

| Participatory Forest and REDD+ Governance Assessment Tools |                |                          |                             |                     |              |         |                  |
|--|----------------|--------------------------|-----------------------------|---------------------|--------------|---------|------------------|
| No   | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |

**Component 1: Law and Regulation Framework**

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|---|--|--|---------------|--|--|--|--|
| 1 | The existence and comprehensiveness of laws and policies governing on transparent forest planning and Regional Spatial Plan (RTRW) formulation | Forest planning and spatial planning issue | Transparent   | <p><b>Central:</b> Ministry of Forestry, National Development Planning Agency, Ministry of Public Work, Ministry of Home Affairs, National Land Agency, National Spatial Planning Coordination Board</p> | Laws, Government , Presidential and Ministerial Regulations related to the indicator | <p><b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include the following data items:</p> <ul style="list-style-type: none"> <li>Types of data used in forest planning and regional spatial plan,</li> <li>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</li> <li>information announcement on each the proposed change of designation and its supporting documents, and</li> <li>limit on the accessible information clearly regulated and based on public interest</li> </ul> | The assessed laws and regulations fall into the comprehensiveness category if 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 |
|   |  |  |               | <p><b>Province:</b> Provincial Development Planning Agency, Provincial Government Provincial Forestry Department, Provincial Government Public Work Department</p>                                       | Provincial Regional Regulation and Governor Regulation                               |  |  |
|   |  |  |               | <p><b>District:</b> District Development Planning Agency, District Government Forestry Department, District Government Public Work Department</p>  | District Regional Regulation and Head of District Regulation                         |  |  |
| 2 | The existence and comprehensiveness of laws and policies governing on forest planning and regional spatial plan formulation involving          | Forest planning and spatial planning issue | Participation | <p><b>Central:</b> Ministry of Forestry, National Development Planning Agency, Ministry of Public Work, Ministry of Home Affairs, National Land Agency,</p>  | Laws, Government , Presidential and Ministerial Regulations related to the indicator | <p><b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include the following data items:</p> <ul style="list-style-type: none"> <li>A mechanism which makes it easy for relevant stakeholders to</li> </ul>  | The assessed laws and regulations fall into comprehensiveness category if the laws and policies govern and include a mechanism which makes it easy for relevant stakeholders to  |

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|  | all stakeholders  |  |  | National Spatial Planning Coordination Board  |   | <ul style="list-style-type: none"> <li>engage themselves in the decision making process,</li> <li>the obligation of the designated institution/unit to document each written and non-written inputs,</li> <li>the obligation to provide transparent response to every received inputs,</li> <li>the obligation to provide explanation on the final decision made, and</li> <li>the obligation to implement the all processes with participatory manner</li> </ul> | engage themselves in the decision making process, appointing the specific officer managing inputs from public, 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, and obligation to implement the all processes with participatory manner |
|  |   |  | <b>Province:</b> Provincial Development Planning Agency, Provincial Government Forestry Department, Provincial Government Public Work Department | Provincial Regional Regulation and Governor Regulation  |   |   |   |
|  |   |  | <b>District:</b> District Development Planning Agency, District Government Forestry Department, District Government Public Work Department       | District Regional Regulation and Head of District Regulation  |   |   |   |
| 3  | 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 | Forest planning and spatial planning issue | Capacity   | <b>Central:</b> Ministry of Forestry, National Development Planning Agency, Ministry of Public Work, Ministry of Home Affairs, National Land Agency, National Spatial Planning Coordination Board | Ministerial Regulations or lower level related to the indicator | <b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include the following data items: <ul style="list-style-type: none"> <li>The obligation to build local community and Indigenous peoples to participate in the forestry and regional spatial planning process and</li> <li>the higher level government to build the capacity of lower level government</li> </ul>  | The assessed laws and regulations fall into comprehensiveness category if the laws and policies govern and include government obligation to build local community 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   |
|  |   |  | <b>Province:</b> Provincial Development Planning Agency, Provincial Government Forestry Department, Provincial                                   | Governor Regulation, local government working unit policy   |   |   |   |

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|  |  |  |                             | Government Public Work Department   |  |   |   |
|  |  |  |                             | <b>District:</b> District Development Planning Agency, District Government Forestry Department, District Government Public Work Department  | Head of District Regulation, local government working unit policy  |   |   |
| 4  | The existence and comprehensiveness of laws and policies governing on complaint handling mechanism for forest planning and regional spatial planning formulation | Forest planning and spatial planning issue | Accountability              | <p><b>Central:</b> Ministry of Forestry, National Development Planning Agency, Ministry of Public Work, Ministry of Home Affairs, National Land Agency, National Spatial Planning Coordination Board</p> <p><b>Province:</b> Provincial Development Planning Agency, Provincial Government Forestry Department, Provincial Government Public Work Department</p> <p><b>District:</b> District Development Planning Agency, District</p> | <p>Government, Presidential, Ministerial Regulations or lower level related to indicator</p> <p>Governor Regulation, local government working unit policy</p> <p>Head of District Regulation, local government working</p> | <p><b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include the following data items:</p> <ul style="list-style-type: none"> <li>• 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</li> <li>• 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</li> </ul> | The assessed laws and regulations fall into comprehensiveness category if 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, 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 |

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|  |  |                           |                             | Government Forestry Department, District Government Public Work Department   | unit policy   |  |  |
| 5  | The existence and comprehensiveness of laws and policies governing on tenurial rights of indigenous communities and businesses in a transparent manner | Tenure Arrangement Issues | Transparent                 | <p><b>Central:</b> Ministry of Forestry and national Land Agency</p> <p><b>Province:</b> Provincial Government Forestry Department and Provincial Land Agency</p> <p><b>District:</b> District Government Forestry Department and District Land Agency</p> | <p>Laws, Government , Presidential and Ministerial Regulations related to indicator</p> <p>Provincial Regional Regulation, Governor Regulation, local government working unit policy</p> <p>District Regional Regulation, Head of District Regulation, local government working unit policy</p> | <p><b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include the following data items:</p> <ul style="list-style-type: none"> <li>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,</li> <li>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,</li> <li>the obligation to implement the all processes with participatory manner, and</li> <li>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</li> </ul> | The assessed laws and regulations fall into comprehensiveness category if the laws and policies govern and include ensuring the availability of all data on 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, 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, obligation to implement all process with participatory manner , 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 |

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| No   | Indicator Name  | Forest Management Issues  | PGA's Governance Principles | Unit of Observation   | Data Sources  | Methods  | Assessment Score   |
| 6  | The existence and comprehensiveness of laws and policies governing on recognition of tenurial rights of indigenous communities and businesses | Tenure Arrangement Issues | Equity                      | <b>Central:</b> Ministry of Forestry and national Land Agency                         | Laws, Government , Presidential and Ministerial Regulations related to the indicator            | <p><b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include the following data items:</p> <ul style="list-style-type: none"> <li>The acknowledgement of the customary land whose management is in line with the function of regional spatial &amp; forestry planning, and</li> <li>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.</li> </ul> | The assessed laws and regulations fall into comprehensiveness category if the laws and policies govern and include the acknowledgement of the customary land whose management is in line with the function of regional spatial and forestry planning, 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 |
|  |   |                           |                             | <b>Province:</b> Provincial Government Forestry Department and Provincial Land Agency | Provincial Regional Regulation, Governor Regulation, local government working unit policy       |  |  |
|  |   |                           |                             | <b>District:</b> District Government Forestry Department and District Land Agency     | District Regional Regulation, Head of District Regulation, local government working unit policy |  |  |
| 7  | The existence and comprehensiveness of laws and policies governing on protection to tenurial rights of indigenous communities and businesses  | Tenure Arrangement Issues | Equity                      | <b>Central:</b> Ministry of Forestry and national Land Agency                         | Laws, Government, Presidential and Ministerial Regulations related to indicator                 | <p><b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include the following data items:</p> <ul style="list-style-type: none"> <li>punishment mechanism for any parties who conduct actions on clear and clean land conflicts and</li> <li>Punishment mechanism for government officials who issue license on clear and clean land conflict.</li> </ul>   | The assessed laws and regulations fall into comprehensiveness category if 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.  |
|  |   |                           |                             | <b>Province:</b> Provincial Government Forestry Department and Provincial Land Agency | Provincial Regional Regulation, Governor Regulation, local government working unit policy       |  |  |
|  |   |                           |                             | <b>District:</b> District Government Forestry Department and District Land Agency     | District Regional Regulation, Head of District Regulation, local government working unit policy |  |  |

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| 8  | The existence and comprehensiveness of laws and policies requiring capacity building of community to enable them to access their tenurial rights         | Tenure Arrangement Issues  | Capacity                    | <b>Central:</b> Ministry of Forestry and National Land Agency   | Government, President or Ministerial Regulations                         | <b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include the following data items: <ul style="list-style-type: none"> <li>• Government obligation to build indigenous peoples and local community capacity,</li> <li>• the higher level government to build the capacity of the lower level government,</li> <li>• easy mechanism for Indigenous peoples and local communities to access the capacity building budget, and</li> <li>• the development of capacity building for indigenous peoples and local community is made with participatory manner</li> </ul> | The assessed laws and regulations fall into comprehensiveness category if the laws and policies govern and include government obligation to build indigenous peoples or local community capacity, the higher level government to build the capacity of the lower level government, easy mechanism for indigenous peoples or local communities to access the capacity building budget & the development of capacity building for indigenous peoples or local community is made with participatory manner |
|  |  |                            |                             | <b>Province:</b> Provincial Government Forestry Department and Provincial Land Agency                               | Governor Regulation, local government working unit policy                |   |   |
|  |  |                            |                             | <b>District:</b> District Government Forestry Department and District Land Agency                                   | Head of District Regulation, local government working unit policy        |   |   |
| 9  | The existence and comprehensiveness of laws and policies governing on accountability of the institutions responsible for forest and peat land management | Forest Organization Issues | Accountability              | <b>Central:</b> Ministry for Administrative and Bureaucratic Reforms, Ministry of Forestry and National Land Agency | Laws, Government, President or Ministerial Regulations                   | <b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include the following data items: <ul style="list-style-type: none"> <li>• The clarity of tasks and authority of various related institutions in relation to forest and peat land management,</li> <li>• the transparency on yearly output expected and achievement,</li> <li>• budget based performance, and</li> </ul>  | The assessed laws and regulations fall into comprehensiveness category if 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,   |
|  |  |                            |                             | <b>Province:</b> Provincial Government Forestry Department and Provincial Land Agency                               | Provincial and Governor Regulation, local government working unit policy |   |   |

