Spatial Planning at District Level

The three highest-scoring districts, meanwhile, were Poso (2.78), Berau (2.42) and Manokwari (1.94). None of the districts assessed in terms of the capacities of their business actors in the issue of forestry and spatial planning received a score over 3.5.

It is clear from the figures presented that the capacities of business actors at the central level are generally better than capacities noted at the provincial level and the district level. The capacities of business actors recorded at the district level were low, and indeed may be categorized as "insufficient'.

There are a number of strengths, nevertheless, within the business community in matters of forestry and spatial planning and in working towards greater transparency and participation. The Ministry of Forestry always involves the Indonesian Association of Forest Concession Holders (*Asosiasi Pengusaha Hutan Indonesia* - APHI), the Association of Palm Oil Enterprises (*Asosiasi Pengusaha Sawit*) and the Chamber of Commerce (*Kamar Dagang Indonesia* - Kadin) in meetings to deliberate forestry planning issues. The Ministry of Forestry included a representative of APHI in its integrated team and is active in attending spatial planning discussions. Most of the material presented by business actors concerns the instatement or changing of the designations and functions of forest areas, which are generally considered to be incredibly slow processes. APHI attendees at these discussions have their own areas of expertise and concern and report back to APHI through distributing minutes of the meetings or making presentations in their own meetings.

At the provincial level the business community, in the form of associations of forest concession holders and palm oil producers, is also actively involved in forestry and spatial planning forums. This is particularly so where APHI has active branches, such as in East, West and Central Kalimantan, Riau and Papua. APHI members generally ensure that their interests are represented in deliberations on forestry and spatial planning. They then report back during APHI meetings. Although not as active as at the provincial level, government agencies also involve business interests in discussions of forestry and spatial planning at the district level. The difference is that the business community is usually represented by associations at the central and provincial levels, while at the district level it companies are involved in forestry and spatial planning processes.

While these points are important, it must be noted that there are a number of associated challenges as well. The most important is that the involvement of business actors in forestry and spatial planning deliberations have not been formally institutionalized, except at the central level. This is largely attributable to the attitude of provincial governments, which tend to be averse to involving external parties in formal forestry and spatial planning deliberations. It is also linked to the fact that associations of business actors concerned with forest and land management have not formed evenly in all provinces and districts.

The most important is that the involvement of business actors in forestry and spatial planning deliberations have not been formally institutionalized, except at the central level. This is largely attributable to the attitude of provincial governments, which tend to be averse to involving external parties in formal forestry and spatial planning deliberations.

2) The Issue of Regulation of Rights

Diagram 4.74 shows that the score for the capacity of business actors at the central level in relation to the issue of regulation of rights is 2.63. Three provinces received relatively high scores: West Papua (2.57), Central Sulawesi (2.36) and Riau (2.25).

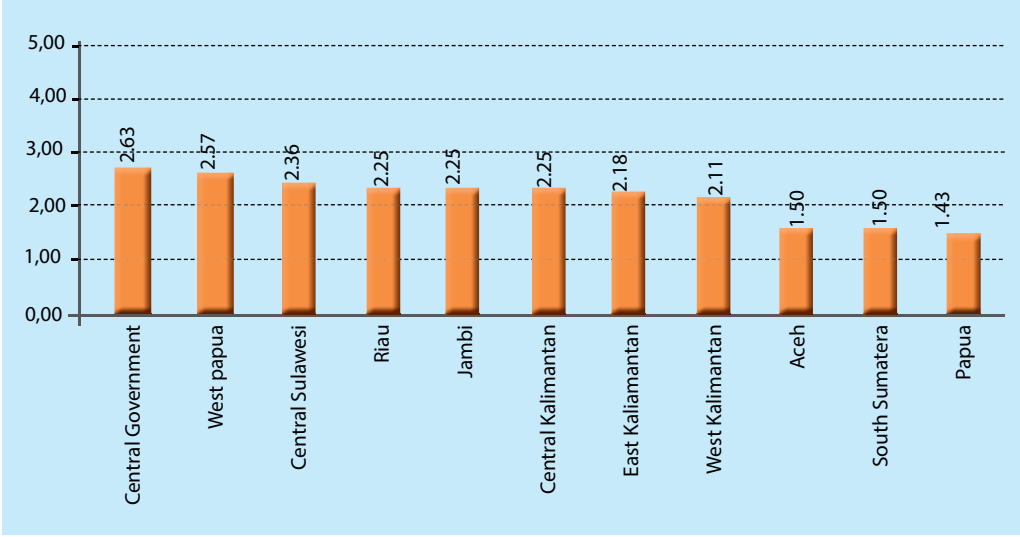


Diagram 4.74 Results of the Assessment of the Capacity of Component for Business Actors with Reference to the Issue of Regulation of Rights at Central and Province Level

The three highest-scoring districts, meanwhile, were Musi Banyu Asin (2.61), Musi Rawas (2.36) and West Aceh (2.29). (See Diagram 4.75) The results show that not one of the districts involved in the PGA received a score which would be considered adequate. Quite the contrary, in relation to business capacities in the regulation of rights, all results may be classified as insufficient.

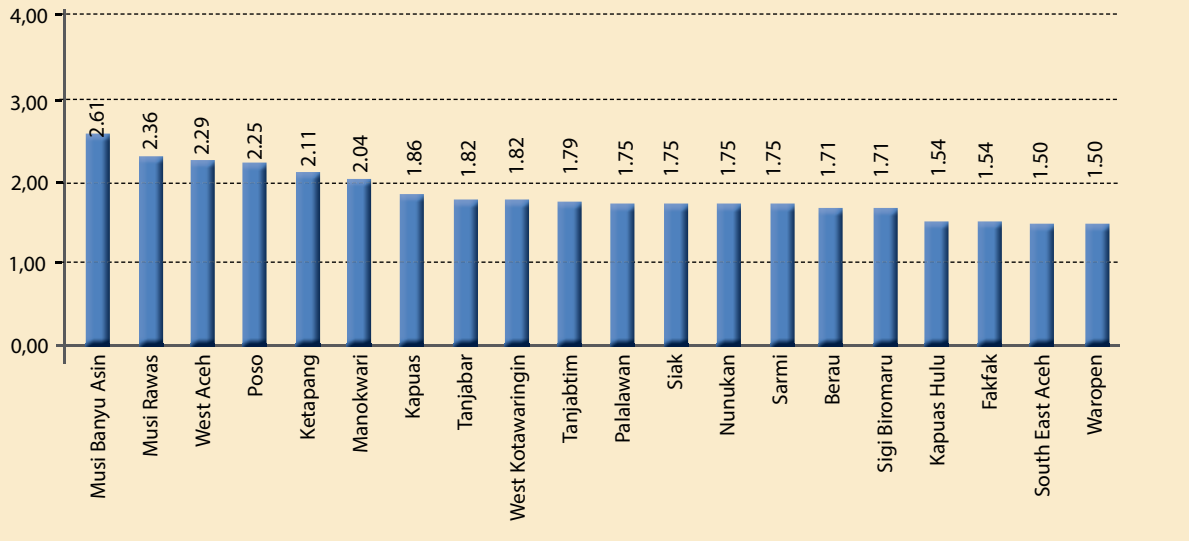


Diagram 4.75 Results of the Assessment of the Capacity of Component for Business Actors with Reference to the Issue of Regulation of Rights at District Level

\While the general conditions are not satisfactory in all regions, there are still several strengths evident among business actors when it comes to regulating rights in a just and effective way. As many as 140 companies operating in forest resources exploitation and as many as 120 operating commercial plantations have social management standard operating procedures (SOPs). These SOPs cover matters such as mechanisms to obtain agreement from local communities for their activities as well as the kinds of data and information that must be provided, such as working areas, annual block working areas and associated maps. Companies also allocate funds to establish and designate the boundaries of their working areas of between Rp 2.5 to Rp 4 million per kilometer.

In general, the mechanisms mentioned above only functioned to: inform local people about the licenses that the company received from the government; collect input on local people's views; offer aid as a form of corporate social responsibility, and; prepare cooperation on certain activities in the field with local people.

While this may be the case, not a single company was identified in this assessment which did not use some degree of force or pressure to obtain agreement from local communities living within and around their working areas. In general, the mechanisms mentioned above only functioned to: inform local people about the licenses that the company received from the government; collect input on local people's views; offer aid as a form of corporate social responsibility, and; prepare cooperation on certain activities in the field with local people. These sorts of mechanisms are not yet in a position to ensure that local people's agreement is sought, much less obtained. The shortcomings are also linked to their role in disseminating information to local people and in the selection of facilitators and the establishment of systems to handle local conflicts. These are the main reasons why business actors in many regions received low scores for their capacities in the regulating rights index.

3) The Issue of Forest Organization

Diagram 4.76 presents the results of the assessment of the capacities of business actors in matters of forest organization. The score at the central level was 3.33, a score matched by one province; Central Kalimantan. Several provinces received the second highest score of 3.00. The three highest-scoring districts, meanwhile, were Sarmi and Waropean with a score of 2.00 each, and Sigi Biromaru with a score of 1.67. (See Diagram 4.77)

These figures describe in general terms a situation in which business actors at the central level and in most of the provinces have the kinds of mechanisms associated with good internal governance, especially those dealing with ensuring their interests are represented externally. This may be described as a strength and tends to exist in regions with associations of forestry enterprises and companies with some internal governance standards.

These mechanisms, however, do not cover matters related to gender equity nor the promotion of women to have the opportunity to participate in multi-stakeholder forums. Furthermore, there are no written rules concerning the means of selecting representatives to these multi-stakeholder forums, which are generally decided in limited

board room discussions. These are the main challenges in relation to the capacities of business actors in regards to matters of forest organization.

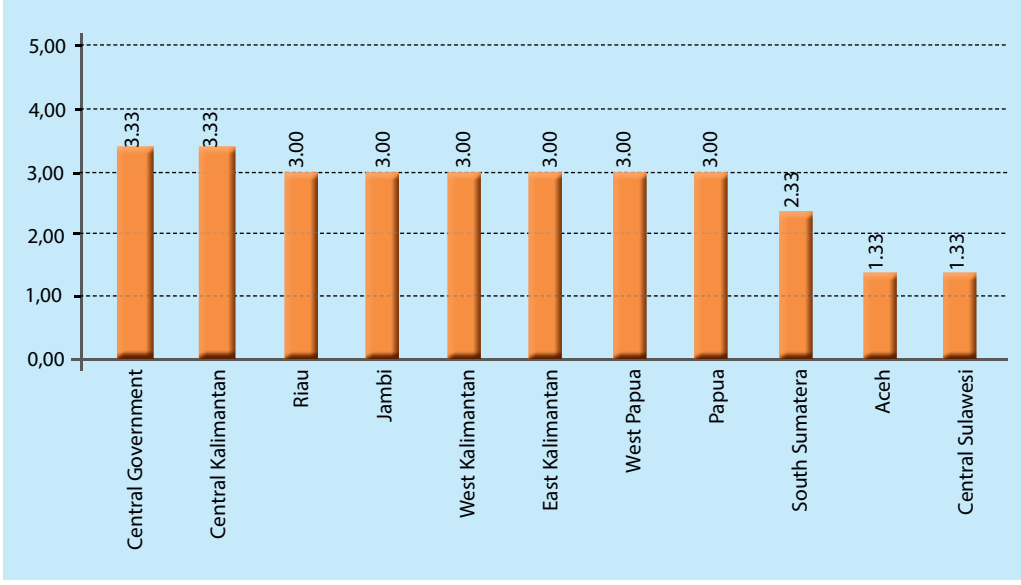


Diagram 4.76 Results of the Assessment of the Capacity of Component for Business Actors with Reference to the Issue of Forest Organization at Central and Province Level

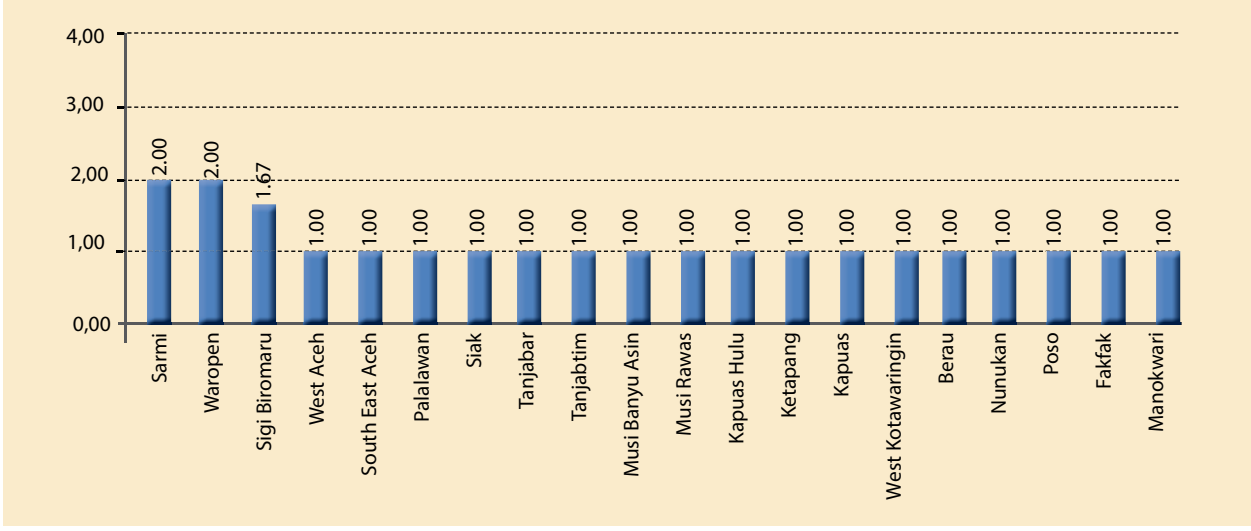


Diagram 4.77 Results of the Assessment of the Capacity of Component for Business Actors with Reference to the Issue of Forest Organization at District Level

4) The Issue of Forest Management

At the central level, the score for business actors' capacities in matters of forest management is 2.50. (See Diagram 4.78) The same score was recorded in eight provinces: Riau, Jambi, South Sumatera, West Kalimantan, Central Kalimantan, East Kalimantan, West Papua and Papua. At the district level, the same score of 2.50 was recorded for the districts

of Palalawan, Siak, Musi Banyu Asin, Ketapang, East Tanjung Jabung, West Tanjung Jabung and Kapuas. (See Diagram 4.79)

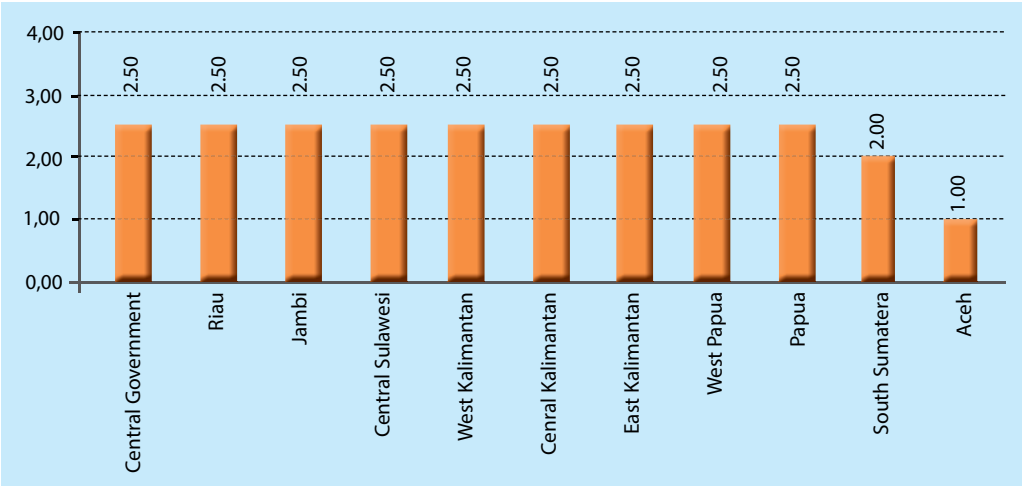


Diagram 4.78 Results of the Assessment of the Capacity of Component for Business Actors with Reference to the Issue of Forest Management at Central and Province Level

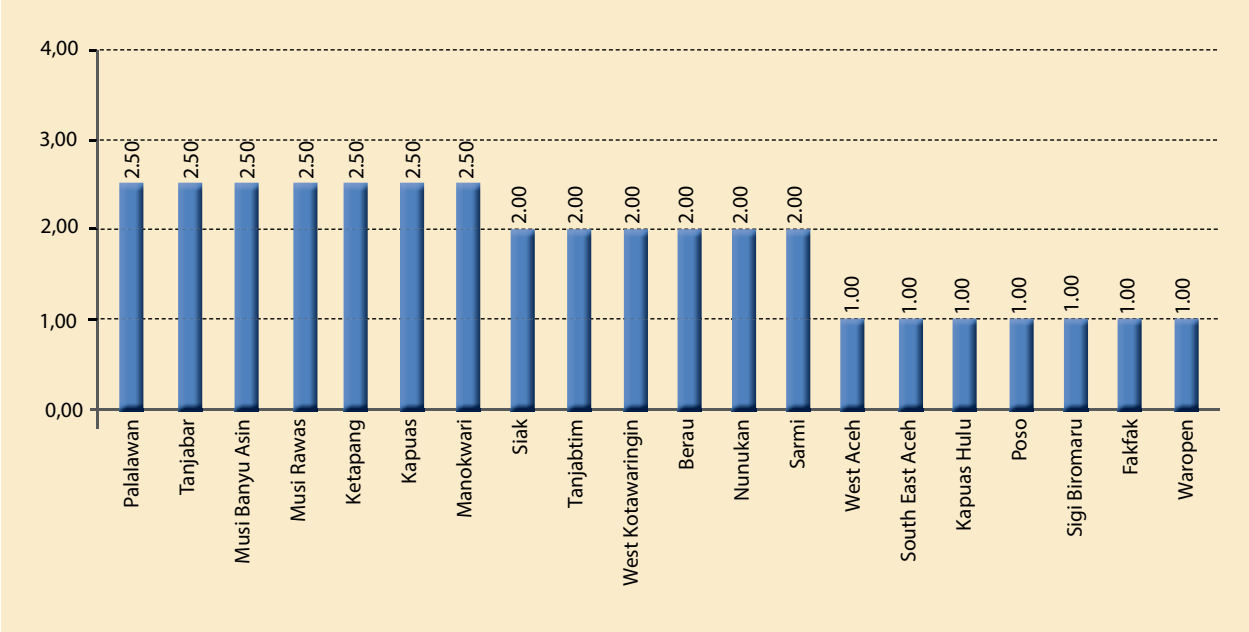


Diagram 4.79 Results of the Assessment of the Capacity of Component for Business Actors with Reference to the Issue of Forest Management at District Level

These scores indicate in general terms that the number of forestry businesses implementing principles of sustainable forest management (SFM) is still very limited. The score at the central level was only 2.50 and it was mirrored at both the provincial and district levels, where scores tend to be lower than for the central level in other assessment categories. The differences between companies adhering to principles of SFM and those

The most significant weakness is that only 20% of companies are adhering to SFM principles, whether they are active or non-active companies. What this means is that, of the 520 companies in the sector, some 416 have not adopted principles of sustainable forestry management and protection.

that are not are great indeed. The practices of those companies that already apply principles of SFM are more sustainable. In some districts, however, such as Musi Rawas, the proportion is relative good.

According to the *Lembaga Ekolabel Indonesia* (Indonesian Ecolabel Institute) in 2012, there were a total of 24 companies implementing SFM principles under mandatory systems in an area of 3,089,866 hectares, and 15 companies adhering to SFM voluntary standards over an area of 1,729,865 hectares. In addition, 21 industrial forestry plantation companies are working within SFM principles in an area of 2,708,599, seven (7) companies are conducting verification of the legal status of wood in natural forest areas, one (1) company in an industrial forestry plantation area and five (5) in a non-state forest area. These kinds of activities are counted as strengths in this component assessing the capacities of business actors in forest management.

The most significant weakness is that only 20% of companies are adhering to SFM principles, whether they are active or non-active companies. What this means is that, of the 520 companies in the sector, some 416 have not adopted principles of sustainable forestry management and protection. This is why the scores are low at the central, provincial and district levels in this issue.

5) The Issue of Law Enforcement and Control over Legal Processes

Diagram 4.80 shows a score of 3.08 for the capacity of business actors in matters of law enforcement at the central level. West Kalimantan province received a much higher score – 3.50 – and five other provinces scored on par with the centre, receiving a core of 3.00.

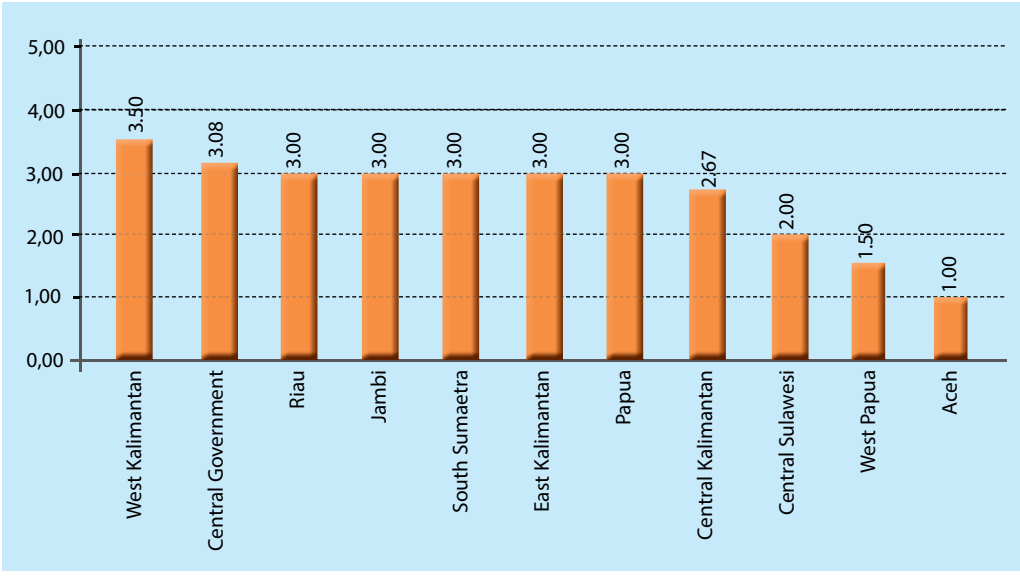


Diagram 4.80 Results of the Assessment of the Capacity of Component for Business Actors with Reference to the Issue of Law Enforcement and Control Legal Processes at the Central and ProvinceLevel

At the district level, meanwhile, Musi Rawas district received a score of 3.33, followed by a number of districts with a score of 3.00. This is another instance in the assessment, not often met, where the capacity of actors at the district level is higher than in the center. On average, however, the central score is still higher than the results obtained across all 20 districts surveyed in this assessment.

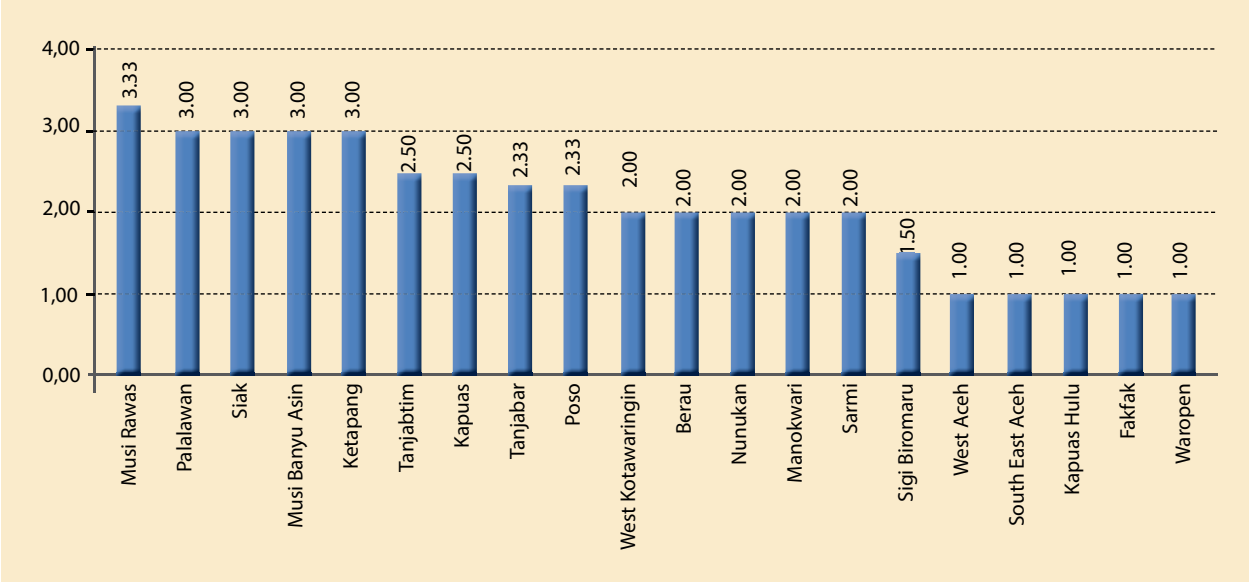


Diagram 4.81 Results of the Assessment of the Capacity of Component for Business Actors with Reference to the Issue of Law Enforcement and Control Legal Processes at the District Level

The business community displays a number of strengths in relation to the issue of law enforcement and control over legal processes. Companies adhering to sustainable forestry principles in general have standard operating procedures (SOPs) and an internal monitoring unit, which monitors activities in the field and financial matters. These SOPs outline what may be done and what may not, such as avoiding steep mountainsides and rivers, prohibiting passage through protected forest areas, and establishing incentives and sanctions for its personnel. These sorts of companies also generally have a code of ethics for implementing good governance.

A number of challenges were evident in the course of the assessment, however, such as the very limited number of companies applying SOPs and a code of ethics. An in-depth view into existing documents reveals that they do not always describe proper procedures for what may and may not be done by the company, and this includes respecting the rights of local people and a commitment to management based on good governance. Other significant 'blind spots' are that many companies have not instated prohibitions against bribing public officials, or directives to support transparency when working in the field and the participation of local people.

A very limited number of companies are applying SOPs and a code of ethics. An in-depth view into existing documents reveals that they do not always describe proper procedures for what may and may not be done by the company, and this includes respecting the rights of local people and a commitment to management based on good governance.

6) The Issue of REDD+ Infrastructure

Diagram 4.82 shows that the capacity of business actors in the issue of REDD+ infrastructure is 2.92. At the provincial level, West Kalimantan received a higher score of 3.42, and other relatively high-scoring provinces were East Kalimantan (2.83) and Central Kalimantan (2.50). Indicative scores at the district level were all very low because the development of REDD+ infrastructure has yet to penetrate to the district level.

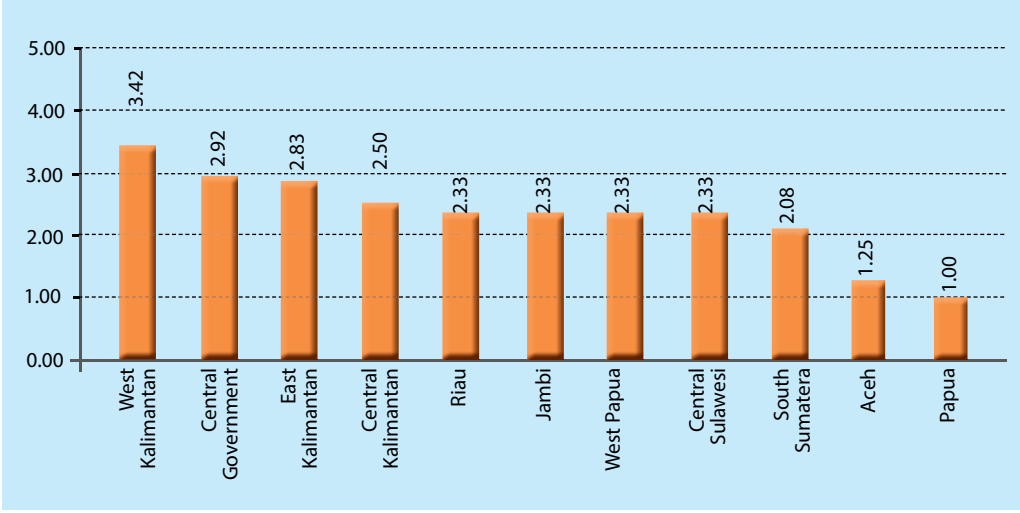


Diagram 4.82 Results of the Assessment of the Capacity of Component for Business Actors with Reference to the Issue of REDD+ Infrastructure at the Central and Province Level

The business community is exhibiting a number of strengths when it comes to the development of REDD+ infrastructure. Business actors were involved in the formulation of the REDD+ Strategy, the moratorium on the release of new licenses and other aspects of the institutionalization of REDD+ in the country. In Central Sulawesi, APHI is represented on the REDD+ working group. In other provinces like West, East and Central Kalimantan as well as in Riau, companies implementing sustainable forestry practices have also supported REDD+ development.

The challenges, however, are significant. Business actors are still only marginally involved in the development of REDD+ infrastructure, and are not represented in formal working groups at the central level or in the provinces, with the exception of Central Sulawesi. Knowledge about REDD+ within the business community is also very limited, and there are no guides to assist them support the development and implementation of REDD+. The association of forest concession holders does not have its own 'blue print' on preparing for the implementation of REDD+.

4.3.6 Index Component F: Performance of the Various Actors

The overall score for the component concerning implementation and performance in this assessment of forest, land and REDD+ governance is 2.08. This is a composite score, tallied from the average scores recorded at the central level as well as in the 10 provinces and 20 districts where the assessment was carried out, as shown in Diagram 4.83.

Forest and REDD+ Governance Issues	Central Government	Province	District	Average
Issues 1: Spatial and Forest Planning	2.75	2.35	1.85	2.32
Issues 2: Rights to land and forest resources	2.35	2.48	1.47	2.10
Issues 3: Forest Organization	2.50	2.40	1.60	2.17
Issues 4: Forest Management	2.25	2.43	1.38	2.02
Issues 5: Control and Enforcement	2.33	2.30	1.16	1.93
Issues 6: Infrastructure of REDD+	2.60	2.27	NA	2.43

Diagram 4.83 the Breakdown of the Index Scores of the Performance Component

Diagram 4.83 also provides a breakdown of the scores achieved at the various levels in regards to the six 'issues' of forest, land and REDD+ governance identified in this study. The issue scores are as follows: forestry and spatial planning (2.32), regulation of rights (2.10), forest organization (2.17), forest management (2.02), law enforcement and control over legal processes (1.93), and REDD+ infrastructure (2.43)

The Diagram also reveals that the final scores at the central level are generally higher than those recorded at the provincial and districts levels. The final score at the central level was 2.46, while the final score at the provincial level was 2.37, and at the district level 1.43. The results of the implementation and performance component are no different to the other components covered in this assessment because they too recorded higher final scores at the central level compared to the provincial and districts levels. However, the overall score for this component is still categorized as 'unsatisfactory'.

In terms of the issues of forest, land and REDD+ governance listed in Diagram 4.83, the highest average score was recorded for the issue of forestry and spatial planning. This reflects a pattern found in the other components, whereby the issue of forestry and spatial planning received higher scores. Within this component covering implementation and performance, the second highest score was recorded for the issue of forest organization, and the third highest score was recorded for the issue of regulation of rights. The issue of regulation of rights can be found in first and second-highest ranking positions in the components of law and policy and the capacities of civil society and Indigenous Peoples and local communities. This indicates that, if the independent variables – the law and policy component and the components relating to the capacities of actors – are adequate, then this will likely be accompanied by a higher score in the implementation and performance component (dependent variable).

Diagram 4.84 depicts the results of the assessment of implementation and performance (component F) in the 10 provinces and at the central level. The three highest-scoring provinces were Central Sulawesi (2.71), Central Kalimantan (2.59) and Papua (2.56). West Kalimantan province does not appear in this group despite the fact that it appears in the 'top three' provinces in most other components of this assessment.

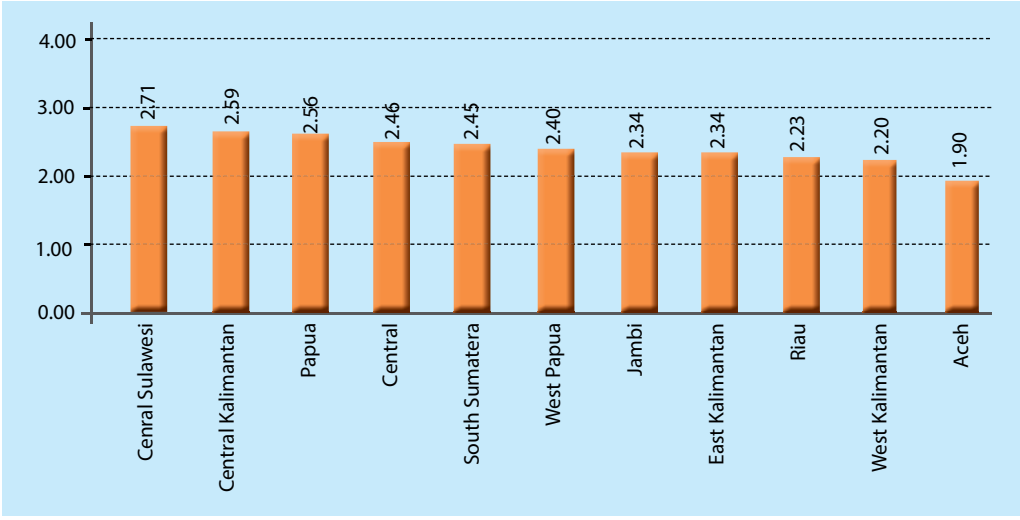


Diagram 4.84
Index Scores of the Performance Component at the Central and Province Level

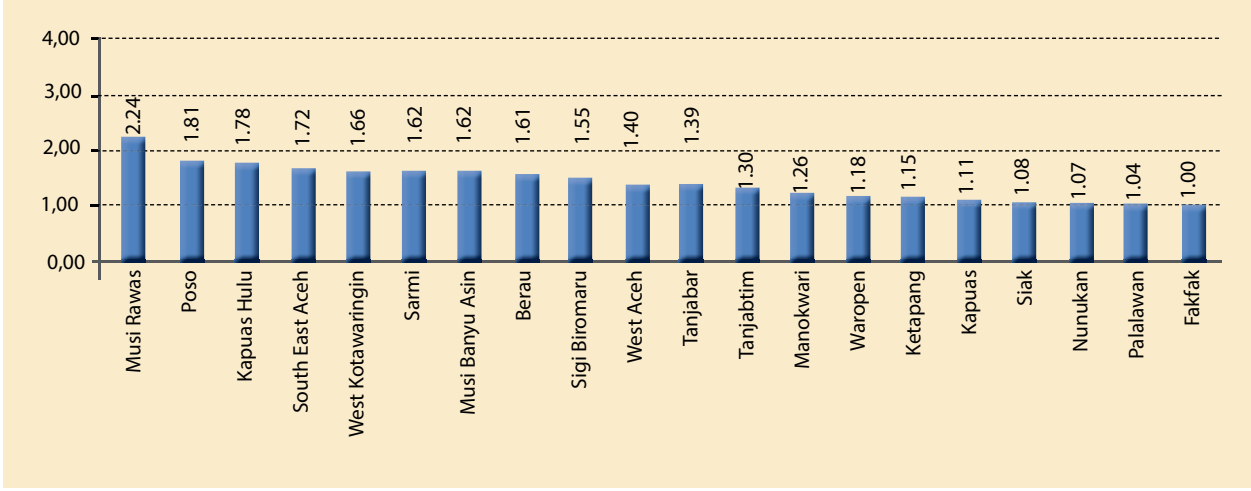


Diagram 4.85
The Index Scores of the Performance Component at the District Level

The three districts that received the highest scores in this component, as shown in Diagram 4.85, were Musi Rawas (2.24), Kapuas Hulu (1.78) and Aceh Tenggara (1.72). These scores at the district level are very low, substantially below the mid-range score established for the PGA. In fact, around half of the districts received a score lower than 1.50. Such low scores indicate that this should be a priority for strategic efforts to improve the state of forest, land and REDD+ governance in the districts surveyed in the assessment.

Diagram 4.86 depicts the results of the assessment of the implementation and performance component in relation to the different principles of good forest, land and REDD+ governance. The average index score for the principle of participation is highest, at 2.77, followed by the principles of accountability and fairness with a score of 2.11 each, and the principle of transparency with a score of 2.08. At the central level, the principle that received the highest score was the principle of participation (3.67), followed by the principle of accountability (2.50).

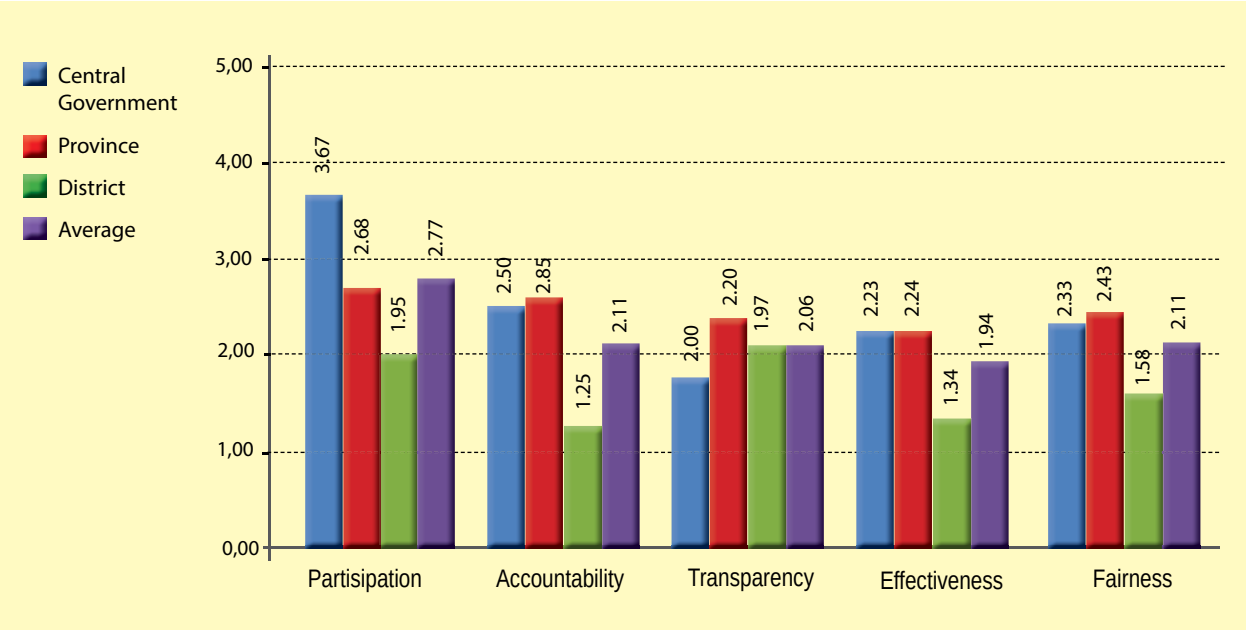


Diagram 4.86 Index Scores of the Performance Component Based on Governance Principles

At the provincial level, the highest-scoring principle was also participation (2.68), followed by accountability (2.58). At the district level, meanwhile, the principle of transparency received the highest score (1.97), followed by the principle of participation (1.95).

The results show that implementation and performance indicators at the central level are below the level of 3.00 and may, therefore, be categorized as low, although there are evident strengths in terms of participation. The results at the provincial level – although better than the district-level results – are below those obtained central level. The relatively high scores in participation and accountability at the central level are largely attributable to more open processes involving stakeholders in decision-making and planning associated with forest, land and REDD+ governance.

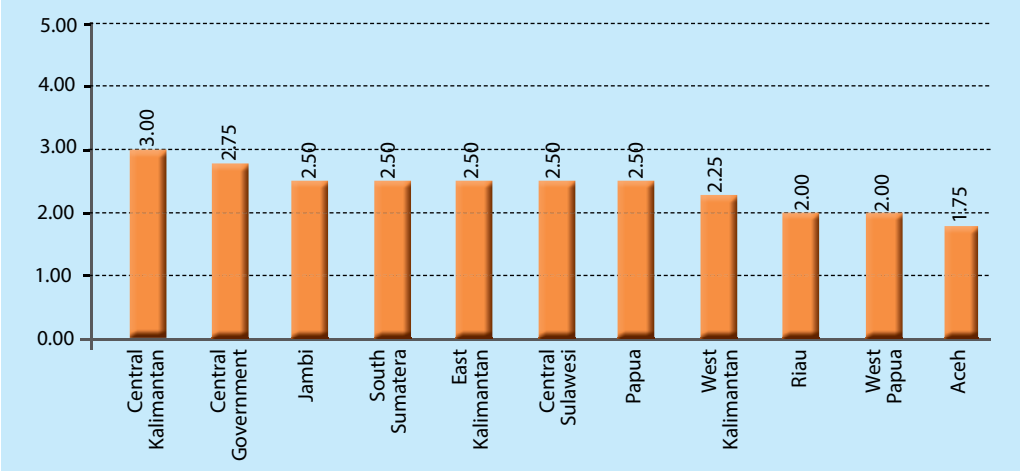
The relatively high scores recorded in the participation and accountability principles at the provincial level are due to the presence of multi-stakeholder forums in several provinces that involve actors from the groups identified in this assessment (government, civil society, indigenous and local communities, and business). This is the difference with the districts, where such processes are few and far between, as evident in the very low scores on the index of implementation and performance in forest, land and REDD+ governance.