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|  |   |                            |                             | <b>District:</b> District Government Forestry Department and District Land Agency   | District regulation, Head of District Regulation, local government working unit policy   | <ul style="list-style-type: none"> <li>decentralization to the lower level followed by the principles of transparency and participation</li> </ul>   | decentralization to the lower level followed by the principles of transparency and participation  |
| 10   | The existence and comprehensiveness of law and policies governing on harmonization of laws and policies related to forests and peat lands   | Forest Organization Issues | Effectiveness               | <b>Central:</b> Coordinating Ministry for Legal, Political and Security Affairs, Ministry of Home Affairs, Ministry of Law and Human Rights, Ministry of Forestry<br><br><b>Province:</b> Provincial Government Forestry Department and Provincial Land Agency<br><br><b>District:</b> District Government Forestry Department and District Land Agency | Laws, Government, President or Ministerial Regulations<br><br>Provincial and Governor Regulation, local government working unit policy<br><br>District regulation, Head of District Regulation, local government working unit policy | <b>Document data analysis:</b> the applied method will look at whether the laws and policies govern and include the following data items: <ul style="list-style-type: none"> <li>The clarity of one institution with the responsibility to execute the harmonization of rules and regulations and</li> <li>A mechanism to ensure that harmonization with other regulation takes place before the ratification of a regulation</li> </ul> | The assessed laws and regulations fall into the comprehensiveness category if the laws and policies govern and include the clarity of one institution with the responsibility to execute the harmonization of rules and regulations, mechanism to ensure that harmonization with other regulation takes place before the ratification of a regulation |
| 11   | 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 | Forest Organization Issues | Transparent                 | <b>Central:</b> Ministry for Administrative and Bureaucratic Reforms, Ministry of Home Affairs, Ministry of Forestry and National Land Agency<br><br><b>Province:</b> Provincial Government Forestry Department and Provincial Land   | Laws, Government, President or Ministerial Regulations<br><br>Provincial and Governor Regulation, local government working unit policy   | <b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include the following data items: <ul style="list-style-type: none"> <li>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,</li> </ul>   | The assessed laws and regulations fall into the comprehensiveness category if 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                                       |

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|  | lands   |                            |                             | Agency   |   | <ul style="list-style-type: none"> <li>the obligation to conduct revenue report verification with the help of corruption eradication commission,</li> <li>life style checking,</li> <li>the obligation to create integrity pact,</li> <li>the fulfillment of ethical code and performance contract,</li> <li>the transparency in the process of filling in strategic position, and</li> <li>the assessment by an independent third party.</li> </ul>   | obligation to conduct revenue report verification with the help of corruption eradication commission, life style checking, obligation to create integrity pact, fulfillment of ethical code and performance contract, transparency in the process of filling in strategic position, assessment by an independent third party  |
|  |   |                            |                             | District: District Government Forestry Department and District Land Agency   | District regulation, Head of District Regulation, local government working unit policy  |  |   |
| 12   | The existence and comprehensiveness of law and policies governing on implementation of law enforcement in forest and peat land management | Forest Organization Issues | Effectiveness               | <p><b>Central:</b> Ministry of Forestry, Supreme Court, National Police, Attorney Office, Corruption Eradication Commission, Ministry of Law and Human Rights and Coordinating Ministry for Legal, Political and Security Affairs</p> <p><b>Province:</b> Provincial Government Forestry Department and Provincial Land Agency, High Couth, Regional Police Office, High Attorney Office</p> | <p>Laws, Government, President or Ministerial Regulations</p> <p>Provincial and Governor Regulation, local government working unit policy</p> | <p><b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include the following data items:</p> <ul style="list-style-type: none"> <li>Improvement on case management so that it fills in the gap of abuse of power,</li> <li>strengthening the monitoring and internal disciplinary system within the law enforcement institution,</li> <li>the obligation to build capacity building of law enforcement apparatus in relation to issue sustainable forest and peat moss management,</li> <li>state policy pertaining customary</li> </ul> | The assessed laws and regulations fall into comprehensiveness category if 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, 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 |



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|  |   |   |                             | <b>District:</b> District Government Forestry Department and District Land Agency, District Court, District Attorney Office, Resort Police Office              | District regulation, Head of District Regulation, local government working unit policy   | community, as well as the usage of other legal instruments such as tax, corruption, and anti money laundering in eradicating forestry crimes, and <ul style="list-style-type: none"> <li>The obligation for the effective coordination among law enforcement apparatus in relation to forest and peat moss issues.</li> </ul>   | usage of other legal instruments such as tax, corruption, and anti money laundering in eradicating forestry crimes, obligation for the effective coordination among law enforcement apparatus in relation to forest and peat moss issues  |
| 13   | The existence and comprehensiveness of law and policies governing on transparency in the forest and peat land management implementation | Forest Management Implementation Issues | Transparent                 | <b>Central:</b> Ministry of Forestry<br><b>Province:</b> Provincial Government Forestry Department<br><b>District:</b> District Government Forestry Department | Laws, Government, President or Ministerial Regulations<br>Provincial and Governor Regulation, local government working unit policy<br>District regulation, Head of District Regulation, local government working unit policy | <b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include the following data items: <ul style="list-style-type: none"> <li>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,</li> <li>other documents in support of management permit such as location permit, recommendation issued by Regional Head, Environmental Impact Analysis, environmental permit, mandatory environmental audit,</li> <li>the obligating the public</li> </ul> | The assessed laws and regulations fall into comprehensiveness category if the laws and policies govern and include 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 |

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|  |   |   |                             |  |   | <p>institution to employ specific officer in handling request of information,</p> <ul style="list-style-type: none"> <li>the obligating the giving of access to the public either proactively or on request basis,</li> <li>the limit on the information which can be accessed is regulated clearly and based on public interest (<i>balancing public interest test</i>), and</li> <li>sanctions for those parties who intentionally hamper public's access to information</li> </ul>   | <p>audit, etc, obligating the public institution to employ specific officer in handling request of information, 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 (<i>balancing public interest test</i>), sanctions for those parties who intentionally hamper public's access to information</p>  |
| 14   | The existence and comprehensiveness of law and policies governing on meaningful stakeholders involvement in the forest and peat land management | Forest Management Implementation Issues | Participation               | <p><b>Central:</b> Ministry of Forestry</p> <p><b>Province:</b> Provincial Government Forestry Department</p> <p><b>District:</b> District Government Forestry Departement</p> | <p>Laws, Government, President or Ministerial Regulations</p> <p>Provincial and Governor Regulation, local government working unit policy</p> <p>District regulation, Head of District Regulation, local government working unit policy</p> | <p><b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include the following data items:</p> <ul style="list-style-type: none"> <li>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 well as the stakeholders,</li> <li>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,</li> </ul> | <p>The assessed laws and regulations fall into comprehensiveness category if 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 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</p> |

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|  |  |   |                             |   |   | <ul style="list-style-type: none"> <li>the obligation of public institution to appoint one specific officer in charge of managing public input in the process of giving permit/conducting tender,</li> <li>the obligation of public institution to document every input both written or non-written,</li> <li>the obligation of public institution to provide transparent response for every received input, and</li> <li>the obligation of public institution to provide explanation on the final decision made</li> </ul>  | 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, The obligation of public institution to provide explanation on the final decision made   |
| 15   | The existence and comprehensiveness of law and policies governing on mechanism of granting efficient forest management permits | Forest Management Implementation Issues | Effectiveness               | <p><b>Central:</b> Ministry of Forestry</p> <p><b>Province:</b> Provincial Government Forestry Department</p> <p><b>District:</b> District Government Forestry Department</p> | <p>Laws, Government, President or Ministerial Regulations</p> <p>Provincial and Governor Regulation, local government working unit policy</p> <p>District regulation, Head of District Regulation, local government working unit policy</p> | <p><b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include the following data items:</p> <ul style="list-style-type: none"> <li>The granting of concession permit is done through open tender process,</li> <li>rules guaranteeing the integrity of tender process, and</li> <li>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</li> </ul> | The assessed laws and regulations fall into the comprehensiveness category if 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, 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 |

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|  |  |   |                             |  |  | issued by one sector with permit issued by another sector either at central level or regional level   | permit issued by one sector with permit issued by another sector either at central level or regional level  |
| 16   | The existence and comprehensiveness of law and policies governing on mechanism of complaint handling in the conflicts of forest and peat land management | Forest Management Implementation Issues | Accountability              | <b>Central:</b> Ministry of Forestry                       | Laws, Government, President or Ministerial Regulations                                 | <p><b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include the following data items:</p> <ul style="list-style-type: none"> <li>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,</li> <li>A mechanism of conflict resolution and dispute settlement through negotiation channel should there be sharp discrepancy in perspective on the issue, and</li> <li>an obligation to employ the service of a mediator with the skill and understanding regarding customary issues</li> </ul> | The assessed laws and regulations fall into comprehensiveness category if 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, mechanism of conflict resolution and dispute settlement through negotiation channel should there be sharp discrepancy in perspective on the issue, an obligation to employ the service of a mediator with the skill and understanding regarding customary issues |
|  |  |   |                             | <b>Province:</b> Provincial Government Forestry Department | Provincial and Governor Regulation, local government working unit policy               |   |   |
|  |  |   |                             | <b>District:</b> District Government Forestry Department   | District regulation, Head of District Regulation, local government working unit policy |   |   |
| 17   | The existence and comprehensiveness of law and policies governing on transparency of control and law enforcement in forest                               | Control and law enforcement issues      | Transparent                 | <b>Central:</b> Ministry of Forestry                       | Laws, Government, President or Ministerial Regulations                                 | <p><b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include the following data items:</p> <ul style="list-style-type: none"> <li>The obligation of public institution to inform through</li> </ul>   | The assessed laws and regulations fall into comprehensiveness category if the laws and policies govern and include the obligation of public institution to inform through combined methods  |
|  |  |   |                             | <b>Province:</b> Provincial Government Forestry Department | Provincial and Governor Regulation, local government                                   |   |   |

| Participatory Forest and REDD+ Governance Assessment Tools |  |                                    |                             |  |  |   |   |
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| No   | Indicator Name   | Forest Management Issues           | PGA's Governance Principles | Unit of Observation  | Data Sources   | Methods   | Assessment Score  |
|  | management   |                                    |                             |  | working unit policy                                    | 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, <ul style="list-style-type: none"> <li>the obligating to the granting of access to the public both proactively or on request basis,</li> <li>limit on the information which can be accessed is clearly regulated and based on public interest (<i>balancing public interest test</i>), and</li> <li>sanctions for those parties who intentionally hamper the public access to information</li> </ul> | (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, 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 ( <i>balancing public interest test</i> ), sanction for those parties who intentionally hamper the public access to information |
| 18   | The existence and comprehensiveness of law and policies governing on integrated and participatory supervision in forest management | Control and law enforcement issues | Transparent                 | <b>Central:</b> Ministry of Forestry, Supreme Attorney Office, National Police Office, Corruption Eradication Commission | Laws, Government, President or Ministerial Regulations | <b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include the following data items: <ul style="list-style-type: none"> <li>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,</li> <li>the obligation of public</li> </ul>   | The assessed laws and regulations fall into comprehensiveness category if 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  |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |
|----|----------------|--------------------------|-----------------------------|---------------------|--------------|---------|------------------|
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|--|--|--|---|---|---|--|---|
|  |  |  |   | <p><b>Province:</b> Provincial Government Forestry Department, Province Attorney Office, Regional Police Office</p> | <p>Provincial and Governor Regulation, local government working unit policy</p> | <p>institution to ensure that there is mechanism which makes it easy for all stakeholders to get involved in the process of monitoring,</p> <ul style="list-style-type: none"> <li>• the obligation of public institution to appoint one specific officer in charge of managing public input in the process of monitoring,</li> <li>• the obligation of public institution to document every input either written or non-written, and</li> <li>• the obligation of public institution to provide transparent response on every received input</li> </ul> | <p>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, the obligation of public institution to provide transparent response on every received input</p> |
|  |  |  | <p><b>District:</b> District Government Forestry Dept, District Attorney Office, Resort Attorney Office</p> | <p>District regulation, Head of District Regulation, local government working unit policy</p>                       |   |  |   |

| Participatory Forest and REDD+ Governance Assessment Tools |   |                                    |                             |  |  |  |   |
|--|---|------------------------------------|-----------------------------|--|--|--|---|
| No   | Indicator Name  | Forest Management Issues           | PGA's Governance Principles | Unit of Observation  | Data Sources   | Methods  | Assessment Score  |
| 19   | The existence and comprehensiveness of law and policies governing on community capacity building programs to supervise forest and peat lands management | Control and law enforcement issues | Capacity                    | <b>Central:</b> Ministry of Forestry, Supreme Attorney Office, National Police Office, Corruption Eradication Commission | Laws, Government, President or Ministerial Regulations                                 | <b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include the following data items: <ul style="list-style-type: none"> <li>The government to be responsible in building the capacity of customary or local community to participate,</li> <li>higher level government to build the capacity of lower level government (such as the national government providing training to the provincial /local government and likewise the provincial government to the local government), and</li> <li>easy mechanism for the customary or local community to access the budget of capacity building</li> </ul> | The assessed laws and regulations fall into the comprehensiveness category if 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 or local government and likewise the provincial government to the local government), easy mechanism for the customary or local community to access the budget of capacity building |
|  |   |                                    |                             | <b>Province:</b> Provincial Government Forestry Department, Province Attorney Office, Regional Police Office             | Provincial and Governor Regulation, local government working unit policy               |  |   |
|  |   |                                    |                             | <b>District:</b> District Government Forestry Department, District Attorney Office, Resort Attorney Office               | District regulation, Head of District Regulation, local government working unit policy |  |   |
| 20   | The existence and comprehensiveness of law and policies governing on mechanism to responsively follow up fraud/corruption indications                   | Control and law enforcement issues | Accountability              | <b>Central:</b> Ministry of Forestry, Supreme Attorney Office, National Police Office, Corruption Eradication Commission | Laws, Government, President or Ministerial Regulations                                 | <b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include the following data items: <ul style="list-style-type: none"> <li>The obligation of public institution to carry out system overhaul based on the recommendation from Indonesia Audit Board and Corruption Eradication Commission</li> </ul>   | The assessed laws and regulations fall into the comprehensiveness category if 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   |
|  |   |                                    |                             | <b>Province:</b> Provincial Government Forestry Department, Province Attorney Office, Regional Police Office             | Provincial and Governor Regulation, local government working unit policy               |  |   |

| Participatory Forest and REDD+ Governance Assessment Tools |  |                                    |                             |   |   |  |  |
|--|--|------------------------------------|-----------------------------|---|---|--|--|
| No   | Indicator Name   | Forest Management Issues           | PGA's Governance Principles | Unit of Observation   | Data Sources  | Methods  | Assessment Score   |
|  |  |                                    |                             | <b>District:</b> District Government Forestry Department , District Attorney Office, Resort Attorney Office   | District regulation, Head of District Regulation, local government working unit policy  |  |  |
| 21   | The existence and comprehensiveness of law and policies governing on mechanism of multi-door approach in resolving forestry crimes | Control and law enforcement issues | Effectiveness               | <p><b>Central:</b> Ministry of Forestry, Supreme Attorney Office, National Police Office, Corruption Eradication Commission</p> <p><b>Province:</b> Provincial Government Forestry Department, Province Attorney Office, Regional Police Office</p> <p><b>District:</b> District Government Forestry Department, District Attorney Office, Resort Attorney Office</p> | <p>Provincial and Governor Regulation, local government working unit policy</p> <p>Provincial and Governor Regulation, local government working unit policy</p> <p>District regulation, Head of District Regulation, local government working unit policy</p> | <p><b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include</p> <ul style="list-style-type: none"> <li>• 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</li> </ul>                           | The assessed laws and regulations fall into the comprehensiveness category if 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 |
| 22   | The existence and comprehensiveness of law and policies governing on transparency in policy development and REDD+ institution      | REDD+ Infrastructure Issues        | Transparent                 | <p><b>Central:</b> Ministry of Forestry, National Development Planning Agency, REDD+ Taskforce</p> <p><b>Province:</b> Provincial Government Forestry Department and Provincial REDD+ Task Force</p>  | <p>Laws, Government, President or Ministerial Regulations</p> <p>Provincial and Governor Regulation, local government working unit policy</p>   | <p><b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include:</p> <ul style="list-style-type: none"> <li>• Ensuring the availability of all information in relation to the process of infrastructure building,</li> <li>• implementation and monitoring of REDD+ for easy accessibility, the giving of access to the public</li> </ul> | The assessed laws and regulations fall into comprehensiveness category if 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   |



| Participatory Forest and REDD+ Governance Assessment Tools |  |                             |                             |  |   |  |  |
|--|--|-----------------------------|-----------------------------|--|---|--|--|
| No   | Indicator Name   | Forest Management Issues    | PGA's Governance Principles | Unit of Observation  | Data Sources  | Methods  | Assessment Score   |
|  |  |                             |                             | <b>District:</b> District Government Forestry Department   | District regulation, Head of District Regulation, local government working unit policy  | <p>either proactively or on request basis,</p> <ul style="list-style-type: none"> <li>limit on accessible information is clearly regulated and based on public interest (<i>balancing public interest test</i>), and</li> <li>sanctions for parties who intentionally hamper the public access to information</li> </ul>   | 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 ( <i>balancing public interest test</i> ), sanction for parties who intentionally hamper the public access to information  |
| 23   | The existence and comprehensiveness of law and policies governing on formulation of policies and REDD+ institution which are objective and transparent | REDD+ Infrastructure Issues | Transparent                 | <p><b>Central:</b> Ministry of Forestry, National Development Planning Agency, REDD+ Taskforce</p> <p><b>Province:</b> Provincial Government Forestry Department and Provincial REDD+ Task Force</p> <p><b>District:</b> District Government Forestry Department</p> | <p>Laws, Government, President or Ministerial Regulations</p> <p>Provincial and Governor Regulation, local government working unit policy</p> <p>District regulation, Head of District Regulation, local government working unit policy</p> | <p><b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include:</p> <ul style="list-style-type: none"> <li>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,</li> <li>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,</li> <li>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</li> </ul> | The assessed laws and regulations fall into comprehensiveness category if 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 |

| Participatory Forest and REDD+ Governance Assessment Tools |   |                             |                             |   |  |   |   |
|--|---|-----------------------------|-----------------------------|---|--|---|---|
| No   | Indicator Name  | Forest Management Issues    | PGA's Governance Principles | Unit of Observation   | Data Sources   | Methods   | Assessment Score  |
|  |   |                             |                             |   |  | (feedback method), <ul style="list-style-type: none"> <li>the obligation of public institution to provide explanation on the final decision made, and</li> <li>the obligation to complete the whole participation process within sufficient time (minimum 90 working days)</li> </ul>   | transparent response on every received input (feedback method), the obligation of public institution to provide explanation on the final decision made, the obligation to complete the whole participation process within sufficient time (minimum 90 working days)   |
| 24   | The existence and comprehensiveness of law and policies governing on complaints handling mechanism in the process of REDD+ policy development and REDD+ institution | REDD+ Infrastructure Issues | Accountability              | <b>Central:</b> Ministry of Forestry, National Development Planning Agency, REDD+ Taskforce<br><b>Province:</b> Provincial Government Forestry Department and Provincial REDD+ Task Force<br><b>District:</b> District Government Forestry Department | Laws, Government, President or Ministerial Regulations<br><br>Provincial and Governor Regulation, local government working unit policy<br><br>District regulation, Head of District Regulation, local government working unit policy | <b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include: <ul style="list-style-type: none"> <li>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,</li> <li>conflict resolution mechanism and dispute settlement through negotiation channel when there is sharp different in perception on an issue, and</li> <li>the obligation to employ the service of a mediator with the expertise and understanding on the issues of custom</li> </ul> | The assessed laws and regulations fall into the comprehensiveness category if 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, obligation to employ the service of a mediator with the expertise and understanding on the issues of custom |

| Participatory Forest and REDD+ Governance Assessment Tools |  |                             |                             |  |  |   |  |
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| No   | Indicator Name   | Forest Management Issues    | PGA's Governance Principles | Unit of Observation  | Data Sources   | Methods   | Assessment Score   |
| 25   | 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 | REDD+ Infrastructure Issues | Capacity                    | <b>Central:</b> Ministry of Forestry, National Development Planning Agency, REDD+ Taskforce  | Laws, Government, President or Ministerial Regulations                                 | <b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include: <ul style="list-style-type: none"> <li>The government to be responsible for building the capacity of customary/local community in understanding REDD+ as well as existing policy alternatives,</li> <li>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 understanding REDD+ as well as other policy alternatives, and</li> <li>easy mechanism for the customary or local community to access the budget of capacity building,</li> </ul> | The assessed laws and regulations fall into comprehensiveness category if 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 understanding REDD+ as well as other policy alternatives, easy mechanism for the customary or local community to access the budget of capacity building |
|  |  |                             |                             | <b>Province:</b> Provincial Government Forestry Department and Provincial REDD+ Task Force   | Provincial and Governor Regulation, local government working unit policy               |   |  |
|  |  |                             |                             | <b>District:</b> District Government Forestry Department   | District regulation, Head of District Regulation, local government working unit policy |   |  |
| 26   | The existence and comprehensiveness of law and policies on mechanism to responsively follow up the findings of fraud or corruption indications from  | REDD+ Infrastructure Issues | Accountability              | <b>Central:</b> Ministry of Forestry, National Development Planning Agency, REDD+ Taskforce, National Police Office, Corruption Eradication Commission | Laws, Government, President or Ministerial Regulations                                 | <b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include: <ul style="list-style-type: none"> <li>The obligation of public Institution to carry out system overhaul based on the recommendation from Indonesia</li> </ul>   | The assessed laws and regulations fall into the comprehensiveness category if the laws and policies govern and include the obligation of public Institution to carry out system overhaul based on the recommendation from  |