The following sections describe the findings of the qualitative and quantitative inquiry into the strengths and shortcomings of each of the issues of good forest, land and REDD+ governance at each of the levels covered in this assessment:

1) The Issues of Forestry and Spatial Planning

Diagram 4.87 displays the results of the assessment of this issue at the provincial level, with the highest-scoring regions being Central Kalimantan (3.00), and a number of provinces receiving a score of 2.50.

Diagram 4.87 Results of the Assessment of the Capacity of Component for Performance with Reference to the Issue of Forestry and Spatial Planning at the Central and Province Level



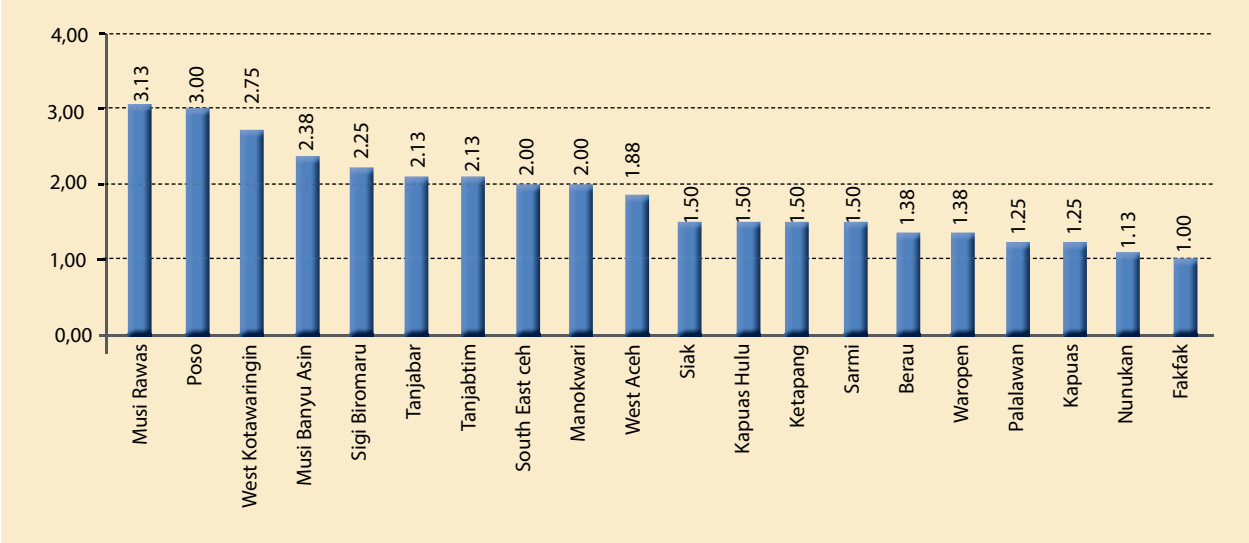


Diagram 4.88 Results of the Assessment of the Capacity of Component for Performance with Reference to the Issue of Forestry and Spatial Planning at the District Level

The three highest-scoring districts, meanwhile, were Musi Rawas (3.13), Poso (3.00) and West Kota Warigin (2.75). (See Diagram 4.88) In overall terms, the score at the central level was still higher than at the provincial and district levels, with the exception of Central Kalimantan province, and the districts of Musi Rawas and Poso. The score at the central level was just 2.75 in the issue of forestry and spatial planning, which places it below five in this assessment.

There have been a number of advances made recently in performance related to forestry and spatial planning matters. As of 2012, spatial plans in regions possessing legal basis had reached 13 provinces (39%), 121 districts (32%) and 37 municipalities (43%). Spatial plans that have been agreed with the National Coordinating Agency for Spatial Planning (*Badan Koordinasi Penataan Ruang Nasional* - BKPRN) covered 488 regions, or 98% (BKPRN 3 July 2012). In terms of the extent of forest areas that have been established and accepted by all parties, the total area amounts to 15,224,314 hectares, or 11.18% of a total area of 136,173,847.98 hectares.

Challenges identified in forestry and spatial planning within this performance component relate to the low rate of spatial plans established under regional regulations, and the few spatial plans for forest areas that have been agreed by all parties. In addition, actors from civil society, particularly from non-governmental organizations (NGOs), and Indigenous Peoples activists, have criticized spatial planning processes for not making room for and involving Indigenous Peoples, women and foret dependent local communities. The number of spatial plans under the management of local people is still very limited and not being accommodated, and, in fact none of the spatial plans of Indigenous Peoples have been accommodated at all. Meanwhile, the number of conflicts resolved in forestry disputes is also extremely low, with only one (1) case resolved of the tens submitted and currently seeking resolution.

In addition, actors from civil society, particularly from non-governmental organizations (NGOs), and Indigenous Peoples activists, have criticized spatial planning processes for not making room for and involving Indigenous Peoples, women and foret dependent local communities.

The general level of acceptance on the part of civil society, especially among NGOs and Indigenous Peoples, towards spatial planning is low. This is because they feel that they have not been involved and their suggestions have not been accommodated. The reason for this is often that technical data is not available, as in cases of unclear historical ownership over the forest areas by local people. Even where working teams have been formed to tackle forestry conflict, such as in West, East and Central Kalimantan, Riau and South Sumatra, progress is very slow.

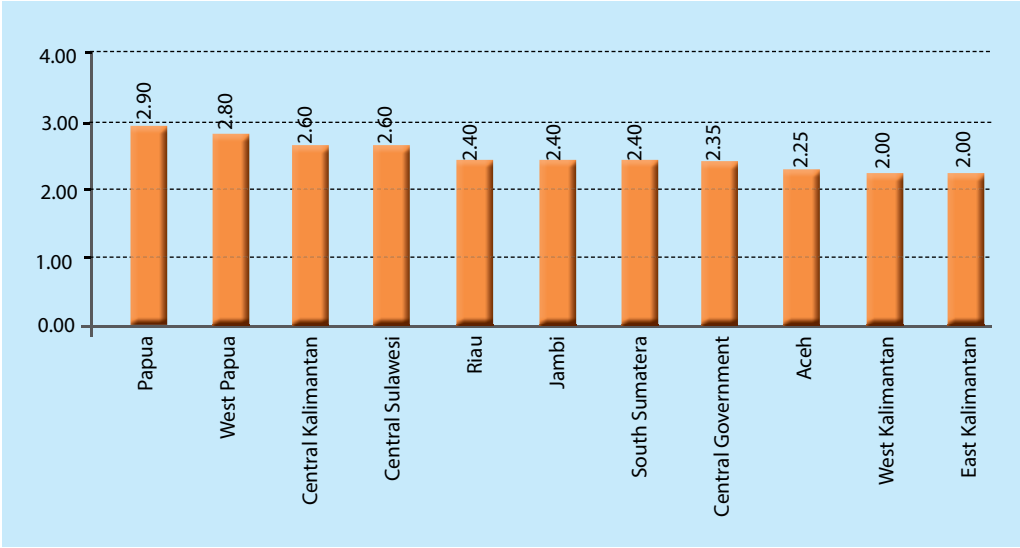
2) The Issue of Regulation of Rights

Diagram 4.89 presents the results of the assessment of the issue of regulation of rights within this component of implementation and performance at the central and provincial levels. The three highest-scoring provinces were Papua (2.90), West Papua (2.80) and Central Kalimantan (2.60). The three highest-scoring districts, meanwhile, were Kapuas Hulu (1.97), Musi Rawas (1.76) and Sarmi (1.74). (See Diagram 4.90) The higher results are associated with regions where Indigenous communities are still strong.

One of the strengths associated with this issue of the assessment concerned the administrative processes surrounding the rights of local and business actors. Licenses provided by the Ministry of Forestry to businesses and local actors were well administered. The extent of overlap in territories or utilization was found to be quite low. In terms of resolving conflict, progress has been made in the formation of the

Directorate of Spatial Planning and Tenure at the Ministry. These are indications that conflict management is being institutionalized. This Directorate is using 'best practices' in resolving local people's claims in the National Parks of Lore Lindu and Way Kambas, as well as in several other areas in Sulawesi Tenggara, Teluk Meranti and Pulau Padang.

Diagram 4.89 Results of the Assessment of the Capacity of Component for Performance with Reference to the Issue of Regulation of Rights at the Central and Province Level



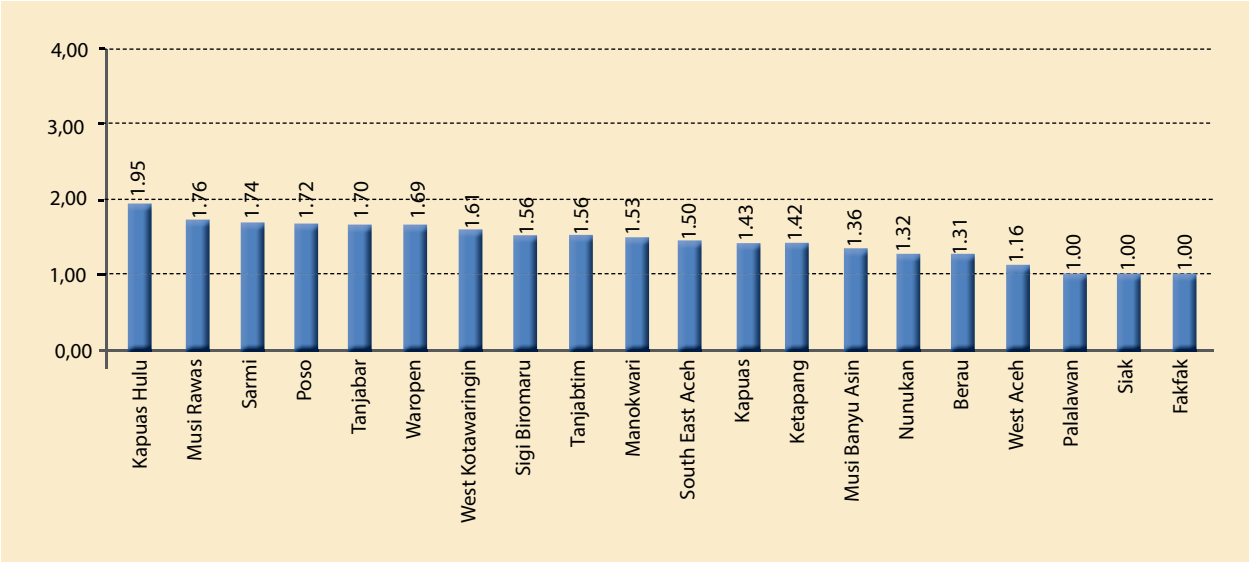


Diagram 4.90 Results of the Assessment of the Capacity of Component for Performance with Reference to the Issue of Regulation of Rights at the District Level

Apart from the advances made, there are still many challenges to address. At the Ministry of Forestry, for example, there is no data on the numbers of Indigenous Peoples managing forests within forest areas. Conflict between businesses and local communities

or between the government and local communities is still occurring frequently. Since 2012, the Directorate General of Forestry Enterprise Development has received a large number of such cases. This number increases markedly if we include earlier cases received before that date which have not yet been resolved.

Of the 103 cases received at the Ministry of Forestry, only one case, involving the restoration of forests and PT REKI, has reached the turning point in the resolution. There are a number of reasons why success has been limited in this case, including problems with the commitment and leadership at all levels in resolving forestry-related problems faced by local people, the lack of legal instruments that work in favour of citizens, limited government capacity in mediating conflict from the early stages and the processes of forestry planning and management that have not yet applied good governance principles.

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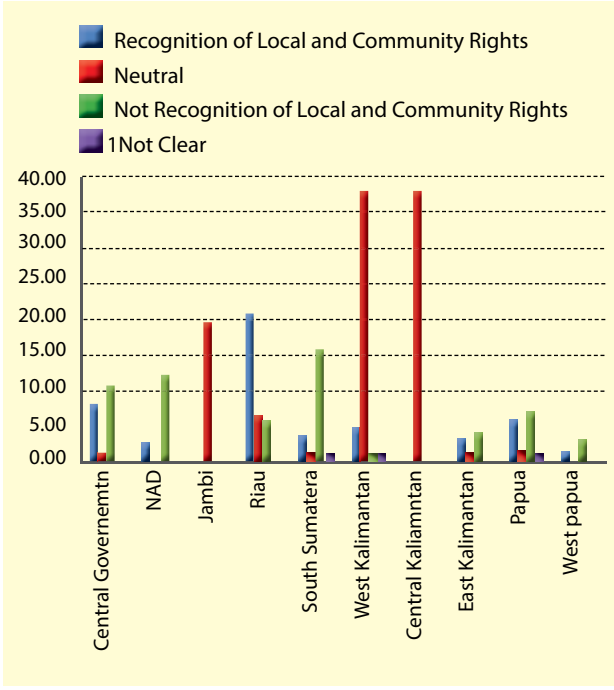
In relation to the frequency and quality of media reports that recognize the rights of Indigenous Peoples, women and local communities, it appears that several newspapers, such as Media Indonesia and The Jakarta Post, once devoted substantial space but the coverage is in fact declining. According to one of the sources approached in this assessment, only the Kompas newspaper is consistent in reporting on the recognition of Indigenous Peoples' and forest dependent communities' rights in managing forests, and has even made it headline news. The results of the media assessment at the central level and the media in the provinces are depicted in Diagrams 4.91 and 4.92. The diagrams show the frequency and sources of print media reports that acknowledge the rights of Indigenous Peoples during the period 2010-2012.

The analysis considered the contents of two print media at the national level and one print media in each of the 10 provinces covered in the assessment. The analysis revealed that media reports on Indigenous Peoples occurred only once every 21 days (a ratio of 1:21). This frequency – only once every three weeks – is considered low, especially due to the complexity of the challenges faced by Indigenous Peoples. The print media in Central Kalimantan contained the most mention or articles on issues affecting Indigenous Peoples, with a frequency of 38 news items every year, followed by Riau with 31 news items every year and West Kalimantan with 29 news items on average every year in the period.

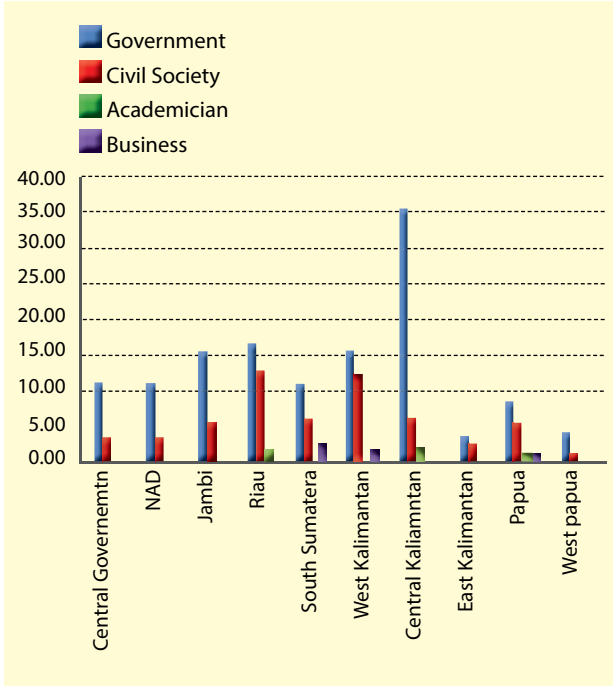
The analysis considered the contents of two print media at the national level and one print media in each of the 10 provinces covered in the assessment. The analysis revealed that media reports on Indigenous Peoples occurred only once every 21 days (a ratio of 1:21).

At the central level, the number of news items on Indigenous Peoples was found to be 19 per year. The provinces with low reportage rates were West Papua and East Kalimantan, where news media reported on average only five times every year. In Papua and Aceh provinces, the frequency is 15 times annually, while in South Sumatra the frequency

is 18 news items on Indigenous Peoples every year, whereas in Jambi this was featured 19 times per year.



Diagrams 4.91 Frequency and Quality of Media Reports that Recognize the Rights of Indigenous People, Women and Local Communities 2010-2012



Diagrams 4.92 Frequency and Sources of Print Media Reports that Acknowledge the Rights of Indigenous People During the Period 2010-2012

It was found that media publications generally adopt a neutral position in reporting on Indigenous People's issues. However, news items often do not reflect a full recognition of their rights, especially at the central level and in the provinces of Aceh, South Sumatra, East Kalimantan, Papua and West Papua. In terms of their sources, the media rely on government officials as their primary sources, followed by NGO activists. Activists from Indigenous Peoples' groups are surprisingly rare a source for news articles or as input to the central or provincial level.

3) The Issue of Forest Organization

Diagram 4.93 shows the results of the assessment of the performance component in relation to the issue of forest organization. The two highest-scoring provinces were Central Sulawesi (3.50) and Papua (3.00), while the provinces of Jambi, South Sumatera, West Kalimantan, Central Kalimantan and West Papua all received a score of 2.50. At the district level (see Diagram 4.94), Sarmi received the highest score of 3.50, followed by Musi Rawas and Sigi Barimanu with a score of 2.50 each. The districts of West Aceh, Aceh Tenggara, Musi Banyu Asin, Kapuas Hulu and Berau received a score of 2.00.

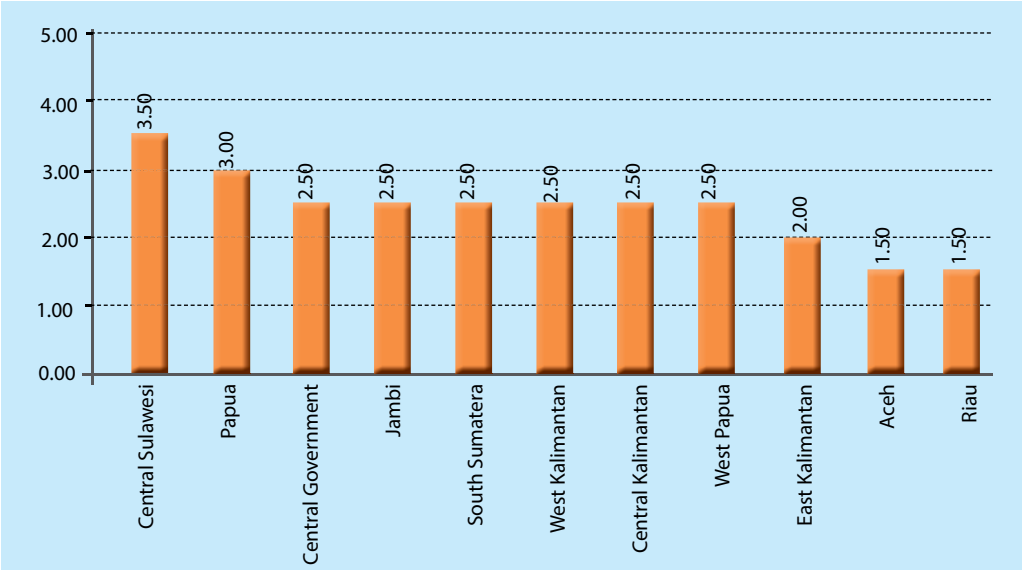


Diagram 4.93 Results of the Assessment of the Capacity of Component for Performance with Reference to the Issue of the Forest Organization at the Central and Province Level

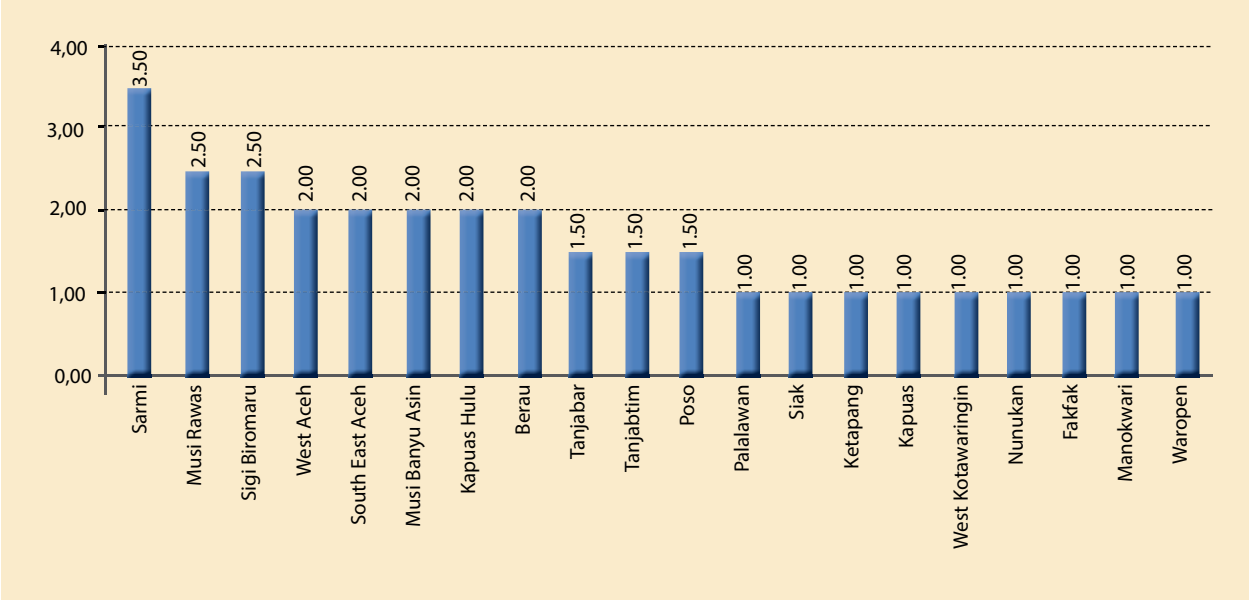


Diagram 4.94 Results of the Assessment of the Capacity of Component for Performance with Reference to the Issue of the Forest Organization at the District Level

The analysis uncovered a number of strengths and shortcomings in performance in relation to forest organization issues. The Ministry of Forestry has already established various online and 'one-stop' systems – covering, for example, business licenses - to improve efficiency and prevent corruption. Applicants are able to bring their data and documents to the Ministry for upload and to receive a user ID. The applicant may then monitor the progress of the application via the portal and user ID without having to go back and forth to the Ministry. The various stages in the process and the required

This is the primary shortcoming identified in the assessment. Bureaucratic processes need to be shortened and made more efficient so that associated processes become quicker and associated costs are lowered.

documentation are also clear, beginning with the application, then a required recommendation from the Governor and District Head, the technical proposal (feasibility study), an environmental impact study (*Analis Dampak Lingkungan* - Amdal), the long-term work plan and lastly the annual work plan.

The costs associated with this process may be divided into two kinds, namely costs associated with documentation and costs associated with the issuance of licenses. The costs within these two categories have been established in official standards, some cases in the latter type of costs require additional fees. The payments are inextricably tied to the lengthy chain of bureaucracy handling the issuance of forest utilization licenses. This is the primary shortcoming identified in the assessment. Bureaucratic processes need to be shortened and made more efficient so that associated processes become quicker and associated costs are lowered.

The following paragraphs outline several examples of the types of payments made by applicants, based on notes from business parties. In Kalimantan, for example, licensing costs from local government are in the range of 38,000-50,000 rupiah per hectare. In other provinces where the condition of the forest is still good, this may be as high as 60,000-70,000 rupiah per hectare. There are also costs of between two and five billion rupiah associated with conducting the environmental impact assessment (Amdal), which includes socialization costs.

Businesses must also spend between 25,000 – 30,000 rupiah per hectare on land boundary demarcation in plantation or natural forest areas. Then there are the costs of the annual work plan, which could reach hundreds of millions of rupiah depending on the volume of production. These costs do not include the cost of inspection activities, which may occur as many as 17-20 times per year.

In addition to these costs, businesses are also burdened with taxes and payments of non-tax state revenue (*Penerimaan Negara Bukan Pajak* - PNBP) in the forestry sector, such as the land and building tax, the Forest Utilization Business Permit Fee (*Iuran Izin Usaha*), reforestation funds, forest resources provisions (*provisi sumber daya hutan* - PSDH), and additional fees such as the *penggantian nilai tegakan* (PNT). These do not include the amounts paid to the regions. Several of the costs are 'double taxation', such as the land and building tax, the Forest Utilization Business Permit Fee, and those based on volume, like the PSDH and PNT. There are currently seven kinds of fees imposed in the forestry sector, compared to other comparable countries, such as Brazil, Malaysia and Papua New Guinea, where there are only two or three kinds of fees.

This indicates that the government is still holding a number of different authorities which could be handled by private sector actors instead. A number of processes have gone online, such as the Forest Products Administration System and the mandatory Verification System on the Legality of Timber, and these should offer businesses incentives, not least a reduction in government examination and greater administrative

simplicity. Levees in the forestry sector should be simplified even more in order to increase competitiveness in the sector.

4) The Issue of Forest Management

Diagram 4.95 shows that the highest score obtained in this performance component in relation to forest management was 2.88, from Riau province. The second highest score was 2.75, which was obtained in Central Kalimantan, East Kalimantan and Central Sulawesi. Both South Sumatra and West Papua obtained a sore of 2.50.

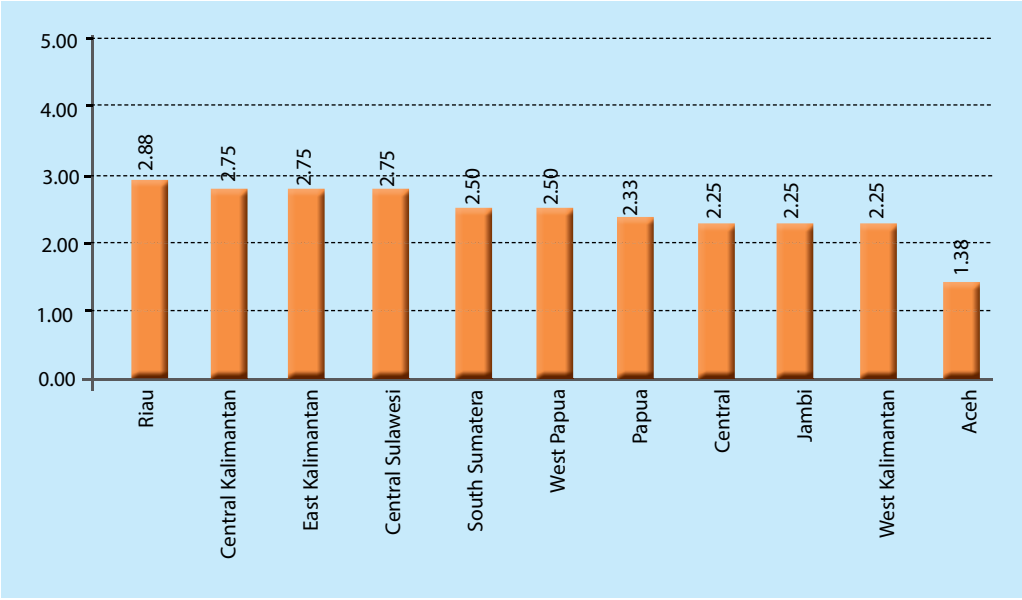


Diagram 4.95 Results of the Assessment of the Capacity of Component for Performance with Reference to the Issue of the Forest Organization at the Central and Province Level

Two districts obtained the highest score of 2.75 (Kapuas Hulu and Berau), as depicted in Diagram 4.97. West Kota Waringin district obtained the second-highest score of 2.25, followed by Musi Banyu Asin with a score of 2.00. The score at the central level, meanwhile, was just 2.25 – a score surpassed by most of the provinces and two of the districts.

The results indicate that performance in matters of forest management is deficient. There are, nevertheless, several strong points, particularly in relation to licensing. As of June 2012, for example, the Ministry of Forestry has handed out a substantial number of licenses to non-corporate actors, with details as follows: 3,296 community plantation forest permits (*hutan tanaman rakyat* - HTR), community forest (*hutan kemasyarakatan*) permits covering 177.219 hectares and 39 village forest (*hutan desa*) permits covering 82,521 hectares.[2]

[2] Data obtained from the Directorate of Regional Preparation and Management of Forest Area Utilization, 2012.

A number of areas are also being managed sustainably. According to Forestry Statistics, two companies have already obtained Sustainable Forest Management certification (*sertifikat pengelolaan hutan lestari*) in the category of 'very good' (sangat baik), 67 received 'good' (baik) and 187 received 'average' (sedang). Data from the Association of Forest Concession Holders (*Asosiasi Pengusaha Hutan Indonesia* - APHI) shows that 24 companies have obtained mandatory sustainable forest management certification, 15 forest plantation companies and seven companies have obtained certification of the legality of their forest plantations (*sertifikat legalitas hutan tanaman*) and five companies have obtained plantation forest legality (*legalitas hutan tanaman*). The Ministry of Forestry also has 30 national park units (*unit taman nasional*) covering 4.5 million hectares, and 22 protected forests stakeholder units (*kesatuan pemangkuan hutan lindung*) covering 1.7 million hectares.

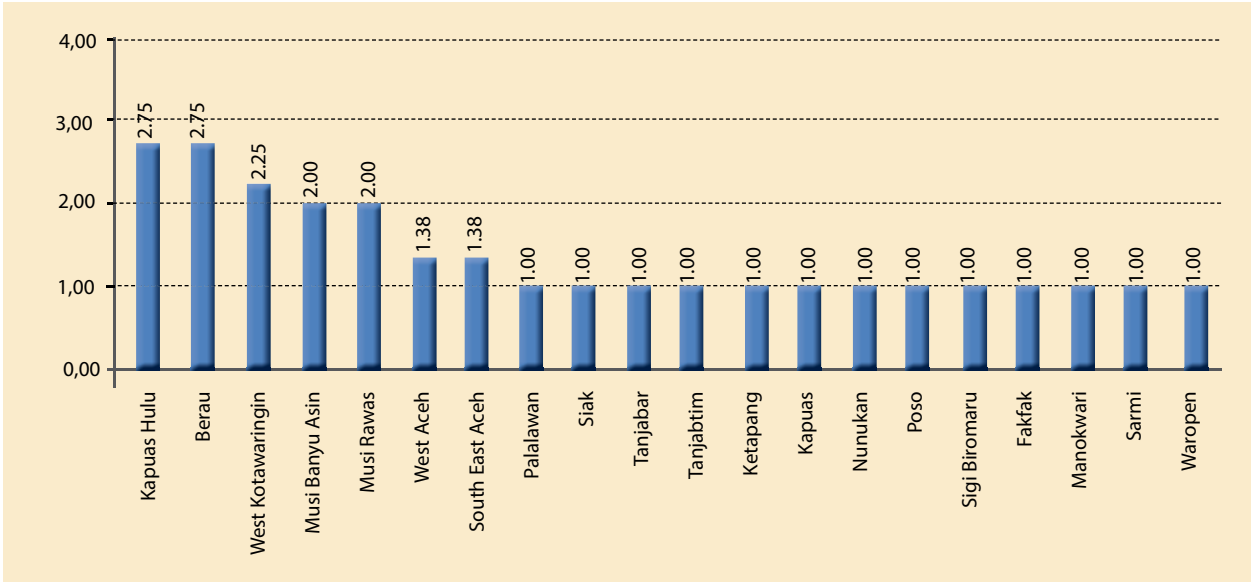


Diagram 4.96 Results of the Assessment of the Capacity of Component for Performance with Reference to the Issue of the Forest Organization at the District Level

The main challenge in forest management in this component is related to the limited scope of forest areas managed by local peoples – in the form of village forests, community plantation forests and community forests – compared to the total areas licensed to the private sector. As an illustration, the Ministry of Forestry has given forest management permits covering 68% of the total area allocated, 29% to plantation forests, 1% to restored forests. Forest areas allocated to local communities are just 2.75% of the total. The extent of forest management conducted on the basis of environmental services (*berbasis jasa lingkungan*) and with sustainable forestry management certification is still very limited compared to the total area of protected forests and the total area of productive forests. This is why the scores in the various indexes in this issue are low, and impact on the overall score for the issue of forest management within the assessment.

5) The Issue of Law Enforcement and Control over Legal Processes

Diagram 4.97 depicts the results of the assessment of the issue of law enforcement and control over legal processes within the implementation-performance component. Two provinces obtained the highest score in the index of 2.60 - Central Sulawesi and Papua. Both Riau and West Papua provinces obtained the next-highest score of 2.40. In this issue at the provincial level, no provinces received scores of less than two, which is considered 'insufficient' in this assessment.

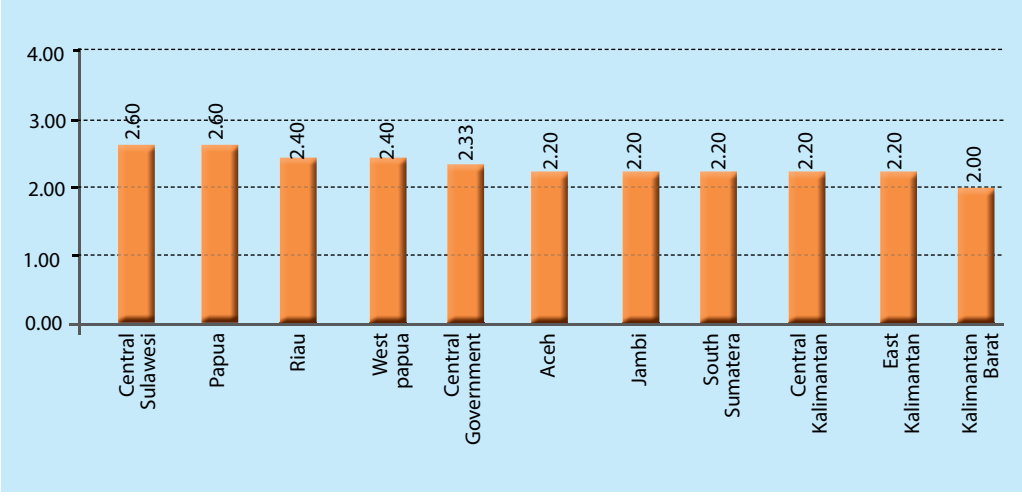


Diagram 4.97 Results of the Assessment of the Capacity of Component for Performance with Reference to the Issue of the Law Enforcement and Control at the Central and Province Level

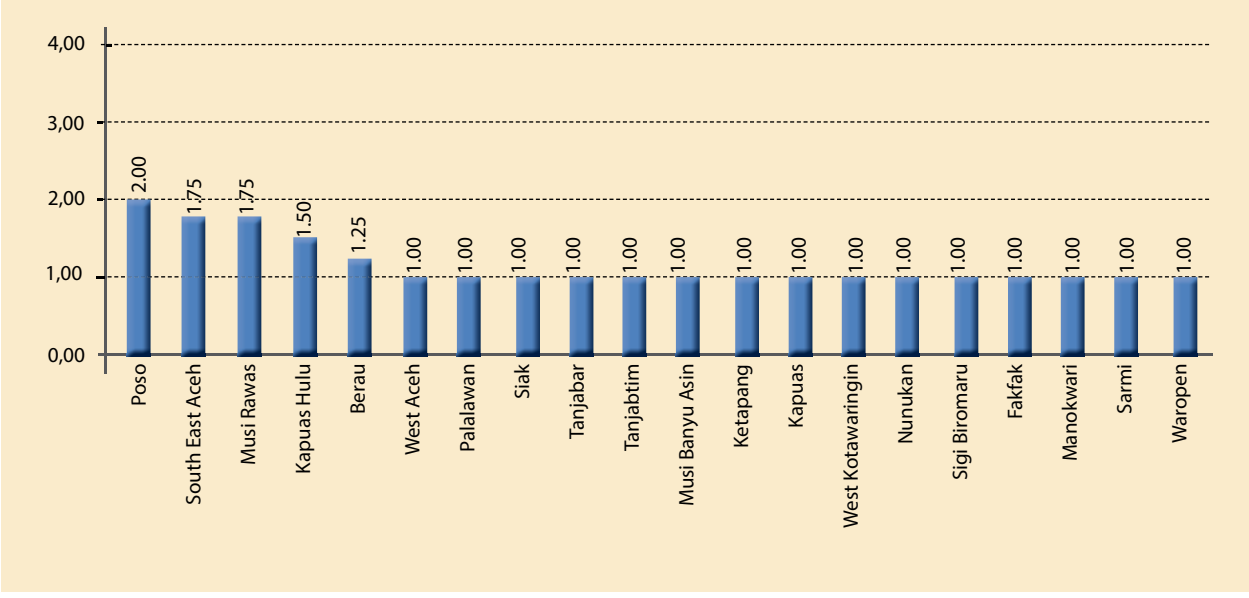


Diagram 4.98 the Results of the Assessment of the Capacity of Component for Performance with Reference to the Issue of the Law Enforcement and Control at the District Level

At the district level, meanwhile, Poso received the highest score of two, while Aceh Tenggara ad Musi Rawas districts both received a score of 1.75. (See Diagram 4.99) The low scores have made the performance index score on the issue of law enforcement and control over legal processes very low at the district level, and indeed it is the lowest score overall.

The research revealed several advances being made despite the low scores recorded in this issue. The Ministry of Forestry, for example, has leveled sanctions at companies holding licenses for utilization of timber in natural forest (*Izin Usaha Pemanfaatan Hasil Hutan Kayu dalam Hutan Alam* - IUPHHK-HA), with a breakdown as follows: seven units have had their licenses withdrawn; six units have handed back their permit decision before expiry; non-payment of re-forestation funds and provision for forest resources (*Dana Reboisasi dan Provisi Sumber Daya Hutan* – DR PSDH); not possessing permits for using operational equipment, one unit; not formulating general work plans (*rencana kerja umum* – RKU) for the Periodic Comprehensive Forest Inventory (*Inventarisasi Hutan Menyeluruh Berkala* - IHMB), five units, and; non-submission of general work plans, two units.

In addition, 19 companies have had their licenses withdrawn by the Ministry of Forestry or on average 3.8 companies every year, representing 1.15% of the 295 units currently holding natural forest permits. In regards to plantation forests, 268 units have received warnings (SP1-3). In fact, 16 units holding licenses for utilization of timber in plantation forest (*Izin Usaha Pemanfaatan Hasil Hutan Kayu dalam Hutan Tanaman* - IUPHHK-HT) have had their licenses revoked, for some of the following reasons: not adhering to boundaries; not submitting annual work plans; not operational in the field/ not feasible financially & technically; and not formulating general work plans. Over the past five years, the total number of plantation forest licenses withdrawn totals 249 covering an area of 10,046,839 hectares, at a rate of 3.2 units per year, representing 1.3% of all plantation forests.

Criminal cases in the forestry sector, handled by the forestry police and civil servant investigators (*penyidik pegawai negeri sipil* - PPNS), are not resolved rapidly, although the number of cases from year to year is declining. In the year 2006, for example, the number of cases was 1,996, and in 2009 this was down to 321 cases. In 2010 the number of reported cases fell even further to 182 cases, in 2011 the number was even lower at 162 reported cases cases, and the same occurred in 2012 when the number was recorded at 128 cases. The records show, nevertheless, that only six cases were concluded by the courts in 2012. The remaining cases are at the following stages: two cases categorized as 'non-judicial' ; 40 cases at the stage of investigation (*penyelidikan*); 92 cases at the stage of official inquiry (*penyidikan*); 55 cases finalizing case reports, and 75 cases 'in progress'.

An audit conducted by the Ministry of Forestry Inspectorate General also reported a number of cases of deviations or abnormalities (*penyimpangan*) in budget implementation decisions. In 2006, five deviations were identified and reported, and the number increased to 99 in 2007, and to 125 in 2008. In 2009, the number fell to 100 cases, but increased to 185 in 2010. The number fell again in 2011 to 51 deviations. In 2006,

events that caused losses to the state were recorded in 11 cases, and in 2007 the number increased markedly to 53 cases, and increased again in 2008 to 88 cases. In 2009, the number stood at 6 cases, in 2010 there were 143 recorded cases, and in 2011 the number fell to 53 cases.

Although there has been a significant increase in the number of laws and regulations associated with law enforcement in forestry and environmental cases, sanctions in criminal cases are still few. The 2011 Annual Report of the Supreme Court (*Mahkamah Agung*) is testament to the small number of forestry cases that go to the Supreme Court and the paucity of sentences delivered. In the year 2009, for example, a total of 106 cases were decided, with the following breakdown in verdicts: 11% were acquitted; 24% received prison sentences of less than one year, and; 1% were sentenced to between 5-10 years imprisonment. In 2010, 66 cases received rulings, with the breakdown as follows: 9% were acquitted; 24% received prison sentences of less than one year, and 64% were sentenced to between 5-10 years imprisonment. In 2011, the Supreme Court ruled on 42 forestry cases, with the breakdown as follows: 14% were acquitted; 29% received prison sentences of less than one year, and; 57% were sentenced to between 5-10 years imprisonment.

Although there has been a significant increase in the number of laws and regulations associated with law enforcement in forestry and environmental cases, sanctions in criminal cases are still few. The 2011 Annual Report of the Supreme Court (Mahkamah Agung) is testament to the small number of forestry cases that go to the Supreme Court and the paucity of sentences delivered.

The main challenge observed in relation to this issue of law enforcement and control over legal processes is the increasing number of deviations in budget implementation decisions, problems of compliance among companies holding concession licenses, and cases in which the state suffers losses. The Ministry of Forestry received a low score of less than six on the integrity index compiled by the Corruption Eradication Commission (*Komisi Pemberantasan Korupsi* – KPK). This is a clear indication that licensing and other bureaucratic systems within the Ministry of Forestry still face many obstacles.

6) The Issue of REDD+ Infrastructre

In this final index in the performance component relating the development of REDD+ infrastructure, as depicted in Diagram 2.60, three provinces received relatively high scores: South Sumatra (2.60), Central Kalimantan (2.50), and East Kalimantan (2.40). The score at the central level was recorded at 2.60.