| Participatory Forest and REDD+ Governance Assessment Tools |   |                             |                             |  |   |  |  |
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| No   | Indicator Name  | Forest Management Issues    | PGA's Governance Principles | Unit of Observation  | Data Sources  | Methods  | Assessment Score   |
|  | REDD+ activities  |                             |                             | <p><b>Province:</b> Provincial Government Forestry Department and Provincial REDD+ Task Force, Regional Police Office</p> <p><b>District:</b> District Government Forestry Department, Resort Police Office</p>  | <p>Provincial and Governor Regulation, local government working unit policy</p> <p>District regulation, Head of District Regulation, local government working unit policy</p>   | Audit Board and Corruption Eradication Commission  | Indonesia Audit Board and Corruption Eradication Commission  |
| 27   | The existence and comprehensiveness of law and policies governing on complaints handling mechanism in conflicts related to REDD+ activities | REDD+ Infrastructure Issues | Accountability              | <p><b>Central:</b> Ministry of Forestry, National Development Planning Agency, REDD+ Taskforce</p> <p><b>Province:</b> Provincial Government Forestry Department and Provincial REDD+ Task Force</p> <p><b>District:</b> District Government Forestry Department</p> | <p>Laws, Government, President or Ministerial Regulations</p> <p>Provincial and Governor Regulation, local government working unit policy</p> <p>District regulation, Head of District Regulation, local government working unit policy</p> | <p><b>Document data analysis:</b> The applied method will look at whether the laws and policies govern and include:</p> <ul style="list-style-type: none"> <li>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,</li> <li>conflict resolution mechanism and dispute settlement through negotiation channel when there is sharp different in perception on an issue, and</li> <li>the obligation to employ the service of a mediator with the expertise and understanding on the issues of custom</li> </ul> | The assessed laws and regulations fall into comprehensiveness category if the laws and policies govern and includemechanism 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, obligation to employ the service of a mediator with the expertise and understanding on the issues of custom |

| Participatory Forest and REDD+ Governance Assessment Tools   |  |   |                             |   |   |   |   |
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| No   | Indicator Name   | Forest Management Issues                            | PGA's Governance Principles | Unit of Observation   | Data Sources  | Methods   | Assessment Score  |
| <b>Component 2: Actors' Capacity-State Agencies including government, parliament, law enforcement agencies and commissions</b> |  |   |                             |   |   |   |   |
| 28   | The number of personnel who own sufficient qualification in carrying out regional planning | Forest planning and regional spatial planning issue | Capacity                    | <b>Central:</b> Ministry of Forestry, National Development Planning Agency, Ministry of Public Work, Ministry of Home Affairs, National Land Agency, National Spatial Planning Coordination Board | <b>Documents:</b> <ul style="list-style-type: none"> <li>Projected needed personnel in the observation units,</li> <li>Realization of the personnel assigned in the observation units, (employee data)</li> </ul> <b>In-depth Interviews:</b> <ul style="list-style-type: none"> <li>Head of Human Resource Development in each observation unit,</li> <li>Head of Unit who responsible on regional spatial planning</li> </ul> | <b>Document data analysis:</b> This applied method will examine the following data items: <ul style="list-style-type: none"> <li>Formal educational background, length of work experience as a planner and</li> <li>regional planning certificates</li> </ul>   | The assessed indicator falls into very good qualifications when the assigned personnel have bachelor degree on spatial planning, at least 5 years experiences, regional planning certificates as planners, and that the number of personnel is sufficient |
|  |  |   |                             | <b>Province:</b> Provincial Development Planning Agency, Provincial Government, Provincial Forestry Dept, Provincial Government Public Work Department  | <b>Documents:</b> <ul style="list-style-type: none"> <li>Projected needed personnel in the observation units,</li> <li>Realization of the personnel assigned in the observation units (employee data)</li> </ul> <b>In-depth Interviews:</b> <ul style="list-style-type: none"> <li>Head of Human</li> </ul>  | <b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions: <ul style="list-style-type: none"> <li>What do you think about the formal education background of the personnel assigned to the Planning Units?</li> <li>What is your opinion on the period of time as the planner of the personnel assigned is to the Planning Units?</li> </ul> |   |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |
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|---|---|---|----------|--|--|--|--|
|   |   |   |          |  | Resource Development in each observation unit, <ul style="list-style-type: none"> <li>• Head of Unit who responsible on regional spatial planning</li> </ul>                       | <ul style="list-style-type: none"> <li>• Do the personnel assigned to the Planning Units own regional planning certificates?</li> </ul>  |  |
| <b>District:</b> District Development Planning Agency, District Government Forestry Dept, District Government | <b>Documents:</b> <ul style="list-style-type: none"> <li>• Projected need personnel in the said units</li> <li>• Realization of the personnel assigned in the said units (employee data)</li> </ul> <b>In-depth Interviews:</b> <ul style="list-style-type: none"> <li>• Head of HRD in each observation unit</li> <li>• Head of Unit who responsible on regional spatial planning</li> </ul> |   |          |  |  |  |  |
| 29  | The number of personnel with qualifications in the Planning Units to implement the status (state /non-state forests) and function   | Forest planning and regional spatial planning issue | Capacity | <b>Central:</b> Ministry of Forestry, National Development Planning Agency, National Spatial Planning Coordination Board | <b>Documents:</b> <ul style="list-style-type: none"> <li>• Projected needed personnel in the observation units,</li> <li>• Realization of the personnel assigned in the</li> </ul> | <b>Document data analysis:</b> This applied method will examine the following data items: <ul style="list-style-type: none"> <li>• Formal educational background, length of work experience as a planner, forestry planning certificate</li> </ul> | The assessed indicator falls into very good qualifications when the assigned personnel have bachelor degree on forestry planning, at least 5 years experience, have forestry |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |
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|  | of forests (production /non- production forests) |  |  |  | observation units, (employee data)<br><br><b>In-depth Interviews:</b> <ul style="list-style-type: none"> <li>Head of Human Resource Development in each observation unit</li> <li>Head of Unit who responsible on forestry planning</li> </ul>   |   | planning certificates as planners and that the number of personnel is sufficient |
|  |  |  |  | Provincial Development Planning Agency, Provincial Government Provincial Forestry Department | <b>Documents:</b> <ul style="list-style-type: none"> <li>Projected needed personnel in the observation units</li> <li>Realization of the personnel assigned in the observation units, (employee data)</li> </ul> <b>In-depth Interviews:</b> <ul style="list-style-type: none"> <li>Head of HRD in each observation unit</li> <li>Head of Unit who responsible on forestry planning</li> </ul> | <b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions: <ul style="list-style-type: none"> <li>What do you think about formal education background of the personnel is assigned to the Planning Units?</li> <li>What is your opinion on the period of time as the planner of the personnel is assigned to the Planning Units?</li> <li>Do the personnel assigned to the Planning Units own regional planning certificates?</li> </ul> |  |
|  |  |  |  | <b>District:</b> District Development Planning Agency, District Government Forestry          | <b>Documents:</b> <ul style="list-style-type: none"> <li>Projected need personnel in the observation units,</li> </ul>   |   |  |

| Participatory Forest and REDD+ Governance Assessment Tools |   |   |                             |  |  |   |  |
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| No   | Indicator Name  | Forest Management Issues                            | PGA's Governance Principles | Unit of Observation  | Data Sources   | Methods   | Assessment Score   |
|  |   |   |                             | Department   | <ul style="list-style-type: none"> <li>Realization of the personnel assigned in the observation units, (employee data)</li> </ul> <p><b>In-depth Interviews:</b></p> <ul style="list-style-type: none"> <li>Head of Human Resource Development in each observation unit</li> <li>Head of Unit who responsible on forestry planning</li> </ul>  |   |  |
| 30   | The amount of funds allocated to develop the process for participatory spatial planning | Forest planning and regional spatial planning issue | Participation               | <p><b>Central:</b> Ministry of Forestry, National Development Planning Agency, Ministry of Public Work, Ministry of Home Affairs, National Land Agency, National Spatial Planning Coordination Board</p> <p><b>Province:</b> Provincial Development Planning Agency, Provincial Government Provincial Forestry</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Proposed activities and the Budget Allocation List for the same three previous years</li> <li>Financial statements of the observed institutions for the last three years</li> </ul> <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Proposed activities and the Budget Allocation List for the same</li> </ul> | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>The amount of funds allocated in the budget allocation list to prepare the spatial/forestry planning process in a participatory manner</li> </ul> | The assessed indicator falls into very good qualification when the funds for participatory components of budget allocation list are equal to those in the proposal |