In relation to the issue of REDD+ infrastructure in this assessment, a number of advances were identified. Several Indigenous Peoples' groups have obtained access to ecosystem restoration concessions, although there has yet to be a comprehensive evaluation of Indigenous Peoples' and local people's access to REDD+ locations. In determining locations for REDD+ demonstration areas, consultations and requests for agreement are implemented involving local peoples to ensure that the activities do not violate their rights. In addition, acceptance of the REDD+ National Strategy on the part of all actors was found to be favorable.

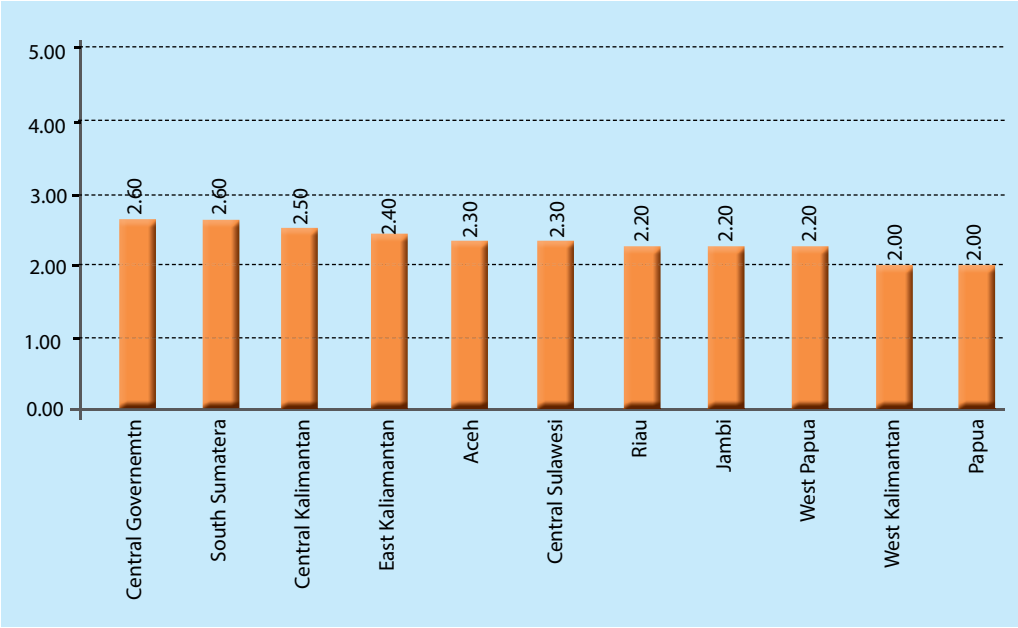


Diagram 4.99 Results of the Assessment of the Capacity of Component for Performance with Reference to the Issue of the at the REDD+ Infrastructre at Central and Province Level

The many efforts on the part of the various actors have resulted in a reduction in the level of deforestation compared to previous years. According the Ministry of Forestry statistics, the rate of deforestation in the period 1997-2000 reached 2.84 million hectares annually; in the period 2000-2005 it was recorded at 1.08 million hectares annually, and; in the period 2006-2009 the rate of deforestation was recoded at 0.61 million hectares annually. During the period 2009-2010, the rate fell again to 0.45 million hectares annually. A clear reduction in the official rate of deforestation is evident in these figures.

But apart from the evident progress made, significant challenges remain. Indigenous Peoples, for example, are still being forced out of forest areas. Several NGOs continue to question the National Strategy in terms of its institutionalization, security framework, certainty over forest areas and issues linked to free, prior and informed consent (FPIC), and women's access and control of forest resources. In addition, although the rate of deforestation has fallen, areas considered deforested continue to expand. The situation becomes more critical as there is a substantial gap between the rate of deforestation and the rate of replanting or re-forestation.

Chapter 5

Conclusions and Utilization of the PGA Results-Taking into Account Forest, Land and REDD+ Governance Assessment in Indonesia

Chapter 5
Conclusions and Utilization of the PGA Results- Taking into Account Forest, Land and REDD+ Governance Assessment in Indonesia

5.1 Conclusions from the PGA on the Condition of Forest, Land and REDD+ Governance

The data collected was ranked on a scale of 1 (insufficient) to 5 (very good) to calculate an overall index value of different aspects, components and principles of forest, land and REDD+ governance. The result was an overall index value of 2.33 for Indonesia's national level forest, land and REDD+ governance condition in 2012. This value is derived from the aggregate value established for the various index components on forest, land and REDD+ governance at the central level (2.78) combined with the average index value calculated for the 10 provinces with the largest forest areas (2.39), and the average index value of 20 districts surveyed within these provinces (1.8).

The fact that the nationwide index for forest, land and REDD+ governance falls short of even the mid-range score underlines the need to strengthen current forest governance standards, especially at district level where the weakest score is recorded (1.8). Given that the main authority to manage forest resources is assigned to district administrations under Indonesia's decentralized system of governance, capacities at district level will require considerable strengthening to adequately perform these functions.

The assessment of the capacities of the various actors dealing with REDD+ issues shows that civil society with an aggregate index of 2.54 earned the highest score, followed by communities (Indigenous Peoples/women/local communities) with an index value of 2.38, and by the business community with an index of 2.32. The overall capacity of Government was rated at a value of 2.30.

Significant differences can be observed between the aggregate forest governance indexes calculated for central, provincial, and district levels, with the central government generally achieving higher scores than the provinces and districts. The difference in central, provincial and district index values is attributable to the differences in individual and institutional capacities of the different stakeholders involved at the various levels.

The capacity of actors at the central level is more or less consistently rated higher than that at the provincial level and the capacities of actors at provincial level are generally stronger than at district level.

Turning to the principles of forest governance, the aggregate combined score for all levels (i.e. central, provincial, district) is calculated at 2.33. The underlying scores for the six governance principles that the index uses to assess the overall quality of governance are as follows: Transparency achieved the highest score of 2.60, followed by participation with 2.49 and fairness at 2.36. Capacity scored 2.32, followed by accountability with a scoring of 2.28, and effectiveness scoring 2.02.

The relatively high scores for transparency and participation are supported by a number of legal and policy frameworks that ensure transparent and participatory decision-making related to the management of forests and peatlands. An example for this is the issuance of Law 14 of 2008 on Freedom of Information as well as several regulations that call for public participation and transparency. In addition to that, a number of actors such as the government, civil society, communities (Indigenous Peoples/women/local communities) and businesses also have their internal rules and procedures which require them to be more transparent and participatory in their decision-making. The comparatively lower scores for fairness, accountability and effectiveness highlight the need for an increased application of justice principles to the management of forest and peatlands. The score on capacity indicates room for improvement in the enforcement of policies while the results on accountability and

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

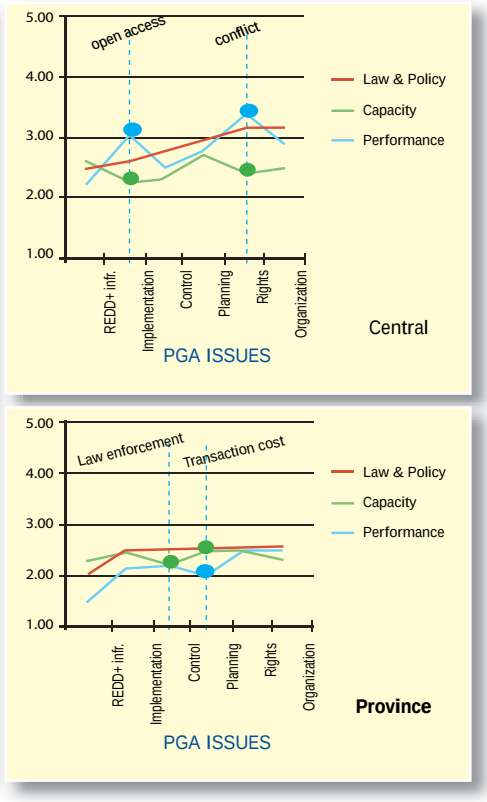


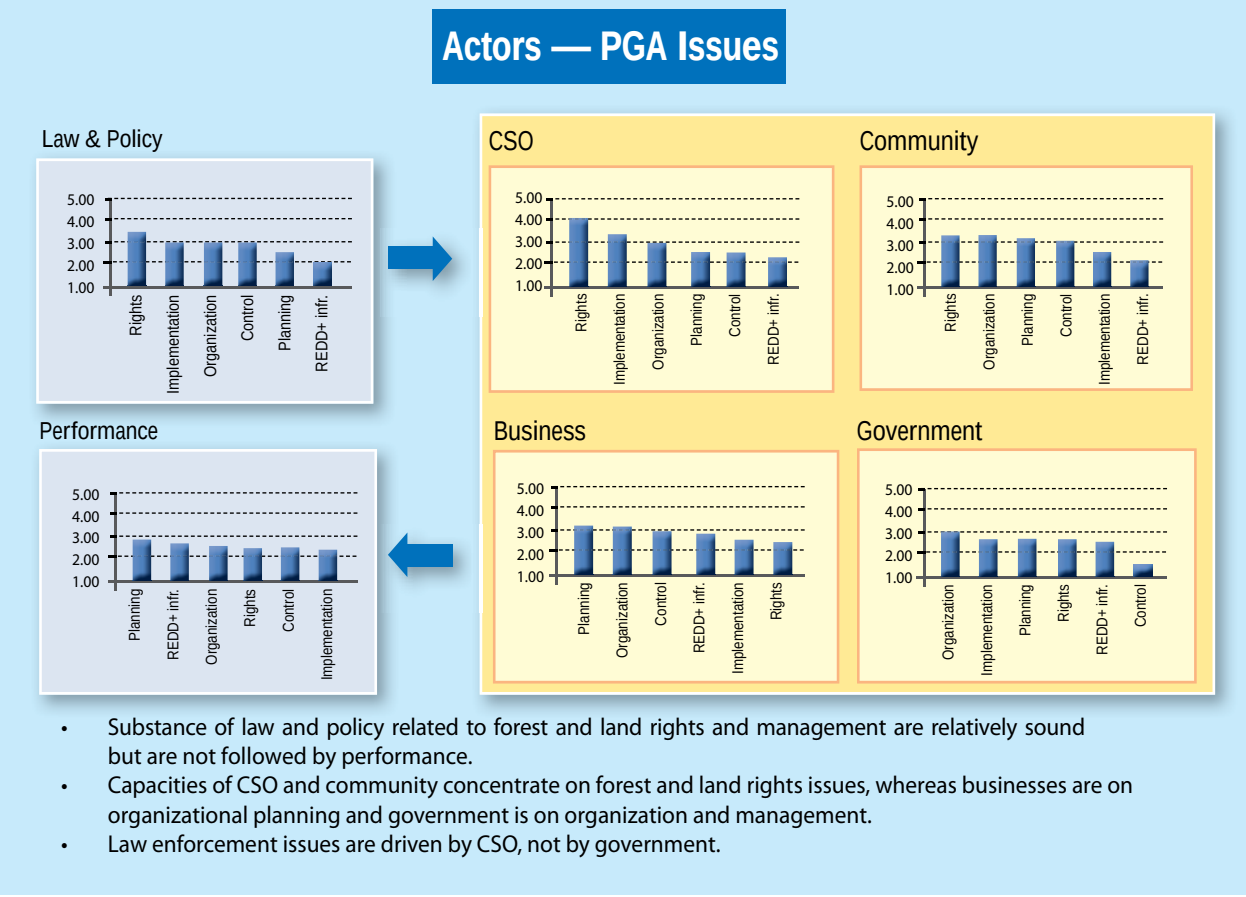
Diagram 5.1
PGA Issues at Central and Provincial Level

effectiveness point to the prevalence of corruptive practices, collusion and nepotism in forest and land management. With fairness and effectiveness parameters scoring even lower at district level despite the formulation of policies to improve transparency, district governments will need to increase their commitment to improving the governance of land and forest resources in their areas of jurisdiction.

There are several interesting trends that can be observed in the index results. The general score for the component index on laws and policies is relatively good, but this does not translate into adequate or even efficient implementation of policies or enforcement of laws. Capacity building of the actors might lead to more pertinent laws and policies, but does not seem have a noticeable impact on the acceleration of land gazetting and rezoning at central level nor has it led to strengthened law enforcement and reduced transaction costs at provincial level.

Turning back to actor capacities, the capacities of civil society and Indigenous Peoples and forest dependent communities are strongest in relation to land and forest rights issues while the interest (and corresponding capacities) of the business community is mostly focused on planning and forest management with a view to reducing transaction costs for the issuance of land use permits. While government capacities are reasonably strong in

Diagram 5.2
The Correlation between PGA Actors and Issues



- Substance of law and policy related to forest and land rights and management are relatively sound but are not followed by performance.
- 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 issues are driven by CSO, not by government.

forest management, more attention needs to be paid to law enforcement capacities - an issue that has already attracted attention from relevant civil society actors.

A strong mutually reinforcing correlation is furthermore observed between the capacities of civil society and the capacities of other stakeholders. The analysis for example shows that once the capacities of civil society are strengthened, the capacities of government will follow suit to better address demand from civil society. Likewise, if civil society capacities are strong, this will also contribute to the strengthening of the capacities of other actors such as communities (Indigenous People/women/local communities), as well as the business community due to the advocacy and facilitating role of civil society actors.

Similarly, the capacity of communities (Indigenous Peoples/women/local communities) is indeed impacted by the actions of the business sector: when a company follows good governance practices, this will have a positive impact on communities, and vice versa. Therefore, in the context of strengthening forest, land and REDD+ governance, both parties should seek opportunities for cooperation and mutual reinforcement. The process can be advanced by changing the perspective of business actors who currently see communities as a threat to the sustainability of their businesses rather than as potential allies.

MAPPING STRENGTHS

Utilising a scorecard methodology, the forest, land and REDD+ governance assessment helps to map strengths and weaknesses in capacity across the three core components of the index at central, provincial and district level. The mapping can also be used to prioritise components in most need of strengthening, as well as to identify the drivers that could be used to push relevant improvements.

The scorecard methodology was used to analyse the findings. None of the PGA locations covered reached the 3.50 mark required to attain a green ranking. Ninety percent of the areas assessed earned a yellow marking (between 2.00 and 3.50) and the remaining 10 percent registered red markings (less than 2.00). This shows that virtually all the actors at national, provincial and district levels require further strengthening of their ability to address laws and policies, their capacities to govern forest, land and REDD+ issues, and their overall ability to perform their key functions. Particular emphasis on capacity and performance strengthening should be placed on Aceh, with currently earned as many as three red ratings (below 2.00). The detailed scorecard methodology can be seen in Diagram 5.3 below:

Location	Overall Index	Laws & Policies	Actors' Capacity				Performance
			Government Capacity	CSO Capacity	Community Capacity	Business Capacity	
Central Level	2.78	2.80	2.49	3.00	2.95	2.97	2.46
Aceh	2.07	2.47	1.82	2.75	2.26	1.24	1.90
Riau	2.28	1.89	2.11	2.72	2.05	2.68	2.23
Jambi	2.38	2.26	2.23	2.78	2.04	2.63	2.34
South Sumatera	2.19	2.05	2.64	2.30	1.37	2.36	2.45
West Kalimantan	2.73	2.28	2.24	3.32	3.39	2.97	2.20
Central Kalimantan	2.64	2.29	2.47	3.21	2.56	2.72	2.59
East Kalimantan	2.42	1.98	2.36	2.60	2.47	2.76	2.34
Central Sulawesi	2.52	2.03	2.66	2.71	2.86	2.15	2.71
West Papua	2.29	1.99	2.37	2.40	2.11	2.47	2.40
Papua	2.41	2.32	2.12	2.63	2.51	2.32	2.56

Notes on color marking: **red** - less than 2; yellow - between 2 and 3.5; **green** - index value over 3.5

Diagram 5.1
PGA Issues at Central and Provincial Level

- **Law and Policy.** None of the assessed locations at central and provincial levels reached an index value above 2.78 in this core category of the index. The existing regulations have had some positive effects. They have strengthened transparency in the spatial and forestry planning process, fortified forest management, regulated the rights of various parties in the forest, strengthened the accountability of Forest Management Units, and harmonized laws and policies. However, the policy framework should also include public participation and capacity building in the decision making process and it should provide for a complaint mechanism, protect the rights of communities in the forest and provide an efficient process in the issuance of forestry permits and licenses.

- **Government Capacity.** Government capacities in each of the assessed locations remain below the critical mark of 3.5 with provincial government capacities in Central Sulawesi at 2.66 reaching the highest score. This indicates that the overall government capacity to handle issues of forest, land and REDD+ governance requires further strengthening. While relevant government institutions have qualified personnel for forestry and spatial planning as well as for the administration of forest rights and budget allocations are in place for Forest Management Units (FMUs), government capacities need to be further strengthened to ensure that forest and spatial planning processes are conducted in a participatory manner involving all key stakeholders. Other critical areas that require the strengthening of government capacities include handling of conflict, the administration of community rights, as well as law enforcement and the prosecution of forest related crimes. At this point

in time, there is, for example, neither a permanent REDD+ institution nor a REDD+ safeguards system in place that could monitor, report and address violations of forestry laws and implement the necessary safeguards.

- **Civil Society Capacity:** Civil society capacity in the respective locations has received a yellow grade. The overall capacity of civil society in the various areas of forest, land and REDD+ governance is reasonably good particularly at central level where civil society was awarded a combined overall score of 3.0 – the highest score awarded to any of the actors at central level. Civil society actors have the capacity to apply governance principles in their organizations as well as to provide inputs for spatial and forestry planning processes. There are also programmes implemented for local communities and advocacy for complaint handling. However, further capacity strengthening is required in order for civil society to handle the technical aspects of spatial and forestry planning processes. To effectively perform their check and balance and advocacy role, there is also a need for civil society organisations to reinforce their capacity to assess and highlight the costs of non-transparent spatial planning and forestry processes as well as the high transaction costs for the issuance of permits and costs caused by corruption in the forest sector.

- **Community Capacity** (Indigenous Peoples/women/local communities): The capacity rating of communities falls within the yellow category with community capacity at central level reaching an overall score of 2.95 (and thus being largely comparable with the capacity of civil society at central level). With a score of 3.39, communities in West Kalimantan not only registered the strongest capacity result of any of the actors assessed in any of the locations but also came very close to a green scoring rate. Indigenous groups and forest communities generally have the capacity to apply governance principles in order to provide inputs to the spatial and forestry planning process. They will, however, need to increase the number and capacity of community rights activists to advocate on their behalf and develop greater capacities for monitoring the issuance process of forest permits, Furthermore, communities should also strengthen their ability to partner with the business sector to facilitate the issuance and monitoring of sustainable forest management labels for relevant business sector products and increase their involvement in REDD+ institution building.

- **Business Community Capacity.** The capacity of business communities received a reasonably strong rating especially at central level and in West Kalimantan where a rating of 2.97 is recorded. None of the business actors in any of the assessment locations however reached a score of 3.5 necessary for a green rating. The business sector in general has adequate capacity to be involved in the forestry planning process. It also has internal control mechanisms in place with some business actors having developed and adhered to a forest governance code of conduct. However, business companies require further strengthening in the implementation of Free Prior and Informed Consent (FPIC) principles in their plantation and forest

management operations. Furthermore, increased resource allocations are required by private companies in particular to cover the costs for gazetting as well as certification and labeling. Currently only 20 per cent of 520 registered companies operating in the forestry sector attained any sort of Sustainable Forest Management label (both mandatory and voluntary).

- **Performance Component:** Similar to the capacity issues outlined above, the performance of the various actors in the assessment locations requires further strengthening with most locations achieving a yellow performance rating.

  Key findings of the performance assessment reveal that the percentage of regions in Indonesia that have legalized spatial plans in place is still limited. Specifically, spatial plans have been legalised in13 provinces (39 per cent), 121 districts (32 per cent) and 37 cities (43 per cent). Meanwhile, the percentage of forest areas that have been gazetted is 11 per cent, or 15 million out of 136 million ha. Furthermore, out of a total number of 103 forest related conflict cases up to February 2012 (cases handled by Directorate of Forest Plantation Development, Ministry of Forestry) only 1 case has so far been fully resolved. Forestry crime cases submitted to court were only 6 out of 128 cases handled in 2012. Media news coverage of community rights is insufficient with only one news story every 21 days during the period 2010-12. Furthermore, there are high transaction costs for obtaining forest permits (official & unofficial). The cost of gaining a permit from the local government in Kalimantan for example, amounts to Rp. 50,000 per hectare. The government issued forest permits covering less than 450.000 ha to communities but more than 30 million ha to private sector actors.

5.2 Utilization of the PGA to address Forest, Land and REDD+ Governance Challenges

The Government of Indonesia has insisted for some time now, that whether or not REDD+ schemes are prepared and implemented, it has a responsibility to reduce the level of deforestation and forest degradation – with or without the support of other nations. These sorts of statements may be interpreted to mean that the government has a high commitment to strengthening forest governance to ensure sustainability, providing revenues to the state, and that this revenue contributes to poverty alleviation.

To what extent has this commitment to good forest, land and REDD+ governance been realized beyond the intention? The government should not only gather data about and monitor the "physical condition" of forests - in terms of forest coverage, levels of deforestation and forest degradation, carbon stocks and estimations of emissions, as well as biodiversity – it should also periodically analyse the conditions of forest, land and REDD+ governance. The availability of robust and comprehensive data is essential to understand the gaps between current implementation and the realization of results, and will enable decision makers to be strategic in their choices and selected course of action

In addition to provide robust and credible governance information on selected governance issues, the PGA was also designed to be a monitoring instrument enabling various actors at the different levels to track progress and regression, and to serve as a basis to improve their performance through policy reform and advocacy among others. Consolidated, these changes and efforts would be implemented with a view to reduce the rate of deforestation and forest degradation, moderate conflict over managing forest areas between the actors and reduce transaction costs in licensing processes. At the same time, strengthening the governance of forest, land and REDD+ would increase Indigenous and local people's access to forest management, certainty in forest areas particularly with regards to law and practice, the well-being of forest dependent stakeholders, knowledge about biodiversity and associated functions of forest areas, such as protecting local water resources and climates. The forest, land and REDD+ governance system is depicted in Diagram 5.4.

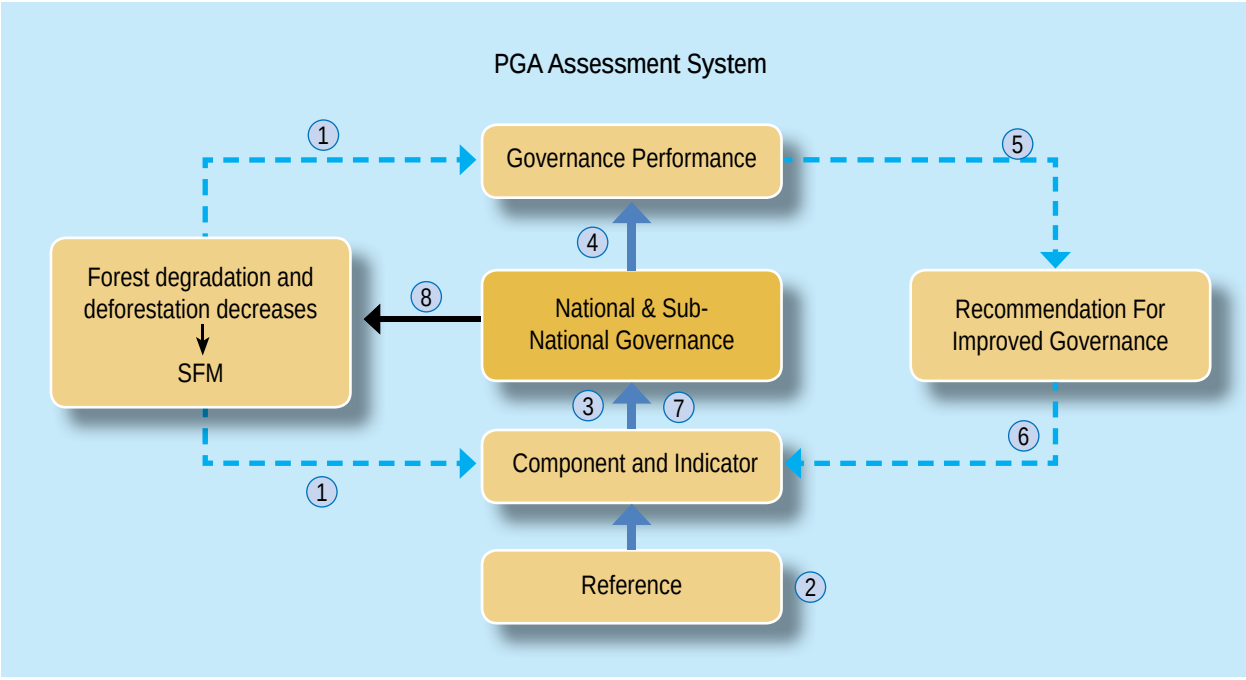


Diagram 5.4
The Forest, Land and REDD+ Governance System

As such, the utility value of the PGA, assessing forest, land and REDD+ governance, may be sustained if it is used as an instrument to improve forest monitoring systems or mechanisms and in regards to other issues of tackling climate change, which are already advancing in a number of institutions and ministries.

In terms of the monitoring the implementation of the Presidential Decree to postpone the awarding of new permits and improving the governance of primary forests and peatlands, the PGA assessment system could provide possible instruments for the Government of Indonesia to track the progress – or lack thereof - and use the results for more strategic policy interventions. It is suggested that over time, as the capacities of the relevant government institutions for enforcement and monitoring of forest governance

policies are strengthened, the time-bound moratorium on the postponement of issuance of logging and plantation concessions could be replaced by a performance based mechanism that allows limited and regulated issuance of concession permits by central government for provinces and districts that have the required enforcement and monitoring capacities in place.

5.2.1 Utilization of Results to Support Forest Monitoring Systems Development

This assessment of forest, land and REDD+ governance may be useful as an additional instrument in developing integrated forest monitoring systems by using any number of its indicators, which were specifically designed to measure the conditions of forest, land and REDD+ governance. The Ministry of Forestry has developed various ways to collect data as part of its periodic activities monitoring conditions in forest areas. This forest monitoring system within the Ministry of Forestry covers the following aspects, which reflect the structure and function of the ministry:

- The forestry planning aspect, covering forest areas, changes to forest areas and forest area utilization, and formation of forest management units (*kesatuan pengelolaan hutan* – KPH).
- The protection and conservation aspect, covering conservation areas, flora and fauna, forest security and forest fires.
- The regional management, river systems and social forestry (*perhutanan sosial*) aspect, covering critical lands, priority river systems, rehabilitation of forests and land, nurseries and seedling cultivation, village forests, community forests, people's seedling gardens, non-timber forest products and the one-million-tree-planting initiative.
- The forest business development aspect with sub-aspects as follows: utilization of natural forests, utilization of plantation forests, utilization of people's plantation forests, utilization of restoration forests, forestry primary industries, forestry products production, distribution of forest products, empowerment of communities near forests, forestry management workforce.
- The other aspects are research and development, human resources development, international cooperation, infrastructure and facilities, budgeting together with supervision and control.

Diagram 5.5 Integrating the PGA Indicators with the Focus Areas and Responsibilities of the Ministry of Forestry

The Forest Monitoring Aspects in the Ministry of Forestry Statistic Report	The Integration of a Number of Indicators of the Forest, Land and REDD+ Governance Assessment
The Forestry Planning	Laws and Policies Framework: the formulation of spatial and forest plans involving all actors, increasing the capacity of local peoples in spatial and forest planning, as well as mechanisms to manage complaints. Government Capacity: the number of forest management units formed and the application of internal control mechanisms, the allocated fund for forestry planning process in a participatory manner, standard operating procedure (SOP) for conflict resolution, the allocated forest management units' fund for community and village forests. Non-Government Capacity: the number of NGO activists, academics, community activists, and business personnel providing inputs to forestry and spatial planning process Performance component: the number of forest areas gazetted and accepted by any parties, the number of areas associated with community interests that are included in spatial plans, the number of conflicts related to forest areas that have been resolved, the total overlapping of forest areas, the number of conflicts between forest users, the percentage that possess forest management units, deforestation level
The forest protection and conservation	Government Capacity: the number of special police for forest protection Performance component: the extent of ecological services in forest management, the number of forest related criminal cases processed by the police, the number of forest related criminal cases processed by courts
The regional management, river systems and social forestry	Law and Policy Framework: recognition and protection of the forest management rights of Indigenous and local communities, the existence of regulations that oblige governments to increase the capacity of local peoples in managing forests Government Capacity: the allocation of funds for administration costs, cooperative mechanisms between units and agencies with administrative tasks unit, the number of cooperation with NGOs regarding the administration of Indigenous People's rights in the forest area Performance component: the forest degradation level, the number of Indigenous People and local communities who manage forest in the forest area, the forest area allocated for Indigenous People and local communities, the number of rights held by business interests and Indigenous Peoples under administration
The forest business development	Law and Policy Framework: the forest management with just and transparent mechanisms for the provision of licenses. Government Capacity: the level of understanding about the licensing process as a means to control and regulate forest use, the allocated fund for forest conflict related resolution Performance component: the total costs of transactions in obtaining licenses, the authority to intervene in forest management processes by those implementing the licenses
Research and development	Performance component: the number of best practices employed in conflict resolution, the integrity index of the Corruption Eradication Commission (*Komisi Pemberantasan Korupsi* – KPK) for the forestry sector
Human resources development	Government Capacity: the number of personnel employed in forest management units (*Kesatuan Pengelolaan Hutan* – KPH) to facilitate interactions between stakeholders, the number of qualified forest management units (FMUs) personnel for forest related conflicts handling mechanism

Supervision and control	Law and Policy Framework : the existence and quality of regulations concerning the accountability of institutions of forest managers, considerations about existing integrity and expertise in strategic matters, regulations concerning transparency in the control and structuring of legal instruments and law enforcement, improvements in the capacity of local people in matters of supervision, follow-up action in matters indicating corrupt practices, and; a "multi-door approach" mechanism to address cases of forestry crimes by using various legal instruments. Performance component: value of losses on forest management units reported by the Supreme Audit Agency (*Badan Pemeriksa Keuangan* – BPK), and the number of complaints from local people regarding forestry management performance issues

Within this broad scope of work, a number of indicators developed for the PGA ensure the availability of data for several of the aspects cited above that are monitored and reported in the annual report of Indonesia Forestry Statistics. Indicators which are currently not monitored may be integrated into aspects that are being monitored and included in this annual Indonesia Forestry Statistics report. The PGA data and information will allow readers and users to get a realistic sense of the condition of forest, land and REDD+ governance, which in turn may be used in the analysis, policy formulations, programs and activities in the ministry.

These indicators, especially those that concern the main tasks and responsibilities of the Ministry of Forestry, may be integrated with a minimal burden on the Ministry. This assessment has clear synergies with forestry monitoring systems already in place, through which information is provided to the public in periodic reports. The data and information may be useful for many parties to realize the progress made in the condition of governance in the Ministry. This data may be used not only at the central level, but may be brought to sub-national levels, in particular through working with existing forestry departments (*dinas*).

The PGA data may also support the Ministry of Forestry's research and development activities, especially analysing the discrepancies identified further. In other words, the data should be translated into a number of policy recommendations. In this context, the Central Bureau for Research and Development should draw on the expertise of its staff. The results should be disseminated to the relevant responsible directorates. The PGA results may also be used as evidence to support the Ministry of Forestry's annual work planning.

5.2.2 Utilizing the Results to Support the Governance Component of Indonesia's REDD+ Safeguards Information Systems

The results of this assessment of forest, land and REDD+ governance can become an instrument for the Government of Indonesia to build the governance component of the "Safeguards Information Systems as requested in the UNFCCC Decision (1/CP.16, paragraph 72),:

> *Developing country Parties, when developing and implementing their national strategies or action plans, to address, inter alia, the drivers of deforestation and forest degradation, land tenure issues, forest governance issues, gender considerations and the safeguards identified in paragraph 2 of appendix I to this decision, ensuring the full and effective participation of relevant stakeholders, inter alia indigenous peoples and local communities.*

The safeguards mentioned in the Cancun decision refer to seven specific safeguards that must be attended to by all countries when preparing to implement REDD+ strategies. The seven safeguards are: actions that are consistent with the objectives of national forest programmes; transparent and effective national forest governance; respect for the knowledge and rights of Indigenous Peoples and members of local communities; full participation of relevant stakeholders; consistency actions with conservation of natural forests and biological diversity; actions to address the risks of reversals; and lastly actions to reduce displacement of emissions. UNFCCC Decision 1/CP.16 requires all developing countries to develop an information system on the REDD+ safeguards and to use it when compiling reports to the UNFCCC secretariat.

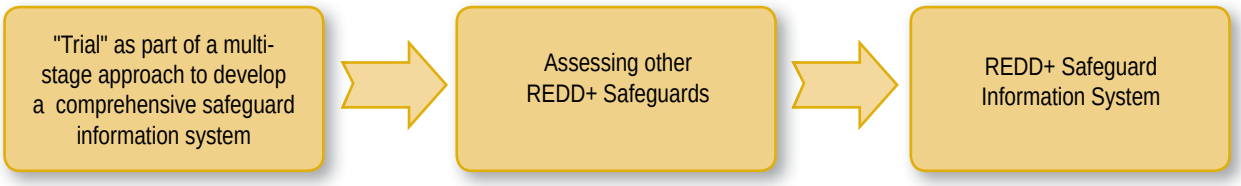
In developing the national Safeguards Information System for a country's REDD+ process, several aspects must be taken into consideration. In addition to being consistent with the instructions identified in the Cancun decision, the Safeguards Information System must ensure that information is prepared consistently and transparently; that it covers all stakeholders and is updated regularly; that it is transparent, flexible and amenable to improvement at any time; that it provides information on how the safeguards are being addressed; that it is implemented by the government at the national level, and developed using, if possible, existing systems.

The contribution of the PGA to feed into and be part of in the development to such a national Safeguards Information System lies in the fact that it can fulfil many of the criteria that developing countries must consider when building their national Safeguard Information Systems. It can also provide useful insights into and robust data on the safeguard put forth in the Cancun decision, promoting transparent and effective forest governance. Further, several indicators may also provide data and analysis to other safeguards recognized in the Cancun decision, such as respect for the knowledge and rights of Indigenous Peoples and members of local communities, as well as the full participation of relevant stakeholders.

In addition to the PGA may assist in providing comprehensive and robust data on some of the safeguards to meet the agreed requirements of the UNFCCC Decision, the assessment also provides an analysis of the efforts the government made thus far to handle deforestation and forest degradation. As noted by many experts and in many studies, a high rate of deforestation and forest degradation is related to poor forestry governance. Forest governance is then an indirect 'driver' of deforestation and forest degradation, which can take the form of corruption, conversion of forests to plantations, mining, lack of coordination and legal certainty, illegal logging as well as planned

and unplanned human settlements in forest areas. This study, then, can present an analysis of the discrepancies between existing plans to address deforestation and forest degradation through good forest governance on the one hand, and implementation and performance on the other.

Multi-stage Implementation. The PGA may contribute with robust data to the the Safeguards Information System in Indonesia once this is fully developed. Until the national Safeguards Information System is fully developed it should be possible to start at a smaller scale by using the data, analysis, experiences and the basic framework of PGA in the first steps towards a fuller national Safeguards Information System. This "trial" will be part of a multi-stage approach in Indonesia's efforts to develop a comprehensive Safeguard Information System to report back to UNFCCC.



Using the PGA data and process to support the preparations of a national Safeguards Information System, is supported by a number of considerations. Firstly, the framework of PGA already possesses many of the necessary attributes, such as being transparent, involving all stakeholders, and being credible.

Secondly, the PGA encompasses various government agencies as 'observation units', not just the Ministry of Forestry. This is because efforts to reduce deforestation and forest degradation are cross-sectoral. The assessment also covered different levels, beginning at the central level, through to the provinces and the districts, and the assessment framework has been tested already with the first phase resulting in comprehensive baseline data.

Thirdly, this opens space for all parties, especially those from within government, to continually improve their methods. The usefulness is not only in terms of meeting reporting requirements to the UNFCCC, but more importantly to get input for the processes of formulating forest, land and REDD+ governance strategies, programs and activities in all government units and agencies responsible for reducing emissions in the forestry and lands sectors.

5.2.3 Follow Up to the Forest, Land and REDD+ Governance Assessment

Learning from the PGA which encompasses forest, land and REDD+ governance issues, the institution that will take on board the task of regularly updating the PGA data must have as a basic function the coordination of the ministries and associated institutions. This is because there are many actors involved and affected, although the primary actor will always be the Ministry of Forestry and associated departments at the provincial and district levels.

This institution will have to collect data based on the agreed indicator set and data collection methods, and will have to ensure this data is analysed and validated. This institution would also need to develop and maintain relationships with civil society organizations such as the Indonesian Indigenous People Alliance (*Aliansi Masyarakat Adat Nusantara* - AMAN), business associations concerned with forestry and land, such as the Association of Forest Concession Holders (*Asosiasi Pengusaha Hutan Indonesia* - APHI), and national and local NGO networks in the relevant areas of data collection. This is supported by the need identified in the PGA to involve and raise the capacity of actors beyond the Ministry of Forestry.

The REDD+ Agency. The REDD+ agency that will be constituted before long may be the best suited actor to ensure that the PGA data is updated at regular intervals and is shared with and made accessible to relevant stakeholders. Sufficient expertise and capacity to conduct effective data collection and analysis is key. It must also use its results as opportunity for better coordination between all partners in the ministries and government institutions, and a starting point to strategically prioritize areas and actors for capacity development relevant to Indonesia's REDD+ process.

In the context of the REDD+ agency, data collection may be conducted by the measurement, reporting and verification (MRV) agency, which is tasked with measuring and reporting on whether emissions levels are rising or falling. This institution may be well suited to perform the additional task of collecting data associated with forest, land and REDD+ governance, and then provide the raw data to the REDD+ agency. Another alternative is that data collection is carried out by a unit within the REDD+ agency that is responsible for the safeguards information framework.

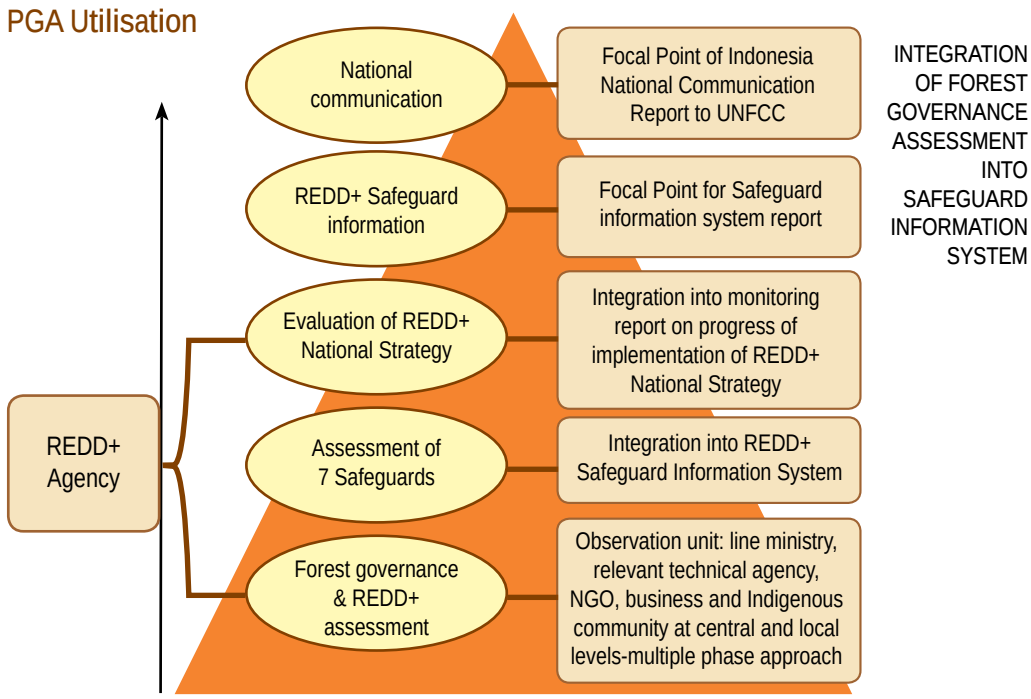


Diagram 5.4 Integration of PGA data into Indonesia's Safeguard Information System

Expectantly, the new REDD+ agency, in line with its data and information collection function, will collaborate with relevant ministries on data collection, especially the Ministry of Forestry, considering that almost 60% of data indicators relevant for the PGA is also relevant for the Ministry of Forestry and is being collected by them already. By contrast, the National Planning and Development Agency (*Badan Perencanaan dan Pembangunan Nasional* - BAPPENAS) and the Ministry of Public Works currently only measure a couple of the indicators found in the PGA indicator set, such as the number of qualified spatial planners. Indicators measured at the Ministry of the Environment include the number of civil servant investigators (*penyidik pegawai negeri sipil* - PPNS) and environmental crimes being processed and receiving sanctions. With regards to the police, the attorney general's office and the judiciary, they measure the number of personnel possessing qualifications in environmental and forestry cases, as well as the cases being processed through their respective law enforcement institutions.

At the regional level, the provincial and district government offices (*Satuan Kerja Perangkat Daerah* - SKPD) most relevant to the forest, land and REDD+ governance assessment, or PGA, indicators are the forestry departments. Other SKPDs are the Regional Planning and Development Agencies (*Badan Perencanaan dan Pembangunan Daerah* - BAPPEDA), the Environmental Agencies (*Badan Lingkungan Hidup*), and the Departments of Plantations, Mining and Public Works. Data also needs to be collected from law enforcement agencies at regional levels, such as the police, the attorney general and judiciary, because not all kinds of data on legal cases are being thoroughly documented by counterparts at the centre. In terms of REDD+ issues, the REDD+ agency can build cooperation with REDD+ focal points in the various territories that function as assessment locations. In addition to collecting data from other institutions, the REDD+ agency needs to collect internal data, especially with regards to policies and regulations as well as the development of capacities to strengthen forest, land and REDD+ governance.