| Participatory Forest and REDD+ Governance Assessment Tools |   |   |                             |   |   |   |  |
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| No   | Indicator Name  | Forest Management Issues                            | PGA's Governance Principles | Unit of Observation   | Data Sources  | Methods   | Assessment Score   |
|  |   |   |                             | Department, Provincial Government Public Work Department  | <ul style="list-style-type: none"> <li>three previous years</li> <li>Financial statements of the observed institutions for the last three years</li> </ul>  |   |  |
|  |   |   |                             | <b>District:</b> District Development Planning Agency, District Government Forestry Department, District Government | <b>Documents:</b> <ul style="list-style-type: none"> <li>Proposed activities and the Budget Allocation List for the same three previous years,</li> <li>Financial statements of the observed institutions for the last three years</li> </ul>                           |   |  |
| 31   | Standard Operating Procedure (SOP) to resolve forest area planning conflicts within the forestry agencies | Forest planning and regional spatial planning issue | Accountability              | <b>Central:</b> Ministry of Forestry-Directorate of Forest Area Planning  | <b>Documents:</b> <ul style="list-style-type: none"> <li>Standard Operating Procedure (SOP) to resolve forest area planning conflicts within the forestry agencies</li> </ul> <b>In-depth Interviews:</b> <ul style="list-style-type: none"> <li>Director of</li> </ul> | <b>Document data analysis:</b> The method will look at whether <ul style="list-style-type: none"> <li>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</li> </ul> <b>Structured</b> (with follow-up questions) | The assessed indicator falls into very good qualification when all the said SOP items e.g. clear jobs description, organization structure, implementation phases to solve the disputes, people involvement, decision making mechanism, time bond, information mechanism on processes and results are included in the SOP |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |
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|    |  |   |                |   | Forestry Use Planning  | <p><b>interview questions:</b> the applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>• What do you think of the job description in SOP to resolve forest area planning conflicts?</li> <li>• What do you think of the organization structure in SOP to resolve forest area planning conflicts?</li> <li>• What do you think of the implementation phases to solve the disputes in the SOP?</li> <li>• What do you think of the community involvement in the SOP?</li> <li>• What do you think of the time allocation in the SOP?</li> <li>• What do you think of the information mechanism on process and results in the SOP?</li> </ul> |  |
|    |  |   |                | <p><b>Province:</b> Provincial Forestry Department - Forest Protection Unit</p>         | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>• SOP to resolve forest area planning conflicts within the forestry agencies</li> </ul> <p><b>In-depth Interviews:</b></p> <ul style="list-style-type: none"> <li>• Head of Provincial Forestry Department</li> <li>• Director of Forest Protection Unit</li> </ul>                          |   |  |
|    |  |   |                | <p><b>District:</b> District Government Forestry Department- Forest Protection Unit</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>• Standard Operating Procedure (SOP) to resolve forest area planning conflicts in the forestry agencies</li> </ul> <p><b>In-depth Interviews:</b></p> <ul style="list-style-type: none"> <li>• Head of District Forestry Department</li> <li>• Director of Forest Protection Unit</li> </ul> |   |  |
| 32 | Number of legislators who advocate regional planning | Forest planning and regional spatial planning | Accountability | <b>Central:</b> Key resource person-members of the Parliament                           | <p><b>In-depth Interviews:</b></p> <ul style="list-style-type: none"> <li>• Members of the parliament</li> </ul>   | <b>Structured</b> (with follow up questions) <b>interview questions.</b> The applied method will solicit information based  | The assessed indicator falls into very good qualification when all the legislators who |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |
|----|----------------|--------------------------|-----------------------------|---------------------|--------------|---------|------------------|
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|   | based on sustainable forest management and access to justice for community forest management?   | issue |  | <p>Resource persons for cross check:<br/>Journalist, CSOs, Ministry of Public Work and Ministry of Forestry</p> | <p>particularly on the commission which is responsible for forestry</p> <p><b>Resource persons for cross check:</b></p> <ul style="list-style-type: none"> <li>The selected journalists, CSOs, Director of Forestry Use Planning in Ministry of Forestry and Director of Regional Planning in Ministry of Public work</li> </ul> | <p>on the following questions:</p> <ul style="list-style-type: none"> <li>How many legislators are advocating regional planning based on sustainable forest management and access to justice for community forest management?</li> </ul> | <p>work in forestry related commission support sustainable forest management and access to justice for community forest management</p> |
| <p><b>Province:</b><br/>key resource person-provincial parliament members</p> <p><b>Resource persons for cross check:</b><br/>Journalists, CSOs, Public Work Department and Forestry Department</p> | <p><b>In-depth Interviews:</b></p> <ul style="list-style-type: none"> <li>Members of Parliament particularly on commission which is responsible for forestry</li> </ul> <p><b>Resource persons for cross check:</b></p> |       |  |   |  |  |  |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |
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|----|---|---------------------------|----------------|--|---|--|---|
|    |   |                           |                | <p><b>District:</b> key resource person- District parliament members</p> <p>Resource persons for cross check: Journalist, CSOs, Public Work Department and Forestry Department</p> | <ul style="list-style-type: none"> <li>The selected journalists, CSOs, Head of Forestry Department and Public Work</li> </ul>   |  |   |
| 33 | 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. | Tenure Arrangement Issues | Accountability | <p><b>Central:</b> Ministry of Forestry</p> <p><b>Province:</b> Provincial Forestry Department</p> <p><b>District:</b> District Government Forestry Department</p>                 | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Projected needed personnel in the observation unit,</li> <li>Realization of the personnel assigned in the observation units, (employee data)</li> </ul> <p><b>In-depth Interviews:</b></p> <ul style="list-style-type: none"> <li>Head of Human Resources Department in each observation unit,</li> <li>Head of Unit which is responsible on regional spatial planning</li> </ul> | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>Formal educational background,</li> <li>length of work experience, and</li> <li>training certificate for administering indigenous peoples, local communities and business rights</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>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?</li> <li>What is your opinion that the length of experience as the</li> </ul> | The assessed indicator falls into very good qualifications when the projected needed personnel in the observation unit has reached 100 percent and have at least a bachelor degree of forest related issues, at least 3 years' experience, and training certificates as administrator for administering indigenous peoples, local communities, and business rights, is sufficient |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name  | Forest Management Issues  | PGA's Governance Principles | Unit of Observation   | Data Sources  | Methods   | Assessment Score   |
|----|---|---------------------------|-----------------------------|---|---|---|--|
|    |   |                           |                             |   |   | administrators of indigenous peoples, local communities and business rights assigned to the Planning Units have? <ul style="list-style-type: none"> <li>• What is your opinion on the personnel assigned to the indigenous peoples, local communities and business rights own training certificates?</li> </ul>   |  |
| 34 | 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 | Tenure Arrangement Issues | Capacity                    | <b>Central:</b> Ministry of Forestry<br><br><b>Province:</b> Provincial Forestry Department | <b>Documents:</b> <ul style="list-style-type: none"> <li>• Proposed activities and the budget allocation list for the same three previous years</li> <li>• Financial statements of the said institutions for the last three years</li> </ul> <b>In-depth Interviews:</b> <ul style="list-style-type: none"> <li>• Director of Forestry planning, Conservation Area</li> </ul> <b>Documents:</b> <ul style="list-style-type: none"> <li>• Proposed activities and the</li> </ul> | <b>Document data analysis:</b> This applied method will examine the following data items: <ul style="list-style-type: none"> <li>• 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</li> </ul> <b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions: <ul style="list-style-type: none"> <li>• How much funds have been allocated for the administration components of the rights of people and businesses allocated in the Budget Allocation List?</li> </ul> | The assessed indicator falls into very good qualification when the amount for the components of administering the community and business rights in the Budget Allocation List equals the proposed amount |

| Participatory Forest and REDD+ Governance Assessment Tools |  |                           |                             |   |  |   |   |
|--|--|---------------------------|-----------------------------|---|--|---|---|
| No   | Indicator Name   | Forest Management Issues  | PGA's Governance Principles | Unit of Observation   | Data Sources   | Methods   | Assessment Score  |
|  |  |                           |                             | <b>District:</b> District Government Forestry Department  | budget allocation list in the same three previous years <ul style="list-style-type: none"> <li>Financial statements of the said institutions for the last three years Data Item</li> </ul> <b>In-depth Interviews:</b> <ul style="list-style-type: none"> <li>Head of Sub-National Forestry Department</li> <li>Head of National Park</li> <li>Head of Forest Conservation Unit</li> </ul>   |   |   |
| 35   | 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 | Tenure Arrangement Issues | Equity                      | <b>Central:</b> Ministry of Forestry<br><br><b>Province:</b> Provincial Forestry Department<br><br><b>District:</b> District Government Forestry Department | <b>Documents:</b> <ul style="list-style-type: none"> <li>Documents on joint efforts</li> </ul> <b>In-depth Interviews:</b> <ul style="list-style-type: none"> <li>Director of Forestry planning, Conservation Area</li> </ul> <b>Documents:</b> <ul style="list-style-type: none"> <li>Documents on joint efforts</li> </ul> <b>In-depth Interviews:</b> <ul style="list-style-type: none"> <li>Head of Sub National Forestry</li> </ul> | <b>Document data analysis:</b> This applied method will examine the following data items: <ul style="list-style-type: none"> <li>Division of duties and responsibilities of each party, and stages of cooperation implementation,</li> <li>decision-making process, and</li> <li>timetable for the joint efforts, and mechanism of reporting the results of cooperation implementation</li> </ul> <b>Structured (with follow up questions) interview questions.</b> The applied | The assessed indicator falls into very good qualification when its cooperation mechanism reflects written agreement among units and business organizations/associations |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name   | Forest Management Issues  | PGA's Governance Principles | Unit of Observation                  | Data Sources  | Methods   | Assessment Score  |
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|    |  |                           |                             |                                      | Department <ul style="list-style-type: none"> <li>• Head of National Park,</li> <li>• Head of Forest Conservation Unit</li> </ul>   | method will solicit info based on the following questions: <ul style="list-style-type: none"> <li>• What is your opinion on the division of duties and responsibilities of each party in the mechanism for cooperation among the units?</li> <li>• What do you think of the cooperation execution stages in the cooperation mechanism among units?</li> <li>• What do you think of the decision making mechanism for cooperation among the units?</li> <li>• What do you think of the timetable for the joint efforts in the mechanism of cooperation among the units?</li> <li>• What do you think of the mechanism to report the results of cooperation between among units?</li> </ul> |   |
| 36 | The number of personnel with qualifications in the unit which handle forest related conflicts in forestry agencies | Tenure Arrangement Issues | Capacity                    | <b>Central:</b> Ministry of Forestry | <b>Documents:</b> <ul style="list-style-type: none"> <li>• Projected needed personnel in the said units</li> <li>• Realization of the personnel assigned in the said units (employee data)</li> </ul> <b>In-depth Interviews:</b> | <b>Document data analysis:</b> This applied method will examine the following data items: <ul style="list-style-type: none"> <li>• formal educational background,</li> <li>• length of work experience as mediator, and</li> <li>• training certificate for mediator</li> </ul> <b>Structured (with follow-up questions) interview questions.</b> The applied   | The assessed indicator falls into excellent qualification when the projected needed personnel in the said unit has reached 100 percent and those personnel have at least a bachelor's degree in forest related issues and mediator experience |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |
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|    |  |                           |  |   | <ul style="list-style-type: none"> <li>Director of Forestry Planning</li> <li>Head of Legal Bureau</li> </ul>  | <p>method will solicit info based on the following questions:</p> <ul style="list-style-type: none"> <li>What do you think of the formal education background of the personnel assigned to the unit which handle forest related conflicts in forestry agencies?</li> <li>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?</li> <li>What is your opinion on the personnel assigned to the unit which handle forest related conflicts in forestry agencies own mediator certificates?</li> </ul> |  |
|    |  |                           | <b>Province:</b> Provincial Forestry Department          | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Projected needed personnel in the observation units</li> <li>Realization of the personnel assigned in the observation units (employee data)</li> </ul> <p><b>In-depth Interviews:</b></p> <ul style="list-style-type: none"> <li>Head of Forest Protection at sub-national level</li> </ul> |  |   |  |
|    |  |                           | <b>District:</b> District Government Forestry Department |   |  |   |  |
| 37 | The amount of funds allocated in the Budget Allocation List to resolve the conflict within the Forestry Agencies | Tenure Arrangement Issues | Accountability   | <b>Central:</b> Ministry of Forestry  | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>The amount of funds allocated in the Budget Allocation List to resolve the conflicts in the Forestry Agencies</li> </ul> <p><b>In-depth Interviews:</b></p> <ul style="list-style-type: none"> <li>Director of Forestry planning, Conservation Area</li> </ul> | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>The amount of funds allocated in the Budget Allocation List to resolve the conflict within the Forestry Agencies</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>How much funds have been allocated in the Budget Allocation</li> </ul>  | Assessment of the amount of funds allocated to resolve conflicts in Forestry Agencies <i>is ideal</i> when the amount of funds allocated for the components to resolve conflicts in the Budget Allocation List equals the proposed |



| Participatory Forest and REDD+ Governance Assessment Tools |  |                            |                             |   |  |  |   |
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| No   | Indicator Name   | Forest Management Issues   | PGA's Governance Principles | Unit of Observation   | Data Sources   | Methods  | Assessment Score  |
|  |  |                            |                             | <b>Province:</b> Provincial Forestry Department<br><b>District:</b> District Government Forestry Department | <b>Documents:</b> The amount of funds allocated in the Budget Allocation List to resolve the conflict in the Forestry Agency<br><br><b>In-depth Interviews:</b> Head of Sub National Forestry Department, Head of National Park, Head of Forest Conservation Unit  | List to resolve conflicts within the Forestry Agency?  |   |
| 38   | The number of personnel that own technical qualification and skills to facilitate the parties in forest and peatland management units (FMUs) | Forest Organization Issues | Participation               | <b>Central:</b> Ministry of Forestry<br><br><b>Province:</b> Provincial Forestry Department                 | <b>Documents:</b> <ul style="list-style-type: none"> <li>Projected personnel needed,</li> <li>Realization of the existing personnel</li> </ul> <b>In-depth interviews:</b> <ul style="list-style-type: none"> <li>Director of Forest Management Unit under Spatial Planning Directorate</li> <li>Director of Forest Protection under conservation directorate</li> </ul> <b>Documents:</b> <ul style="list-style-type: none"> <li>Projected</li> </ul> | <b>Document data analysis:</b> This applied method will examine the following data items: <ul style="list-style-type: none"> <li>Own at least a bachelor degree in forestry or related discipline,</li> <li>has received training to become a facilitator, and</li> <li>has some work experience in facilitating the participation process of the parties in forest management</li> </ul> <b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions: <ul style="list-style-type: none"> <li>Do the personnel assigned to the forest and peatland management units (FMUs) have at least bachelor's degrees in forestry or</li> </ul> | Assessment of the number of personnel with technical qualifications and process facilitation of the parties in the forest and peatland management units (FMUs) <i>is ideal</i> when the number is reasonable and they have at least bachelor's degrees in forestry or related disciplines, work experience as facilitators and have received training as facilitators |