To these ends, the most important process for the REDD+ agency is to build mutual understanding and efficient data collection mechanisms to measure forest, land and REDD+ governance conditions together with the ministries and associated agencies at the central level and in the regions. In addition, the agency needs to develop and maintain relationships, programs and mechanisms through which stakeholders from NGOs, Indigenous Peoples, forest dependent communities and forestry business associations can voluntarily provide data and measure their own capacities in matters associated to forest, land and REDD+ governance at the various levels.

Work Flow. As mentioned above, the development of Indonesia's Safeguards Information System is implemented in stages and in line with prevailing conditions in Indonesia. After having participated in the PGA, the importance of available comprehensive and robust data is clear to involved stakeholders, and this will follow Indonesia's work on developing the Safeguards Information System. Ultimately, the PGA data can serve to feed into this Safeguards Information System as put forth in the UNFCCC Decision 1/CP.16.

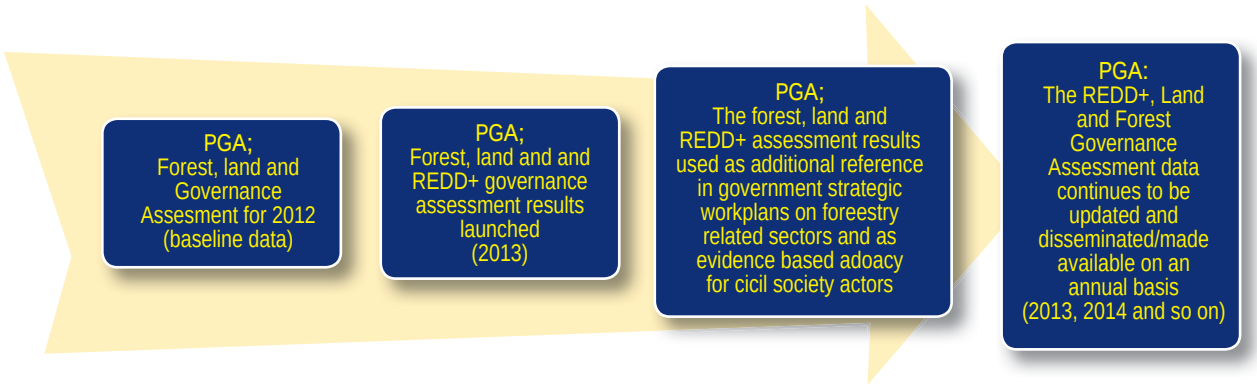
Instruments of the assessment of forest, land and REDD+ governance: In the work to develop a credible Safeguards Information System, there needs to be a set of PGA/ forest, land and REDD+ governance assessment instruments that are continued to be seen as credible, transparent and consistent. The first aspect of this process is to work on the appropriate composition of the working team (*tim kerja*). It is suggested that the working team be comprised of stakeholders from varying backgrounds and fields of expertise.

The second aspect is the assessment matrix, where it would be beneficial to build upon and improve the assessment framework as it has now been tested and will undergo improvements. While further improvement to the indicators is possible, this must be conducted through careful study review of the issues and principles of forest, land and REDD+ governance that have been used and the components accompanying the assessment. This must be done to ensure that improvements to the indicators do not become disengaged from the analysis and context that were the starting point for the initial PGA approach, carefully crafted to take into account different perspectives and priorties of key stakeholders.

The third aspect is an internet-based assessment approach. Cooperative arrangements and support infrastructure should develop a web-based assessment approach. A web-based assessment will help save time in data collection in the field as well as reduce costs and labour required to conduct data collection across broad stretches of the country. All cities in Indonesia have internet access and a web-based approach will indicate participation levels of the various stakeholders and be part of the means to assess them.

The official website of the REDD+ agency may also have a special portal to access information from the PGA - forest, land and REDD+ governance assessment. It should have basic information about the assessment, such as its background and why it is necessary, its conceptual framework and methodologies, who is involved, and the results of previous assessments. The website should also present the indicators and the 'observation units' associated with each indicator because the indicators are not always associated with the same parties, as well the methods employed to assess each indicator, the sources of the data and information and the locations of the assessment. Stakeholders need only 'click' on the upload or download functions to access and input source data. The source data may be in the form of documents and also answers to queries.

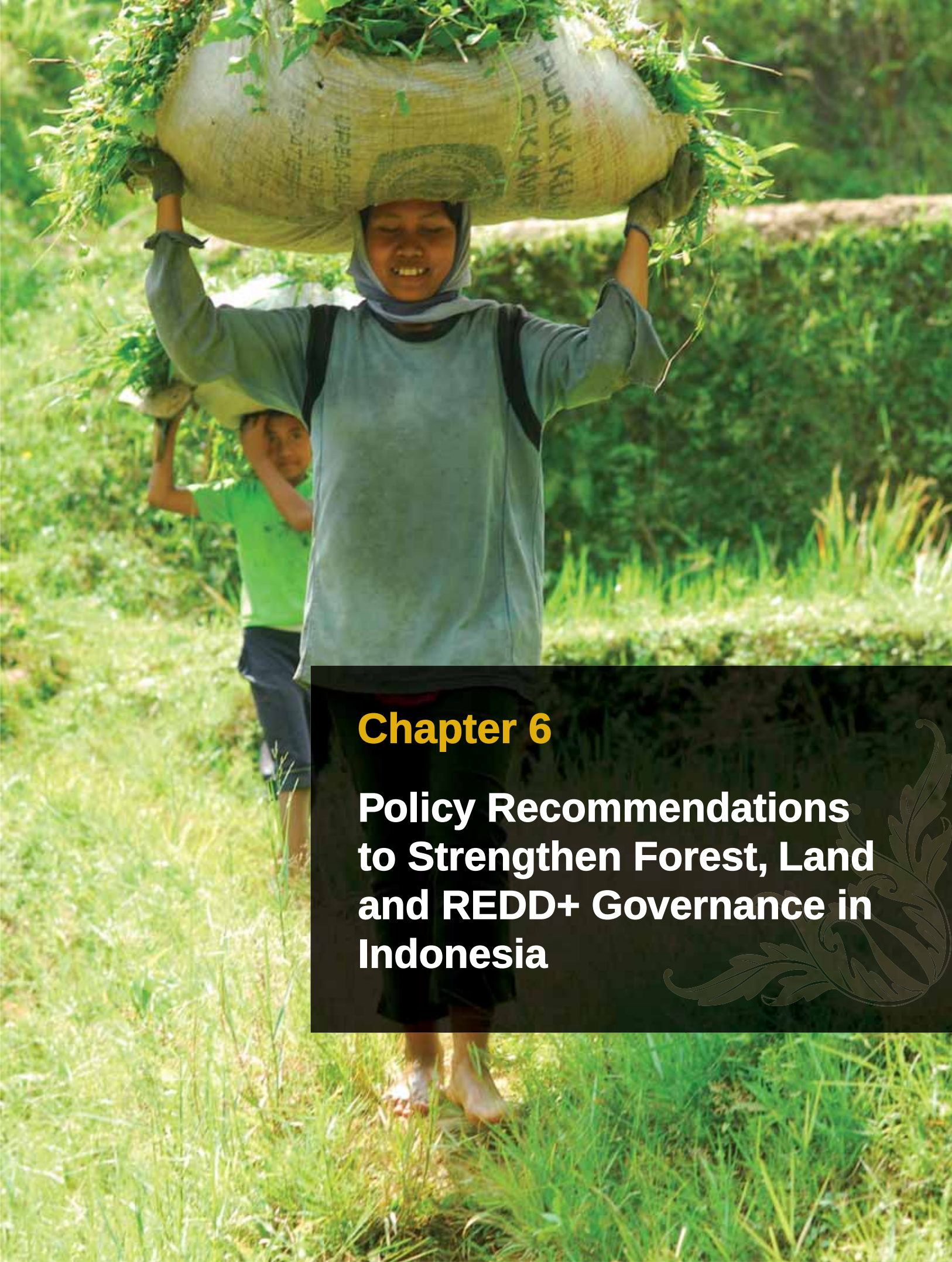
The fourth aspect is time management, which is linked to how the PGA will be taken forward and the future priorities andmain expected outcomes of the assessment. If it is decided to assess the conditions of forest, land and REDD+ governance over one year, the data collection and analysis should be conducted at the beginning of the year.



If there is an aspiration to get an update of the conditions of forest, land and REDD+ governance for 2013, for example, data collection should be conducted throughout 2013, and preferably through online channels where possible. Where there is a need to collect data manually, the data collection teams would be formed and would visit the locations to conduct their data collection from the beginning of November. Based on the experience from the first PGA phase, the best results would be obtained by working with universities or similar kinds of organizations in the various locations where they may not only collect data but also verify and validate input received through the website. The data collection process would then cease at the end of December.

The Expert Panel would then conduct its analysis of the data collected. The draft findings would be discussed with stakeholders in all assessment locations to examine whether the results of the analysis are in accordance with submitted materials, whether data is available and has yet to be included - especially input that would affect the indicators - and whether the Expert Panel has misunderstood or misinterpreted information. The consultations may be conducted at the beginning of the second month of the year in Jakarta or in the various assessment locations, depending on the allocation of funding and available human resources. The analysis would then be reconsidered in light of the findings of the consultations and material provided through the website. This is also an important part of the transparency of the forest, land and REDD+ governance assessment process.

The Expert Panel would be assisted in the writing of the report throughout the second and third months of the year. The results of the assessment of forest, land and REDD+ governance conditions would then be launched in the fourth month. The report would then be used to formulate programs and activities to strengthen forest, land and REDD+ governance in the next year and be part of the material presented at working meetings between the President and all regional government heads, as well as material with which to review progress on reaching targets established in the REDD+ National Strategy.



Chapter 6

Policy Recommendations to Strengthen Forest, Land and REDD+ Governance in Indonesia

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The index scores obtained in the participatory governance assessment (PGA) of forest, land and REDD+ governance tended to be low, indicating that there are still fundamental problems with the management of forests and land and that there are serious implication for the implementation of REDD+. The four main challenges identified in the PGA - which all seem to either not be addressed at all or are being addressed insufficiently - are; the resolution of forestry-related conflicts, the vast amount of forest areas that have yet to be gazetted, law enforcement and high transaction costs. These problems should be prioritized through strengthening forest, land and REDD+ legal frameworks and policies. This should be accompanied by the development of capacity among forest, land and REDD+ governance actors, which in turn is thought to have a positive effect on the performance.

Although efforts to strengthen forest, land and REDD+ governance should operate at every level of government, it should not be confined within the boundaries of government. At the central level, there needs to be efforts to improve law enforcement and the management of legal processes, especially in terms of improving the capacities of the agencies tasked with those functions. The government also needs to boost the management roles of civil society, as well as Indigenous Peoples and businesses, especially in the processes of refining and implementing policies designed to improve performance in forest and peat land management.

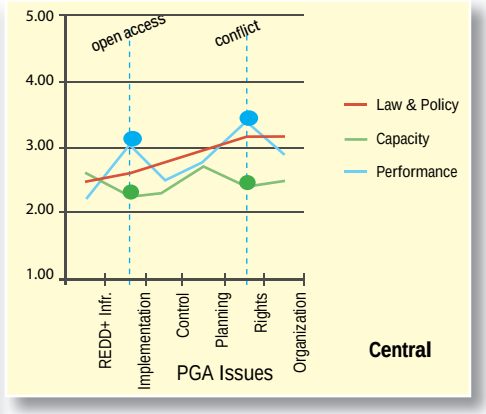
At the provincial level, local governments need to increase their efforts to improve governance, especially in terms of organization and forestry and spatial planning. This is due to shortcomings in local government efforts to prevent suspect practices in licensing processes, which have implications for the high transactions costs and poor performance in releasing information about spatial planning. Other actors, such as from civil society, communities (Indigenous Peoples/women/local communities), and business communities, do not have the capacity to advocate for these improvements,

with the exception of the business community's technical capacities in forestry and spatial planning.

At the district level, key challenges and shortcomings are identified in particular with regards to laws and policies. To provide more detail, high transactions costs have barely been addressed – rather neglected at theprovincial level until now. At the same time, Indigenous Peoples and forest dependent communities need to defend the forest and land management functions they already possess in order to ensure their rights to forest and land resources. The elements of the business community that already possess relatively good governance (in terms of e.g. internal procedures and standards) need to do the same in regards to the issue of law enforcement.

- **Central**
  - Capacity building can enhance the index on the issue of law and policy related to rights and management but is not followed by improved performance;
  - Main problem: open access and conflict.

- **Province**:
  - Main problem: low law enforcement index and high transactions cost;
  - Both problems are related to low law and policy index.



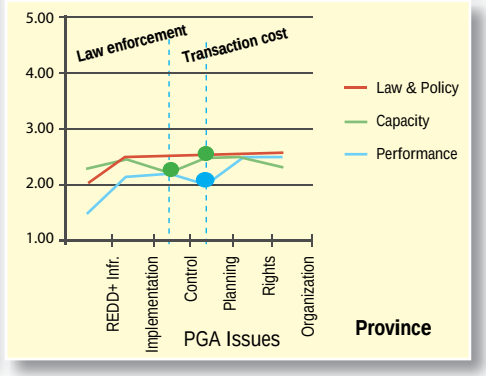


Diagram 6.1 the Key Forest, Land and REDD+ Governance Challenges

As such, the policy recommendations to strengthen forest, land and REDD+ governance presented resulting from the PGA process are concerned with activities that have been prioritized by the stakeholders, seen as relevant and that will make a significant contribution to reforming forest, land and REDD+ governance in Indonesia. If implemented by all levels of government (central, provincial, district), capacities and capabilities in handling forest, land and REDD+ governance should improve accordingly. Improving capacities and capabilities in dealing with forest, land and REDD+ governance issues will contribute considerably in addressing the poor levels of performance of actors, especially within the government, in the four areas with the most severe challenges

identified above: the resolution of forestry-related conflicts, the vast scope of forest areas that have yet to be surveyed, law enforcement and high transaction costs.

The policy recommendations were compiled in response to these four main challenges identified with a view to apply principles of good governance agreed from the onset of the PGA. The policy recommendations pertain to two main areas, namely the improvement of legal and policy frameworks and the strengthening of capacities and capabilities of the key relevant actors. The recommendations are as follows:

6.1 Improving the Legality and Legitimacy of State Forest Areas

To improve the legality and legitimacy of state forest areas, the PGA process has made the following recommendations:

Strengthening Law and Policy Frameworks

- Mechanisms for the establishment of forestry areas (*pengukuhan kawasan hutan*) that aresensitive to the potential for conflict, that are transparent and participatory, involving all stakeholders, through the issuance of a Ministry of Forestry Regulation. This includes revision to Government Regulation No.44/2004 on Forestry Planning, to make it more participatory, transparent and accountable.
- Mechanisms for land planning (*perencanaan lahan*) applying principles of good governance. Implemented through the issuance of a Ministry of Home Affairs Regulation and/or regional regulations at the provincial and districtlevels.
- Mechanisms to identify and make an inventory of the rights of Indigenous and local communities, both within and outside forest areas, that are transparent and participatory. Implemented through the issuance of a Ministry of Forestry Regulation for forest areas and of National Land Agency (*Badan Pertanahan Nasional* - BPN) Regulation for non-forest areas. Includes revision to National Land Agency Regulation No.5/1999 on the registration of traditional lands (*tanah-tanah adat*) and resolving the status of 33,000 villages located within forest areas.
- Joint Decree (*Surat Keputusan Bersama* - SKB) between the Ministry of Forestry, Ministry of the Environment, Ministry of Home Affairs and the National Land Agency on the administration of the rights of indigenous and local communities in forest areas and other land utilization areas.
- Mechanisms to simplify the process of establishing working areas under forest utilization license (*penataan batas areal kerja ijin pemanfaatan hutan*) that are transparent and participative through the issuance of a Ministry of Forestry Regulation.
- Mechanisms to integrate forest area boundary gazettement (*pengukuhan*) by the formation of a working group involving indigenous people's organizations, non-government organizations (NGOs), as well as representatives of the business and academic communities through the issuance of a Ministry of Forestry Regulation.

- Simplification of the Regulation of the Ministry of Forestry and the Ministry of Home Affairs on the formation of forest management units (*kesatuan pengelolaan hutan* – KPH) that ensures the involvement of civil society, academics, women's groups and Indigenous Peoples by applying principles of good governance.
- Mechanisms to mainstream gender emphasizing women's access to and control of forest resource management as well as in conflict resolution.

Strengthening the Capacity of the Actors

- Training to build the capacities of government, Indigenous Peoples, local communities, NGO activists and business representatives in forest area planning (*perencanaan kawasan hutan*) at the central level and in the regions by applying gender justice principles and approaches.
- Formation of working units (*unit kerja*) to administer the rights of Indigenous Peoplesand local communities at sub-national levels.
- Improvement to the capacities of the working units that administer the rights of Indigenous Peoples and local communities in the Ministry of Forestry and Ministry of the Environment.
- Memorandum of Understanding (MoU) between the government and Indigenous Peoples' organizations on the implementation of the administration of the rights of Indigenous Peoplesand forest dependent communities.
- Strengthening the capacities of the Boundary Administration Committee (*Panitia Tata Batas* - PTB) that works with the implementation of forestry tenurial conflict resolution.
- Formation of a boundary administration acceleration 'desk' that takes the 'coaching clinic' approach to holders of licenses.
- Strengthening the capacities and intent of sub-national government to empower the functions of the Forest Management Unit in their jurisdictions.
- Provide trainings in the preparation of forestry management plans that is participatory, transparent and accountable to Forest Management Unit staffs.

6.2 Ensuring Rights to Forest Resources and Reducing the Incidence of Forestry Conflicts

Strengthening Law and Policy Frameworks

- Extension of Presidential Instruction No.10/2011 on the Postponement of the Issuance of New Licenses and Improvements to the Governance of Primary Forests and Peatlands by Establishing Performance-based Mechanisms (also known as the 'moratorium'). It is suggested that over time as the capacities of the relevant government institutions for enforcement and monitoring of forest governance policies are strengthened, the time-bound moratorium on the postponement of issuance of logging and plantation concessions could be replaced by a performance based mechanism that allows limited and regulated issuance of concession

permits by central government for provinces and districts that have the required enforcement and monitoring capacities in place.

- Acceleration of the legalization of government laws and regulations on the recognition and protection of the rights of indigenous peoples.
- Mechanisms for handling complaints and the resolution of forestry tenurial conflicts that apply principles of good governance through the issuance of a Ministry of Forestry Regulation and regulations from Governors and District Heads.
- Mechanisms for handling complaints and the resolution of land conflicts that apply principles of good governance through the issuance of a Ministry of Home Affairs Regulation and regulations from Governors and District Heads.

Strengthening the Capacities of the Actors

- Strengthening capacities in resolving forestry and land tenurial conflicts based on a multi-stakeholder approach in the units that deal with tenurial conflicts in the Ministry of Forestry, the National Land Agency and the regions.
- Preparation of a Code of Ethics and standard operating procedures (SOPs) on managing forestry and land conflicts in the Ministry of Forestry, the National Land Agency and the regions.
- Increases inbudget allocations for the resolution of forestry and land conflicts.
- Development of a MoU on complaints management and the resolution of forestry and land conflicts between the government at the central and regional levels with NGOs and organizations of indigenous and local people at the national and regional levels.

6.3 Reducing Transaction Costs and Illicit Costs in Obtaining Forestry Licensing

Strengthening Law and Policy Frameworks

- Mechanisms for the management of forestry licensing that are simple, efficient, transparent, accountable and that guarantee public monitoring through a Ministry of Forestry Regulation and regulations from Governors and District Heads.
- Mechanisms for the management of forestry licensing for members of society that aresimple, efficient, transparent, accountable and that guarantee public monitoring through a Ministry of Forestry Regulation and regulations from Governors and District Heads.
- Mechanisms for the provision of technical assistance, guidance and funds for managing indigenous forests (*hutan adat*), village forests (*hutan desa*), community forests (*hutan kemasyarakatan*), community plantation forest permits (*hutan tanaman rakyat* - HTR) through a Ministry of Forestry Regulation and regional regulations.

- Regulations from Governors and District Heads on mechanisms to fill strategic positions within regional governments based on considerations of integrity and capacity.

Strengthening the Capacities of the Actors

- Training and technical assistance to Indigenous Peoplesand forest dependent communities and sub-national government to support mechanisms for the recognition of indigenous forests (*hutan adat*) through regional regulations.
- Training and technical assistance to Indigenous Peoples and forest dependent communities on managing licensing of community plantation forest permits, village forests and community forests.
- Develop cooperation between government and NGOs as the associates of Indigenous Peoples and forest dependent communities in advocating for regional regulations on the recognition and protection of indigenous forests (*hutan adat*), and the management of licenses for village forests, community forests and people's forests (*hutan rakyat*).
- Develop mechanisms to prevent transaction costs that are not in line with regulations in licensing processes and supervision of licenses with members of the Association of Forest Concession Holders (*Asosiasi Pengusaha Hutan Indonesia* - APHI).
- Develop cooperation between environmental NGOs and anti-corruption NGOs with journalists in scrutinizing issues concerned with forest and land licensing at the central and regional levels.
- Strengthen cooperation between environmental NGOs and anti-corruption NGOs in scrutinizing issues concerned with forest and land licensing at the central and regional levels.

6.4 Improving Law Enforcement in the Forestry Sector

Strengthening Law and Policy Frameworks

- Mechanisms for complaints handling in the forestry and land sectors that integrate protection for whistleblowers and are based on the public complaint principles developed by the ombudsman through the issuance of Regulations from the Ministry of Forestry and National Land Agency (BPN), as well as regulations from Governors and District Heads.
- Mechanisms for a supervision system for administering forest and land licensing that utilizes public control capabilities and government oversight applying principles of good governance through the issuance of Regulations from the Ministry of Forestry and National Land Agency (BPN), as well as regulations from Governors and District Heads.
- Conduct performance audits of working units (*unit-unit kerja*) associated with forestry law enforcement in the Ministry of Forestry, as well as working units associated with forestry law enforcement in the provinces and districts.

- Mechanisms for the development of policies on forestry licensing audits through the issuance of a Ministry of Forestry Regulation.
- Mechanisms for improving follow-up on the results of the audits of the Supreme Audit Agency (*Badan Pemeriksa Keuangan* - BPK), Government Audit Agency (*Badan Pemeriksa Keuangan Pemerintah* - BPKP), the Corruption Eradication Commission (*Komisi Pemberantasan Korupsi* - KPK) and the inspectorates within relevant agencies responsible for forestry management at the central and sub-national levels.

Strengthening the Capacities of the Actors

- Training investigators in forestry agencies, the judiciary and police to use the multi-door approach in handling forestry crimes by using various legal instruments.
- Broaden networks of civil society, Indigenous Peoples and forest dependent communities, and women in conducting the Forest Monitoring Program initiated by the Corruption Eradication Commission.
- Develop a MoU on complaints handling with NGOs and other organizations of indigenous and local peoples at national and regional levels.
- Develop the capacities of civil society, Indigenous Peoples and forest dependent communities, particularly targeting women, in monitoring forestry cases being processed through law enforcement agencies.

6.5 Realizing REDD+ Infrastructure through Applying Good Governance Principles

Strengthening Law and Policy Frameworks

- Mechanisms to involve all stakeholders (civil society, academics, Indigenous Peoples and forest dependent communities, women and journalists) in REDD+ preparation and implementation phases.
- Regulations for social, environmental and governance safeguard frameworks in implementing REDD+ in Indonesia.
- Mechanisms for transparency and accountability in REDD+ preparation and implementation activities, including more detailed regulation of mechanisms for applying free, prior and informed consent (FPIC).

Strengthening the Capacities of the Actors

- Acceleration of the formation of a REDD+ agency that with sufficient capacity, and further is transparent, participatory and accountable.
- Development of capacities in the regions, civil society, academia, Indigenous Peoplesand forest dependent communities, women, business and journalists to support their involvement in REDD+ preparation and implementation.

- Development of capacities in civil society, academia, Indigenous Peoples and forest dependent communities, women and journalists to support independent monitoring of REDD+ preparation and implementation.
- Provision of a communication and information systems that are easy to access and understand and can be used by all actors in strengthening their capacities and to stay updated in order to more meaningfully be involved in both the preparation and implementation of REDD+.
- Provision of support and facilities to NGOs and Indigenous People's organizations to conduct social mapping and spatial mapping of areas managed by Indigenous Peoples and forest dependent communities in REDD+ implementation sites.

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Appendix

Matrix Participatory Governance Assessment: The 2012 Indonesia Forest, Land and REDD+ Governance Index

Matrix PGA Indicators Under Components

PGA Indicator Scores with Score Range from 1 as the lowest score to 5 as the highest score

Component A : Laws & Policies Framework	Central	Aceh	West Aceh	Southeast Aceh	Riau	Palalawan	Siak	Jambi	West Tanjung Jabung	East Tanjung Jabung	South Sumatra	Musi Banyu Asin	Musi Rawas	West Kalimantan	Kapuas Hulu	Ketapang	Central Kalimantan	Kapuas	West Kolawaringin	East Kalimantan	Berau	Nunukan	Central Sulawesi	Poso	Sigi Biromaru	West Papua	Fakfak	Manokwari	Papua	Sarmi	Waropen	Average Score per Indicator
Issue: Spatial & Forest Planning																																
1a The existence and comprehensiveness of laws and policies governing on transparent forest planning and Regional Spatial Plan (RTRW) formulation	4.25	3.00	3.00	3.00	3.00	3.00	3.00	4.00	3.00	3.00	3.00	3.00	3.00	4.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.10
1b The existence and comprehensiveness of laws and policies governing on forest planning and regional spatial plan formulation involving all stakeholders	2.40	2.00	2.00	3.00	2.00	2.00	2.00	3.00	3.00	2.00	2.00	4.00	3.00	2.00	2.00	2.00	3.00	3.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.27
1c The existence and comprehensiveness of laws and policies requiring capacity building of ministry/government unit at sub national level in forest planning and regional spatial planning formulation	3.00	2.00	2.00	3.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	4.00	3.00	3.00	2.19
1d The existence and comprehensiveness of laws and policies governing on complaint handling mechanism for forest planning and regional spatial plannning formulation	1.66	3.00	3.00	3.00	2.00	2.00	2.00	3.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.12
Average Score	2.83	2.50	2.50	3.00	2.25	2.25	2.25	3.00	2.50	2.25	2.25	2.75	2.50	2.50	2.25	2.25	2.50	2.50	2.25	2.25	2.25	2.25	2.25	2.25	2.25	2.25	2.25	2.25	2.75	2.50	2.50	2.42
Issue: Rights Regulation																																
2a The existence and comprehensiveness of laws and policies governing on tenurial rights of indigenous communities and businesses in a transparent manner	5.00	4.00	3.00	4.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	4.00	3.00	3.00	4.00	4.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.23
2b The existence and comprehensiveness of laws and policies governing on recognition of tenurial rights of indigenous communities and businesses	3.50	3.33	3.33	3.33	1.00	2.00	2.00	1.66	1.33	1.33	1.66	1.33	2.00	2.33	2.66	3.00	3.67	3.33	2.00	1.50	2.00	3.00	3.00	3.00	2.00	2.00	2.00	2.00	3.00	3.00	3.00	2.40
2c The existence and comprehensiveness of laws and policies governing on protection to tenurial rights of indigenous communities and businesses	2.00	2.66	2.66	2.66	2.33	2.33	2.33	2.00	2.00	2.33	2.33	2.33	2.33	2.33	2.33	2.33	2.00	2.33	2.33	2.33	2.33	2.33	2.33	2.33	2.33	2.33	2.33	2.33	2.33	2.33	2.33	2.32
2d The existence and comprehensiveness of laws and policies requiring capacity building of community to enable them to access their tenurial rights	3.00	1.75	1.75	1.75	1.25	1.25	1.25	1.50	1.50	1.83	1.50	1.50	1.50	1.67	1.50	1.50	2.33	1.67	1.66	1.66	1.67	2.00	2.00	1.67	2.00	1.33	1.33	1.33	2.75	2.75	2.75	1.77
Average Score	3.38	2.94	2.69	2.94	1.90	2.15	2.15	2.04	1.96	2.12	2.12	2.04	2.21	2.58	2.37	2.46	3.00	2.83	2.25	2.12	2.25	2.58	2.58	2.50	2.33	2.17	2.17	2.17	2.77	2.77	2.77	2.43
Issue: Forest Organization																																
3a The existence and comprehensiveness of laws and policies governing on accountability of the institutions responsible for forest and peat land management	3.75	3.25	3.00	3.25	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.25	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.05
3b The existence and comprehensiveness of law and policies governing on harmonization of laws and policies related to forests and peat lands	4.00	2.00	2.00	2.00	1.00	1.00	1.00	4.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	4.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	3.50	3.50	3.50	1.63
3c The existence and comprehensiveness of laws and policies governing on consideration of integrity and expertise in strategic positions in the institutions responsible for forestry and peat lands	2.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.03
3d The existence and comprehensiveness of law and policies governing on implementation of law enforcement in forest and peat land management	1.75	2.00	2.00	2.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.12
Average Score	2.88	2.06	2.00	2.06	1.50	1.50	1.50	2.25	1.50	1.50	1.50	1.50	1.50	1.56	1.50	1.50	2.25	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	2.13	2.13	2.13	1.71

Component A : Laws & Policies Framework	Central	Aceh	West Aceh	Southeast Aceh	Riau	Palalawan	Siak	Jambi	West Tanjung Jabung	East Tanjung Jabung	South Sumatra	Musi Banyu Asin	Musi Rawas	West Kalimantan	Kapuas Hulu	Ketapang	Central Kalimantan	Kapuas	West Kotawaringin	East Kalimantan	Berau	Nunukan	Central Sulawesi	Poso	Sigi Biromaru	West Papua	Fakfak	Manokwari	Papua	Sarmi	Waropen	Average Score per Indicator
Issue: Forest Implementation																																
4a The existence and comprehensiveness of law and policies governing on transparency in the forest and peat land management implementation	4.00	4.16	3.00	4.16	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	4.25	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.50	3.50	3.50	3.20
4b The existence and comprehensiveness of law and policies governing on mechanism of granting efficient forest management permits	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00
Average Score	3.00	3.08	2.50	3.08	2.50	2.50	2.50	2.50	2.50	2.50	2.50	2.50	2.50	3.13	2.50	2.50	2.50	2.50	2.50	2.50	2.50	2.50	2.50	2.50	2.50	2.50	2.50	2.50	2.75	2.75	2.75	2.60
Issue: Forest Control & Enforcement																																
5a The existence and comprehensiveness of law and policies governing on transparency of control and law enforcement in forest management	4.00	3.66	3.00	3.66	3.50	3.50	3.50	3.50	3.50	3.50	3.50	3.50	3.50	4.00	3.50	3.50	3.50	3.50	3.50	3.50	5.00	3.50	3.50	3.50	3.50	3.50	3.50	3.50	4.00	4.00	4.00	3.62
5b The existence and comprehensiveness of law and policies governing on integrated and participatory supervision in forest management	3.16	3.00	3.00	3.00	2.00	2.00	2.00	3.66	2.00	2.00	3.66	2.00	2.00	2.50	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.83	2.50	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.30
5c The existence and comprehensiveness of law and policies governing on community capacity building programs to supervise forest and peat lands management	2.00	2.00	2.00	2.00	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.00	1.50	1.50	1.50	2.50	2.50	2.50	1.65
5d The existence and comprehensiveness of law and policies governing on mechanism to responsively follow up fraud/ corruption indications	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.50	1.00	1.00	1.00	1.00	1.00	1.00	1.02
Average Score	2.54	2.42	2.25	2.42	2.00	2.00	2.00	2.42	2.00	2.00	2.42	2.00	2.00	2.25	2.00	2.00	2.00	2.00	2.00	2.00	2.38	2.00	2.21	2.13	2.00	2.00	2.00	2.00	2.38	2.38	2.38	2.15
Issue: REDD Infrastructure																																
6a The existence and comprehensiveness of law and policies governing on transparency in policy development and REDD+ institution	2.50	4.00	NA	NA	1.00	NA	NA	1.00	NA	NA	3.00	NA	NA	4.00	NA	NA	3.00	3.00	NA	3.00	3.00	NA	1.00	1.00	NA	3.00	NA	NA	1.00	NA	NA	2.39
6b The existence and comprehensiveness of law and policies governing on formulation of policies and REDD+ institution which are objective and transparent	2.00	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	1.00	NA	1.00	1.00	NA	1.00	1.00	NA	1.00	NA	NA	1.00	NA	NA	1.07
6c The existence and comprehensiveness of law and policies governing on complaints handling mechanism in the process of REDD+ policy development and REDD+ institution	3.00	3.00	NA	NA	2.00	NA	NA	3.00	NA	NA	2.00	NA	NA	2.00	NA	NA	2.00	2.00	NA	2.00	2.00	NA	2.00	2.00	NA	2.00	NA	NA	2.00	NA	NA	2.21
6d The existence and comprehensiveness of law and policies governing on capacity building programs of the government officials and the communities in the preparation of REDD+ policy development and REDD+ institution	2.00	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	1.00	NA	1.00	1.00	NA	1.00	1.00	NA	1.00	NA	NA	1.00	NA	NA	1.07
6e The existence and comprehensiveness of law and policies on mechanism to responsively follow up the findings of fraud or corruption indications from REDD+ activities	1.00	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	1.00	NA	1.00	1.00	NA	1.00	1.00	NA	1.00	NA	NA	1.00	NA	NA	1.00
6f The existence and comprehensiveness of law and policies governing on complaints handling mechanism in conflicts related to REDD+ activities	2.50	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	1.00	NA	1.00	1.00	NA	1.00	1.00	NA	1.00	NA	NA	1.00	NA	NA	1.11
Average Score	2.17	1.83	1.00	1.00	1.17	1.00	1.00	1.33	1.00	1.00	1.50	1.00	1.00	1.67	1.00	1.00	1.50	1.50	1.00	1.50	1.50	1.00	1.17	1.17	1.00	1.50	1.00	1.00	1.17	1.00	1.00	1.22
Average Score per Component	2.80	2.47	2.16	2.42	1.89	1.90	1.90	2.26	1.91	1.90	2.05	1.97	1.95	2.28	1.94	1.95	2.29	2.14	1.92	1.98	2.06	1.97	2.03	2.01	1.93	1.99	1.90	1.90	2.32	2.25	2.25	2.09

Component B: Government Capacity	Central	Aceh	West Aceh	Southeast Aceh	Riau	Palalawan	Siak	Jambi	West Tanjung Jabung	East Tanjung Jabung	South Sumatra	Musi Banyu Asin	Musi Rawas	West Kalimantan	Kapuas Hulu	Ketapang	Central Kalimantan	Kapuas	West Kotawaringin	East Kalimantan	Berau	Nunukan	Central Sulawesi	Poso	Sigi Biromaru	West Papua	Fakfak	Manokwari	Papua	Sarmi	Waropen	Average Score per Indicator
Issue: Spatial & Forest Planning																																
1a The number of personnel who own sufficient qualification in carrying out regional planning	3.58	2.50	1.78	2.56	3.55	2.83	3.00	2.83	2.22	1.89	3.91	2.78	3.00	3.00	2.44	2.83	3.58	2.33	3.11	2.58	3.56	2.44	3.38	2.67	2.11	1.67	1.11	2.44	3.33	2.33	1.11	2.66
1b The number of personnel with qualifications in the Planning Units to implement the status (state /non-state forests) and function of forests (production /non- production forests)	2.86	1.91	1.67	2.67	2.94	2.83	2.83	2.58	2.44	1.89	1.75	2.56	3.11	1.83	1.78	3.17	2.41	2.67	2.67	2.58	3.22	2.44	3.66	2.44	2.44	1.33	1.00	2.22	3.11	2.22	1.11	2.40
1c The amount of funds allocated to develop the process for participatory spatial planning	2.25	1.00	1.00	3.00	2.00	1.33	1.00	1.00	1.00	1.00	1.00	3.00	3.00	1.00	1.00	1.00	1.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	1.67	1.00	3.00	1.00	1.00	1.00	1.43
1d Standard Operating Procedure (SOP) to resolve forest area planning conflicts withinn the forestry agencies	2.57	1.00	1.00	1.14	1.14	1.14	1.71	2.00	2.86	1.86	3.85	1.86	2.00	1.28	2.50	2.00	1.71	3.29	3.71	1.14	1.29	3.14	2.14	2.14	3.43	2.07	1.14	2.71	3.43	3.43	2.29	2.16
1e Number of legislators who advocate regional planning based on sustainable forest management and access to justice for community forest management	2.00	1.60	1.40	2.00	1.00	2.33	1.33	1.80	2.00	3.20	1.60	2.20	2.20	3.60	2.00	3.25	2.00	1.60	1.60	2.60	1.40	2.60	3.20	3.20	2.80	2.40	1.00	2.60	3.14	2.00	1.25	2.16
Average Score	2.65	1.60	1.37	2.27	2.13	2.10	1.98	2.04	2.10	1.97	2.42	2.48	2.66	2.14	1.94	2.45	2.14	2.18	2.42	2.18	2.09	2.33	2.88	2.29	2.36	1.83	1.05	2.60	2.80	2.20	1.35	2.16
Issue: Rights Regulation																																
2a The number of personnel with qualification in the unit to administer indigenous peoples, local communities and business rights in Ministry of Forestry or Sub national Forestry Department.	3.00	1.00	1.50	3.00	2.75	1.50	1.50	1.50	2.50	2.75	3.00	3.00	2.50	3.00	1.75	2.00	4.00	1.75	3.00	1.00	1.50	2.25	3.25	2.75	3.25	2.63	1.00	3.25	2.75	2.25	2.25	2.36
2b The amount of funds allocated to administer the rights of communities and businesses in the units that administer the rights of communities and businesses in the Ministry of Forestry and Sub National Forestry Department	3.00	1.00	2.00	3.00	2.66	2.00	3.00	1.66	3.00	1.00	1.00	3.00	3.00	2.00	1.00	3.00	2.66	2.00	2.00	2.00	1.00	1.00	3.00	2.00	3.00	4.67	1.00	3.00	1.00	1.00	2.00	2.15
2c Mechanism for cooperation among the units that administer the rights of the peoples and business communities within the forest areas with indigenous peoples and business associations	2.00	1.49	1.20	1.00	2.86	2.20	2.60	2.33	3.00	2.20	2.86	2.00	3.00	2.32	1.00	3.00	3.22	3.00	3.80	2.52	1.00	3.00	3.66	2.60	3.00	2.87	1.00	3.00	3.33	2.00	1.40	2.40
2d The number of personnel with qualifications in the unit which handle forest related conflicts in forestry agencies	2.25	1.50	1.25	2.00	1.75	2.25	2.00	2.00	2.00	2.50	3.20	2.75	2.00	1.75	1.25	3.00	2.25	1.50	1.75	1.50	1.00	2.75	3.33	2.75	1.50	2.00	1.00	2.00	3.25	2.50	1.75	2.07
2e The amount of funds allocated in the Budget Allocation List to resolve the conflict within the Forestry Agencies	3.00	1.00	1.00	4.00	2.00	2.00	3.00	2.33	3.00	1.00	3.66	2.00	2.00	1.00	1.00	3.00	2.00	2.00	3.00	2.00	1.00	1.00	3.66	3.00	2.00	2.67	2.00	2.00	2.00	1.00	2.00	2.14
Average Score	2.65	1.20	1.39	2.60	2.40	1.99	2.42	1.96	2.70	1.89	2.74	2.55	2.50	2.01	1.20	2.80	2.83	2.05	2.71	1.80	1.10	2.00	3.38	2.62	2.55	2.96	1.20	2.65	2.47	1.75	1.88	2.22
Issue: Forest Organization																																
3a The number of personnel that own technical qualification and skills to facilitate the parties in forest and peatland management units (FMUs)	2.00	2.50	1.00	1.00	2.58	ND	ND	2.00	1.00	1.00	2.50	2.00	2.75	2.12	1.50	2.25	1.49	3.00	1.00	2.66	1.50	ND	2.25	2.00	1.00	2.50	1.00	1.00	1.83	1.00	1.00	1.77
3b The amount of funds allocated by the forest and peatland management units (FMUs) to manage the forest areas together with the communities	4.00	2.00	1.00	1.00	1.00	ND	ND	2.00	1.00	1.00	3.00	2.00	3.00	2.50	2.00	4.00	3.00	1.00	1.00	3.00	3.00	ND	2.00	1.00	1.00	2.50	1.00	1.00	1.33	1.00	1.00	1.87
Average Score	3.00	2.25	1.00	1.00	1.79	ND	ND	2.00	1.00	1.00	2.75	2.00	2.88	2.31	1.75	3.13	2.25	2.00	1.00	2.83	2.25	ND	2.13	1.50	1.00	2.50	1.00	1.00	1.58	1.00	1.00	1.82

Component B: Government Capacity	Central	Aceh	West Aceh	Southeast Aceh	Riau	Palalawan	Siak	Jambi	West Tanjung Jabung	East Tanjung Jabung	South Sumatra	Musi Banyu Asin	Musi Rawas	West Kalimantan	Kapuas Hulu	Ketapang	Central Kalimantan	Kapuas	West Kotawaringin	East Kalimantan	Berau	Nunukan	Central Sulawesi	Poso	Sigi Biromaru	West Papua	Fakfak	Manokwari	Papua	Sarmi	Waropen	Average Score per Indicator
Issue: Forest Implementation																																
4a The amount of forest areas allocated for indigenous peoples and local communities	3.00	2.00	1.00	1.00	1.00	1.00	1.00	2.00	3.00	2.00	5.00	3.00	3.00	3.00	2.00	3.00	2.00	5.00	2.00	3.00	3.00	1.00	3.00	1.00	4.00	3.00	1.00	2.00	2.00	3.00	5.00	2.45
4b Number of Forest Management Units already set up and that are operational in provinces or districts	2.00	1.00	1.00	1.00	3.00	1.00	2.00	2.00	1.00	1.00	3.00	4.00	3.00	2.00	2.00	3.00	3.00	3.00	2.00	4.00	3.00	1.00	3.00	2.00	2.00	2.00	1.00	1.00	3.00	1.00	1.00	2.06
4c Level of understanding of the permit issuers that the permit granting mechanism aims at controlling and regulating forests	3.00	1.00	1.00	2.00	2.00	2.00	2.00	3.00	3.00	3.00	3.00	4.00	3.00	3.00	3.00	3.00	3.00	4.00	2.00	4.00	1.00	4.00	3.00	4.00	3.00	5.00	2.00	3.00	2.00	4.00	3.00	2.84
Average Score	2.67	1.33	1.00	1.33	2.00	1.33	1.67	2.33	2.33	2.00	3.67	3.67	3.00	2.67	2.33	3.00	2.67	4.00	2.00	3.67	2.33	2.00	3.00	2.33	3.00	3.33	1.33	2.00	2.33	2.67	3.00	2.45
Issue: Forest Control & Enforcement																																
5a The number of Forest Management Units (FMUs) that apply internal control systems (referring to Decree of the Forestry Ministry)	1.00	ND	1.00	1.00	2.00	ND	ND	ND	1.00	1.00	ND	2.00	3.00	2.00	1.00	3.50	1.00	3.00	1.00	1.00	2.50	ND	1.00	1.00	1.00	ND	ND	1.00	1.00	ND	ND	1.52
5b The adequate number of police officers and own sufficient qualifications in forestry and environment	2.00	3.00	2.00	3.00	2.66	ND	ND	3.00	2.00	3.00	ND	ND	2.33	3.33	2.33	2.67	4.00	ND	3.00	1.00	3.00	2.33	2.33	2.33	2.67	ND	2.67	2.00	2.00	ND	ND	2.55
5c Sufficient number of prosecutors and own adequate qualifications in forestry and environment	1.00	3.33	2.67	3.00	3.33	3.00	1.33	3.00	2.00	2.33	ND	2.33	3.67	3.00	2.67	4.00	3.66	2.67	2.67	3.00	4.00	2.33	3.00	1.67	2.00	ND	2.33	2.67	2.67	ND	ND	2.72
5d Sufficient number of judges and have adequate qualifications in forestry and environment	2.00	1.33	2.00	3.00	2.66	2.33	2.00	3.33	2.33	2.00	2.33	3.67	2.67	3.00	2.33	3.67	3.33	4.33	3.00	2.00	3.00	1.67	1.67	2.67	3.00	ND	2.00	2.33	2.67	ND	ND	2.58
5e The number of criminal cases exposure on forest and environment done by police office in the five years	1.00	3.33	2.00	2.00	2.33	3.00	3.00	3.33	2.00	2.67	3.00	3.50	3.00	3.33	2.67	3.67	2.66	3.33	3.67	1.66	4.00	3.33	3.33	4.33	2.00	ND	2.00	2.00	2.33	ND	ND	2.80
Average Score	1.40	2.75	1.93	2.40	2.60	2.78	2.11	3.17	1.87	2.20	2.67	2.87	2.93	2.93	2.20	3.50	2.93	3.33	2.67	1.73	3.30	2.42	2.27	2.40	2.13	ND	2.25	2.00	2.13	ND	ND	2.50
Issue: REDD Infrastructure																																
6a The existence of REDD+ institutions	3.00	3.00	NA	NA	3.00	NA	NA	3.00	NA	NA	3.00	NA	NA	1.50	NA	NA	3.00	NA	NA	3.00	NA	NA	3.00	NA	NA	1.50	NA	NA	3.00	NA	NA	2.73
6b The existence of MRV (Measurable, Reportable, Verifiable) institutions	2.00	1.50	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	2.00	NA	NA	1.50	NA	NA	1.00	NA	NA	1.00	NA	NA	1.27
6c The existence of financial institutions	2.00	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.09
6d Sufficient number of personnel with qualification in REDD+ Working Group	4.00	2.00	NA	NA	3.00	NA	NA	3.00	NA	NA	2.00	NA	NA	2.00	NA	NA	3.00	NA	NA	3.00	NA	NA	3.00	NA	NA	2.00	NA	NA	2.00	NA	NA	2.64
6e The amount of funds allocated for the participatory development of REDD+ infrastructure	3.00	2.00	NA	NA	2.00	NA	NA	2.00	NA	NA	2.00	NA	NA	2.00	NA	NA	3.00	NA	NA	2.00	NA	NA	3.00	NA	NA	1.00	NA	NA	1.00	NA	NA	2.09
6f Availability of REDD+ Safeguards	2.00	2.00	NA	NA	1.00	NA	NA	2.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.50	NA	NA	3.50	NA	NA	1.00	NA	NA	1.00	NA	NA	1.55
6g The sufficient number of personnel with qualification to work in REDD+ institutions to mediate conflicts as a result of the REDD+ benefit distribution	2.00	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	ND	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.10
Average Score	2.57	1.79	NA	NA	1.71	NA	NA	1.86	NA	NA	1.57	NA	NA	1.36	NA	NA	2.00	NA	NA	1.93	NA	NA	2.29	NA	NA	1.21	NA	NA	1.43	NA	NA	1.79
Average Score per Component	2.49	1.82	1.34	1.92	2.11	2.05	2.04	2.23	2.00	1.81	2.64	2.71	2.79	2.24	1.89	2.98	2.47	2.71	2.16	2.36	2.22	2.19	2.66	2.23	2.21	2.37	1.37	2.05	2.12	1.90	1.81	2.19

Component C: Civil Society Capacity e.g. NGO, Academicians, and Journalists	Central	Aceh	West Aceh	Southeast Aceh	Riau	Palalawan	Siak	Jambi	West Tanjung Jabung	East Tanjung Jabung	South Sumatra	Musi Banyu Asin	Musi Rawas	West Kalimantan	Kapuas Hulu	Ketapang	Central Kalimantan	Kapuas	West Kotawaringin	East Kalimantan	Berau	Nunukan	Central Sulawesi	Poso	Sigi Biromaru	West Papua	Fakfak	Manokwari	Papua	Sarmi	Waropen	Average Score per Indicator
Issue: Spatial & Forest Planning																															
1a Number of NGO activists who actively provide inputs for regional spatial and forest planning	3.00	2.70	2.30	3.13	3.00	3.08	3.33	3.00	1.38	2.13	3.13	2.30	2.30	4.00	2.88	2.67	4.00	2.38	2.40	2.88	2.55	1.63	3.58	2.33	1.90	2.63	1.50	2.80	3.20	1.00	1.00	2.58
1b Number of academicians that actively provide input for regional and forest planning	2.75	2.63	1.63	2.33	4.00	2.50	2.50	2.75	2.50	2.67	3.00	2.38	2.50	3.25	1.00	2.50	4.63	1.50	1.25	3.33	3.00	1.00	3.13	2.83	3.25	3.71	1.00	3.00	3.50	1.00	1.00	2.52
1c The number of civil community groups who show to the public the procedural irregularities and potential losses of the people due to the consistent regional and forest planning.	2.00	3.13	1.20	2.25	2.83	3.00	3.17	2.50	1.00	3.00	2.71	1.80	2.60	4.00	2.63	2.67	2.90	2.29	2.65	2.88	1.38	1.13	2.60	1.40	1.50	2.35	1.00	1.73	2.60	1.00	1.00	2.22
1d Number of NGO activists/NGO networks which assist the communities in doing community forest mapping	2.50	1.93	1.92	2.50	2.00	2.58	2.50	3.00	1.00	2.42	2.70	1.58	1.93	3.70	3.63	2.88	3.17	2.70	2.68	3.20	2.21	1.13	2.67	2.10	1.62	2.58	1.00	2.43	2.75	1.00	1.25	2.30
1e Sources of funds used by NGOs/NGO networks which assist the communities in doing community forest mapping	3.00	2.00	2.00	2.00	2.00	2.00	2.00	3.00	ND	ND	2.00	1.00	2.00	3.00	2.00	4.00	2.00	2.00	2.00	3.00	2.00	1.00	3.00	3.00	1.00	2.00	1.00	3.00	2.00	1.00	ND	2.14
1f The mechanism to report the results or process of the participation involvement to civil society organizations, communities assisted and the public	2.25	2.25	1.50	2.75	2.75	3.00	3.00	1.00	1.00	2.40	1.80	1.00	3.00	4.00	3.20	ND	3.00	1.80	3.00	2.60	1.00	1.00	3.20	2.80	2.20	1.00	ND	2.60	3.00	1.00	ND	2.25
Average Score	2.58	2.44	1.76	2.49	2.76	2.69	2.75	2.54	1.38	2.52	2.56	1.68	2.39	3.66	2.55	2.94	3.28	2.11	2.33	2.98	2.02	1.15	3.03	2.41	1.91	2.38	1.10	2.59	2.84	1.00	1.06	2.32
Issue: Rights Regulation																															
2a Code of ethics that are applied by NGOs/ NGO networks in monitoring the rights of indigenous communities to forests	4.00	3.00	2.00	3.00	3.00	2.00	2.00	4.00	1.00	2.00	3.00	2.00	2.00	4.50	3.50	2.00	4.00	2.00	2.00	2.50	2.00	1.00	3.00	1.50	3.00	3.00	2.00	2.50	2.00	1.00	1.00	2.44
2b Number of civil society groups that point out to the public the procedural irregularities and potential losses both due and not due to the issues of rights to forests and lands	4.00	3.50	3.00	2.00	3.00	2.75	2.75	3.00	1.00	3.00	2.50	2.25	2.42	3.00	3.50	3.00	3.83	2.17	3.00	2.75	2.00	2.00	3.83	1.00	2.75	2.92	ND	2.42	2.42	1.00	1.00	2.59
Average Score	4.00	3.25	2.50	2.50	3.00	2.38	2.38	3.50	1.00	2.50	2.75	2.13	2.21	3.75	3.50	2.50	3.92	2.08	2.50	2.63	2.00	1.50	3.42	1.25	2.88	2.96	2.00	2.46	2.21	1.00	1.00	2.50
Issue: Forest Organization																															
3a The number of NGOs that have capacity building programs for their members/staff to monitor the forest and peatland management	4.00	3.00	2.00	2.00	4.00	2.00	2.00	3.00	ND	3.00	3.00	3.00	2.00	3.00	3.00	2.00	4.00	3.00	3.00	ND	2.00	1.00	4.00	1.00	ND	2.00	2.00	2.00	3.00	1.00	1.00	2.50
3b The mechanism to select NGO representatives to multi party forums/institutions	3.00	3.00	2.00	2.33	2.67	2.67	2.67	3.00	ND	2.00	2.00	1.67	2.33	3.00	3.00	1.67	3.33	2.00	2.33	2.00	1.00	1.00	3.33	1.67	2.67	3.33	1.33	2.67	4.00	1.00	1.00	2.32
3c The number of advocacy initiatives to eradicate corruption in the forestry sector by environmental activists, NGOs or NGO anti-corruption activists	2.00	3.00	2.00	1.00	3.00	3.00	3.00	3.00	3.00	2.50	2.00	2.00	3.00	3.00	1.00	2.00	3.00	2.00	1.00	ND	2.00	2.00	2.50	1.00	2.00	2.00	1.00	2.00	2.00	1.00	1.00	2.10
Average Score	3.00	3.00	2.00	1.78	3.22	2.56	2.56	3.00	3.00	2.50	2.33	2.22	2.44	3.00	2.33	1.89	3.44	2.33	2.11	2.00	1.67	1.33	3.28	1.22	2.33	2.44	1.44	2.22	3.00	1.00	1.00	2.31

Component C: Civil Society Capacity e.g. NGO, Academicians, and Journalists	Central	Aceh	West Aceh	Southeast Aceh	Riau	Palalawan	Siak	Jambi	West Tanjung Jabung	East Tanjung Jabung	South Sumatra	Musi Banyu Asin	Musi Rawas	West Kalimantan	Kapuas Hulu	Ketapang	Central Kalimantan	Kapuas	West Kotawaringin	East Kalimantan	Berau	Nunukan	Central Sulawesi	Poso	Sigi Biromaru	West Papua	Fakfak	Manokwari	Papua	Sarmi	Waropen	Average Score per Indicator
Issue: Forest Implementation																															
4a The number of NGOs which monitor the granting of permits/ licenses in the forest areas and management of conservation areas	3.00	3.00	1.00	3.00	1.50	2.33	2.33	3.00	1.00	2.67	2.00	1.00	2.00	3.00	3.00	2.33	2.33	2.00	2.00	3.00	2.00	1.00	2.33	1.00	2.00	1.67	1.00	2.00	2.33	1.00	1.00	2.03
4b The level of knowledge about NGO activists that monitor the principles and procedures for granting permits/licenses and conservation area management	2.00	3.00	1.50	3.00	2.67	3.50	3.50	3.50	ND	3.00	1.67	1.50	2.50	ND	4.00	3.33	3.67	2.50	3.00	3.00	1.00	2.00	3.00	2.00	2.33	2.50	1.50	2.50	3.00	1.00	1.00	2.51
4c The number of NGOs that actively build the capacity of the indigenous communities to manage forests	2.50	3.00	1.00	2.50	2.00	2.00	2.00	3.00	1.00	2.75	1.25	1.00	2.00	4.00	3.50	3.50	3.00	3.50	2.25	2.25	2.00	1.00	2.25	2.75	2.25	2.25	1.50	2.50	3.00	1.00	1.00	2.24
Average Score	**2.50**	**3.00**	**1.17**	**2.83**	**2.06**	**2.61**	**2.61**	**3.17**	**1.00**	**2.81**	**1.64**	**1.17**	**2.17**	**3.50**	**3.50**	**3.06**	**3.00**	**2.67**	**2.42**	**2.75**	**1.67**	**1.33**	**2.53**	**1.92**	**2.19**	**2.14**	**1.33**	**2.33**	**2.78**	**1.00**	**1.00**	**2.25**
Issue: Forest Control & Enforcement																															
5a The number of NGOs that accept public complaints concerning forest issues	3.50	2.50	1.50	1.00	3.25	2.75	2.75	2.50	ND	2.25	2.50	2.00	3.00	3.25	2.75	2.33	3.25	3.50	2.75	3.25	1.25	2.00	1.75	2.50	2.00	2.50	1.50	2.50	2.50	1.00	1.00	2.37
Average Score	**3.50**	**2.50**	**1.50**	**1.00**	**3.25**	**2.75**	**2.75**	**2.50**	**ND**	**2.25**	**2.50**	**2.00**	**3.00**	**3.25**	**2.75**	**2.33**	**3.25**	**3.50**	**2.75**	**3.25**	**1.25**	**2.00**	**1.75**	**2.50**	**2.00**	**2.50**	**1.50**	**2.50**	**2.50**	**1.00**	**1.00**	**2.37**
Issue: REDD Infrastructure																															
6a Number of NGOs that monitor both the REDD+ preparation and implementation	3.00	3.00	NA	NA	1.50	NA	NA	2.00	NA	NA	1.00	NA	NA	3.00	NA	NA	2.00	NA	NA	2.00	NA	NA	2.00	NA	NA	2.00	NA	NA	2.00	NA	NA	2.14
6b Level of knowledge of NGO activists who monitor both the preparation and implementation of REDD+	2.25	2.00	NA	NA	2.67	NA	NA	2.00	NA	NA	2.33	NA	NA	2.50	NA	NA	2.67	NA	NA	2.00	NA	NA	2.50	NA	NA	2.00	NA	NA	2.67	NA	NA	2.33
6c Number of print media which regularly report the preparation or implementation of REDD+	2.00	2.00	NA	NA	2.00	NA	NA	2.00	NA	NA	2.75	NA	NA	2.75	NA	NA	2.50	NA	NA	2.00	NA	NA	2.25	NA	NA	2.00	NA	NA	2.75	NA	NA	2.27
Average Score	**2.42**	**2.33**	**1.00**	**1.00**	**2.06**	**1.00**	**1.00**	**2.00**	**1.00**	**1.00**	**2.03**	**1.00**	**1.00**	**2.75**	**1.00**	**1.00**	**2.39**	**1.00**	**1.00**	**2.00**	**1.00**	**1.00**	**2.25**	**1.00**	**1.00**	**2.00**	**1.00**	**1.00**	**2.47**	**1.00**	**1.00**	**1.44**
Average Score per Component	**3.00**	**2.75**	**1.65**	**1.93**	**2.72**	**2.33**	**2.34**	**2.78**	**1.48**	**2.26**	**2.30**	**1.70**	**2.20**	**3.32**	**2.61**	**2.29**	**3.21**	**2.28**	**2.18**	**2.60**	**1.60**	**1.39**	**2.71**	**1.72**	**2.05**	**2.40**	**1.40**	**2.18**	**2.63**	**1.00**	**1.01**	**2.20**

Component D: Indegenous People / Women / Community Capacity	Central	Aceh	West Aceh	Southeast Aceh	Riau	Palalawan	Siak	Jambi	West Tanjung Jabung	East Tanjung Jabung	South Sumatra	Musi Banyu Asin	Musi Rawas	West Kalimantan	Kapuas Hulu	Ketapang	Central Kalimantan	Kapuas	West Kotawaringin	East Kalimantan	Berau	Nunukan	Central Sulawesi	Poso	Sigi Biromaru	West Papua	Fakfak	Manokwari	Papua	Sarmi	Waropen	Average Score per Indicator
Issue: Spatial & Forest Planning																															
1a The number of indigenous peoples community activists that strive indigenous peoples' community rights with solid data in regional spatial and forestry planning	3.17	2.00	2.10	3.00	2.00	1.44	1.63	1.90	1.00	1.70	1.40	2.10	2.20	3.90	1.90	2.63	2.60	2.60	2.00	3.30	1.40	1.20	2.30	1.90	2.50	2.50	1.25	2.30	2.90	1.63	1.50	2.13
1b The knowledge level of IPs and local community that participate in regional spatial and forestry planning forum on regional spatial and forestry planning issues	3.50	2.00	2.00	5.00	3.50	2.50	2.50	2.50	2.00	ND	1.00	4.00	4.50	2.50	1.50	3.00	4.00	2.00	3.50	2.50	3.00	1.50	4.00	1.50	3.50	1.50	2.00	3.00	3.50	2.00	1.50	2.70
1c IP and local community internal mechanism to select representative in attending a meeting on regional spatial and forestry planning	3.33	2.67	1.00	1.67	2.17	2.00	1.67	2.67	1.00	2.50	1.00	2.83	3.00	2.83	1.83	2.00	1.83	2.50	1.83	2.00	1.67	1.00	2.67	1.50	2.50	2.17	1.83	3.17	2.50	2.00	3.67	2.16
1d The mechanism to report the result or process of the participation involvement to IP and local community organization	3.00	1.00	1.00	2.00	2.00	1.60	1.00	2.00	1.00	2.20	1.20	5.00	2.60	3.40	1.40	1.00	2.40	1.00	2.20	3.40	1.00	1.00	3.00	1.40	2.60	3.00	1.00	3.40	2.60	3.00	1.60	2.06
Average Score	**3.25**	**1.92**	**1.53**	**2.92**	**2.42**	**1.88**	**1.70**	**2.27**	**1.25**	**2.13**	**1.15**	**3.48**	**3.08**	**3.16**	**1.66**	**2.16**	**2.71**	**2.03**	**2.38**	**2.80**	**1.77**	**1.18**	**2.99**	**1.58**	**2.78**	**2.29**	**1.52**	**2.97**	**2.88**	**2.16**	**2.07**	**2.26**

Component D: Indegenous People/Women/Community Capacity	Central	Aceh	West Aceh	Southeast Aceh	Riau	Palalawan	Siak	Jambi	West Tanjung Jabung	East Tanjung Jabung	South Sumatra	Musi Banyu Asin	Musi Rawas	West Kalimantan	Kapuas Hulu	Ketapang	Central Kalimantan	Kapuas	West Kotawaringin	East Kalimantan	Berau	Nunukan	Central Sulawesi	Poso	Sigi Biromaru	West Papua	Fakfak	Manokwari	Papua	Sarmi	Waropen	Average Score per Indicator
Issue: Rights Regulation																																
2a The number of indigenous peoples and local community activists who are active in striving indigenous peoples and local community rights in managing their forest	3.00	2.33	2.00	2.67	2.00	2.00	2.00	2.00	1.50	2.00	3.00	1.33	2.33	3.67	2.67	2.67	2.67	3.00	1.67	3.33	1.33	1.67	3.00	2.67	2.67	2.67	1.67	2.33	3.00	3.00	2.00	2.38
2b The number of internal regulations which arrange land use and forest zonation traditionally	3.75	2.50	2.50	1.75	2.00	1.75	2.00	2.50	2.00	1.25	2.00	1.00	2.25	3.75	5.00	2.75	3.75	2.75	1.00	3.25	4.75	1.00	2.50	2.75	2.25	2.25	2.75	3.50	2.25	2.00	2.75	2.52
Average Score	3.38	2.42	2.25	2.21	2.00	1.88	2.00	2.25	1.75	1.63	2.50	1.17	2.29	3.71	3.83	2.71	3.21	2.88	1.33	3.29	3.04	1.33	2.75	2.71	2.46	2.46	2.21	2.92	2.63	2.50	2.38	2.45
Issue: Forest Organization																																
3a The mechanism to select indigenous peoples and or local community representatives to multi-party forums/institutions	3.33	2.67	1.00	2.33	2.33	1.67	1.33	2.33	1.00	2.67	1.00	1.00	3.00	3.00	3.00	3.00	1.67	2.00	1.33	2.00	1.67	1.00	3.00	3.33	3.00	3.67	2.00	3.00	2.67	1.67	2.00	2.22
Average Score	3.33	2.67	1.00	2.33	2.33	1.67	1.33	2.33	1.00	2.67	1.00	1.00	3.00	3.00	3.00	3.00	1.67	2.00	1.33	2.00	1.67	1.00	3.00	3.33	3.00	3.67	2.00	3.00	2.67	1.67	2.00	2.22
Issue: Forest Implementation																																
4a The number of initiatives and partnership which build sustainable forest management model	2.60	2.00	1.00	2.00	2.00	1.00	2.00	2.00	1.00	1.00	1.00	1.00	3.00	4.00	4.00	2.00	2.00	2.00	2.00	4.00	5.00	1.00	2.00	1.00	2.00	1.00	1.00	2.00	3.00	2.00	1.00	2.02
Average Score	2.60	2.00	1.00	2.00	2.00	1.00	2.00	2.00	1.00	1.00	1.00	1.00	3.00	4.00	4.00	2.00	2.00	2.00	2.00	4.00	5.00	1.00	2.00	1.00	2.00	1.00	1.00	2.00	3.00	2.00	1.00	2.02
Issue: Forest Control & Enforcement																																
5a The number of Indigenous Peoples and local community who do monitoring on forest utilization by government, business entity, and non-government organization	3.33	3.67	2.00	2.67	2.33	2.00	1.67	2.33	1.00	1.67	2.00	1.00	2.00	4.67	5.00	2.67	3.33	1.67	2.00	2.00	5.00	1.00	3.33	3.00	2.00	2.00	2.67	2.33	2.67	1.33	2.33	2.47
5b The internal control mechanism in Indigenous Peoples/ local community organizations to implement forest utilization according to Sustainable Forest Management principles	2.67	2.11	1.00	1.00	1.11	1.33	1.33	1.78	1.00	1.00	1.11	1.67	3.00	3.11	1.00	1.50	2.56	1.67	1.00	1.11	2.33	1.00	3.22	1.33	1.00	2.44	1.00	1.50	2.17	1.00	1.00	1.61
Average Score	3.00	2.89	1.50	1.83	1.72	1.67	1.50	2.06	1.00	1.33	1.56	1.33	2.50	3.89	3.00	2.08	2.94	1.67	1.50	1.56	3.67	1.00	3.28	2.17	1.50	2.22	1.83	1.92	2.42	1.17	1.67	2.04
Issue: REDD Infrastructure																																
6a The participation level of the indigenous peoples in REDD+ task forces set up by the central and local governments	2.00	1.67	NA	NA	2.33	NA	NA	1.00	NA	NA	1.00	NA	NA	2.67	NA	NA	3.00	NA	NA	1.33	NA	NA	3.33	NA	NA	1.00	NA	NA	1.00	NA	NA	1.85
6b The number of Indigenous Peoples and local community activists that have skill in developing REDD+ project development design	2.25	1.63	NA	NA	1.38	NA	NA	1.63	NA	NA	1.00	NA	NA	2.50	NA	NA	2.63	NA	NA	1.00	NA	NA	3.00	NA	NA	1.00	NA	NA	2.00	NA	NA	1.82
Average Score	2.13	1.65	1.00	1.00	1.85	1.00	1.00	1.31	1.00	1.00	1.00	1.00	1.00	2.58	1.00	1.00	2.81	1.00	1.00	1.17	1.00	1.00	3.17	1.00	1.00	1.00	1.00	1.00	1.50	1.00	1.00	1.30
Average Score per Component	2.95	2.26	1.38	2.05	2.05	1.52	1.59	2.04	1.17	1.63	1.37	1.50	2.48	3.39	2.75	2.16	2.56	1.93	1.59	2.47	2.69	1.08	2.86	1.96	2.12	2.11	1.59	2.30	2.51	1.75	1.68	2.05

Component E: Business Capacity	Central	Aceh	West Aceh	Southeast Aceh	Riau	Palalawan	Siak	Jambi	West Tanjung Jabung	East Tanjung Jabung	South Sumatra	Musi Banyu Asin	Musi Rawas	West Kalimantan	Kapuas Hulu	Ketapang	Central Kalimantan	Kapuas	West Kotawaringin	East Kalimantan	Berau	Nunukan	Central Sulawesi	Poso	Sigi Biromaru	West Papua	Fakfak	Manokwari	Papua	Sarmi	Waropen	Average Score per Indicator
Issue: Spatial & Forest Planning																																
1a The number of business representatives who are present and participate in meetings which discusses forest planning	3.00	1.00	1.00	1.00	3.00	1.17	1.17	3.00	1.83	1.67	2.17	1.50	1.83	3.83	1.00	1.50	3.17	1.67	1.00	3.17	1.67	1.00	2.67	2.33	1.17	2.83	1.00	2.83	3.00	1.17	1.00	1.91
1b Level of knowledge among the major business players who give inputs to the regional and forestry planning	4.00	2.00	1.00	1.00	3.00	2.00	2.00	3.00	2.00	2.00	3.00	2.00	2.00	3.00	1.00	2.00	3.00	2.00	2.00	3.00	3.00	2.00	3.00	3.00	3.00	3.00	2.00	2.00	3.00	2.00	2.00	2.35
1c The mechanisms to report the result or process of the participation involvement to the agencies which have sent them	3.00	1.00	1.00	1.00	3.00	1.00	1.00	2.00	1.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00	3.00	2.60	1.00	3.00	3.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00	1.73
Average Score	3.33	1.33	1.00	1.00	3.00	1.39	1.39	2.67	1.61	1.56	2.72	1.50	1.61	3.28	1.00	1.50	3.06	1.56	1.33	3.06	2.42	1.33	2.89	2.78	1.72	2.94	1.33	1.94	3.00	1.39	1.33	2.00
Issue: Rights Regulation																																
2a The company document which regulates FPIC (Free Prior Informed Consent)	2.76	1.00	2.57	1.00	2.00	1.50	1.50	2.00	1.64	1.57	1.00	3.21	2.71	2.21	1.08	2.21	2.00	1.71	1.64	2.36	1.43	1.50	2.71	2.50	1.43	2.14	1.07	2.07	1.86	1.50	1.00	1.84
2b The amount of funds allocated for the determining the borderline and confirmation in its working area	2.50	2.00	2.00	2.00	2.50	2.00	2.00	2.50	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.50	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	3.00	2.00	2.00	1.00	2.00	2.00	2.06
Average Score	2.63	1.50	2.29	1.50	2.25	1.75	1.75	2.25	1.82	1.79	1.50	2.61	2.36	2.11	1.54	2.11	2.25	1.86	1.82	2.18	1.71	1.75	2.36	2.25	1.71	2.57	1.54	2.04	1.43	1.75	1.50	1.95
Issue: Forest Organization																																
3a The mechanisms to select business representatives to multi-stakeholder forums	3.33	1.33	1.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00	2.33	1.00	1.00	3.00	1.00	1.00	3.33	1.00	1.00	3.00	1.00	1.00	1.33	1.00	1.67	3.00	1.00	1.00	3.00	2.00	2.00	1.69
Average Score	3.33	1.33	1.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00	2.33	1.00	1.00	3.00	1.00	1.00	3.33	1.00	1.00	3.00	1.00	1.00	1.33	1.00	1.67	3.00	1.00	1.00	3.00	2.00	2.00	1.69
Issue: Forest Implementation																																
4a The number of land based companies which implement sustainable forest management principles	2.50	1.00	1.00	1.00	2.50	2.50	2.00	2.50	2.50	2.00	2.50	2.50	2.50	2.50	1.00	2.50	2.50	2.50	2.00	2.50	2.00	2.00	2.00	1.00	1.00	2.50	1.00	2.50	2.50	2.00	1.00	2.00
Issue: Forest Control & Enforcement																																
5a The companies' internal control mechanism to implement forest utilization activity according to sustainable forest management principles	3.17	1.00	1.00	1.00	3.00	3.00	3.00	3.00	2.67	3.00	3.00	3.00	3.67	3.00	1.00	3.00	2.33	2.00	2.00	3.00	2.00	2.00	2.00	3.67	2.00	2.00	1.00	2.00	3.00	2.00	1.00	2.34
5b The number of forest based companies that own ethics code and good corporate governance principles in running the companies	3.00	1.00	1.00	1.00	3.00	3.00	3.00	3.00	2.00	2.00	3.00	3.00	3.00	4.00	1.00	3.00	3.00	3.00	2.00	3.00	2.00	2.00	2.00	1.00	1.00	1.00	1.00	2.00	3.00	2.00	1.00	2.19
Average Score	3.08	1.00	1.00	1.00	3.00	3.00	3.00	3.00	2.33	2.50	3.00	3.00	3.33	3.50	1.00	3.00	2.67	2.50	2.00	3.00	2.00	2.00	2.00	2.33	1.50	1.50	1.00	2.00	3.00	2.00	1.00	2.27
Issue: REDD Infrastructure																																
6a The existing documents which regulate and ensure the business representative in REDD+ infrastructure development	2.83	1.00	NA	NA	1.67	NA	NA	1.67	NA	NA	1.67	NA	NA	3.83	NA	NA	2.00	NA	NA	2.67	NA	NA	2.67	NA	NA	1.67	NA	NA	1.00	NA	NA	2.06
6b Level of commitment among the business community to support the implementation of REDD+	3.00	1.50	NA	NA	3.00	NA	NA	3.00	NA	NA	2.50	NA	NA	3.00	NA	NA	3.00	NA	NA	3.00	NA	NA	2.00	NA	NA	3.00	NA	NA	1.00	NA	NA	2.55
Average Score	2.92	1.25	1.00	1.00	2.33	1.00	1.00	2.33	1.00	1.00	2.08	1.00	1.00	3.42	1.00	1.00	2.50	1.00	1.00	2.83	1.00	1.00	2.33	1.00	1.00	2.33	1.00	1.00	1.00	1.00	1.00	1.46
Average Score per Component	2.97	1.24	1.21	1.08	2.68	1.77	1.69	2.63	1.71	1.64	2.36	1.93	1.97	2.97	1.09	1.85	2.72	1.74	1.53	2.76	1.69	1.51	2.15	1.73	1.43	2.47	1.14	1.75	2.32	1.69	1.31	1.89

Component F: Performance	Central	Aceh	West Aceh	Southeast Aceh	Riau	Palalawan	Siak	Jambi	West Tanjung Jabung	East Tanjung Jabung	South Sumatra	Musi Banyu Asin	Musi Rawas	West Kalimantan	Kapuas Hulu	Ketapang	Central Kalimantan	Kapuas	West Kotawaringin	East Kalimantan	Berau	Nunukan	Central Sulawesi	Poso	Sigi Biromaru	West Papua	Fakfak	Manokwari	Papua	Sarmi	Waropen	Average Score per Indicator
Issue: Spatial & Forest Planning																																
1a The level of acceptance on the documents of regional spatial and forest planningThe level of acceptance on the documents of regional spatial and forest planning	4.00	1.00	2.00	3.00	2.00	2.00	2.00	3.00	2.00	2.00	3.00	3.00	4.00	3.00	2.00	1.00	4.00	2.00	2.00	3.00	2.00	1.00	3.00	4.00	3.00	2.00	1.00	2.00	3.00	1.00	1.00	2.35
1b The extent of forest areas which are designated and accepted by the parties	3.00	3.00	1.00	2.00	2.00	1.00	1.00	2.00	1.00	3.00	2.00	2.00	2.00	2.00	2.00	3.00	3.00	1.00	4.00	3.00	1.00	1.00	2.00	2.00	3.00	1.00	1.00	2.00	2.00	2.00	1.00	1.97
1c The number of regional spatial plans for managing indigenouspeoples that are accommodated into the provincial and/or district spatial plans	2.00	1.00	1.00	2.00	2.00	1.00	2.00	3.00	3.00	2.00	3.00	2.00	4.00	2.00	1.00	1.00	3.00	1.00	2.00	2.00	1.00	1.00	2.00	3.00	1.00	3.00	1.00	2.00	3.00	1.00	1.00	1.90
1d The number of forest possession conflicts which can be resolved each year	2.00	2.00	3.50	1.00	2.00	1.00	1.00	2.00	2.50	1.50	2.00	2.50	2.50	2.00	1.00	1.00	2.00	1.00	3.00	2.00	1.50	1.50	3.00	3.00	2.00	2.00	1.00	2.00	2.00	2.00	2.50	1.94
Average Score	2.75	1.75	1.88	2.00	2.00	1.25	1.50	2.50	2.13	2.13	2.50	2.38	3.13	2.25	1.50	1.50	3.00	1.25	2.75	2.50	1.38	1.13	2.50	3.00	2.25	2.00	1.00	2.00	2.50	1.50	1.38	2.04
Issue: Rights Regulation																																
2a Number of rights of the communities and businesses already administered in the units which administer the rights of communities and businesses in Ministry of Forestry/Forestry Services Department	4.00	4.00	1.00	1.00	4.00	1.00	1.00	2.00	1.00	1.00	3.00	ND	1.00	3.00	5.00	1.00	3.00	1.00	1.00	2.00	1.00	1.00	3.00	1.00	ND	2.00	1.00	1.00	2.00	1.00	1.00	1.86
2b Size of the forest areas that overlap with other land uses	2.00	1.00	1.00	1.00	2.00	1.00	1.00	3.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	4.00	1.00	1.00	3.00	1.00	1.00	2.00	1.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00	1.52
2c Number of conflicts among members of forest area users	2.00	2.00	1.00	1.00	2.00	1.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00	1.52
2d Frequency of news coverage related to the recognition of the rights of adat/local community to manage forests	2.00	2.00	1.80	2.00	2.00	1.00	1.00	2.00	2.00	1.80	2.00	2.20	2.80	2.00	1.00	1.60	2.00	1.40	2.40	2.00	1.80	2.60	2.00	3.60	2.50	3.00	1.00	2.40	3.00	2.20	2.20	2.04
2e Number of best practices for the conflict resolution related to the recognition of the rights of indigenous peoples/local communities	1.75	2.25	1.00	2.50	2.00	1.00	1.00	2.00	3.50	3.00	2.00	1.25	3.00	2.00	1.75	2.50	2.00	2.75	2.67	2.00	1.75	1.00	3.00	2.00	1.75	3.00	1.00	2.25	3.50	3.50	3.25	2.19
Average Score	2.35	2.25	1.16	1.50	2.40	1.00	1.00	2.40	1.70	1.56	2.40	1.36	1.76	2.20	1.95	1.42	2.60	1.43	1.61	2.20	1.31	1.32	2.60	1.72	1.56	2.80	1.00	1.53	2.90	1.74	1.69	1.82
Issue: Forest Organization																																
3a Amount of transaction costs to procure forest concession permit	2.00	1.00	1.00	1.00	2.00	1.00	1.00	2.00	2.00	2.00	2.00	1.00	3.00	2.00	2.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	3.00	2.00	2.00	2.00	1.00	1.00	3.00	3.00	1.00	1.68
3b Government authority and interventions in the forest concession permit process which are the domain of the permit holders	3.00	2.00	3.00	3.00	1.00	1.00	1.00	3.00	1.00	1.00	3.00	3.00	2.00	3.00	2.00	1.00	3.00	1.00	1.00	2.00	3.00	1.00	4.00	1.00	3.00	3.00	1.00	1.00	3.00	4.00	1.00	2.10
Average Score	2.50	1.50	2.00	2.00	1.50	1.00	1.00	2.50	1.50	1.50	2.50	2.00	2.50	2.50	2.00	1.00	2.50	1.00	1.00	2.00	2.00	1.00	3.50	1.50	2.50	2.50	1.00	1.00	3.00	3.50	1.00	1.89
Issue: Forest Implementation																																
4a Number of adat/local communities that manage forests, peatlands, and plantation areas including village and community forests	3.00	2.50	2.50	2.50	2.50	1.00	1.00	3.00	1.00	1.00	3.00	1.00	3.00	3.00	4.00	1.00	3.00	1.00	1.00	2.00	3.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00	1.97
4b Number of forest areas sustainably managed by the forest management actors	2.00	1.00	1.00	1.00	2.00	1.00	ND	2.00	1.00	1.00	2.00	3.00	3.00	2.00	2.00	1.00	3.00	1.00	2.00	2.00	2.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	1.60
4c Percentage of forests that own forest management units (KPH)	2.00	1.00	1.00	1.00	4.00	1.00	1.00	2.00	1.00	1.00	2.00	3.00	1.00	2.00	4.00	1.00	2.00	1.00	2.00	4.00	3.00	1.00	3.00	1.00	1.00	2.00	1.00	1.00	2.00	ND	1.00	1.77
4d Number of forest management-based ecological services	2.00	1.00	1.00	1.00	3.00	1.00	1.00	2.00	1.00	1.00	3.00	1.00	1.00	2.00	1.00	1.00	3.00	1.00	4.00	3.00	3.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00	1.71
Average Score	2.25	1.38	1.38	1.38	2.88	1.00	1.00	2.25	1.00	1.00	2.50	2.00	2.00	2.25	2.75	1.00	2.75	1.00	2.25	2.75	2.75	1.00	2.75	1.00	1.00	2.50	1.00	1.00	2.33	1.00	1.00	1.74

Component F: Performance	Central	Aceh	West Aceh	Southeast Aceh	Riau	Palalawan	Siak	Jambi	West Tanjung Jabung	East Tanjung Jabung	South Sumatra	Musi Banyu Asin	Musi Rawas	West Kalimantan	Kapuas Hulu	Ketapang	Central Kalimantan	Kapuas	West Kotawaringin	East Kalimantan	Berau	Nunukan	Central Sulawesi	Poso	Sigi Biromaru	West Papua	Fakfak	Manokwari	Papua	Sarmi	Waropen	Average Score per Indicator
Issue: Forest Control & Enforcement																																
5a The number of budget use violations at the provincial and district/city level	ND	3.00	1.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	3.00	2.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	1.53
5b Number of serious administrative sanctions comprising license revocation and fines imposed	2.00	2.00	1.00	2.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	2.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	3.00	2.00	1.00	3.00	1.00	1.00	2.00	1.00	1.00	1.52
5c Number of forestry crimes brought by the police to state prosecutor	2.00	2.00	1.00	2.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	2.00	2.00	2.00	1.00	2.00	1.00	1.00	2.00	2.00	1.00	2.00	2.00	1.00	1.00	1.00	1.00	3.00	1.00	1.00	1.52
5d Number of forestry crimes comprising corruptions, administrative breaches, environmental crimes, forestry-related tax adjudicated by the court	ND	1.00	1.00	2.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	2.00	2.00	2.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	3.00	2.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00	1.53
5e Number of public complaints about the forest management performance	3.00	3.00	NA	NA	3.00	NA	NA	2.00	NA	NA	2.00	NA	NA	2.00	NA	NA	3.00	NA	NA	3.00	NA	NA	2.00	NA	NA	3.00	NA	NA	3.00	NA	NA	2.64
Average Score	2.33	2.20	1.00	1.75	2.40	1.00	1.00	2.20	1.00	1.00	2.20	1.00	1.75	2.00	1.50	1.00	2.20	1.00	1.00	2.20	1.25	1.00	2.60	2.00	1.00	2.40	1.00	1.00	2.60	1.00	1.00	1.57
Issue: REDD Infrastructure																																
6a Number of adat/local community organizations which can access the REDD+ locations	2.00	2.00	NA	NA	2.00	NA	NA	2.00	NA	NA	3.00	NA	NA	2.00	NA	NA	2.00	NA	NA	3.00	NA	NA	2.00	NA	NA	2.00	NA	NA	1.00	NA	NA	2.09
6b Level of acceptance of REDD+ strategies by the actors	4.00	3.50	NA	NA	3.00	NA	NA	3.00	NA	NA	3.00	NA	NA	3.00	NA	NA	3.50	NA	NA	3.00	NA	NA	3.50	NA	NA	3.00	NA	NA	3.00	NA	NA	3.23
6c Deforestation rates in the assessment locations	2.00	2.00	1.00	2.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	2.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	2.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	1.45
6d Degradation rates in the assessment locations	2.00	2.00	1.00	2.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	2.00	2.00	1.00	1.00	2.00	1.00	2.00	2.00	1.00	1.00	2.00	2.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	1.48
6e Number of areas that are sustainably managed by the forest management units in the implementation of REDD+ (demonstration activities)	3.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	3.00	1.00	3.00	1.00	1.00	1.00	3.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	1.48
Average Score	2.60	2.30	1.00	1.67	2.20	1.00	1.00	2.20	1.00	1.00	2.60	1.00	2.33	2.00	1.00	1.00	2.50	1.00	1.33	2.40	1.00	1.00	2.30	1.67	1.00	2.20	1.00	1.00	2.00	1.00	1.00	1.56
Average Score per Component	2.46	1.90	1.40	1.72	2.23	1.04	1.08	2.34	1.39	1.36	2.45	1.62	2.24	2.20	1.78	1.15	2.59	1.11	1.66	2.34	1.61	1.07	2.71	1.81	1.55	2.40	1.00	1.26	2.56	1.62	1.18	1.77
	Central	Aceh	West Aceh	Southeast Aceh	Riau	Palalawan	Siak	Jambi	West Tanjung Jabung	East Tanjung Jabung	South Sumatra	Musi Banyu Asin	Musi Rawas	West Kalimantan	Kapuas Hulu	Ketapang	Central Kalimantan	Kapuas	West Kotawaringin	East Kalimantan	Berau	Nunukan	Central Sulawesi	Poso	Sigi Biromaru	West Papua	Fakfak	Manokwari	Papua	Sarmi	Waropen	Average Score per Indicator
PGA Score based on Location	2.78	2.07	1.52	1.85	2.28	1.77	1.77	2.38	1.61	1.77	2.19	1.91	2.27	2.73	2.01	2.06	2.64	1.98	1.84	2.42	1.98	1.54	2.52	1.91	1.88	2.29	1.40	1.91	2.41	1.70	1.54	