| Participatory Forest and REDD+ Governance Assessment Tools |   |                            |                             |  |   |  |   |
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| No   | Indicator Name  | Forest Management Issues   | PGA's Governance Principles | Unit of Observation                                      | Data Sources  | Methods  | Assessment Score  |
|  |   |                            |                             | <b>District:</b> District Government Forestry Department | <p>personnel needed,</p> <ul style="list-style-type: none"> <li>Realization of the existing personnel</li> </ul> <p><b>In-depth interviews:</b> Head of Forestry Department at sub-national level and Head of FMU</p>   | <p>related disciplines?</p> <ul style="list-style-type: none"> <li>Have the personnel assigned to the forest and peatland management units (FMUs) received any facilitator training?</li> <li>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?</li> </ul>  |   |
| 39   | The amount of funds allocated by the forest and peatland management units (FMUs) to manage the forest areas together with the communities | Forest Organization Issues | Equity                      | <b>Central:</b> Ministry of Forestry                     | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Proposed activities and the budget allocation list in the same three previous years.</li> <li>Financial statements of the said institutions for the last three years</li> </ul> <p><b>In-depth Interviews:</b></p> <ul style="list-style-type: none"> <li>Head of Sub National Forestry Department</li> </ul> | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>The amount of funds allocated by the forest and peatland management units (FMUs) to manage the forest areas together with the community</li> </ul> <p><b>Structured (with follow up questions) interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>How much funds have been allocated by the forest and peatland management units to manage the forest areas together</li> </ul> | Assessment of the amount of funds allocated by the forest and peatland management units (FMUs) to conduct forest management along with the communities <i>is ideal</i> when their amount and public involvement in the Budget Allocation List equals the proposed |

| Participatory Forest and REDD+ Governance Assessment Tools |   |   |                             |   |   |   |   |
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| No   | Indicator Name  | Forest Management Issues                | PGA's Governance Principles | Unit of Observation   | Data Sources  | Methods   | Assessment Score  |
|  |   |   |                             |   | <ul style="list-style-type: none"> <li>Head of National Park</li> <li>Head of Forest Conservation Unit</li> </ul>   | with the communities?   |   |
|  |   |   |                             | <b>Province:</b> Provincial Forestry Department<br><br><b>District:</b> District Government Forestry Department | <b>Documents:</b> <ul style="list-style-type: none"> <li>Proposed activities and the budget allocation list for the same three previous years.</li> <li>Financial statements of the said institutions for the last three years</li> </ul> <b>In-depth interviews:</b> <ul style="list-style-type: none"> <li>Head of Forestry Department at sub national level</li> <li>Head of Forest Management Unit</li> </ul> |   |   |
| 40   | The amount of forest areas allocated for indigenous peoples and local communities | Forest Management Implementation Issues | Equity                      | <b>Central:</b> Ministry of Forestry  | <b>Documents:</b> <ul style="list-style-type: none"> <li>Forest area allocation plan and</li> <li>Realization for indigenous peoples and local communities</li> </ul> <b>In-depth interviews:</b>   | <b>Document data analysis:</b> This applied method will examine the following data items: <ul style="list-style-type: none"> <li>The amount of forest area allocated for indigenous peoples and local communities</li> </ul> <b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit info based on the following questions: | Assessment of the amount of forest area allocated for indigenous peoples and local communities <i>is ideal</i> when at least 10 percent of the total forest area in every level is allocated for indigenous peoples and local communities |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |
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|    |   |   |               |  | <ul style="list-style-type: none"> <li>Director of forestry area planning</li> </ul>  | <ul style="list-style-type: none"> <li>How much forest areas have been allocated by forestry agencies for indigenous peoples and local communities?</li> </ul>  |   |
|    |   |   |               | <p><b>Province:</b> Provincial Forestry Department</p> <p><b>District:</b> District Government Forestry Department</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Forest area allocation plan</li> <li>Realization for indigenous peoples and local communities</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Head of Forestry Department at sub national level</li> </ul> |   |   |
| 41 | Number of Forest Management Units already set up and that are operational in provinces or districts | Forest Management Implementation Issues | Effectiveness | <p><b>Central:</b> Ministry of Forestry</p>  | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>The establishment plan of forest management units and the realization</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Director of Regional Forestry Management</li> </ul>                                  | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>Number of Forest Management Units already set up and that are operational in provinces/ districts</li> </ul> <p><b>Structured (with follow up questions) interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>How many do Forest Management Units are already set up and are operational in provinces/ districts?</li> </ul> | Assessment of number of Forest Management Units already set up and that are operational in provinces or districts <i>is ideal</i> when all forest area have been managed by FMU |
|    |   |   |               | <p><b>Province:</b> Provincial Forestry Department</p> <p><b>District:</b> District Government Forestry Department</p> | <p>Document Source: the establishment plan of forest management unit and the realization</p>  |   |   |

| Participatory Forest and REDD+ Governance Assessment Tools |   |   |                             |  |  |  |  |
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| No   | Indicator Name  | Forest Management Issues                | PGA's Governance Principles | Unit of Observation  | Data Sources   | Methods  | Assessment Score   |
|  |   |   |                             |  | In-depth interview:<br>Head of Forestry Department at sub national level/ head of forestry planning unit in Forestry Dept. at sub-national level   |  |  |
| 42   | Level of understanding of the permit issuers that the permit granting mechanism aims at controlling and regulating forests      | Forest Management Implementation Issues | Effectiveness               | <p><b>Central:</b> Ministry of Forestry</p> <p><b>Province:</b> Provincial Forestry Department</p> <p><b>District:</b> District Government Forestry Department</p> | <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Director of Regional Forestry Management</li> <li>Director of Forestry Planning</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Head of Forestry Department at sub national level</li> <li>Head of forestry planning unit in Forestry Department at sub-national level</li> </ul> | <p><b>Structured</b> (with follow-up questions) <b>Interview questions.</b> The applied method will solicit info based on the following questions:</p> <ul style="list-style-type: none"> <li>What are the arguments of issuing forest permits?</li> </ul>   | Assessment of level of understanding of the permits issuers that the permits granting mechanism aims at controlling and regulating forests <i>is ideal</i> when the official who issue the permit understand that the permit granting mechanism aims to govern forest beside optimizing forest utilization |
| 43   | The number of Forest Management Units (FMUs) that apply internal control systems (referring to Decree of the Forestry Ministry) | Forest Control and Enforcement Issues   | Accountability              | <p><b>Province:</b> Head of FMU</p> <p><b>District:</b> Head of FMU</p>  | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Activity plan</li> <li>Report of realization</li> <li>Financial Statements</li> <li>Working Mechanism</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Head of FMU</li> </ul>  | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>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</li> </ul> <p><b>Structured</b> (with follow up questions)</p> | Assessment of the number of FMUs which apply <i>internal</i> control system <i>is ideal</i> when all the forest management implementation plans may be properly executed and meet the principles of good governance  |

| Participatory Forest and REDD+ Governance Assessment Tools |  |                                       |                             |   |  |   |  |
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| No   | Indicator Name   | Forest Management Issues              | PGA's Governance Principles | Unit of Observation   | Data Sources   | Methods   | Assessment Score   |
|  |  |                                       |                             |   |  | <p><b>interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>• What is your opinion on FMUs performance in implementing the internal control systems?</li> <li>• Has the FMU working mechanism, which applies internal control system, adopted the principles of good governance?</li> </ul>   |  |
| 44   | The adequate number of police officers and own sufficient qualifications in forestry and environment | Forest Control and Enforcement Issues | Capacity                    | <p><b>Central:</b> National Police Office</p> <p><b>Province:</b> Regional Police Office</p> <p><b>District:</b> Resort Police Office</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>• Projected need of police officers,</li> <li>• Realization of the police officers assigned,</li> <li>• Report of training,</li> <li>• Report of employees</li> </ul> <p><b>In-depth Interviews:</b></p> <ul style="list-style-type: none"> <li>• Head of Human Resource or Head of Criminal Unit</li> </ul> | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>• Certificates or proofs of training attendance and</li> <li>• field work experience related to forestry and environmental offenses</li> </ul> <p><b>Structured (with follow-up questions) Interview questions.</b> The applied method will solicit info based on the following questions:</p> <ul style="list-style-type: none"> <li>• Is there a sufficient number of police officers with sufficient qualification in the field of forestry and the environment?</li> <li>• Do the police officers, that are handling forestry and environment offenses, own certificates or proofs of training attendance?</li> </ul> | Assessment of the number of police officers with adequate qualification in forestry and the environment <i>is ideal</i> when the number is reasonable and they carry qualification as proved by training certificates and work experience in forestry and the environment law enforcement for at least 3 years |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |
|----|----------------|--------------------------|-----------------------------|---------------------|--------------|---------|------------------|
|----|----------------|--------------------------|-----------------------------|---------------------|--------------|---------|------------------|

|    |  |                                       |          |  |   |  |   |
|----|--|---------------------------------------|----------|--|---|--|---|
|    |  |                                       |          |  |   | <ul style="list-style-type: none"> <li>Do the police officers handling forestry and environment offenses have sufficient work experience?</li> </ul>   |   |
| 45 | Sufficient number of prosecutors and own adequate qualifications in forestry and environment | Forest Control and Enforcement Issues | Capacity | <p><b>Central:</b> National Prosecutor Office</p> <p><b>Province:</b> High Prosecutor Office</p> <p><b>District:</b> Low Prosecutor Office</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Projected needed of prosecutors,</li> <li>Realization of the prosecutors assigned,</li> <li>Report of training,</li> <li>Report of employees</li> <li>Certificates or proofs of training attendance</li> </ul> <p><b>In-depth Interviews:</b></p> <ul style="list-style-type: none"> <li>Head of Human Resource in National Prosecutor Office</li> <li>Head of Prosecutor office in high and low level</li> </ul> | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>Sufficient number of prosecutors and own adequate qualifications in forestry and the environment,</li> <li>certificates or proofs training attendance, and</li> <li>work experience in the fields related to forestry and environmental offenses</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit info based on the following questions:</p> <ul style="list-style-type: none"> <li>Is there sufficient number of prosecutors with adequate qualification in forestry and the environment?</li> <li>Do the prosecutors in charge of forest and environment law enforcement own certificates or proofs of training attendance?</li> <li>Do the attorney officers prosecuting forestry and environment offenses have sufficient work experience?</li> </ul> | Assessment of the adequate number of prosecutors with sufficient qualification in the field of forestry and the environment <i>is ideal</i> when the court has an adequate number of judges owning the qualification and training certificates and work experience in forestry and environment law enforcement for at least 3 years |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name  | Forest Management Issues              | PGA's Governance Principles | Unit of Observation   | Data Sources  | Methods  | Assessment Score   |
|----|---|---------------------------------------|-----------------------------|---|---|--|--|
| 46 | Sufficient number of judges and have adequate qualifications in forestry and environment                | Forest Control and Enforcement Issues | Capacity                    | <p><b>Central:</b> Supreme Court</p> <p><b>Province:</b> High Court Office</p> <p><b>District:</b> Low Court Office</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>• Projected need of judges</li> <li>• Realization of the judges assigned</li> <li>• Report of training</li> <li>• Report of employees</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>• Head of Human Resource in Supreme Court Office</li> <li>• Head of Judge in high and low level</li> </ul> | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>• The number of judges that have adequate qualifications in forestry and environment,</li> <li>• certificates/proofs training attendance, and</li> <li>• work experience in the fields related to forestry and environmental offenses</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit info based on the following questions:</p> <ul style="list-style-type: none"> <li>• Is there a sufficient number of judges with forestry and environment qualification?</li> <li>• Do the judges in charge of the forest and environment law enforcement own certificates or proofs of training attendance?</li> <li>• Do the judges prosecuting forestry and environment offenses have sufficient work experience?</li> </ul> | Assessment of the adequate number of judges with sufficient qualification in the field of forestry and environment <i>is ideal</i> when the court has an adequate number of judges owning qualification and training certificates and work experience for at least 3 years in forestry and environment law enforcement |
| 47 | The number of criminal cases exposure on forest and environment done by police office in the five years | Forest Control and Enforcement Issues | Effectiveness               | <p><b>Province:</b> Regional Police Office</p> <p><b>District:</b> Resort Police Office</p>                             | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>• Case report</li> <li>• Case exposure report</li> </ul> <p><b>In-depth interviews:</b></p>   | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>• The number of criminal cases exposure on forest and environment done by the police</li> </ul>  | Assessment of the number of criminal cases exposure on forest and environment done by police office in the last five years <i>is ideal</i> when all cases related forest and   |