Note:
NA: The Indicator is not applicable
ND: No sufficient data

Scorecard annotation:

: Index value over 3.5

: Between 2 and 3.5

: Less than 2

Matrix PGA Indicators Under Governance Principles

PGA Indicator Scores with Score Range from 1 as the lowest score to 5 as the highest score

Participation	Central Gov.	Aceh	West Aceh	South East Aceh	Riau	Palalawan	Siak	Jambi	Tanjabar	Tanjatim	South Sumatera	Musi Banyu Asin	Musi Rawas	West Kalimantan	Kapuas Hulu	Ketapang	Central Kalimantan	Kapuas	West Kotawaringin	East Kalimantan	Berau	Nunukan	Central Sulawesi	Poso	Sigi Biromaru	West Papua	Fakfak	Manokwari	Papua	Sarmi	Waropen
1. The existence and comprehensiveness of laws and policies governing on forest planning and regional spatial plan formulation involving all stakeholders	2.40	2.00	2.00	3.00	2.00	2.00	2.00	3.00	3.00	2.00	2.00	4.00	3.00	2.00	2.00	2.00	3.00	3.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00
2. The amount of funds allocated to develop the process for participatory spatial planning	2.25	1.00	1.00	3.00	2.00	1.33	1.00	1.00	1.00	1.00	1.00	3.00	3.00	1.00	1.00	1.00	1.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	1.67	1.00	3.00	1.00	1.00	1.00
3. The number of personnel that own technical qualification and skills to facilitate the parties in forest and peatland management units (FMUs)	2.00	2.50	1.00	1.00	2.58	ND	ND	2.00	1.00	1.00	2.50	2.00	2.75	2.12	1.50	2.25	1.49	3.00	1.00	2.66	1.50	ND	2.25	2.00	1.00	2.50	1.00	1.00	1.83	1.00	1.00
4. The amount of funds allocated for the participatory development of REDD+ infrastructure	3.00	2.00	NA	NA	2.00	NA	NA	2.00	NA	NA	2.00	NA	NA	2.00	NA	NA	3.00	NA	NA	2.00	NA	NA	3.00	NA	NA	1.00	NA	NA	1.00	NA	NA
5. Number of NGO activists who actively provide inputs for regional spatial and forest planning	3.00	2.70	2.30	3.13	3.00	3.08	3.33	3.00	1.38	2.13	3.13	2.30	2.30	4.00	2.88	2.67	4.00	2.38	2.40	2.88	2.55	1.63	3.58	2.33	1.90	2.63	1.50	2.80	3.20	1.00	1.00
6. Number of academicians that actively provide input for regional and forest planning	2.75	2.63	1.63	2.33	4.00	2.50	2.50	2.75	2.50	2.67	3.00	2.38	2.50	3.25	1.00	2.50	4.63	1.50	1.25	3.33	3.00	1.00	3.13	2.83	3.25	3.71	1.00	3.00	3.50	1.00	1.00
7. The mechanism to select NGO representatives to multi party forums/institutions	3.00	3.00	2.00	2.33	2.67	2.67	2.67	3.00	ND	2.00	2.00	1.67	2.33	3.00	3.00	1.67	3.33	2.00	2.33	2.00	1.00	1.00	3.33	1.67	2.67	3.33	1.33	2.67	4.00	1.00	1.00
8. The knowledge level of IPs and local community that participate in regional spatial and forestry planning forum on regional spatial and forestry planning issues	3.50	2.00	2.00	5.00	3.50	2.50	2.50	2.50	2.00	ND	1.00	4.00	4.50	2.50	1.50	3.00	4.00	2.00	3.50	2.50	3.00	1.50	4.00	1.50	3.50	1.50	2.00	3.00	3.50	2.00	1.50
9. The number of indigenous peoples and local community activists who are active in striving indigenous peoples and local community rights in managing their forest	3.00	2.33	2.00	2.67	2.00	2.00	2.00	2.00	1.50	2.00	3.00	1.33	2.33	3.67	2.67	2.67	2.67	3.00	1.67	3.33	1.33	1.67	3.00	2.67	2.67	2.67	1.67	2.33	3.00	3.00	2.00
10. The participation level of the indigenous peoples in REDD+ task forces set up by the central and local governments	2.00	1.67	NA	NA	2.33	NA	NA	1.00	NA	NA	1.00	NA	NA	2.67	NA	NA	3.00	NA	NA	1.33	NA	NA	3.33	NA	NA	1.00	NA	NA	1.00	NA	NA
11. IP and local community internal mechanism to select representative in attending a meeting on regional spatial and forestry planning	3.33	2.67	1.00	1.67	2.17	2.00	1.67	2.67	1.00	2.50	1.00	2.83	3.00	2.83	1.83	2.00	1.83	2.50	1.83	2.00	1.67	1.00	2.67	1.50	2.50	2.17	1.83	3.17	2.50	2.00	3.67
12. The mechanism to select indigenous peoples and or local community representatives to multi-party forums/institutions	3.33	2.67	1.00	2.33	2.33	1.67	1.33	2.33	1.00	2.67	1.00	1.00	3.00	3.00	3.00	3.00	1.67	2.00	1.33	2.00	1.67	1.00	3.00	3.33	3.00	3.67	2.00	3.00	2.67	1.67	2.00
13. The number of business representatives who are present and participate in meetings which discusses forest planning	3.00	1.00	1.00	1.00	3.00	1.17	1.17	3.00	1.83	1.67	2.17	1.50	1.83	3.83	1.00	1.50	3.17	1.67	1.00	3.17	1.67	1.00	2.67	2.33	1.17	2.83	1.00	2.83	3.00	1.17	1.00
14. Level of knowledge among the major business players who give inputs to the regional and forestry planning	4.00	2.00	1.00	1.00	3.00	2.00	2.00	3.00	2.00	2.00	3.00	2.00	2.00	3.00	1.00	2.00	3.00	2.00	2.00	3.00	3.00	2.00	3.00	3.00	3.00	3.00	2.00	2.00	3.00	2.00	2.00
15. The mechanisms to select business representatives to multi-stakeholder forums	3.33	1.33	1.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00	2.33	1.00	1.00	3.00	1.00	1.00	3.33	1.00	1.00	3.00	1.00	1.00	1.33	1.00	1.67	3.00	1.00	1.00	3.00	2.00	2.00
16. The existing documents which regulate and ensure the business representative in REDD+ infrastructure development	2.83	1.00	NA	NA	1.67	NA	NA	1.67	NA	NA	1.67	NA	NA	3.83	NA	NA	2.00	NA	NA	2.67	NA	NA	2.67	NA	NA	1.67	NA	NA	1.00	NA	NA
17. The level of acceptance on the documents of regional spatial and forest planningThe level of acceptance on the documents of regional spatial and forest planning	4.00	1.00	2.00	3.00	2.00	2.00	2.00	3.00	2.00	2.00	3.00	3.00	4.00	3.00	2.00	1.00	4.00	2.00	2.00	3.00	2.00	1.00	3.00	4.00	3.00	2.00	1.00	2.00	3.00	1.00	1.00
18. The extent of forest areas which are designated and accepted by the parties	3.00	3.00	1.00	2.00	2.00	1.00	1.00	2.00	1.00	3.00	2.00	2.00	2.00	2.00	2.00	3.00	3.00	1.00	4.00	3.00	1.00	1.00	2.00	2.00	3.00	1.00	1.00	2.00	2.00	2.00	1.00
19. Level of acceptance of REDD+ strategies by the actors	4.00	3.50	NA	NA	3.00	NA	NA	3.00	NA	NA	3.00	NA	NA	3.00	NA	NA	3.50	NA	NA	3.00	NA	NA	3.50	NA	NA	3.00	NA	NA	3.00	NA	NA
Average Score	3.04	2.10	1.46	2.30	2.54	1.92	1.87	2.42	1.59	1.97	2.09	2.27	2.64	2.83	1.83	2.08	2.93	2.00	1.89	2.57	1.83	1.27	2.81	2.21	2.35	2.33	1.42	2.39	2.48	1.59	1.54

Accountability	Central Gov.	Aceh	West Aceh	South East Aceh	Riau	Palalawan	Siak	Jambi	Tanjabar	Tanjatim	South Sumatera	Musi Banyu Asin	Musi Rawas	West Kalimantan	Kapuas Hulu	Ketapang	Central Kalimantan	Kapuas	West Kotawaringin	East Kalimantan	Berau	Nunukan	Central Sulawesi	Poso	Sigi Biromaru	West Papua	Faktiak	Manokwari	Papua	Sarmi	Waropen
1. The existence and comprehensiveness of laws and policies governing on complaint handling mechanism for forest planning and regional spatial plannning formulation	1.66	3.00	3.00	3.00	2.00	2.00	2.00	3.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00
2. The existence and comprehensiveness of laws and policies governing on accountability of the institutions responsible for forest and peat land management	3.75	3.25	3.00	3.25	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.25	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00
3. The existence and comprehensiveness of law and policies governing on integrated and participatory supervision in forest management	3.16	3.00	3.00	3.00	2.00	2.00	2.00	3.66	2.00	2.00	3.66	2.00	2.00	2.50	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.83	2.50	2.00	2.00	2.00	2.00	2.00	2.00	2.00
4. The existence and comprehensiveness of law and policies governing on mechanism to responsively follow up fraud/ corruption indications	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.50	1.00	1.00	1.00	1.00	1.00	1.00
5. The existence and comprehensiveness of law and policies on mechanism to responsively follow up the findings of fraud or corruption indications from REDD+ activities	1.00	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	1.00	NA	1.00	1.00	NA	1.00	1.00	NA	1.00	NA	NA	1.00	NA	NA
6. The existence and comprehensiveness of law and policies governing on complaints handling mechanism in the process of REDD+ policy development and REDD+ institution	3.00	3.00	NA	NA	2.00	NA	NA	3.00	NA	NA	2.00	NA	NA	2.00	NA	NA	2.00	2.00	NA	2.00	2.00	NA	2.00	2.00	NA	2.00	NA	NA	2.00	NA	NA
7. The existence and comprehensiveness of law and policies governing on complaints handling mechanism in conflicts related to REDD+ activities	2.50	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	1.00	NA	1.00	1.00	NA	1.00	1.00	NA	1.00	NA	NA	1.00	NA	NA
8. Standard Operating Procedure (SOP) to resolve forest area planning conflicts withinn the forestry agencies	2.57	1.00	1.00	1.14	1.14	1.14	1.71	2.00	2.86	1.86	3.85	1.86	2.00	1.28	2.50	2.00	1.71	3.29	3.71	1.14	1.29	3.14	2.14	2.14	3.43	2.07	1.14	2.71	3.43	3.43	2.29
9. The number of personnel with qualifications in the unit which handle forest related conflicts in forestry agencies	2.25	1.50	1.25	2.00	1.75	2.25	2.00	2.00	2.00	2.50	3.20	2.75	2.00	1.75	1.25	3.00	2.25	1.50	1.75	1.50	1.00	2.75	3.33	2.75	1.50	2.00	1.00	2.00	3.25	2.50	1.75
10. The amount of funds allocated in the Budget Allocation List to resolve the conflict within the Forestry Agencies	3.00	1.00	1.00	4.00	2.00	2.00	3.00	2.33	3.00	1.00	3.66	2.00	2.00	1.00	1.00	3.00	2.00	2.00	3.00	2.00	1.00	1.00	3.66	3.00	2.00	2.67	2.00	2.00	2.00	1.00	2.00
11. The number of Forest Management Units (FMUs) that apply internal control systems (referring to Decree of the Forestry Ministry)	1.00	ND	1.00	1.00	2.00	ND	ND	ND	1.00	1.00	ND	2.00	3.00	2.00	1.00	3.50	1.00	3.00	1.00	1.00	2.50	ND	1.00	1.00	1.00	ND	ND	1.00	1.00	ND	ND
12. Number of legislators who advocate regional planning based on sustainable forest management and access to justice for community forest management?	2.00	1.60	1.40	2.00	1.00	2.33	1.33	1.80	2.00	3.20	1.60	2.20	2.20	3.60	2.00	3.25	2.00	1.60	1.60	2.60	1.40	2.60	3.20	3.20	2.80	2.40	1.00	2.60	3.14	2.00	1.25
13. The number of civil community groups who show to the public the procedural irregularities and potential losses of the people due to the consistent regional and forest planning.	2.00	3.13	1.20	2.25	2.83	3.00	3.17	2.50	1.00	3.00	2.71	1.80	2.60	4.00	2.63	2.67	2.90	2.29	2.65	2.88	1.38	1.13	2.60	1.40	1.50	2.35	1.00	1.73	2.60	1.00	1.00
14. The number of NGOs that accept public complaints concerning forest issues	3.50	2.50	1.50	1.00	3.25	2.75	2.75	2.50	ND	2.25	2.50	2.00	3.00	3.25	2.75	2.33	3.25	3.50	2.75	3.25	1.25	2.00	1.75	2.50	2.00	2.50	1.50	2.50	2.50	1.00	1.00
15. The mechanism to report the results or process of the participation involvement to civil society organizations, communities assisted and the public	2.25	2.25	1.50	2.75	2.75	3.00	3.00	1.00	1.00	2.40	1.80	1.00	3.00	4.00	3.20	ND	3.00	1.80	3.00	2.60	1.00	1.00	3.20	2.80	2.20	1.00	ND	2.60	3.00	1.00	ND
16. The number of NGOs/NGO networks that own the programs to monitor the arrangement of the rights of the indigenous peoples to forests	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
17. Code of ethics that are applied by NGOs/ NGO networks in monitoring the rights of indigenous communities to forests	4.00	3.00	2.00	3.00	3.00	2.00	2.00	4.00	1.00	2.00	3.00	2.00	2.00	4.50	3.50	2.00	4.00	2.00	2.00	2.50	2.00	1.00	3.00	1.50	3.00	3.00	2.00	2.50	2.00	1.00	1.00
18. Number of civil society groups that point out to the public the procedural irregularities and potential losses both due and not due to the issues of rights to forests and lands	4.00	3.50	3.00	2.00	3.00	2.75	2.75	3.00	1.00	3.00	2.50	2.25	2.42	3.00	3.50	3.00	3.83	2.17	3.00	2.75	2.00	2.00	3.83	1.00	2.75	2.92	ND	2.42	2.42	1.00	1.00
19. The number of advocacy initiatives to eradicate corruption in the forestry sector by environmental activists, NGOs or NGO anti-corruption activists	2.00	3.00	2.00	1.00	3.00	3.00	3.00	3.00	3.00	2.50	2.00	2.00	3.00	3.00	1.00	2.00	3.00	2.00	1.00	ND	2.00	2.00	2.50	1.00	2.00	2.00	1.00	2.00	2.00	1.00	1.00
20. The number of NGOs which monitor the granting of permits/ licenses in the forest areas and management of conservation areas	3.00	3.00	1.00	3.00	1.50	2.33	2.33	3.00	1.00	2.67	2.00	1.00	2.00	3.00	3.00	2.33	2.33	2.00	2.00	3.00	2.00	1.00	2.33	1.00	2.00	1.67	1.00	2.00	2.33	1.00	1.00

21. The mechanism to report the result or process of the participation involvement to IP and local community organization	3.00	1.00	1.00	2.00	2.00	1.60	1.00	2.00	1.00	2.20	1.20	5.00	2.60	3.40	1.40	1.00	2.40	1.00	2.20	3.40	1.00	1.00	3.00	1.40	2.60	3.00	1.00	3.40	2.60	3.00	1.60
22. The number of Indigenous Peoples and local community who do monitoring on forest utilization by government, business entity, and non-government organization	3.33	3.67	2.00	2.67	2.33	2.00	1.67	2.33	1.00	1.67	2.00	1.00	2.00	4.67	5.00	2.67	3.33	1.67	2.00	2.00	5.00	1.00	3.33	3.00	2.00	2.00	2.67	2.33	2.67	1.33	2.33
23. The internal control mechanism in Indigenous Peoples/local community organizations to implement forest utilization according to Sustainable Forest Management principles	2.67	2.11	1.00	1.00	1.11	1.33	1.33	1.78	1.00	1.00	1.11	1.67	3.00	3.11	1.00	1.50	2.56	1.67	1.00	1.11	2.33	1.00	3.22	1.33	1.00	2.44	1.00	1.50	2.17	1.00	1.00
24. The mechanisms to report the result or process of the participation involvement to the agencies which have sent them	3.00	1.00	1.00	1.00	3.00	1.00	1.00	2.00	1.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00	3.00	2.60	1.00	3.00	3.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00
25. The companies' internal control mechanism to implement forest utilization activity according to sustainable forest management principles	3.17	1.00	1.00	1.00	3.00	3.00	3.00	3.00	2.67	3.00	3.00	3.00	3.67	3.00	1.00	3.00	2.33	2.00	2.00	3.00	2.00	2.00	2.00	3.67	2.00	2.00	1.00	2.00	3.00	2.00	1.00
26. The number of forest based companies that own ethics code and good corporate governance principles in running the companies	3.00	1.00	1.00	1.00	3.00	3.00	3.00	3.00	2.00	2.00	3.00	3.00	3.00	4.00	1.00	3.00	3.00	3.00	2.00	3.00	2.00	2.00	2.00	1.00	1.00	1.00	1.00	2.00	3.00	2.00	1.00
27. Size of the forest areas that overlap with other land users	2.00	1.00	1.00	1.00	2.00	1.00	1.00	3.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	4.00	1.00	1.00	3.00	1.00	1.00	2.00	1.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00
28. Number of conflicts among members of forest area users	2.00	2.00	1.00	1.00	2.00	1.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00
29. Government authority and interventions in the forest concession permit process which are the domain of the permit holders	3.00	2.00	3.00	3.00	1.00	1.00	1.00	3.00	1.00	1.00	3.00	3.00	2.00	3.00	2.00	1.00	3.00	1.00	1.00	2.00	3.00	1.00	4.00	1.00	3.00	3.00	1.00	1.00	3.00	4.00	1.00
30. Integrity index in the forestry sector by Corruption Eradication Commission	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND
31. Corruption perception index particularly on forestry sector in the assessment locations	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND
32. Number of public complaints about the forest management performance	3.00	3.00	NA	NA	3.00	NA	NA	2.00	NA	NA	2.00	NA	NA	2.00	NA	NA	3.00	NA	NA	3.00	NA	NA	2.00	NA	NA	3.00	NA	NA	3.00	NA	NA
Average Score	2.61	2.09	1.59	1.96	2.13	2.06	2.04	2.43	1.61	1.97	2.35	2.02	2.26	2.67	1.99	2.18	2.48	1.87	1.95	2.24	1.81	1.61	2.52	1.86	1.97	2.21	1.38	1.97	2.42	1.68	1.40
Transparency	Central Gov.	Aceh	West Aceh	South East Aceh	Riau	Palalawan	Siak	Jambi	Tanjabar	Tanjatim	South Sumatera	Musi Banyu Asin	Musi Rawas	West Kalimantan	Kapuas Hulu	Ketapang	Central Kalimantan	Kapuas	West Kotawaringin	East Kalimantan	Berau	Nunukan	Central Sulawesi	Poso	Sigi Biromaru	West Papua	Fakfak	Manokwari	Papua	Sarmi	Waropen
1. The existence and comprehensiveness of laws and policies governing on transparent forest planning and Regional Spatial Plan (RTRW) formulation	4.25	3.00	3.00	3.00	3.00	3.00	3.00	4.00	3.00	3.00	3.00	3.00	3.00	4.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00
2. The existence and comprehensiveness of laws and policies governing on tenurial rights of indigenous communities and businesses in a transparent manner	5.00	4.00	3.00	4.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	4.00	3.00	3.00	4.00	4.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00
3. The existence and comprehensiveness of laws and policies governing on consideration of integrity and expertise in strategic positions in the institutions responsible for forestry and peat lands	2.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00
4. The existence and comprehensiveness of law and policies governing on transparency in the forest and peat land management implementation	4.00	4.16	3.00	4.16	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	4.25	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.50	3.50	3.50
5. The existence and comprehensiveness of law and policies governing on transparency of control and law enforcement in forest management	4.00	3.66	3.00	3.66	3.50	3.50	3.50	3.50	3.50	3.50	3.50	3.50	3.50	4.00	3.50	3.50	3.50	3.50	3.50	3.50	5.00	3.50	3.50	3.50	3.50	3.50	3.50	3.50	4.00	4.00	4.00
6. The Existence and comprehensiveness of law and policies governing on just and objective in the forest management implementation	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
7. The existence and comprehensiveness of law and policies governing on transparency in policy development and REDD+ institution	2.50	4.00	NA	NA	1.00	NA	NA	1.00	NA	NA	3.00	NA	NA	4.00	NA	NA	3.00	3.00	NA	3.00	3.00	NA	1.00	1.00	NA	3.00	NA	NA	1.00	NA	NA
8. Number of NGOs that monitor both the REDD+ preparation and implementation	3.00	3.00	NA	NA	1.50	NA	NA	2.00	NA	NA	1.00	NA	NA	3.00	NA	NA	2.00	NA	NA	2.00	NA	NA	2.00	NA	NA	2.00	NA	NA	2.00	NA	NA
9. Level of knowledge of NGO activists who monitor both the preparation and implementation of REDD+	2.25	2.00	NA	NA	2.67	NA	NA	2.00	NA	NA	2.33	NA	NA	2.50	NA	NA	2.67	NA	NA	2.00	NA	NA	2.50	NA	NA	2.00	NA	NA	2.67	NA	NA
10. Number of print media which regularly report the preparation or implementation of REDD +	2.00	2.00	NA	NA	2.00	NA	NA	2.00	NA	NA	2.75	NA	NA	2.75	NA	NA	2.50	NA	NA	2.00	NA	NA	2.25	NA	NA	2.00	NA	NA	2.75	NA	NA
11. The number of internal regulations which arrange land use and forest zonation traditionally	3.75	2.50	2.50	1.75	2.00	1.75	2.00	2.50	2.00	1.25	2.00	1.00	2.25	3.75	5.00	2.75	3.75	2.75	1.00	3.25	4.75	1.00	2.50	2.75	2.25	2.25	2.75	3.50	2.25	2.00	2.75
12. The company document which regulates FPIC (Free Prior Informed Consent)	2.76	1.00	2.57	1.00	2.00	1.50	1.50	2.00	1.64	1.57	1.00	3.21	2.71	2.21	1.08	2.21	2.00	1.71	1.64	2.36	1.43	1.50	2.71	2.50	1.43	2.14	1.07	2.07	1.86	1.50	1.00
13. The amount of funds allocated for the determining the borderline and confirmation in its working area	2.50	2.00	2.00	2.00	2.50	2.00	2.00	2.50	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.50	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	3.00	2.00	2.00	1.00	2.00	2.00

	Central Gov.	Aceh	West Aceh	South East Aceh	Riau	Pelalawan	Siak	Jambi	Tanjabar	Tanjatim	South Sumatera	Musi Banyu Asin	Musi Rawas	West Kalimantan	Kapuas Hulu	Ketapang	Central Kalimantan	Kapuas	West Kotawaringin	East Kalimantan	Berau	Nunukan	Central Sulawesi	Poso	Sigi Biromaru	West Papua	Faktak	Manokwari	Papua	Sarmi	Waropen
14. Frequency of news coverage related to the recognition of the rights of adat/local communities to manage forests	2.00	2.00	1.80	2.00	2.00	1.00	1.00	2.00	2.00	1.80	2.00	2.20	2.80	2.00	1.00	1.60	2.00	1.40	2.40	2.00	1.80	2.60	2.00	3.60	2.50	3.00	1.00	2.40	3.00	2.20	2.20
15. The existence and comprehensiveness of law and policies governing on formulation of policies and REDD+ institution which are objective and transparent	2.00	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	1.00	NA	1.00	1.00	NA	1.00	1.00	NA	1.00	NA	NA	1.00	NA	NA
Average Score	3.00	2.52	2.43	2.51	2.15	2.19	2.22	2.25	2.35	2.24	2.18	2.43	2.58	2.89	2.51	2.45	2.57	2.40	2.28	2.36	2.63	2.29	2.25	2.40	2.41	2.42	2.26	2.61	2.29	2.47	2.49
Capacity																															
1. The existence and comprehensiveness of laws and policies requiring capacity building of ministry/government unit at sub national level in forest planning and regional spatial planning formulation	3.00	2.00	2.00	3.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	4.00	3.00	3.00
2. The existence and comprehensiveness of laws and policies requiring capacity building of community to enable them to access their tenurial rights	3.00	1.75	1.75	1.75	1.25	1.25	1.25	1.50	1.50	1.83	1.50	1.50	1.50	1.67	1.50	1.50	2.33	1.67	1.66	1.66	1.67	2.00	2.00	1.67	2.00	1.33	1.33	1.33	2.75	2.75	2.75
3. The existence and comprehensiveness of law and policies governing on community capacity building programs to supervise forest and peat lands management	2.00	2.00	2.00	2.00	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.50	1.00	1.50	1.50	1.50	2.50	2.50	2.50
4. The existence and comprehensiveness of law and policies governing on capacity building programs of the government officials and the communities in the preparation of REDD+ policy development and REDD+ institution	2.00	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	1.00	NA	1.00	1.00	NA	1.00	1.00	NA	1.00	NA	NA	1.00	NA	NA
5. The number of personnel who own sufficient qualification in carrying out regional planning	3.58	2.50	1.78	2.56	3.55	2.83	3.00	2.83	2.22	1.89	3.91	2.78	3.00	3.00	2.44	2.83	3.58	2.33	3.11	2.58	3.56	2.44	3.38	2.67	2.11	1.67	1.11	2.44	3.33	2.33	1.11
6. The number of personnel with qualifications in the Planning Units to implement the status (state /non-state forests) and function of forests (production /non- production forests)	2.86	1.91	1.67	2.67	2.94	2.83	2.83	2.58	2.44	1.89	1.75	2.56	3.11	1.83	1.78	3.17	2.41	2.67	2.67	2.58	3.22	2.44	3.66	2.44	2.44	1.33	1.00	2.22	3.11	2.22	1.11
7. The existence of REDD+ institutions	3.00	3.00	NA	NA	3.00	NA	NA	3.00	NA	NA	3.00	NA	NA	1.50	NA	NA	3.00	NA	NA	3.00	NA	NA	3.00	NA	NA	1.50	NA	NA	3.00	NA	NA
8. The existence of MRV (Measurable, Reportable, Verifiable) institutions	2.00	1.50	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	2.00	NA	NA	1.50	NA	NA	1.00	NA	NA	1.00	NA	NA
9. The existence of financial institutions	2.00	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA
10. ufficient number of personnel with qualification in REDD+ Working Group at national and sub national level	4.00	2.00	NA	NA	3.00	NA	NA	3.00	NA	NA	2.00	NA	NA	2.00	NA	NA	3.00	NA	NA	3.00	NA	NA	3.00	NA	NA	2.00	NA	NA	2.00	NA	NA
11. The sufficient number of personnel with qualification to work in REDD+ institutions to mediate conflicts as a result of the REDD+ benefit distribution	2.00	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	ND	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA
12. The adequate number of police officers and own sufficient qualifications in forestry and environment	2.00	3.00	2.00	3.00	2.66	ND	ND	3.00	2.00	3.00	ND	ND	2.33	3.33	2.33	2.67	4.00	ND	3.00	1.00	3.00	2.33	2.33	2.33	2.67	ND	2.67	2.00	2.00	ND	ND
13. Sufficient number of prosecutors and own adequate qualifications in forestry and environment	1.00	3.33	2.67	3.00	3.33	3.00	1.33	3.00	2.00	2.33	ND	2.33	3.67	3.00	2.67	4.00	3.66	2.67	2.67	3.00	4.00	2.33	3.00	1.67	2.00	ND	2.33	2.67	2.67	ND	ND
14. Sufficient number of judges and have adequate qualifications in forestry and environment	2.00	1.33	2.00	3.00	2.66	2.33	2.00	3.33	2.33	2.00	2.33	3.67	2.67	3.00	2.33	3.67	3.33	4.33	3.00	2.00	3.00	1.67	1.67	2.67	3.00	ND	2.00	2.33	2.67	ND	ND
15. The number of personnel with qualification in the unit to administer indigenous peoples, local communities and business rights in Ministry of Forestry or Sub national Forestry Department.	3.00	1.00	1.50	3.00	2.75	1.50	1.50	1.50	2.50	2.75	3.00	3.00	2.50	3.00	1.75	2.00	4.00	1.75	3.00	1.00	1.50	2.25	3.25	2.75	3.25	2.63	1.00	3.25	2.75	2.25	2.25
16. The amount of funds allocated to administer the rights of communities and businesses in the units that administer the rights of communities and businesses in the Ministry of Forestry and Sub National Forestry Department	3.00	1.00	2.00	3.00	2.66	2.00	3.00	1.66	3.00	1.00	1.00	3.00	3.00	2.00	1.00	3.00	2.66	2.00	2.00	2.00	1.00	1.00	3.00	2.00	3.00	4.67	1.00	3.00	1.00	1.00	2.00
17. Number of NGO activists that own the legal drafting skills pertaining to the rights of indigenous/local communitiesto forests	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
18. Number of NGO activists/NGO networks which assist the communities in doing community forest mapping	2.50	1.93	1.92	2.50	2.00	2.58	2.50	3.00	1.00	2.42	2.70	1.58	1.93	3.70	3.63	2.88	3.17	2.70	2.68	3.20	2.21	1.13	2.67	2.10	1.62	2.58	1.00	2.43	2.75	1.00	1.25
19. Sources of funds used by NGOs/NGO networks which assist the communities in doing community forest mapping	3.00	2.00	2.00	2.00	2.00	2.00	2.00	3.00	ND	ND	2.00	1.00	2.00	3.00	2.00	4.00	2.00	2.00	2.00	3.00	2.00	1.00	3.00	3.00	1.00	2.00	1.00	3.00	2.00	1.00	ND
20. The number of NGOs that have capacity building programs for their members/staff to monitor the forest and peatland management	4.00	3.00	2.00	2.00	4.00	2.00	2.00	3.00	ND	3.00	3.00	3.00	2.00	3.00	3.00	2.00	4.00	3.00	3.00	ND	2.00	1.00	4.00	1.00	ND	2.00	2.00	2.00	3.00	1.00	1.00

21. The level of knowledge about NGO activists that monitor the principles and procedures for granting permits/licenses and conservation area management	2.00	3.00	1.50	3.00	2.67	3.50	3.50	3.50	ND	3.00	1.67	1.50	2.50	ND	4.00	3.33	3.67	2.50	3.00	3.00	1.00	2.00	3.00	2.00	2.33	2.50	1.50	2.50	3.00	1.00	1.00
22. The number of NGOs that actively build the capacity of the indigenous communities to manage forests	2.50	3.00	1.00	2.50	2.00	2.00	2.00	3.00	1.00	2.75	1.25	1.00	2.00	4.00	3.50	3.50	3.00	3.50	2.25	2.25	2.00	1.00	2.25	2.75	2.25	2.25	1.50	2.50	3.00	1.00	1.00
23. The number of indigenous peoples community activists that strive indigenous peoples' community rights with solid data in regional spatial and forestry planning	3.17	2.00	2.10	3.00	2.00	1.44	1.63	1.90	1.00	1.70	1.40	2.10	2.20	3.90	1.90	2.63	2.60	2.60	2.00	3.30	1.40	1.20	2.30	1.90	2.50	2.50	1.25	2.30	2.90	1.63	1.50
24. The number of Indigenous Peoples and local community activists that have skill in developing REDD+ project development design	2.25	1.63	NA	NA	1.38	NA	NA	1.63	NA	NA	1.00	NA	NA	2.50	NA	NA	2.63	NA	NA	1.00	NA	NA	3.00	NA	NA	1.00	NA	NA	2.00	NA	NA
Average Score	2.60	2.00	1.87	2.62	2.23	2.18	2.14	2.26	1.88	2.20	1.86	2.17	2.37	2.36	2.33	2.79	2.71	2.39	2.47	2.09	2.12	1.71	2.46	2.08	2.21	1.87	1.51	2.34	2.37	1.74	1.71
Effectiveness	Central Gov.	Aceh	West Aceh	South East Aceh	Riau	Palalawan	Siak	Jambi	Tanjabar	Tanjatim	South Sumatera	Musi Banyu Asin	Musi Rawas	West Kalimantan	Kapuas Hulu	Ketapang	Central Kalimantan	Kapuas	West Kotawaringin	East Kalimantan	Berau	Nunukan	Central Sulawesi	Poso	Sigi Biromaru	West Papua	Fakfak	Manokwari	Papua	Sarmi	Waropen
1. The existence and comprehensiveness of law and policies governing on harmonization of laws and policies related to forests and peat lands	4.00	2.00	2.00	2.00	1.00	1.00	1.00	4.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	4.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	3.50	3.50	3.50
2. The existence and comprehensiveness of law and policies governing on effectiveness of control and law enforcement in forest management	1.75	2.00	2.00	2.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00
3. The existence and comprehensiveness of law and policies governing on mechanism of granting efficient forest management permits	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00
4. Number of Forest Management Units already set up and that are operational in provinces or districts	2.00	1.00	1.00	1.00	3.00	1.00	2.00	2.00	1.00	1.00	3.00	4.00	3.00	2.00	2.00	3.00	3.00	3.00	2.00	4.00	3.00	1.00	3.00	2.00	2.00	2.00	1.00	1.00	3.00	1.00	1.00
5. Level of understanding of the permit issuers that the permit granting mechanism aims at controlling and regulating forests	3.00	1.00	1.00	2.00	2.00	2.00	2.00	3.00	3.00	3.00	3.00	4.00	3.00	3.00	3.00	3.00	3.00	4.00	2.00	4.00	1.00	4.00	3.00	4.00	3.00	5.00	2.00	3.00	2.00	4.00	3.00
6. The number of criminal cases exposure on forest and environment done by police office in the five years	1.00	3.33	2.00	2.00	2.33	3.00	3.00	3.33	2.00	2.67	3.00	3.50	3.00	3.33	2.67	3.67	2.66	3.33	3.67	1.66	4.00	3.33	3.33	4.33	2.00	ND	2.00	2.00	2.33	ND	ND
7. Availability of REDD+ Safeguards	2.00	2.00	NA	NA	1.00	NA	NA	2.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.00	NA	NA	1.50	NA	NA	3.50	NA	NA	1.00	NA	NA	1.00	NA	NA
8. The number of land based companies which implement sustainable forest management principles	2.50	1.00	1.00	1.00	2.50	2.50	2.00	2.50	2.50	2.00	2.50	2.50	2.50	2.50	1.00	2.50	2.50	2.50	2.00	2.50	2.00	2.00	2.00	1.00	1.00	2.50	1.00	2.50	2.50	2.00	1.00
9. Level of commitment among the business community to support the implementation of REDD+	3.00	1.50	NA	NA	3.00	NA	NA	3.00	NA	NA	2.50	NA	NA	3.00	NA	NA	3.00	NA	NA	3.00	NA	NA	2.00	NA	NA	3.00	NA	NA	1.00	NA	NA
10. The number of forest possession conflicts which can be resolved each year	2.00	2.00	3.50	1.00	2.00	1.00	1.00	2.00	2.50	1.50	2.00	2.50	2.50	2.00	1.00	1.00	2.00	1.00	3.00	2.00	1.50	1.50	3.00	3.00	2.00	2.00	1.00	2.00	2.00	2.00	2.50
11. Number of rights of the communities and businesses already administered in the units which administer the rights of communities and businesses in Ministry of Forestry/Forestry Services Department	4.00	4.00	1.00	1.00	4.00	1.00	1.00	2.00	1.00	1.00	3.00	ND	1.00	3.00	5.00	1.00	3.00	1.00	1.00	2.00	1.00	1.00	3.00	1.00	ND	2.00	1.00	1.00	2.00	1.00	1.00
12. Number of best practices for the conflict resolution related to the recognition of the rights of indigenous peoples/local communities	1.75	2.25	1.00	2.50	2.00	1.00	1.00	2.00	3.50	3.00	2.00	1.25	3.00	2.00	1.75	2.50	2.00	2.75	2.67	2.00	1.75	1.00	3.00	2.00	1.75	3.00	1.00	2.25	3.50	3.50	3.25
13. Number of forest areas sustainably managed by the forest management actors	2.00	1.00	1.00	1.00	2.00	1.00	ND	2.00	1.00	1.00	2.00	3.00	3.00	2.00	2.00	1.00	3.00	1.00	2.00	2.00	2.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00
14. Percentage of forests that own forest management units (KPH)	2.00	1.00	1.00	1.00	4.00	1.00	1.00	2.00	1.00	1.00	2.00	3.00	1.00	2.00	4.00	1.00	2.00	1.00	2.00	4.00	3.00	1.00	3.00	1.00	1.00	2.00	1.00	1.00	2.00	ND	1.00
15. Number of forest management-based ecological services	2.00	1.00	1.00	1.00	3.00	1.00	1.00	2.00	1.00	1.00	3.00	1.00	1.00	2.00	1.00	1.00	3.00	1.00	4.00	3.00	3.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00
16. Number of serious administrative sanctions comprising license revocation and fines imposed	2.00	2.00	1.00	2.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	2.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	3.00	2.00	1.00	3.00	1.00	1.00	2.00	1.00	1.00
17. Number of forestry crimes brought by the police to state prosecutor	2.00	2.00	1.00	2.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	2.00	2.00	2.00	1.00	2.00	1.00	1.00	2.00	2.00	1.00	2.00	2.00	1.00	1.00	1.00	1.00	3.00	1.00	1.00
18. Number of forestry crimes comprising corruptions, administrative breaches, environmental crimes, forestry-related tax adjudicated by the court	ND	1.00	1.00	2.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	2.00	2.00	2.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	3.00	2.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00
19. Deforestation rates in the assessment locations	2.00	2.00	1.00	2.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	2.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	2.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00
20. Degradation rates in the assessment locations	2.00	2.00	1.00	2.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	2.00	2.00	1.00	1.00	2.00	1.00	2.00	2.00	1.00	1.00	2.00	2.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00
21. Number of areas that are sustainably managed by the forest management units in the implementation of REDD+ (demonstration activities)	3.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	3.00	1.00	3.00	1.00	1.00	1.00	3.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00

22. Amount of transaction costs to procure forest concession permit	2.00	1.00	1.00	1.00	2.00	1.00	1.00	2.00	2.00	2.00	2.00	1.00	3.00	2.00	2.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	3.00	2.00	2.00	2.00	1.00	1.00	3.00	3.00	1.00
23. The number of budget use violations at the provincial and district/city level	ND	3.00	1.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00	3.00	2.00	1.00	2.00	1.00	1.00	2.00	1.00	1.00
24. Value of state losses in the Forest Management Task Force/ Forest Management Units, based on the audit results of Financial Statements of such Working Units	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND	ND
Average Score	2.29	1.83	1.31	1.55	2.25	1.26	1.30	2.25	1.50	1.44	2.22	1.84	2.10	2.04	1.83	1.51	2.35	1.55	1.78	2.25	1.68	1.37	2.51	1.87	1.39	2.20	1.14	1.37	2.25	1.68	1.46
Justice	Central Gov.	Aceh	West Aceh	South East Aceh	Riau	Palalawan	Siak	Jambi	Tanjabar	Tanjatim	South Sumatera	Musi Banyu Asin	Musi Rawas	West Kalimantan	Kapuas Hulu	Ketapang	Central Kalimantan	Kapuas	West Kotawaringin	East Kalimantan	Berau	Nunukan	Central Sulawesi	Poso	Sigi Biromaru	West Papua	Fakfak	Manokwari	Papua	Sarmi	Waropen
1. The existence and comprehensiveness of laws and policies governing on recognition of tenurial rights of indigenous communities and businesses	3.50	3.33	3.33	3.33	1.00	2.00	2.00	1.66	1.33	1.33	1.66	1.33	2.00	2.33	2.66	3.00	3.67	3.33	2.00	1.50	2.00	3.00	3.00	3.00	2.00	2.00	2.00	2.00	3.00	3.00	3.00
2. The existence and comprehensiveness of laws and policies governing on protection to tenurial rights of indigenous communities and businesses	2.00	2.66	2.66	2.66	2.33	2.33	2.33	2.00	2.00	2.33	2.33	2.33	2.33	2.33	2.33	2.33	2.00	2.33	2.33	2.33	2.33	2.33	2.33	2.33	2.33	2.33	2.33	2.33	2.33	2.33	2.33
3. The amount of forest areas allocated for indigenous peoples and local communities	3.00	2.00	1.00	1.00	1.00	1.00	1.00	2.00	3.00	2.00	5.00	3.00	3.00	3.00	2.00	3.00	2.00	5.00	2.00	3.00	3.00	1.00	3.00	1.00	4.00	3.00	1.00	2.00	2.00	3.00	5.00
4. Mechanism for cooperation among the units that administer the rights of the peoples and business communities within the forest areas with indigenous peoples and business associations	2.00	1.49	1.20	1.00	2.86	2.20	2.60	2.33	3.00	2.20	2.86	2.00	3.00	2.32	1.00	3.00	3.22	3.00	3.80	2.52	1.00	3.00	3.66	2.60	3.00	2.87	1.00	3.00	3.33	2.00	1.40
5. The amount of funds allocated by the forest and peatland management units (FMUs) to manage the forest areas together with the communities	4.00	2.00	1.00	1.00	1.00	ND	ND	2.00	1.00	1.00	3.00	2.00	3.00	2.50	2.00	4.00	3.00	1.00	1.00	3.00	3.00	ND	2.00	1.00	1.00	2.50	1.00	1.00	1.33	1.00	1.00
6. The number of initiatives and partnership which build sustainable forest management model	2.60	2.00	1.00	2.00	2.00	1.00	2.00	2.00	1.00	1.00	1.00	1.00	3.00	4.00	4.00	2.00	2.00	2.00	2.00	4.00	5.00	1.00	2.00	1.00	2.00	1.00	1.00	2.00	3.00	2.00	1.00
7. The number of regional spatial plans for managing indigenous peoples that are accommodated into the provincial and/or district spatial plans	2.00	1.00	1.00	2.00	2.00	1.00	2.00	3.00	3.00	2.00	3.00	2.00	4.00	2.00	1.00	1.00	3.00	1.00	2.00	2.00	1.00	1.00	2.00	3.00	1.00	3.00	1.00	2.00	3.00	1.00	1.00
8. Number of adat/local communities that manage forests, peatlands, and plantation areas including village and community forests	3.00	2.50	2.50	2.50	2.50	1.00	1.00	3.00	1.00	1.00	3.00	1.00	3.00	3.00	4.00	1.00	3.00	1.00	1.00	2.00	3.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00	3.00	1.00	1.00
9. Number of adat/local community organizations which can access the REDD+ locations	2.00	2.00	NA	NA	2.00	NA	NA	2.00	NA	NA	3.00	NA	NA	2.00	NA	NA	2.00	NA	NA	3.00	NA	NA	2.00	NA	NA	2.00	NA	NA	1.00	NA	NA
Average Score	2.68	2.11	1.71	1.94	1.85	1.50	1.85	2.22	1.92	1.61	2.76	1.83	2.92	2.61	2.37	2.42	2.65	2.33	2.02	2.59	2.54	1.76	2.55	1.87	2.04	2.41	1.29	1.92	2.44	1.92	1.97
	Central Gov.	Aceh	West Aceh	South East Aceh	Riau	Palalawan	Siak	Jambi	Tanjabar	Tanjatim	South Sumatera	Musi Banyu Asin	Musi Rawas	West Kalimantan	Kapuas Hulu	Ketapang	Central Kalimantan	Kapuas	West Kotawaringin	East Kalimantan	Berau	Nunukan	Central Sulawesi	Poso	Sigi Biromaru	West Papua	Fakfak	Manokwari	Papua	Sarmi	Waropen
Average Score based on Location	2.70	2.11	1.73	2.15	2.19	1.86	1.90	2.30	1.81	1.90	2.24	2.09	2.48	2.56	2.14	2.24	2.61	2.09	2.06	2.35	2.10	1.67	2.52	2.05	2.06	2.24	1.50	2.10	2.38	1.85	1.76

Note NA means that the indicator is not used to measure the location/s
ND means that the collected data are not complete enough to make scores

Scorecard annotation:

: Index value over 3.5

: Between 2 and 3.5

: Less than 2

PGA Data Collection Instrument

No	Indicator Name	Document Data Analysis	Interview Questions
	Component A: Law and Regulation Framework		
	Forest planning and spatial planning issue		
1a	*The existence and comprehensiveness of laws and policies governing on transparent forest planning and Regional Spatial Plan (RTRW) formulation* *Data Sources:* *Ministry of Forestry, National Development Planning Agency, Ministry of Public Work, Ministry of Home Affairs, National Land Agency, National Spatial Planning Coordination Board, Provincial Development Planning Agency, Provincial Government Provincial Forestry Department, Provincial Government Public Work Department, District Development Planning Agency, District Government Forestry Department, District Government Public Work Department.*	*The applied method will look at whether the laws and policies govern and include:* • *Types of data used in forest planning and regional spatial plan,* • *The obligation of public institution to inform through combined methods and easily understandable language on the formation plan of forestry, planning and regional spatial plan* • *Information announcement on each the proposed change of designation and its supporting documents, and* • *Limit on the accessible information clearly regulated and based on public interest*	
1b	*The existence and comprehensiveness of laws and policies governing on forest planning and regional spatial plan formulation involving all stakeholders* *Data Sources:* *Ministry of Forestry, National Development Planning Agency, Ministry of Public Work, Ministry of Home Affairs, National Land Agency, National Spatial Planning Coordination Board, Provincial Development Planning Agency, Provincial Government Forestry Department, Provincial Government Public Work Department, District Development Planning Agency, District Government Forestry Department, District Government Public Work Department.*	*The applied method will look at whether the laws and policies govern and include:* • *A mechanism which makes it easy for relevant stakeholders to engage themselves in the decision making process,* • *The obligation of the designated institution/unit to document each written and non-written inputs,* • *The obligation to provide transparent response to every received inputs,* • *The obligation to provide explanation on the final decision made, and* • *The obligation to implement the all processes with participatory manner*	
1c	*The existence and comprehensiveness of laws and policies requiring capacity building of ministry/government unit at*	*The applied method will look at whether the laws an d policies govern and include:* • *The obligation to build local community*	

	sub national level in forest planning and regional spatial planning formulation *Data Sources:* *Ministry of Forestry, National Development Planning Agency, Ministry of Public Work, Ministry of Home Affairs, National Land Agency, National Spatial Planning Coordination Board, Provincial Development Planning Agency, Provincial Government Forestry Department, Provincial Government Public Work Department, District Development Planning Agency, District Government Forestry Department, District Government Public Work Department.*	*and Indigenous peoples to participate in the forestry and regional spatial planning process and* • *The higher level government to build the capacity of lower level government*
1d	*The existence and comprehensiveness of laws and policies governing on complaint handling mechanism for forest planning and regional spatial plannning formulation* *Data Sources:* *Ministry of Forestry, National Development Planning Agency, Ministry of Public Work, Ministry of Home Affairs, National Land Agency, National Spatial Planning Coordination Board, Provincial Development Planning Agency, Provincial Government Forestry Department, Provincial Government Public Work Department, District Development Planning Agency, District Government Forestry Department, District Government Public Work Department.*	*The applied method will look at whether the laws and policies govern and include:* • *A mechanism to file complaint which is user friendly and to obtain explanation on the action taken in response to the complaints filed within a clear time set and* • *A mechanism to settle conflict and dispute through negotiation channel and an obligation to employ the mediator service with the skill and understanding of customary issues*
	Tenure Arrangement Issues	
2a	*The existence and comprehensiveness of laws and policies governing on tenurial rights of indigenous communities and businesses in a transparent manner* *Data Sources:* *Ministry of Forestry and national Land Agency, Provincial Government Forestry Department and Provincial Land Agency, District Government Forestry Department and District Land Agency.*	*The applied method will look at whether the laws and policies govern and include:* • *Ensuring the availability of all data or information related to the systematic process of spatial and forestry planning for the sake of easy access, appointing specific officer responsible for managing inputs from public,* • *The obligation of the designated institution or unit to document each written and non written inputs, obligation to provide transparent response to every received inputs, obligation to provide explanation on the final decision made,*

		• *The obligation to implement the all processes with participatory manner, and* • *The obligation to granting of access to the public either proactively on request basis and sanction to those parties who intentionally hamper public access to information*	
2b	*The existence and comprehensiveness of laws and policies governing on recognition of tenurial rights of indigenous communities and businesses* *Data Sources:* *Ministry of Forestry and national Land Agency, Provincial Government Forestry Department and Provincial Land Agency, District Government Forestry Department and District Land Agency.* *Hutan dan lahan gambut di tingkat Nasional/Propinsi/Kab secara efektif dan efisien serta tidak rentan korupsi*	*The applied method will look at whether the laws and policies govern and include:* • *The acknowledgement of the customary land whose management is in line with the function of regional spatial & forestry planning, and* • *A simple, affordable and fast mechanism for the community to obtain management permit and an arrangement on the maximum benefit for the customary community or local community at its customary or local lands.*	
2c	*The existence and comprehensiveness of laws and policies governing on protection to tenurial rights of indigenous communities and businesses* *Data Sources:* *Ministry of Forestry and national Land Agency, Provincial Government Forestry Department and Provincial Land Agency, District Government Forestry Department and District Land Agency.*	*The applied method will look at whether the laws and policies govern and include:* • *Punishment mechanism for any parties who conduct actions on clear and clean land conflicts and* • *Punishment mechanism for government officials who issue license on clear and clean land conflict.*	
2d	*The existence and comprehensiveness of laws and policies requiring capacity building of community to enable them to access their tenurial rights* *Data Sources:* *Ministry of Forestry and National Land Agency, Provincial Government Forestry Department and Provincial Land Agency, District Government Forestry Department and District Land Agency.*	*The applied method will look at whether the laws and policies govern and include:* • *Government obligation to build indigenous peoples and local community capacity,* • *The higher level government to build the capacity of the lower level government,* • *Easy mechanism for Indigenous peoples and local communities to access the capacity building budget, and* • *The development of capacity building for indigenous peoples and local community is made with participatory manner*	

	Forest Organization Issues		
3a	*The existence and comprehensiveness of laws and policies governing on accountability of the institutions responsible for forest and peat land management* *Data Sources:* *Ministry for Administrative and Bureaucratic Reforms, Ministry of Forestry and National Land Agency, Provincial Government Forestry Department and Provincial Land Agency, District Government Forestry Department and District Land Agency.*	*The applied method will look at whether the laws and policies govern and include:* • *The clarity of tasks and authority of various related institutions in relation to forest and peat land management,* • *The transparency on yearly output expected and achievement,* • *Budget based performance, and* • *Decentralization to the lower level followed by the principles of transparency and participation*	
3b	*The existence and comprehensiveness of law and policies governing on harmonization of laws and policies related to forests and peat lands* *Data Sources:* *Coordinating Ministry for Legal, Political and Security Affairs, Ministry of Home Affairs, Ministry of Law and Human Rights, Ministry of Forestry, Provincial Government Forestry Department and Provincial Land Agency, District Government Forestry Department and District Land Agency.*	*The applied method will look at whether the laws and policies govern and include:* • *The clarity of one institution with the responsibility to execute the harmonization of rules and regulations and* • *A mechanism to ensure that harmonization with other regulation takes place before the ratification of a regulation*	
3c	*The existence and comprehensiveness of laws and policies governing on consideration of integrity and expertise in strategic positions in the institutions responsible for forestry and peat lands* *Data Sources:* *Ministry for Administrative and Bureaucratic Reforms, Ministry of Home Affairs, Ministry of Forestry and National Land Agency, Provincial Government Forestry Department and Provincial Land Agency, District Government Forestry Department and District Land Agency.*	*The applied method will look at whether the laws and policies govern and include:* • *The limit of conflict of interest and mechanism to be undertaken by the high ranking officer should there be conflict of interest by making declaration and or signing impartiality,* • *The obligation to conduct revenue report verification with the help of corruption eradication commission,* • *Life style checking,* • *The obligation to create integrity pact,* • *The fulfillment of ethical code and performance contract,* • *The transparency in the process of filling in strategic position, and* • *The assessment by an independent third party.*	
3d	*The existence and comprehensiveness of law and policies governing on implementation of law enforcement in forest and peat land management* *Data Sources:* *Ministry of Forestry, Supreme Court,*	*The applied method will look at whether the laws and policies govern and include:* • *Improvement on case management so that it fills in the gap of abuse of power,* • *Strengthening the monitoring and internal disciplinary system within the law enforcement institution,*	

	National Police, Attorney Office, Corruption Eradication Commission, Ministry of Law and Human Rights and Coordinating Ministry for Legal, Political and Security Affairs, Provincial Government Forestry Department and Provincial Land Agency, High Couth, Regional Police Office, High Attorney Office, District Government Forestry Department and District Land Agency, District Court, District Attorney Office, Resort Police Office.	• *The obligation to build capacity building of law enforcement apparatus in relation to issue sustainable forest and peat moss management,* • *State policy pertaining customary community, as well as the usage of other legal instruments such as tax, corruption, and anti money laundering in eradicating forestry crimes, and* • *The obligation for the effective coordination among law enforcement apparatus in relation to forest and peat moss issues.*	
	Forest Management Implementation Issues		
4a	*The existence and comprehensiveness of law and policies governing on transparency in the forest and peat land management implementation* *Data Sources:* *Ministry of Forestry, Provincial Government Forestry Department, District Government Forestry Department.*	*The applied method will look at whether the laws and policies govern and include:* • *The obligating to ensure the availability of all information in relation to systematic forest management for easy accessibility e.g. all permits issued including company in possession of permits as well as company which receives sub-contract, all tender documents,* • *Payment is made by the company,* • *Other documents in support of management permit such as location permit, recommendation issued by Regional Head, Environmental Impact Analysis, environmental permit, mandatory environmental audit,* • *The obligating the public institution to employ specific officer in handling request of information,* • *The obligating the giving of access to the public either proactively or on request basis,* • *The limit on the information which can be accessed is regulated clearly and based on public interest (balancing public interest test), and* • *Sanctions for those parties who intentionally hamper public's access to information*	
4b	*The existence and comprehensiveness of law and policies governing on meaningful stakeholders involvement in the forest and peat land management* *Data Sources:* *Ministry of Forestry, Provincial Government*	*The applied method will look at whether the laws and policies govern and include:* • *The obligation of public institution to inform through combined methods and in an easily understandable language on the plan of giving permit/conducting tender to all parties holding the rights as*	

	Forestry Department, District Government Forestry Department.	*well as the stakeholders,* • *The obligation of public institution to ensure that there is mechanism which makes it easy for all stakeholders to get involved in the process of decision making,* • *The obligation of public institution to appoint one specific officer in charge of managing public input in the process of giving permit/conducting tender,* • *The obligation of public institution to document every input both written or non-written,* • *The obligation of public institution to provide transparent response for every received input, and* • *The obligation of public institution to provide explanation on the final decision made*	
4c	*The existence and comprehensiveness of law and policies governing on mechanism of granting efficient forest management permits* *Data Sources:* *Ministry of Forestry, Provincial Government Forestry Department, District Government Forestry Department.*	*The applied method will look at whether the laws and policies govern and include:* • *The granting of concession permit is done through open tender process,* • *Rules guaranteeing the integrity of tender process, and* • *Rules which regulate the licensing process from various sectors and different parties continuously, sequentially and clearly, namely the rules of various other sectors which utilize forest area must sequentially and strictly arrange the relation between permit issued by one sector with permit issued by another sector either at central level or regional level*	
4d	*The existence and comprehensiveness of law and policies governing on mechanism of complaint handling in the conflicts of forest and peat land management* *Data Sources:* *Ministry of Forestry, Provincial Government Forestry Department, District Government Forestry Department.*	*The applied method will look at whether the laws and policies govern and include:* • *A mechanism for filling community's complaint which makes it easy for all parties (including competitors) to file complaints and to obtain explanation on the action taken in response to the complaints filed within a clear set time,* • *A mechanism of conflict resolution and dispute settlement through negotiation channel should there be sharp discrepancy in perspective on the issue, and* • *An obligation to employ the service of a mediator with the skill and understanding regarding customary issues*	

	Control and law enforcement issues		
5a	*The existence and comprehensiveness of law and policies governing on transparency of control and law enforcement in forest management* *Data Sources:* *Ministry of Forestry, Provincial Government Forestry Department, District Government Forestry Department.*	*The applied method will look at whether the laws and policies govern and include:* • *The obligation of public institution to inform through combined methods (written and verbal) and with easily understandable language the method and the party to conduct monitoring on the activities in order to clarify to which party can the input be given to,* • *The obligating to the granting of access to the public both proactively or on request basis,* • *Limit on the information which can be accessed is clearly regulated and based on public interest (balancing public interest test), and* • *Sanctions for those parties who intentionally hamper the public access to information*	
5b	*The existence and comprehensiveness of law and policies governing on integrated and participatory supervision in forest management* *Data Sources:* *Ministry of Forestry, Supreme Attorney Office, National Police Office, Corruption Eradication Commission, Provincial Government Forestry Department, Province Attorney Office, Regional Police Office, District Government Forestry Department, District Attorney Office, Resort Attorney Office*	*The applied method will look at whether the laws and policies govern and include:* • *The obligation of public institution to inform through combined methods (written and verbal) and with easily understandable language the method and the party to conduct monitoring on the activities in order to clarify to which party can the input be given to,* • *The obligation of public institution to ensure that there is mechanism which makes it easy for all stakeholders to get involved in the process of monitoring,* • *The obligation of public institution to appoint one specific officer in charge of managing public input in the process of monitoring,* • *The obligation of public institution to document every input either written or non-written, and* • *The obligation of public institution to provide transparent response on every received input*	
5c	*The existence and comprehensiveness of law and policies governing on community capacity building programs to supervise forest and peat lands management* *Data Sources:* *Ministry of Forestry, Supreme Attorney Office, National Police Office, Corruption Eradication Commission, Provincial*	*The applied method will look at whether the laws and policies govern and include:* • *The government to be responsible in building the capacity of customary or local community to participate,* • *Higher level government to build the capacity of lower level government (such as the national government providing training to the provincial /local*	

	Government Forestry Department, Province Attorney Office, Regional Police Office, District Government Forestry Department, District Attorney Office, Resort Attorney Office.	*government and likewise the provincial government to the local government), and* • *easy mechanism for the customary or local community to access the budget of capacity building*	
5d	*The existence and comprehensiveness of law and policies governing on mechanism to responsively follow up fraud/corruption indications* *Data Sources:* *Ministry of Forestry, Supreme Attorney Office, National Police Office, Corruption Eradication Commission, Provincial Government Forestry Department, Province Attorney Office, Regional Police Office, District Government Forestry Department , District Attorney Office, Resort Attorney Office.*	*The applied method will look at whether the laws and policies govern and include:* • *The obligation of public institution to carry out system overhaul based on the recommendation from Indonesia Audit Board and Corruption Eradication Commission*	
5e	*The existence and comprehensiveness of law and policies governing on mechanism of multi-door approach in resolving forestry crimes* *Data Sources:* *Ministry of Forestry, Supreme Attorney Office, National Police Office, Corruption Eradication Commission, Provincial Government Forestry Department, Province Attorney Office, Regional Police Office, District Government Forestry Department, District Attorney Office, Resort Attorney Office.*	*The applied method will look at whether the laws and policies govern and include:* • *A mechanism where corruption act, criminal act, anti money laundering act, tax criminal charges, and environment criminal articles in environment law in forestry and environment cases*	
	REDD+ Infrastructure Issues		
6a	*The existence and comprehensiveness of law and policies governing on transparency in policy development and REDD+ institution* *Data Sources:* *Ministry of Forestry, National Development Planning Agency, REDD+ Taskforce, Provincial Government Forestry Department and Provincial REDD+ Task Force, District Government Forestry Department.*	*The applied method will look at whether the laws and policies govern and include:* • *Ensuring the availability of all information in relation to the process of infrastructure building,* • *Implementation and monitoring of REDD+ for easy accessibility, the giving of access to the public either proactively or on request basis,* • *Limit on accessible information is clearly regulated and based on public interest (balancing public interest test), and* • *sanctions for parties who intentionally hamper the public access to information*	

6b	*The existence and comprehensiveness of law and policies governing on formulation of policies and REDD+ institution which are objective and transparent* *Data Sources:* *Ministry of Forestry, National Development Planning Agency, REDD+ Taskforce, District Government Forestry Department.*	*The applied method will look at whether the laws and policies govern and include:* • *The obligation of public institution to inform through combined methods and easily understandable language on the plan of drafting regulation/policy related to REDD+ to all parties holding the rights as well as stakeholders,* • *The obligation of Public institution to ensure that there is mechanism which makes it easy for all stakeholders to get involved in the process of decision making,* • *The obligation of public institution to document every input both written or non-written, the obligation of Public Institution to provide transparent response on every received input (feedback method),* • *The obligation of public institution to provide explanation on the final decision made, and* • *The obligation to complete the whole participation process within sufficient time (minimum 90 working days)*	
6c	*The existence and comprehensiveness of law and policies governing on complaints handling mechanism in the process of REDD+ policy development and REDD+ institution* *Data Sources:* *Ministry of Forestry, National Development Planning Agency, REDD+ Taskforce, Provincial Government Forestry Department and Provincial REDD+ Task Force, District Government Forestry Department.*	*The applied method will look at whether the laws and policies govern and include:* • *A mechanism for community to file complaints which makes it easy for all parties (including competitors) to express complaints and to receive explanation on the action taken toward complaints filed within clear period of time,* • *Conflict resolution mechanism and dispute settlement through negotiation channel when there is sharp different in perception on an issue, and* • *The obligation to employ the service of a mediator with the expertise and understanding on the issues of custom*	
6d	*The existence and comprehensiveness of law and policies governing on capacity building programs of the government officials and the communities in the preparation of REDD+ policy development and REDD+ institution* *Data Sources:* *Ministry of Forestry, National Development Planning Agency, REDD+ Taskforce, Provincial Government Forestry Department and Provincial REDD+ Task*	*The applied method will look at whether the laws and policies govern and include:* • *The government to be responsible for building the capacity of customary/local community in understanding REDD+ as well as existing policy alternatives,* • *The higher level government to build the capacity of lower level government (such as the national government providing training for the provincial or local government and likewise provincial government to local government) in*	

	Force, District Government Forestry Department.	*understanding REDD+ as well as other policy alternatives, and* • *Easy mechanism for the customary or local community to access the budget of capacity building,*	
6e	*The existence and comprehensiveness of law and policies on mechanism to responsively follow up the findings of fraud or corruption indications from REDD+ activities* *Data Sources:* *Ministry of Forestry, National Development Planning Agency, REDD+ Taskforce, National Police Office, Corruption Eradication Commission, Provincial Government Forestry Department and Provincial REDD+ Task Force, Regional Police Office, District Government Forestry Department, Resort Police Office.*	*The applied method will look at whether the laws and policies govern and include:* • *The obligation of public Institution to carry out system overhaul based on the recommendation from Indonesia Audit Board and Corruption Eradication Commission*	
6f	*The existence and comprehensiveness of law and policies governing on complaints handling mechanism in conflicts related to REDD+ activities* *Data Sources:* *Ministry of Forestry, National Development Planning Agency, REDD+ Taskforce, Provincial Government Forestry Department and Provincial REDD+ Task Force, District Government Forestry Department.*	*The applied method will look at whether the laws and policies govern and include:* • *A mechanism for community to file complaints which makes it easy for all parties (including competitors) to express complaints and to receive explanation on the action taken toward complaints filed within clear period of time,* • *Conflict resolution mechanism and dispute settlement through negotiation channel when there is sharp different in perception on an issue, and* • *The obligation to employ the service of a mediator with the expertise and understanding on the issues of custom*	
	Component 2: Actors' Capacity-State Agencies including government, parliament, law enforcement agencies and commissions		
	Forest planning and regional spatial planning issue		
1a	*The number of personnel who own sufficient qualification in carrying out regional planning* *Data Sources:* *Ministry of Forestry, National Development Planning Agency, Ministry of Public Work, Ministry of Home Affairs, National Land Agency, National Spatial Planning Coordination Board, Provincial Development Planning Agency, Provincial*	*This applied method will examine the following data items:* • *Formal educational background* • *Length of work experience as a planner and* • *Regional planning certificates*	*The applied method will solicit information based on the following questions:* • *What do you think about the formal education background of the personnel assigned to the Planning Units?* • *What is your opinion on the period of time as the planner of the personnel assigned is to the Planning Units?*

	Government Provincial Forestry Department, Provincial Government Public Work Department, District Development Planning Agency, District Government Forestry Department, District Government.		• *Do the personnel assigned to the Planning Units own regional planning certificates?*
1b	*The number of personnel with qualifications in the Planning Units to implement the status (state /non-state forests) and function of forests (production /non- production forests)* *Data Sources:* *Ministry of Forestry, National Development Planning Agency, National Spatial Planning Coordination Board, Development Planning Agency, Provincial Government Provincial Forestry Department, District Development Planning Agency, District Government Forestry Department.*	*This applied method will examine the following data items:* • *Formal educational background* • *Length of work experience as a planner* • *Forestry planning certificate*	*The applied method will solicit information based on the following questions:* • *What do you think about formal education background of the personnel is assigned to the Planning Units?* • *What is your opinion on the period of time as the planner of the personnel is assigned to the Planning Units?* • *Do the personnel assigned to the Planning Units own regional planning certificates?*
1c	*The amount of funds allocated to develop the process for participatory spatial planning* *Data Sources:* *Ministry of Forestry, National Development Planning Agency, Ministry of Public Work, Ministry of Home Affairs, National Land Agency, National Spatial Planning Coordination Board, Provincial Development Planning Agency, Provincial Government Provincial Forestry Department, Provincial Government Public Work Department, District Development Planning Agency, District Government Forestry Department, District Government.*	*This applied method will examine the following data items:* • *The amount of funds allocated in the budget allocation list to prepare the spatial/forestry planning process in a participatory manner*	
1d	*Standard Operating Procedure (SOP) to resolve forest area planning conflicts withinn the forestry agencies* *Data Sources:* *Ministry of Forestry-Directorate of Forest Area Planning, Provincial Forestry Department -Forest Protection Unit, District Government Forestry Department - Forest Protection Unit.*	*The method will look at whether* • *The SOP regulates clear jobs description* • *Organization structure* • *Implementation phases to solve the disputes* • *People involvement* • *Decision making mechanisms* • *Time bond* • *Information mechanisms on process and results*	*The applied method will solicit information based on the following questions:* • *What do you think of the job description in SOP to resolve forest area planning conflicts?* • *What do you think of the organization structure in SOP to resolve forest area planning conflicts?* • *What do you think of the implementation phases to solve the disputes in the SOP?* • *What do you think ofthe community involvement in the SOP?*

			• *What do you think ofthe time allocation in the SOP?* • *What do you think of the information mechanism on process and results in the SOP?*
1e	*Number of legislators who advocate regional planning based on sustainable forest management and access to justice for community forest management?* *Data Sources:* *Key resource person-members of the Parliament* *Resource persons for cross check:* *Journalist, CSOs, Ministry of Public Work and Ministry of Forestry* ***Province:*** *key resource person-provincial parliament members* ***Resource persons for cross check:*** *Journalists, CSOs, Public Work Department and Forestry Department* ***District:*** *key resource person- District parliament members* *Resource persons for cross check:* *Journalist, CSOs, Public Work Department and Forestry Department*		*The applied method will solicit information based on the following questions:* • *How many legislators are advocating regional planning based on sustainable forest management and access to justice for community forest management?*
	Tenure Arrangement Issues		
2a	*The number of personnel with qualification in the unit to administer indigenous peoples, local communities and business rights in Ministry of Forestry or Sub national Forestry Department.* *Data Sources:* *Ministry of Forestry, Provincial Forestry Department, District Government Forestry Department.*	*This applied method will examine the following data items:* • *Formal educational background,* • *Length of work experience, and* • *Training certificate for administering indigenous peoples, local communities and business rights*	*The applied method will solicit information based on the following questions:* • *What do you think of the formal education background of the personnel assigned to the administration unit for indigenous peoples, local communities and business rights?* • *What is your opinion that the length of experience as the administrators of indigenous peoples, local communities and business rights assigned to the Planning Units have?* • *What is your opinion on the personnel assigned to the*

			indigenous peoples, local communities and business rights own training certificates?
2b	*The amount of funds allocated to administer the rights of communities and businesses in the units that administer the rights of communities and businesses in the Ministry of Forestry and Sub National Forestry Department* *Data Sources:* *Ministry of Forestry, Provincial Forestry Department, District Government Forestry Department.*	*This applied method will examine the following data items:* • *The amount of funds allocated in the Budget Allocation List to administer the rights of the people and business communities in the units which administer the business communities' rights*	*The applied method will solicit information based on the following questions:* • *How much funds have been allocated for the administration components of the rights of people and businesses allocated in the Budget Allocation List?*
2c	*Mechanism for cooperation among the units that administer the rights of the peoples and business communities within the forest areas with indigenous peoples and business associations* *Data Sources:* *Ministry of Forestry, Provincial Forestry Department, District Government Forestry Department.*	*This applied method will examine the following data items:* • *Division of duties and responsibilities of each party, and stages of cooperation implementation,* • *Decision-making process, and* • *Timetable for the joint efforts, and mechanism of reporting the results of cooperation implementation*	*The applied method will solicit info based on the following questions:* • *What is your opinion on the division of duties and responsibilities of each party in the mechanism for cooperation among the units?* • *What do you think of the cooperation execution stages in the cooperation mechanism among units?* • *What do you think of the decision making mechanism for cooperation among the units?* • *What do you think of the timetable for the joint efforts in the mechanism of cooperation among the units?* • *What do you think of the mechanism to report the results of cooperation between among units?*
2d	*The number of personnel with qualifications in the unit which handle forest related conflicts in forestry agencies* *Data Sources:* *Ministry of Forestry, Provincial Forestry Department, District Government Forestry Department*	*This applied method will examine the following data items:* • *Formal educational background,* • *Length of work experience as mediator, and* • *Training certificate for mediator*	*The applied method will solicit info based on the following questions:* • *What do you think of the formal education background of the personnel assigned to the unit which handle forest related conflicts in forestry agencies?* • *What is your opinion that the length of experience as the mediator assigned to the units which handle forest related conflicts in forestry agencies have?*

			• *What is your opinion on the personnel assigned to the unit which handle forest related conflicts in forestry agencies own mediator certificates?*
2e	*The amount of funds allocated in the Budget Allocation List to resolve the conflict within the Forestry Agencies* *Data Sources:* *Ministry of Forestry, Provincial Forestry Department, District Government Forestry Department.*	*This applied method will examine the following data items:* • *The amount of funds allocated in the Budget Allocation List to resolve the conflict within the Forestry Agencies*	*The applied method will solicit information based on the following questions:* • *How much funds have been allocated in the Budget Allocation List to resolve conflicts within the Forestry Agency?*
	Forest Organization Issues		
3a	*The number of personnel that own technical qualification and skills to facilitate the parties in forest and peatland management units (FMUs)* *Data Sources:* *Ministry of Forestry, Provincial Forestry Department, District Government Forestry Department.*	*This applied method will examine the following data items:* • *Own at least a bachelor degree in forestry or related discipline* • *Has received training to become a facilitator, and* • *Has some work experience in facilitating the participation process of the parties in forest management*	*The applied method will solicit information based on the following questions:* • *Do the personnel assigned to the forest and peatland management units (FMUs) have at least bachelor's degrees in forestry or related disciplines?* • *Have the personnel assigned to the forest and peatland management units (FMUs) received any facilitator training?* • *Do the personnel assigned to the forest and peatland management units (FMUs) have some experience in facilitating the process of stakeholder participation in forest management?*
3b	*The amount of funds allocated by the forest and peatland management units (FMUs) to manage the forest areas together with the communities* *Data Sources:* *Ministry of Forestry, Provincial Forestry Department, District Government Forestry Department.*	*This applied method will examine the following data items:* • *The amount of funds allocated by the forest and peatland management units (FMUs) to manage the forest areas together with the community*	*The applied method will solicit information based on the following questions:* • *How much funds have been allocated by the forest and peatland management units to manage the forest areas together with the communities?*
	Forest Management Implementation Issues		
4a	*The amount of forest areas allocated for indigenous peoples and local communities*	*This applied method will examine the following data items:* • *The amount of forest area allocated*	*The applied method will solicit info based on the following questions:* • *How much forest areas*

	Data Sources: *Ministry of Forestry, Provincial Forestry Department, District Government Forestry Department.*	*for indigenous peoples and local communities*	*have been allocated by forestry agencies for indigenous peoples and local communities?*
4b	*Number of Forest Management Units already set up and that are operational in provinces or districts* *Data Sources:* *Ministry of Forestry, Provincial Forestry Department, District Government Forestry Department.*	*This applied method will examine the following data items:* • *Number of Forest Management Units already set up and that are operational in provinces/ districts*	*The applied method will solicit information based on the following questions:* • *How many do Forest Management Units are already set up and are operational in provinces/ districts?*
4c	*Level of understanding of the permit issuers that the permit granting mechanism aims at controlling and regulating forests* *Data Sources:* *Ministry of Forestry, Provincial Forestry Department, District Government Forestry Department.*		*The applied method will solicit info based on the following questions:* • *What are the arguments of issuing forest permits?*
	Forest Control and Enforcement Issues		
5a	*The number of Forest Management Units (FMUs) that apply internal control systems (referring to Decree of the Forestry Ministry)* *Data Sources:* *Head of FMU, Head of FMU.*	*This applied method will examine the following data items:* • *The performance of FMUs in applying internal control system and their working mechanism that applies internal control systems that already adopts the principles of good governance*	*The applied method will solicit information based on the following questions:* • *What is your opinion on FMUs performance in implementing the internal control systems?* • *Has the FMU working mechanism, which applies internal control system, adopted the principles of good governance?*
5b	*The adequate number of police officers and own sufficient qualifications in forestry and environment* *Data Sources:* *National Police Office, Regional Police Office, Resort Police Office.*	*This applied method will examine the following data items:* • *Certificates or proofs of training attendance and* • *Field work experience related to forestry and environmental offenses*	*The applied method will solicit info based on the following questions:* • *Is there a sufficient number of police officers with sufficient qualification in the field of forestry and the environment?* • *Do the police officers, that are handling forestry and environment offenses, own certificates or proofs of training attendance?* • *Do the police officers handling forestry and environment offenses have sufficient work experience?*

5c	*Sufficient number of prosecutors and own adequate qualifications in forestry and environment* *Data Sources:* *National Prosecutor Office, High Prosecutor Office, Low Prosecutor Office.*	*This applied method will examine the following data items:* • *Sufficient number of prosecutors and own adequate qualifications in forestry and the environment,* • *Certificates or proofs training attendance, and* • *Work experience in the fields related to forestry and environmental offenses*	*The applied method will solicit info based on the following questions:* • *Is there sufficient number of prosecutors with adequate qualification in forestry and the environment?* • *Do the prosecutors in charge of forest and environment law enforcement own certificates or proofs of training attendance?* • *Do the attorney officers prosecuting forestry and environment offenses have sufficient work experience?*
5d	*Sufficient number of judges and have adequate qualifications in forestry and environment* *Data Sources:* *Supreme Court, High Court Office, Low Court Office.*	*This applied method will examine the following data items:* • *The number of judges that have adequate qualifications in forestry and environment,* • *certificates/proofs training attendance, and* • *work experience in the fields related to forestry and environmental offenses*	*The applied method will solicit info based on the following questions:* • *Is there a sufficient number of judges with forestry and environment qualification?* • *Do the judges in charge of the forest and environment law enforcement own certificates or proofs of training attendance?* • *Do the judges prosecuting forestry and environment offenses have sufficient work experience?*
5e	*The number of criminal cases exposure on forest and environment done by police office in the five years* *Data Sources:* *Regional Police Office, Resort Police Office*	*This applied method will examine the following data items:* • *The number of criminal cases exposure on forest and environment done by the police office in the last five years*	*The applied method will solicit information based on the following questions:* *How many criminal cases exposure on forest and environment done by police office in the last five years?*
	REDD+ Infrastructure Issues		
6a	*The existence of REDD+ institutions* *Data Sources:* *The Presidential REDD+ Task Force, Forestry Department, Forestry Department.*	*This applied method will examine the following data items:* • *The presence or absence of REDD+ institutions at the national and sub national level and* • *Support to the regulations on the existence of REDD+ at the national and sub-national level*	*The applied method will solicit info based on the following questions:* • *Are there REDD+ institutions at the sub-national level?* • *Are there sufficient supporting regulations on REDD+ institutions?*
	The existence of MRV (Measurable, Reportable, Verifiable) institutions *Data Sources:* *The Presidential REDD+ Task Force, Head of Forestry Department, Head of Forestry Department.*	*This applied method will examine the following data items:* • *The presence or absence of MRV institutions at the national and sub national level and Support to the regulations on the existence of MRV institutions at the national and sub-national level*	*The applied method will solicit info based on the following questions:* • *Are there MRV institutions at the sub-national level?* • *Are there sufficient supporting regulations on MRV institutions?*

6c	*The existence of financial institutions* *Data Sources:* *The Presidential REDD+ Task Force, Head of Forestry Department, Head of Forestry Department.*	*This applied method will examine the following data items:* • *The presence or absence of financial institutions at national and sub national level and* • *Supporting regulations on the existence of financial institutions at the national and sub-national level*	*The applied method will solicit info based on the following questions:* • *Are there financial institutions in the sub-national level?* • *Are there sufficient supporting regulations on financial institutions?*
6d	*Sufficient number of personnel with qualification in REDD+ Working Group* *Data Sources:* *The Presidential REDD+ Task Force, Head of Forestry Department, Head of Forestry Department.*	*This applied method will examine the following data items:* • *Certificates/proofs of training attendance in forest and environment management,* • *Work experience in forest and environmental management*	*The applied method will solicit information based on the following questions:* • *Is there a sufficient number of personnel with enough qualification in forest and environment management at the national and sub-national level?* • *Do the personnel own certificates or proofs of training attendance in forestry and environment management?* • *Do the personnel in charge of forest and environment management have sufficient work experience?*
6e	*The amount of funds allocated for the participatory development of REDD+ infrastructure* *Data Sources:* *The Presidential REDD+ Task Force, Ministry of Forestry, National Climate Change Council, Head of Forestry Department, Head of Forestry Department.*	*This applied method will examine the following data items:* • *The amount of funds allocated for the participatory development of REDD+ infrastructure*	*The applied method will solicit information based on the following questions:* • *How much funds have been allocated to develop participatory REDD+ infrastructure development?*
6f	*Availability of REDD+ Safeguards* *Data Sources:* *The Presidential REDD+ Task Force, Ministry of Forestry, National Climate Change Council, Head of Forestry Department, Head of Forestry Department.*	*This applied method will examine the following data items:* • *The presence or absence of REDD+ safeguard and* • *supporting regulations on the REDD+ safeguard*	*The applied method will solicit information based on the following questions:* • *Is there a safety framework at national and sub-national level?* • *Are there sufficient supporting regulations on the security framework?*
6g	*The sufficient number of personnel with qualification to work in REDD+ institutions to mediate conflicts as a result of the REDD+ benefit distribution* *Data Sources:* *The Presidential REDD+ Task Force, Head*	*This applied method will examine the following data items:* • *Certificates/proofs training attendance in mediating conflicts of REDD+ profit sharing and* • *work experience in mediating conflicts of REDD+ profit sharing*	*The applied method will solicit information based on the following questions:* • *Is there a sufficient number of personnel with enough qualifications to mediate conflicts of REDD+ benefit distribution at the national and*

	of Forestry Department, Head of Forestry Department.		*sub-national level?* • *Do the personnel own certificates or proofs of training attendance in the conflicts of REDD+ benefit distribution?* • *Do the personnel in charge of mediating the conflict of REDD+ benefit distribution have sufficient work experience?*
	Component 3: Actors' Capacity-Civil Society Organizations, Academicians and Journalist		
	Regional spatial and forest planning		
1a	*Number of NGO activists who actively provide inputs for regional spatial and forest planning* *Data Sources:* *National Environmental NGOs based in Jakarta, Provincial Environmental NGOs based in the capital city of province, District Environmental NGOs based in the capital city of district.*	*This applied method will examine the following data items:* • *The materials presented by NGO activists in the meetings which discuss regional and forestry planning,*	*The applied method will solicit info based on the following questions:* • *Is there a sufficient number of NGO activists who eagerly provide inputs on the regional spatial and forestry planning?* • *Are the materials presented by NGO activists in meetings that discussing regional spatial and forestry planning adequate?*
1b	*Number of academicians that actively provide input for regional and forest planning* *Data Sources:* *Academics based in the capital city of province, Academics based in the district city of province,*	*This applied method will examine the following data items:* • *The materials presented by the academics in the meetings which discuss regional and forestry planning*	*The applied method will solicit info based on the following questions:* • *Is there sufficient number of academicians that eagerly provide inputs in the regional and forestry planning?* • *Are the materials presented by the academicians in meetings that discuss regional and forestry planning adequate?*
1c	*The number of civil community groups who show to the public the procedural irregularities and potential losses of the people due to the consistent regional and forest planning.* *Data Sources:* *National environmental or anti-corruption NGOs based in Jakarta, Provincial environmental or anti-corruption NGOs based in the capital city of province, District environmental or anti-corruption NGOs based in the capital city of district.*		*The applied method will solicit information based on the following questions:* • *Is there a sufficient number of civil society groups that show to the public the procedural irregularities and potential losses due to consistent regional and forestry planning?* • *Do the civil society groups, which indicate procedural irregularities and potential loss as a result of regional and forestry planning, have adequate competence?*