**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name                      | Forest Management Issues    | PGA's Governance Principles | Unit of Observation  | Data Sources   | Methods   | Assessment Score  |
|----|-------------------------------------|-----------------------------|-----------------------------|--|--|---|---|
|    |                                     |                             |                             |  | Head of Criminal Unit at regional and resort police office   | office in the last five years<br><b>Structured</b> (with follow-up questions) <b>Interview questions.</b> The applied method will solicit information based on the following questions:<br><ul style="list-style-type: none"> <li>How many criminal cases exposure on forest and environment done by police office in the last five years?</li> </ul>   | environment have been exposed   |
| 48 | The existence of REDD+ institutions | REDD+ Infrastructure Issues | Capacity                    | <p><b>Central:</b> The Presidential REDD+ Task Force</p> <p><b>Province:</b> Forestry Department</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Presidential regulation,</li> <li>Draft concept of REDD+ institutions,</li> <li>Decrees on the regulations which govern REDD+ institutions</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Head of national Strategy Working Group</li> <li>Governor Regulations,</li> <li>Draft concept of REDD+ institutions,</li> <li>Decrees on the regulations which govern REDD+</li> </ul> | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>The presence or absence of REDD+ institutions at the national and sub national level and</li> <li>support to the regulations on the existence of REDD+ at the national and sub-national level</li> </ul> <p><b>Structured</b> (with follow-up questions) <b>interview questions.</b> The applied method will solicit info based on the following questions:</p> <ul style="list-style-type: none"> <li>Are there REDD+ institutions at the sub-national level?</li> <li>Are there sufficient supporting regulations on REDD+ institutions?</li> </ul> | Assessment of the existence of REDD+ institutions at the national and sub national level <i>is ideal</i> when their existence is based on Presidential Regulations at the national level and governor regulations at the sub-national level |

| Participatory Forest and REDD+ Governance Assessment Tools |  |                             |                             |   |  |   |   |
|--|--|-----------------------------|-----------------------------|---|--|---|---|
| No   | Indicator Name   | Forest Management Issues    | PGA's Governance Principles | Unit of Observation   | Data Sources   | Methods   | Assessment Score  |
|  |  |                             |                             |   | institutions<br><b>In-depth interviews:</b> <ul style="list-style-type: none"> <li>Head of Forest Dept.</li> </ul>   |   |   |
|  |  |                             |                             | <b>District:</b> Forestry Department  | Head of District <ul style="list-style-type: none"> <li>Regulations,</li> <li>Draft concept of REDD+ institutions,</li> <li>Decrees on the regulations which govern REDD+ institutions</li> </ul> <b>In-depth interviews:</b> <ul style="list-style-type: none"> <li>Head of Forest Department</li> </ul>  |   |   |
| 49   | The existence of MRV (Measurable, Reportable, Verifiable) institutions | REDD+ Infrastructure Issues | Capacity                    | <b>Central:</b> The Presidential REDD+ Task Force<br><br><b>Province:</b> Head of Forestry Department | <b>Documents:</b> <ul style="list-style-type: none"> <li>Presidential MRV institutional concept,</li> <li>Decrees on the regulations which govern MRV institutions</li> </ul> <b>In-depth interviews:</b> <ul style="list-style-type: none"> <li>Head of MRV working group</li> </ul> <b>Documents:</b> <ul style="list-style-type: none"> <li>Governor Regulations</li> </ul> | <b>Document data analysis:</b> This applied method will examine the following data items: <ul style="list-style-type: none"> <li>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</li> </ul> <b>Structured</b> (with follow-up questions) <b>Interview questions.</b> The applied method will solicit info based on the following questions: <ul style="list-style-type: none"> <li>Are there MRV institutions at the sub-national level?</li> </ul> | Assessment of the existence of REDD+ institutions at the national and sub national level <i>is ideal</i> when the existence of MRV institutions at the national level in the form of presidential regulations and at the sub-national level in the form of governor regulations |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No  | Indicator Name  | Forest Management Issues    | PGA's Governance Principles | Unit of Observation                               | Data Sources  | Methods   | Assessment Score  |
|---|---|-----------------------------|-----------------------------|---|---|---|---|
|   |   |                             |                             |   | <ul style="list-style-type: none"> <li>• Draft concept of MRV institutions</li> <li>• Decrees on the regulations which govern MRV institutions</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>• Head of Forest Dept.</li> </ul> | <ul style="list-style-type: none"> <li>• Are there sufficient supporting regulations on MRV institutions?</li> </ul>  |   |
| <p><b>District:</b> Head of Forestry Department</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>• Head of District Regulations,</li> <li>• Draft concept of MRV institutions,</li> <li>• Decrees on the regulations which govern MRV institutions</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>• Head of Forest Department</li> </ul> |                             |                             |   |   |   |   |
| 50  | The existence of financial institutions   | REDD+ Infrastructure Issues | Capacity                    | <b>Central:</b> The Presidential REDD+ Task Force | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>• Presidential regulations,</li> <li>• Draft concept of financial institutions, decrees which govern financial institutions</li> </ul>  | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>• The presence or absence of financial institutions at national and sub national level and</li> <li>• supporting regulations on the existence of financial institutions at the national and sub-national level</li> </ul> | Assessment of the existence of financial institutions at the national and sub national level <i>is ideal</i> when their existence is based on Presidential Regulations at the national level and governor regulations at the sub national level |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name   | Forest Management Issues    | PGA's Governance Principles | Unit of Observation                               | Data Sources  | Methods  | Assessment Score  |
|----|--|-----------------------------|-----------------------------|---|---|--|---|
|    |  |                             |                             |   | <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Head of Financial working group</li> </ul> <p><b>Province: Head of Forestry Department.</b></p> <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Governor regulations,</li> <li>Draft concept of financial institutions,</li> <li>Decrees which govern financial institutions</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Head of Forest Department</li> </ul> <p><b>District: Head of Forestry Department</b></p> <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Head of District regulations,</li> <li>Draft concept of financial institutions,</li> <li>Decrees which govern financial institutions</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Head of Forest Department</li> </ul> | <p><b>Structured</b> (with follow-up questions) <b>interview questions.</b> The applied method will solicit info based on the following questions:</p> <ul style="list-style-type: none"> <li>Are there financial institutions in the sub-national level?</li> <li>Are there sufficient supporting regulations on financial institutions?</li> </ul> |   |
| 51 | Sufficient number of personnel with qualification in REDD+ Working Group | REDD+ Infrastructure Issues | Capacity                    | <b>Central:</b> The Presidential REDD+ Task Force | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Projected personnel needed,</li> </ul>  | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>certificates/proofs of training</li> </ul>   | Assessment of the number of personnel with qualification in REDD+ institutions at the national and sub-national |

| Participatory Forest and REDD+ Governance Assessment Tools |   |                             |                             |   |  |   |  |
|--|---|-----------------------------|-----------------------------|---|--|---|--|
| No   | Indicator Name  | Forest Management Issues    | PGA's Governance Principles | Unit of Observation   | Data Sources   | Methods   | Assessment Score   |
|  |   |                             |                             |   | <ul style="list-style-type: none"> <li>realization of personnel recruited,</li> <li>Report of training,</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Head of the Presidential Working Group</li> </ul>   | <p>attendance in forest and environment management,</p> <ul style="list-style-type: none"> <li>work experience in forest and environmental management</li> </ul> <p><b>Structured</b> (with follow-up questions) <b>Interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>Is there a sufficient number of personnel with enough qualification in forest and environment management at the national and sub-national level?</li> <li>Do the personnel own certificates or proofs of training attendance in forestry and environment management?</li> <li>Do the personnel in charge of forest and environment management have sufficient work experience?</li> </ul> | <p>level <i>is ideal</i> when the number is reasonable and they own qualification as proved by training certificates and work experience in forestry and the environment management for at least 3 years</p> |
|  |   |                             |                             | <p><b>Province:</b> Head of Forestry Department</p> <p><b>District:</b> Head of Forestry Department</p>         | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Projected personnel needed</li> <li>Realization of personnel recruited</li> <li>Report of training,</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Head of Forestry Dept.</li> </ul> |   |  |
| 52   | The amount of funds allocated for the participatory development of REDD+ infrastructure | REDD+ Infrastructure Issues | Participation               | <p><b>Central:</b> The Presidential REDD+ Task Force, Ministry of Forestry, National Climate Change Council</p> | <p><b>Documents:</b></p> <p>Proposed activities and the budget Allocation List for the same two previous years and the financial statements of the said institution from the previous two years</p> <p><b>In-depth interviews:</b></p>   | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>The amount of funds allocated for the participatory development of REDD+ infrastructure</li> </ul> <p><b>Structured</b> (with follow-up questions) <b>interview questions.</b> The applied method will solicit information based</p>  | <p>Assessment of the amount of funds allocated to develop REDD+ infrastructure in participatory manner <i>is ideal</i> when the funds to do so in the Budget Allocation List equals the proposed funds</p>   |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |
|----|----------------|--------------------------|-----------------------------|---------------------|--------------|---------|------------------|
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|    |                                  |                             |               |  |   |  |  |
|----|----------------------------------|-----------------------------|---------------|--|---|--|--|
|    |                                  |                             |               |  | <ul style="list-style-type: none"> <li>Head of the Presidential Working Group,</li> <li>Head of Climate Change Unit in the Ministry of Forestry,</li> <li>General Secretary of National climate Change Council</li> </ul>   | on the following questions: <ul style="list-style-type: none"> <li>How much funds have been allocated to develop participatory REDD+ infrastructure development?</li> </ul>                |  |
|    |                                  |                             |               | <b>Province:</b> Head of Forestry Dept.<br><b>District:</b> Head of Forestry Dept.               | <b>Documents:</b> <ul style="list-style-type: none"> <li>Proposed activities and the budget allocation list in the same two previous years</li> <li>the financial statements of the said institution from previous two years</li> </ul> <b>In-depth interviews:</b> <ul style="list-style-type: none"> <li>Head Forestry Dept. at sub national level</li> </ul> |  |  |
| 53 | Availability of REDD+ Safeguards | REDD+ Infrastructure Issues | Effectiveness | <b>Central:</b> The Presidential REDD+ Task Force, Ministry of Forestry, National Climate Change | <b>Documents:</b> <ul style="list-style-type: none"> <li>Presidential Regulations,</li> <li>Draft concept of REDD+ safeguard</li> </ul>   | <b>Document data analysis:</b> This applied method will examine the following data items: <ul style="list-style-type: none"> <li>The presence or absence of REDD+ safeguard and</li> </ul> | Assessment of the availability of safety framework of REDD+ infrastructure development at the national and sub national level <i>is ideal</i> when its |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |
|----|----------------|--------------------------|-----------------------------|---------------------|--------------|---------|------------------|
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|--|---|--|--|---------|--|---|--|
|  |   |  |  | Council | <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>• Presidential Working Group,</li> <li>• Head of Climate Change Unit in the Ministry of Forestry,</li> <li>• General Secretary of National climate Change Council</li> </ul> | <ul style="list-style-type: none"> <li>• supporting regulations on the REDD+ safeguard</li> </ul> <p><b>Structured</b> (with follow-up questions) <b>interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>• Is there a safety framework at national and sub-national level?</li> <li>• Are there sufficient supporting regulations on the security framework?</li> </ul> | <p>existence is based on Presidential regulations at the national level and governor regulations at the sub national level</p> |
| <p><b>Province:</b> Head of Forestry Department.</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>• Governor Regulations,</li> <li>• Draft concept of REDD+ safeguard</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>• Head of Forestry Dept.</li> </ul>              |  |  |         |  |   |  |
| <p><b>District:</b> Head of Forestry Department</p>  | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>• Head of District Regulations,</li> <li>• Draft concept of REDD+ safeguard</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>• Head of Forestry Department</li> </ul> |  |  |         |  |   |  |