1d	*Number of NGO activists/NGO networks which assist the communities in doing community forest mapping* *Data Sources:* *National environmental NGOs based in Jakarta but have work at sub-national level, Provincial Environmental NGOs based in the capital city of province, District Environmental NGOs based in the capital city of district.*	*This applied method will examine the following data items:* • *NGOs annual report*	*The applied method will solicit info based on the following questions:* • *Are there any NGOs that assist the communities in doing their forestry area mapping?* • *Do the activists, NGOs/NGO networks, which assist the community in mapping out the territories, have adequate competence?*
1e	*Sources of funds used by NGOs/NGO networks which assist the communities in doing community forest mapping* *Data Sources:* *National environmental NGOs based in Jakarta but are active at sub national level, Provincial Environmental NGOs based in the capital city of province, District Environmental NGOs based in the capital city of district.*	*This applied method will examine the following data items:* • *NGOs annual reports*	*The applied method will solicit info based on the following questions:* • *Is there sufficient funding sources used by NGOs/ NGO networks to assist the communities in mapping out the forest area?*
1f	*The mechanism to report the results or process of the participation involvement to civil society organizations, communities assisted and the public* *Data Sources:* *National environmental NGOS based in Jakarta but are active at sub national level, Provincial environmental NGOs based in the capital city of province, District environmental NGOs based in the capital city of district.*	*This applied method will examine the following data items:* • *Procedures for presenting the participation result or the participation process,* • *Standardization of report contents or participation process* • *Forums to present the participation results or processes,* • *Selection of participants to the forum to convey participation results or processes, and* • *Mechanism to give inputs from the forum participants*	*The applied method will solicit info based on the following questions:* • *Has the reporting mechanism, which reports the participation results or process, addressed the procedure of presenting the participation result or process?* • *Does the mechanism for reporting the participation results or process address the standardization of the report contents or participation process?* • *Does the mechanism for reporting the participation results or process address the forum for presenting the participation results or process?* • *Does the mechanism for reporting the participation results or process address the selection of the participants to the forum for presenting the participation results or process?* • *Does the mechanism for reporting the participation results or process address the mechanism for presenting the inputs from the forum participants?*

	Tenure Arrangement Issues		
2a	*Number of NGO activists that own the legal drafting skills pertaining to the rights of indigenous/local communities to forests* *Data Sources:* *National environmental NGOs based in Jakarta, Provincial environmental NGOs based in the capital city of province, District environmental NGOs based in the capital city of district.*	*This applied method will examine the following data items:* • *Proof of participation in the legal drafting training and* • *Length of work or experience as a legal drafter*	*The applied method will solicit info based on the following questions:* • *Is there sufficient number NGO activists that are competent in legal drafting pertaining to the indigenous peoples?* • *Do the NGO activists, who are competent in legal drafting associated with the indigenous peoples, own the evidence of participation in legal drafting training?* • *How much of work experience do NGO activists have on legal drafting?*
2b	*Number of academicians that own the legal drafting skills pertaining to the rights of indigenous/local communities to forests* *Data Sources:* *Dean of Faculty of Law based in the capital city of province, Dean of Faculty of Law based in the capital city of district.*	*This applied method will examine the following data items:* • *Proof of participation in the legal drafting training* • *Length of work or experience as a legal drafter*	*The applied method will solicit info based on the following questions:* • *Is there sufficient number academics competent in legal drafting pertaining to the indigenous peoples?* • *Do the academics, which are competent in legal drafting associated with the indigenous peoples, own the evidence of participation in legal drafting training?* • *How much of work experience do the academics have on legal drafting?*
2c	*The number of NGOs/NGO networks that own the programs to monitor the arrangement of the rights of the indigenous peoples to forests* *Data Sources:* *National environmental or anti-corruption NGOs based in Jakarta, Provincial environmental or anti-corruption NGOs based in the capital city of province, District Environmental or anti-corruption NGOs based in the capital city of district.*	*This applied method will examine the following data items:* • *Annual report*	*The applied method will solicit information based on the following questions:* • *Is there a sufficient number of NGOs/NGO network which monitor how the rights of the indigenous peoples to the forests are granted?*
2d	*Code of ethics that are applied by NGOs/ NGO networks in monitoring the rights of indigenous communitiesto forests* *Data Sources:* *National environmental NGOs based in Jakarta, Provincial environmental NGOs based in the capital city of province,*	*This applied method will examine the following data items:* • *Code of conducts*	*The applied method will solicit information based on the following questions:* • *Have the codes of conduct applied by NGOs/NGO networks to carry out monitoring already incorporated the principles of good*

	environmental NGOs based in the capital city of district.		*governance (6 principles)?* • *What is your opinion on the credibility of the codes of conduct applied by the NGOs/ NGO networks in doing the monitoring?*
2e	*Number of civil society groups that point out to the public the procedural irregularities and potential losses both due and not due to the issues of rights to forests and lands* *Data Sources:* *National environmental NGOs based in Jakarta, Provincial environmental NGOs based in the capital city of province, District environmental NGOs based in the capital city of district.*		*The applied method will solicit information based on the following questions:* • *Is there a sufficient number of civil society groups that show to the public the procedural irregularities and potential losses due to the issues of rights to forests and lands?* • *Do the civil society groups, who indicate procedural irregularities and potential loss as a result of to the issues of rights to forests and lands, have adequate competence?*
	Forest Organization Issues		
3a	*The number of NGOs that have capacity building programs for their members/ staff to monitor the forest and peatland management* *Data Sources:* *National environmental NGOs based in Jakarta, Provincial environmental NGOs based in the capital city of province, District environmental NGOs based in the capital city of district*	*This applied method will examine the following data items:* • *Annual work plans and* • *Annual reports*	*The applied method will solicit information based on the following questions:* • *Is there a sufficient number NGOs with the capacity building programs for their members/ staff to monitor forest and peatland management?*
3b	*The mechanism to select NGO representatives to multi party forums/ institutions* *Data Sources:* *National environmental NGOs based in Jakarta, Provincial environmental NGOs based in the capital city of province, District environmental NGOs based in the capital city of district.*	*This applied method will examine the following data items:* • *Internal mechanisms*	*The applied method will solicit info based on the following questions:* • *Are the considerations used in selecting representatives (such as expertise and gender representation) of NGOs to the multi stakeholders' institutions adequate?* • *Is the mechanism for selecting NGO representatives to the multi-party institutions/forums adequate?* • *Are there sufficient forums to select NGOs' representatives to the multi stakeholder institutions/forums?*

3c	*The number of advocacy initiatives to eradicate corruption in the forestry sector by environmental activists, NGOs or NGO anti-corruption activists* *Data Sources:* *National environmental/Anti-corruption NGOs based in Jakarta, Provincial environmental/Anti-Corruption NGOs based in the capital city of province, District environmental/Anti-corruption NGOs based in the capital city of district.*	*This applied method will examine the following data items:* • *Work plans and* • *Annual reports*	*The applied method will solicit info based on the following questions:* *Is there a sufficient number of advocacy initiatives to eradicate corruption in all forestry sectors by NGO environmental activists or anti-corruption NGO activists?*
	Forest Management Implementation Issues		
4a	*The number of NGOs which monitor the granting of permits/licenses in the forest areas and management of conservation areas* *Data Sources:* *National Environmental NGOs based in Jakarta, Provincial Environmental NGOs based in the capital city of province, District Environmental NGOs based in the capital city of district.*	*This applied method will examine the following data items:* • *Work plan and Reports of Activities and* • *Media clippings*	*The applied method will solicit info based on the following questions:* • *Is there a sufficient number NGOs monitoring the permit/ license giving within forest zones and management of forest protected areas?*
4b	*The level of knowledge about NGO activists that monitor the principles and procedures for granting permits/licenses and conservation area management* *Data Sources:* *National environmental NGOs based in Jakarta, Provincial environmental NGOs based in the capital city of province, District environmental NGOs based in the capital city of district.*	*This applied method will examine the following data items:* • *Proofs of attending training on monitoring*	*The applied method will solicit info based on the following questions:* • *Is the understanding of NGO activists of the principles and procedure for granting licenses/ permits for conservation area management adequate?* • *Are there adequate strategies for monitoring the principles and procedure for granting licenses/permits and the management of conservation areas?* • *Are there sufficient proofs of participation, in the monitoring training owned by NGO activists?*
4c	*The number of NGOs that actively build the capacity of the indigenous communities to manage forests* *Data Sources:* *National environmental NGOs based in Jakarta, Provincial environmental NGOs based in the capital city of province, District*	*This applied method will examine the following data items:* • *NGOs' annual reports and* • *Work plan*	*The applied method will solicit information based on the following questions:* • *Is there a sufficient number of NGOs that build the capacity of the indigenous communities to manage the forests?* • *Is the implementation of capacity building for indigenous*

	environmental NGOs based in the capital city of district.		*communities in forest management adequate?*
	Control and law enforcement		
5a	*The number of NGOs that accept public complaints concerning forest issues*	*This applied method will examine the following data items:* • *Standard Operating Procedure (SOP)for accepting complaints covering issues on corruption & forest crimes, planning, duties and, responsibilities for forest and peatland, and* • *Special staff assigned to accept complaints*	*The applied method will solicit information based on the following questions:* • *How many public complaints are accepted by NGOs?* • *Do the public complaints include the following issues: Corruption & forest crimes, planning, duties, and responsibilities for forest and peatland management?* • *Is the SOP accepting complaints adequate?* • *Is there a sufficient number of staff assigned to accept complaints?*
	Component 4: Actors' Capacity - Indigenous Peoples and Local Communities		
	Regional spatial and forestry planning issues		
1a	*The number of indigenous peoples community activists that strive indigenous peoples' community rights with solid data in regional spatial and forestry planning* *Data Sources:* *Archipelago Indigenous Peoples' Alliance/ AMAN, peasant associations, local community organizations, Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations, Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations.*	*This applied method will examine the following data items:* • *Inputs given to regional spatial and forestry planning attended by IP and local community activists*	*The applied method will solicit information based on the following questions:* • *Are the number of indigenous peoples and local community activists that strive for indigenous peoples and local community rights with solid data in regional spatial and forestry planning adequate?*
1b	*The knowledge level of IPs and local community that participate in regional spatial and forestry planning forum on regional spatial and forestry planning issues* *Data Sources:* *Archipelago Indigenous Peoples' Alliance/ AMAN, peasant associations, local community organizations, Archipelago Indigenous Peoples' Alliance/AMAN*		*The applied method will solicit information based on the following questions:* • *Do indigenous peoples know the difference between protected areas with the production area?* • *Do indigenous peoples know their area in forest status or regional spatial status?*

	chapter, peasant associations, local community organizations, Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations.		
1c	*IP and local community internal mechanism to select representative in attending a meeting on regional spatial and forestry planning* *Data Sources:* *Archipelago Indigenous Peoples' Alliance/ AMAN, peasant associations, local community organizations, Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations, Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations.*	*This applied method will examine the following data items:* • *The considerations of selecting representative for attending regional spatial and forestry planning,* • *How to select the representative, and* • *Forums to select the representative*	*The applied method will solicit information based on the following questions:* • *Are the considerations used in selecting representatives (such as expertise and gender representation) of indigenous peoples and local communities to the multi stakeholders' institutions adequate?* • *Is the mechanism for selecting indigenous peoples and local community representatives to the multi-party institutions/ forums adequate?* • *Are there sufficient forums to select indigenous peoples and local community representatives to the multi stakeholder institutions/forums?*
1d	*The mechanism to report the result or process of the participation involvement to IP and local community organization* *Data Sources:* *Archipelago Indigenous Peoples' Alliance/ AMAN, peasant associations, local community organizations, Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations, Archipelago Indigenous Peoples' Alliance/ AMAN chapter, peasant associations, local community organizations.*	*The applied method will examine the following data items:* • *Procedures for presenting the participation result or the participation process,* • *Standardization of report contents or participation process,* • *Forum to present the participation results or process,* • *Selection of participants to the forum to convey participation results or process, and* • *Mechanism to give inputs from the forum participants*	*The applied method will solicit info based on the following questions:* • *Has the reporting mechanism, which reports the participation results or process, addressed the procedure of presenting the participation results or processes?* • *Does the mechanism for reporting the participation result or process address the standardization of the report contents or participation process?* • *Does the mechanism for reporting the participation results or process address the forum for presenting the participation results or processes?* • *Does the mechanism for reporting the participation results or process address the selection of the participants to the forum for presenting the participation results or processes?*

			• *Does the mechanism for reporting the participation results or process address the mechanism for presenting the inputs from the forum participants?*
	Tenure rights arrangements		
2a	*The number of indigenous peoples and local community activists who are active in striving indigenous peoples and local community rights in managing their forest* *Data Sources:* *Archipelago Indigenous Peoples' Alliance/ AMAN, peasant associations, local community organizations, Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations, Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations.*		*The applied method will solicit information based on the following questions:* • *Are the number of Indigenous Peoples and local community activists who are active in striving Indigenous Peoples and local community rights in managing their forest adequate?*
2b	*The number of internal regulations which arrange land use and forest zonation traditionally* *Data Sources:* *Archipelago Indigenous Peoples' Alliance/ AMAN, peasant associations, local community organizations, Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations, Archipelago Indigenous Peoples' Alliance/ AMAN chapter, peasant associations, local community organizations.*	*The applied method will examine the following data items:* • *Written and unwritten internal rule,* • *The rule clearly arranges about do and do not do, and* • *Sanctions to the rule breakers*	*The applied method will solicit information based on the following questions:* • *Are the internal regulation written or unwritten?* • *Does the rule clearly regulate what communities can do and cannot do regarding land use arrangement and forest zonation?* • *Are there sanctions to the rule breakers?*
	Forest Organization Issues		
3a	*The mechanism to select indigenous peoples and or local community representatives to multi-party forums/ institutions* *Data Sources:* *Archipelago Indigenous Peoples' Alliance/ AMAN, peasant associations, local community organizations, Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations, Archipelago Indigenous Peoples' Alliance/AMAN*	*This applied method will examine the following data items:* • *Internal mechanisms*	*The applied method will solicit information based on the following questions:* • *Are the considerations used in selecting representatives (such as expertise and gender representation) of IPs/local communities to the multi-stakeholders' institutions adequate?* • *Is the mechanism for selecting Indigenous Peoples/local community representatives*

	chapter, peasant associations, local community organizations.		*to the multi-party institutions/ forums adequate?* • *Are there sufficient forums to select Indigenous Peoples/local community representatives to the multi stakeholder institutions/forums?*
	Forest Management Implementation Issues		
4a	*The number of initiatives and partnership which build sustainable forest management model* *Data Sources:* *Archipelago Indigenous Peoples' Alliance/ AMAN, peasant associations, local community organizations, Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations, Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations.*	*This applied method will examine the following data items:* • *Forest initiatives and partnership*	*The applied method will solicit information based on the following questions:* • *Are the number of initiatives and partnership which build sustainable forest management model adequate?*
	Forest control and enforcement issues		
5a	*The number of Indigenous Peoples and local community who do monitoring on forest utilization by government, business entity, and non-government organization* *Data Sources:* *Archipelago Indigenous Peoples' Alliance/ AMAN, peasant associations, local community organizations, Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations, Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations.*	*This applied method will examine the following data items:* • *The number of complaints from IPs and local community filed to government, business entity, and non-government organizations,* • *Standard Operating Procedure for monitoring,* • *The scope of monitoring issues, and* • *A special staff who are assigned to conduct investigations*	*The applied method will solicit information based on the following questions:* • *Are the number of IPs and local community that do monitoring on forest utilization by government, business entity, and non-government organization adequate?* • *Does the complaint post cover the following issues e.g. corruption, regional spatial and forestry planning, forest tenure, forest organization, forest management implementation etc.?* • *Is the SOP for monitoring adequate?* • *Is the assigned staff adequate?*
5b	*The internal control mechanism in Indigenous Peoples/local community organizations to implement forest utilization according to Sustainable Forest Management principles*	*The applied method will examine the following data items:* • *Written and unwritten internal rules,* • *If the rule clearly arranges about how to do and not to do, and* • *Sanctions to the rule breakers*	*The applied method will solicit information based on the following questions:* • *Are the internal regulation written or unwritten?* • *Does the rule clearly regulate*

	Data Sources: *Archipelago Indigenous Peoples' Alliance/ AMAN, peasant associations, local community organizations, Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations, Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations.*		*what communities can do and cannot do regarding land use arrangement and forest zonation?* • *Are there sanctions to the rule breakers?*
	REDD+ infrastructure issues		
6a	*The participation level of the indigenous peoples in REDD+ task forces set up by the central and local governments* *Data Sources:* *Archipelago Indigenous Peoples' Alliance/ AMAN, peasant associations, local community organizations, Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations, AMAN chapter, Peasant Association, Local community organizations.*	*The applied method will examine the following data items:* • *Presence,* • *Type of role, and* • *The level of influence*	*The applied method will solicit information based on the following questions:* • *Is there sufficient presence of indigenous peoples in REDD+ task forces as set up by the central and local governments?* • *Is there sufficient participation of the indigenous peoples in REDD+ task force, established by the central and local governments?* • *Is there sufficient level of influence of the indigenous peoples in REDD+ task force, established by the central and local governments?*
6b	*The number of Indigenous Peoples and local community activists that have skill in developing REDD+ project development design* *Data Sources:* *Archipelago Indigenous Peoples' Alliance/ AMAN, peasant associations, local community organizations, Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations, Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations.*	*The applied method will examine the following data items:* • *Training certificates*	*The applied method will solicit information based on the following questions:* • *Is the number of indigenous peoples and local community activists that have skills in developing REDD+ project development design adequate?* • *Do they have training certificate as REDD+ project developers?* • *How many years of experience as REDD+ project developers do they have?*
6c	*The number of indigenous peoples who monitor the implementation of the principles and mechanism of FPIC (Free, Prior Informed Consent)* *Data Sources:* *Archipelago Indigenous Peoples' Alliance/ AMAN, peasant associations, local*	*The applied method will examine the following data items:* • *Monitoring procedures,* • *Codes of conduct, and* • *Monitoring mechanism*	*The applied method will solicit information based on the following questions:* • *Is the number of indigenous peoples who monitor the implementation of the principles and mechanism of Free Prior Informed Consent adequate?*

	community organizations, Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations, Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations.		• *Is the monitoring procedure adequate?* • *Are the codes of conduct monitoring adequate?* • *Are the monitoring mechanisms adequate?*
	Component 5: Actors' Capacity-Business Entity		
	Regional Spatial and Forestry Planning		
1a	*The number of business representatives who are present and participate in meetings which discusses forest planning* *Data Sources:* *Logging associations, oil palm associations, mining associations, selected land based companies, Logging Association, Oil palm association, Mining Association, selected land based companies, Logging Association, Oil palm association, Mining Association, selected land based companies*	*The applied method will examine the following data items:* • *The materials presented in the meetings which discuss regional and forestry planning,* • *List of attendances, and* • *Minutes of meetings*	*The applied method will solicit information based on the following questions:* • *Is there a sufficient number of representatives from the business communities who are present and participate in meetings that discusses the forest planning?* • *Are the materials, presented by business entity activists in meetings that discuss regional and forestry planning, adequate?*
1b	*Level of knowledge among the major business players who give inputs to the regional and forestry planning* *Data Sources:* *Logging associations, oil palm associations, mining associations, selected forest based companies, Logging associations, oil palm associations, mining associations, selected forest based companies, Logging associations, Oil palm association, mining association, selected forest based companies.*		*The applied method will solicit information based on the following questions:* • *Do the main business players participating know the difference between protected forest areas and cultivated areas, as well as the statuses of the areas in the regional planning?* • *Do the main business players participating know the statuses of the areas in the regional planning?*
1c	*The mechanisms to report the result or process of the participation involvement to the agencies which have sent them* *Data Sources:* *Logging associations, oil palm associations, mining associations, selected forest based companies, Logging associations, oil palm associations, mining associations, selected forest based companies, Logging associations, oil palm*	*The applied method will examine the following data items:* • *Procedures for presenting the participation outcomes or processes,* • *Contents of reports on participation outcomes or processes,* • *Forums to present the participation outcomes or processes,* • *Selection of participants to the forum to convey participation outcomes or processes, and*	*The applied method will solicit information based on the following questions:* • *Is the procedure for delivering the participation outcomes or processes adequate?* • *Are the contents of the reports or participation processes sufficient?* • *Are there sufficient forums to convey the participation*

	associations, mining associations, selected forest based companies.	• *Mechanisms to give inputs from the forum participants*	*outcomes or processes adequate?* • *Is the mechanism of selection of participants to the forum for presenting participation outcomes and processes adequate?* • *Is the mechanism for presenting inputs from the forums participants adequate?*
	Tenure arrangement rights		
2a	*The company document which regulates FPIC (Free Prior Informed Consent)* *Data Sources:* *Logging associations, oil palm associations, mining association, selected forest based companies, Logging associations, oil palm associations, mining associations, selected forest based companies, Logging associations, oil palm associations, mining associations, selected forest based companies.*	*The applied method will examine the following data items:* • *Data collection mechanisms,* • *Material completeness for getting approvals,* • *Mechanisms to select facilitators,* • *Mechanism to get consent from communities,* • *Complaint mechanisms on FPIC processes,* • *Monitoring mechanisms, and* • *Follow-up mechanisms on FPIC results*	*The applied method will solicit information based on the following questions:* • *Are the existing FPIC mechanisms adequate?* • *Are the materials completeness for getting approval is adequate?* • *Are the mechanisms to select facilitators adequate?* • *Are the mechanisms to get consent from communities adequate?* • *Are the complaint mechanisms on FPIC processes adequate?* • *Are monitoring mechanisms on FPIC processes adequate?* • *Are the follow up mechanisms on FPIC results adequate?*
2b	*The amount of funds allocated for the determining the borderline and confirmation in its working area* *Data Sources:* *Logging associations, oil palm associations, mining associations, selected forest based companies, Logging associations, oil palm associations, mining association, selected forest based companies, Logging associations, oil palm associations, mining associations, selected forest based companies.*	*The applied method will examine the following data items:* • *The allocated fund for determining the borderline and the confirmation in its working area*	
	Forest Organization Issues		
3a	*The mechanisms to select business representatives to multi-stakeholder forums* *Data Sources:* *Logging associations, oil palm*		*The applied method will solicit information based on the following questions:* • *Are the considerations used in selecting representatives (such as expertise and gender*

	associations, mining associations, selected forest based companies, Logging associations, oil palm associations, mining associations, selected forest based companies, Logging associations, oil palm associations, mining associations, selected forest based companies.		*representation) adequate?* • *Are the mechanisms for selecting representatives adequate?* • *Are the forums to select representatives in the multi stakeholder institution sufficient?*
	Forest management implementation issues		
4a	*The number of land based companies which implement sustainable forest management principles* *Data Sources:* *Eco-labeling institutes and Ministry of Forestry.*	*The applied method will examine the following data items:* • *Data from eco-labeling Institutes on companies which implement sustainable forest management principles*	
	Forest control and law enforcement		
5a	*The companies' internal control mechanism to implement forest utilization activity according to sustainable forest management principles* *Data Sources:* *The selected forest based companies, The selected forest based companies, The selected forest based companies.*	*The applied method will examine the following data items:* • *Written and unwritten internal rules,* • *If the rule clearly arranges about what to do and not to do, and* • *Sanctions to the rule breakers.*	*The applied method will solicit information based on the following questions:* • *Are the internal regulations written or unwritten?* • *Do the rules clearly regulate what communities can do and cannot do regarding land use arrangement and forest zonation?* • *Are there any sanctions to the rule breakers?*
5b	*The number of forest based companies that own ethics code and good corporate governance principles in running the companies* *Data Sources:* *The selected forest based companies, The selected forest based companies, The selected forest based companies.*	*The applied method will examine the following data items:* • *Ethics code documents and* • *Good corporate governance documents*	*The applied method will solicit information based on the following questions:* • *Is the number of forest based companies that own ethics code and good corporate governance principles in running the companies adequate?*
	REDD+ infrastructure issues		
6a	*The existing documents which regulate and ensure the business representative in REDD+ infrastructure development* *Data Sources:* *The selected forest based companies, The selected forest based companies, The*	*The applied method will examine the following data items:* • *Public consultative meeting mechanism*	*The applied method will solicit information based on the following questions:* • *Are there any documents that regulate and ensure the business representative*

	selected forest based companies.		*in REDD+ infrastructure development developed by REDD+ taskforce?*
	Component 5: Actors' Capacity-Business Entity		
	Regional spatial and forest planning issues		
1a	*The level of acceptance on the documents of regional spatial and forest planning* *Data Sources:* *Provincial Development Planning Agency, Provincial Government Provincial Forestry Department, Provincial Government Public Work Department, District Development Planning Agency, District Government District Forestry Department, District Government Public Work Department.*	*The applied method will examine the following data items:* • *The agreement documents on regional spatial and forest planning who have signed and whether all parties have signed the agreed document*	*The applied method will solicit information based on the following questions:* • *How is the level of acceptance on the documents of regional spatial and forest planning by the key stakeholders?*
1b	*The extent of forest areas which are designated and accepted by the parties* *Data Sources:* *District Government Forestry Department, Forestry Mapping Unit, local communities that surrounds the forest*	*The applied method will examine the following data items:* • *The extent of forest areas which are designated and accepted by the parties*	*The applied method will solicit information based on the following questions:* *How is the acceptance of the parties to extent of forest areas already designated?*
1c	*The number of regional spatial plans for managing indigenous peoples that are accommodated into the provincial and/or district spatial plans* *Data Sources:* *Provincial Government Forestry Department, District Government Forestry Department.*	*The applied method will examine the following data items:* • *Spatial planning documents (provincial and district) and* • *The number of spatial plans for managing indigenous peoples that are accommodated into the provincial and/or district spatial plans(the recent data)*	*The applied method will solicit information based on the following questions:* • *Is there a sufficient number of public-managed spaces by the indigenous peoples that are accommodated into the provincial and/or district spatial plans?*
1d	*The number of forest possession conflicts which can be resolved each year* *Data Sources:* *Forest Planning Directorate of Ministry of Forestry, Provincial Government Forestry Department and Head of Forest Planning Unit, District Government Forestry Department and Head of Forest Planning Unit*	*The applied method will examine the following data items:* • *The number of land possession conflicts which can be resolved each year and* • *The mediation result may be acceptable to all parties and executed consistently*	*The applied method will solicit information based on the following questions:* • *How many land possession conflicts are being resolved each year?* • *Have the mediation outcomes been accepted by all parties and executed consistently?*

	Forest Rights Arrangement		
2a	*Number of rights of the communities and businesses already administered in the units which administer the rights of communities and businesses in Ministry of Forestry/Forestry Services Department* *Data Sources:* *Ministry of Forestry, Government Forest Department, Government Forest Department.*	*The applied method will examine the following data items:* • *Number of rights of the communities and businesses already administered in Ministry of Forestry or Forest Department at sub-national level (the recent data)*	*The applied method will solicit information based on the following questions:* • *Are all rights of the communities and businesses already administered in the units which administer the rights of communities and businesses in Ministry of Forestry/Forestry Services Department?*
2b	*Size of the forest areas that overlap with other land uses* *Data Sources:* *Forest Planning Directorate, Directorate General of Forest Business Development, and Directorate General of Forest Conservation, Government Forestry Department, Government Forestry Department.*	*The applied method will examine the following data items:* • *Size of forest areas that overlap with other land uses (the recent data)*	*The applied method will solicit information based on the following questions:* • *How large is size of the forest areas that overlap with other land uses?*
2c	*Number of conflicts among members of forest area users* *Data Sources:* *Directorate, Directorate General of Forest Business Development and Directorate General of Forest Conservation, Government Forestry Department, Government Forestry Department.*	*The applied method will examine the following data items:* • *Number of conflicts among members of forest area users (the recent data)*	*The applied method will solicit information based on the following questions:* • *How many conflicts among members of forest area users do occur?*
2d	*Number of best practices for the conflict resolution related to the recognition of the rights of indigenous peoples/local communities* *Data Sources:* *Forest Planning Directorate, Directorate General of Forest Business Development and Directorate General of Forest Conservation, Government Forestry Department, Government Forestry Department.*	*The applied method will examine the following data items:* • *The number of best practices for the conflict resolution related to the recognition of the rights of indigenous peoples/local communities*	*The applied method will solicit information based on the following questions:* • *Do the conflict resolutions regarding the recognition of the rights of indigenous peoples/ local communities include violence prevention mechanism?* • *Do the conflict resolutions regarding the recognition of the rights of indigenous peoples/ local communities include the mechanism of the acceptance of parties?* • *Do the conflict resolutions regarding the recognition of the rights of indigenous peoples/ local communities include the existing commitment implemented?*

2e	*Frequency of news coverage related to the recognition of the rights of adat/local communities to manage forests* *Data Sources:* *The largest and widest national printed newspaper and electronic newspaper, The largest and widest printed newspaper at province level.*	*The applied method will examine the following data items:* • *News coverage related to the recognition of the rights of indigenous peoples/local communities to manage forests in two years*	
	Forest Organization Issues		
3a	*Amount of transaction costs to procure forest concession permit* *Data Sources:* *Ministry of Forestry.*	*The applied method will examine the following data items:* • *Forest permit transaction cost document (the latest data)*	*The applied method will solicit information based on the following questions:* • *Is the amount of transaction costs to procure forest concession permit cost effective?*
3b	*Government authority and interventions in the forest concession permit process which are the domain of the permit holders* *Data Sources:* *Ministry of Forestry.*	*The applied method will examine the following data items:* • *The number of stages and conditions in every stage in the forest concession permit process (the latest data)*	*The applied method will solicit information based on the following questions:* • *Are there any government authority and interventions in the forest concession permit process which are the domain of the permit holders?*
	Forest Management Implementation Issues		
4a	*Number of adat/local communities that manage forests, peatlands, and plantation areas including village and community forests* *Data Sources:* *Ministry of Forestry, Forest Department, Forest Department.*	*The applied method will examine the following data items:* • *Number of indigenous peoples/ local community that manage forests, peatlands, and plantation areas including village and community forests*	*The applied method will solicit information based on the following questions:* • *How many local communities and/or indigenous peoples that manage forest and peatland areas in the forest area exist?*
4b	*Number of forest areas sustainably managed by the forest management actors* *Data Sources:* *Ministry of Forestry, Forestry Department, Forestry Department.*	*The applied method will examine the following data items:* • *Number of areas sustainably managed by the forest management actors according to government standard (the latest data)*	*The applied method will solicit information based on the following questions:* • *How many forest areas are sustainably managed by the forest management actors according to the government standard?*
4c	*Percentage of forests that own forest management units (KPH)* *Data Sources:* *Ministry of Forestry, Forestry Department, Forestry Department.*	*The applied method will examine the following data items:* • *Percentage of forests that own forest management units (the latest data)*	*The applied method will solicit information based on the following questions:* • *How many percentage of forest that own forest management unit exist?*

4d	*Number of forest management-based ecological services* *Data Sources:* *Ministry of Forestry, Forestry Department, Forestry Department.*	*The applied method will examine the following data items:* • *Number of forest management-based ecological services according to government data (the latest data)*	*The applied method will solicit information based on the following questions:* • *How many forest management-based ecological services exist?*
	Forest Control and enforcement issues		
5a	*The number of budget use violations at the provincial and district/city level* *Data Sources:* *The Inspectorate of Ministry of Forestry, Finance and Development Supervisory Agency (BPKP) and Supreme Audit Agency, The provincial government inspectorate, Regional Supervision Agency, Finance and Development Supervisory Agency (BPKP) and Supreme Audit Agency, District government inspectorate, Regional Supervision Agency, Finance and Development Supervisory Agency (BPKP) and Supreme Audit Agency.*	*The applied method will examine the following data items:* • *The number of budget use violations at the Ministry of Forestry or Forestry Department at sub-national level*	
5b	*Number of forestry crimes brought by the police to state prosecutor* *Data Sources:* *Regional Police Office, Resort Police Office.*	*The applied method will examine the following data items:* • *Number of forestry crimes brought by the police to state prosecutor (the latest data)*	*The applied method will solicit information based on the following questions:* • *How many forestry crimes are brought by the police to state prosecutor?*
5c	*Number of forestry crimes comprising corruptions, administrative breaches, environmental crimes, forestry-related tax adjudicated by the court* *Data Sources:* *Supreme court, High court, The first level court.*	*The applied method will examine the following data items:* • *Number of forestry crimes comprising corruptions, administrative breaches, environmental crimes, forestry-related tax adjudicated by the court (the latest data)*	
5d	*Integrity index in the forestry sector by Corruption Eradication Commission* *Data Sources:* *Corruption eradication commission.*	*The applied method will examine the following data items:* • *Integrity index for Ministry of Forestry, Forest Department at sub-national level*	
5e	*Corruption perception index particularly on forestry sector in the assessment locations* *Data Sources:* *The Transparency International Indonesia (TII)*	*The applied method will examine the following data items:* • *Corruption perception index particularly on forestry sector in the assessment locations produced by Transparency International Indonesia (the latest data)*	

5f	*Value of state losses in the Forest Management Task Force/Forest Management Units, based on the audit results of Financial Statements of such Working Units* *Data Sources:* *Supreme Audit Agency.*	*The applied method will examine the following data items:* • *Value of state losses in the Forest Management Task Force/Forest Management Units, based on the audit results of Financial Statements of such Working in Ministry of Forestry (the latest data)*	
5g	*Number of public complaints about the forest management performance* *Data Sources:* *Ministry of Forestry, Forestry Department, Forestry Department.*	*The applied method will examine the following data items:* • *Number of public complaints about the forest management performance (the latest data)*	
	REDD+ Implementation issues		
6a	*Number of adat/local community organizations which can access the REDD+ locations* *Data Sources:* *Ministry of Forestry, REDD+ Taskforce, REDD+ Taskforce.*	*The applied method will examine the following data items:* • *Number of indigenous peoples/local community organizations which can access the REDD+ locations (the latest data)*	*The applied method will solicit information based on the following questions:* • *How many indigenous peoples/ local community organizations have access to the REDD+ locations?*
6b	*Level of acceptance of REDD+ strategies by the actors* *Data Sources:* *REDD+ Task Force, REDD+ Task Force.*	*The applied method will examine the following data items:* • *Minutes of meeting indicating that key actors agree with the National REDD+ Strategy*	*The applied method will solicit information based on the following questions:* • *To what extent do the key actors accept the REDD+ Strategy?*
6c	*Deforestation rates in the assessment locations* *Data Sources:* *Ministry of Forestry Forestry Department, Forestry Department*	*The applied method will examine the following data items:* • *Deforestation rates in the assessment locations (the latest data)*	
6d	*Degradation rates in the assessment locations* *Data Sources:* *Ministry of Forestry, Forestry Department, Forestry Department.*	*The applied method will examine the following data items:* • *Degradation rate in the assessment locations (the latest method)*	
6f	*Number of areas that are sustainably managed by the forest management units in the implementation of REDD+ (demonstration activities)* *Data Sources:* *Ministry of Forestry, Forestry Department, Forestry Department.*	*The applied method will examine the following data items:* • *The number of areas that are sustainably managed by the forest management units in the implementation of REDD+ (demonstration activities)*	

Glossary

AMAN = Indonesian Indigenous People Alliance (Aliansi Masyarakat Adat Nusantara)

APHI = Association of Forest Concession Holders (Asosiasi Pengusaha Hutan Indonesia)

Bappeda = Provincial Planning and Development Agency (Badan Perencanaan dan Pembangunan Daerah)

Bappenas = National Planning and Development Agency (Badan Perencanaan dan Pembangunan Nasional)

BIC = Bank information Center

BPK = Supreme Audit Agency (Badan Pemeriksa Keuangan)

BPKP = Government Audit Agency (Badan Pemeriksa Keuangan Pemerintah)

BKPRN = National Coordinating Agency for Spatial Planning (Badan Koordinasi Penataan Ruang Nasional)

BPN = National Land Agency (Badan Pertanahan Nasional)

CCBA = Climate, Community & Biodiversity Alliance

COP = Conference of Parties

CSO = Civil Society Organization

DR PSDH = Re-forestation Funds and Provision for Forest Resources (Dana Reboisasi dan Provisi Sumber Daya Hutan)

FGD = Focus Group Discussions

FMU = Forest Management Unit

FPIC = Free, Prior and Informed Consent

GCG	=	Good Corporate Governance
GFI	=	Governance of Forests Initiative
GHG	=	Greenhouse Gas
HTR	=	Community Plantation Forest Permits (hutan tanaman rakyat)
HUMA	=	Community and Ecological Based Society for Law Reform (Perkumpulan untuk Pembaharuan Hukum Berbasis Masyarakat dan Ekologis)
ICEL	=	Indonesian Center for Environmental Law
ICW	=	Indonesian Corruption Watch
IHMB	=	Periodic Comprehensive Forest Inventory (Inventarisasi Hutan Menyeluruh Berkala)
IUPHHK-HA	=	Licenses for Utilization of Timber in Natural Forest (Izin Usaha Pemanfaatan Hasil Hutan Kayu dalam Hutan Alam)
IUPHHK-HT	=	Licenses for Utilization of Timber in Plantation Forest (Izin Usaha Pemanfaatan Hasil Hutan Kayu dalam Hutan Tanaman)
Jatam	=	Mining Advocacy Network (Jaringan Advocacy Tambang)
JKKP	=	Participative Mapping Working Network (Jaringan Kerja Pemetaan Partisipatif)
Kadin	=	Chamber of Commerce (Kamar Dagang Indonesia)
KLHS	=	Strategic Environmental Assessment (Kajian Lingkungan Hidup Strategis - KLHS)
KPH	=	Forest Management Units (Kesatuan Pengelolaan Hutan)
KPHL	=	Protected Forest Stakeholder Units (kesatuan pemangku hutan lindung)
KPHP	=	Productive Forest stakeholder units (kesatuan pemangku hutan produksi)
KPK	=	The Corruption Eradication Commission (Komisi Pemberantasan Korupsi)
KPSHK	=	Consortium to Support the People's Forestry System (Konsorsium Pendukung Sistem Hutan Kerakyatan)
LBH	=	Legal Aid Institute (Lembaga Bantuan Hukum)
LHKPN	=	state official's wealth report (Laporan Harta Kekayaan Penyelenggara Negara)
LP3ES	=	Institute for Social and Economic Research, Education and Information (Lembaga Penelitian, Pendidikan dan Penerangan Ekonomi dan Sosial)
MoU	=	Memorandum of Understanding
MRV	=	Measurable, Reportable and Verifiable
NGO	=	Non-governmental Organization
OECD	=	Organisation for Economic Co-operation and Development

PGA = Participatory Governance Assessment

PIPIB = Indicative Map for Suspension on New Permits

PNBP = non-tax state revenue (Penerimaan Negara Bukan Pajak)

Pnt = Penggantian Nilai Tegakan

PPATK = Centre for Financial Transaction Reporting and Analysis (Pusat Pelaporan dan Analisis Transaksi Keuangan)

PPNS = Police and Civil Servant Investigators (penyidik pegawai negeri sipil)

PROFOR = Program on Forests of the World Bank

PSDH = Forest Resources Provisions (provisi sumber daya hutan)

PTB = Boundary Administration Committee (Panitia Tata Batas)

REDD = Reducing Emissions from Deforestation and forest Degradation

REL = Reference Emission Level

RKU = General Work Plans (rencana kerja umum)

RTRW = Regional Spatial Plans (Rencana Tata Ruang Wilayah)

SFM = Sustainable Forest Managment

SHK = People's Forestry System

SIS = Safeguards Information System

SKB = Joint Decree (Surat Keputusan Bersama)

SKPD = Regional working units (Satuan Kerja Perangkat Daerah – SKPD)

SKSKB = Transporting Document for Round Logs system (Surat Keterangan Sah Kayu Bulat).

SMART = Specific, Measurable, Attainable, Relevant, Time bound

SOB = Save our Borneo

SOP = Standard Operating Procedure

UNDP = United Nations Development Programme

UNEP = United Nations Environment Programme

UNFCC = United Nations Framework Convention on Climate Change

UKP4 = Presidential Delivery Unit for Development Monitoring and Oversight

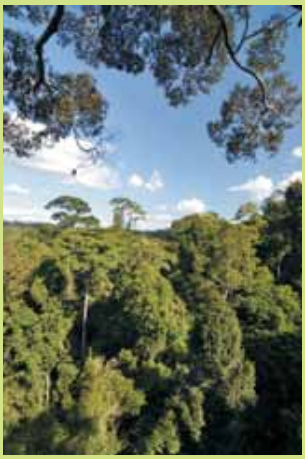
Walhi = Indonesian Forum on the Environment (Wahana Lingkungan Hidup Indonesia)

WBH = Forum of the Green Earth (Wahana Bumi Hijau)

WGA = World Governance Assessment

WWF = World Wildlife Fund

YBB = Betang Bornea Foundation (Yayasan Betang Borneo)



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UN-REDD PROGRAMME

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