| Participatory Forest and REDD+ Governance Assessment Tools                                    |  |                                      |                             |  |  |   |  |
|---|--|--------------------------------------|-----------------------------|--|--|---|--|
| No  | Indicator Name   | Forest Management Issues             | PGA's Governance Principles | Unit of Observation  | Data Sources   | Methods   | Assessment Score   |
| 54  | The sufficient number of personnel with qualification to work in REDD+ institutions to mediate conflicts as a result of the REDD+ benefit distribution | REDD+ Infrastructure Issues          | Capacity                    | <b>Central:</b> The Presidential REDD+ Task Force            | <b>Documents:</b> <ul style="list-style-type: none"> <li>Projected needed personnel,</li> <li>Realization of the personnel assigned,</li> <li>Report of training,</li> </ul> <b>In-depth interviews:</b> <ul style="list-style-type: none"> <li>Head of the Presidential REDD+ Task Force</li> </ul> | <b>Document data analysis:</b> This applied method will examine the following data items: <ul style="list-style-type: none"> <li>Certificates/proofs training attendance in mediating conflicts of REDD+ profit sharing and</li> <li>work experience in mediating conflicts of REDD+ profit sharing</li> </ul> <b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions: <ul style="list-style-type: none"> <li>Is there a sufficient number of personnel with enough qualifications to mediate conflicts of REDD+ benefit distribution at the national and sub-national level?</li> <li>Do the personnel own certificates or proofs of training attendance in the conflicts of REDD+ benefit distribution?</li> <li>Do the personnel in charge of mediating the conflict of REDD+ benefit distribution have sufficient work experience?</li> </ul> | Assessment of the number of personnel with qualifications to mediate conflicts of REDD+ profit sharing <i>is ideal</i> when REDD+ institutions at the national and sub-national level own a reasonable number of personnel with qualifications as proved by training certificates and work experience in mediating REDD+ profit sharing for at least 3 years |
|   |  |                                      |                             | <b>Province:</b> Head of Forestry Department                 | <b>Documents:</b> <ul style="list-style-type: none"> <li>Projected needed personnel,</li> <li>Realization of the personnel assigned,</li> <li>Report of training,</li> <li>Report of employees</li> </ul>  |   |  |
|   |  |                                      |                             | <b>District:</b> Head of Forestry Department                 | <b>In-depth interviews:</b> <ul style="list-style-type: none"> <li>Head of the Forestry Department at sub national level</li> </ul>  |   |  |
| <b>Component 2: Actors' Capacity-Civil Society Organizations, Academicians and Journalist</b> |  |                                      |                             |  |  |   |  |
| 55  | Number of NGO activists who actively provide inputs for  | Regional spatial and forest planning | Participation               | <b>Central:</b> National Environmental NGOs based in Jakarta | <b>Documents:</b> <ul style="list-style-type: none"> <li>Lists of</li> </ul>   | <b>Document data analysis:</b> This applied method will examine the following data items:   | Assessment of NGO activists who actively provide inputs to the regional and forest   |



| Participatory Forest and REDD+ Governance Assessment Tools |   |                                      |                             |   |  |   |  |
|--|---|--------------------------------------|-----------------------------|---|--|---|--|
| No   | Indicator Name  | Forest Management Issues             | PGA's Governance Principles | Unit of Observation   | Data Sources   | Methods   | Assessment Score   |
|  | regional spatial and forest planning  |                                      |                             | <p><b>Province:</b> Provincial Environmental NGOs based in the capital city of province</p> <p><b>District:</b> District Environmental NGOs based in the capital city of district</p> | <p>participants,</p> <ul style="list-style-type: none"> <li>Minutes of the discussion on forest planning attended by NGO activists,</li> <li>Media clippings, Statement (Press Releases)</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Director of NGOs</li> </ul>                          | <ul style="list-style-type: none"> <li>The materials presented by NGO activists in the meetings which discuss regional and forestry planning,</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit info based on the following questions:</p> <ul style="list-style-type: none"> <li>Is there a sufficient number of NGO activists who eagerly provide inputs on the regional spatial and forestry planning?</li> <li>Are the materials presented by NGO activists in meetings that discussing regional spatial and forestry planning adequate?</li> </ul> | planning is excellent when <i>their number is ideal</i> and able to articulate the objective conditions of forest spatial plans, the interests of indigenous/local communities and forest conservation   |
| 56   | Number of academicians that actively provide input for regional and forest planning | Regional spatial and forest planning | Participation               | <p><b>Province:</b> Academics based in the capital city of province</p> <p><b>District:</b> Academics based in the district city of province</p>                                      | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>List of attendance,</li> <li>Minutes of the discussion on forestry planning attended by academics</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>The identified academics that actively provide input on regional</li> </ul> | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>The materials presented by the academics in the meetings which discuss regional and forestry planning</li> </ul> <p><b>Structured (with follow-up questions) Interview questions.</b> The applied method will solicit info based on the following questions:</p> <ul style="list-style-type: none"> <li>Is there sufficient number of academicians that eagerly</li> </ul>  | Assessment of the number of academicians that actively provide inputs in regional and forest planning <i>is ideal</i> when the academicians are able to articulate the objective conditions of forest spatial plans, the interests of indigenous peoples and forest conservation |

| Participatory Forest and REDD+ Governance Assessment Tools |  |                                      |                             |  |   |   |   |
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| No   | Indicator Name   | Forest Management Issues             | PGA's Governance Principles | Unit of Observation  | Data Sources  | Methods   | Assessment Score  |
|  |  |                                      |                             |  | spatial and forestry planning.  | <p>provide inputs in the regional and forestry planning?</p> <ul style="list-style-type: none"> <li>Are the materials presented by the academicians in meetings that discuss regional and forestry planning adequate?</li> </ul>  |   |
| 57   | 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. | Regional spatial and forest planning | Accountability              | <p><b>Central:</b> National environmental or anti-corruption NGOs based in Jakarta</p> <p><b>Province:</b> Provincial environmental or anti-corruption NGOs based in the capital city of province</p> <p><b>District:</b> District environmental or anti-corruption NGOs based in the capital city of district</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>NGOs annual report</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Director of NGOs</li> </ul> | <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>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?</li> <li>Do the civil society groups, which indicate procedural irregularities and potential loss as a result of regional and forestry planning, have adequate competence?</li> </ul> | Assessment of the number of civil society groups, who show to the public any procedural irregularities and community potential loss as a result of consistent regional and forest planning <i>is ideal</i> when there are civil society groups doing this regularly and transparently and used by the news reporters as news source |
| 58   | Number of NGO activists/NGO networks which assist the communities in doing community forest mapping  | Regional spatial and forest planning | Capacity                    | <p><b>Central:</b> National environmental NGOs based in Jakarta but have work at sub-national level</p> <p><b>Province:</b> Provincial Environmental NGOs based in the capital city of province</p>  | <p><b>Documents:</b></p> <p>NGOs annual report</p> <p><b>In-depth interviews:</b></p> <p>Director of NGOs</p>   | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>NGOs annual report</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit info based on the</p>  | Assessment of NGO activists/NGO networks which assist the community in doing their forestry area mapping <i>is ideal</i> when the number of such civil society do it on a regular basis, and there is transfer of knowledge and skill to community members  |

| Participatory Forest and REDD+ Governance Assessment Tools |   |                                      |                             |  |  |  |  |
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| No   | Indicator Name  | Forest Management Issues             | PGA's Governance Principles | Unit of Observation  | Data Sources   | Methods  | Assessment Score   |
|  |   |                                      |                             | <b>District:</b> District Environmental NGOs based in the capital city of district   |  | <p>following questions:</p> <ul style="list-style-type: none"> <li>Are there any NGOs that assist the communities in doing their forestry area mapping?</li> <li>Do the activists, NGOs/NGO networks, which assist the community in mapping out the territories, have adequate competence?</li> </ul>  |  |
| 59   | Sources of funds used by NGOs/NGO networks which assist the communities in doing community forest mapping   | Regional spatial and forest planning | Capacity                    | <p><b>Central:</b> National environmental NGOs based in Jakarta but are active at sub national level</p> <p><b>Province:</b> Provincial Environmental NGOs based in the capital city of province</p> <p><b>District:</b> District Environmental NGOs based in the capital city of district</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>NGOs annual reports</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Director of NGOs</li> </ul> | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>NGOs annual reports</li> </ul> <p><b>Structured (with follow-up questions) Interview questions.</b> The applied method will solicit info based on the following questions:</p> <ul style="list-style-type: none"> <li>Is there sufficient funding sources used by NGOs/NGO networks to assist the communities in mapping out the forest area?</li> </ul> | Assessment of the sources of funds used by NGOs/NGO networks which assist the communities in doing the regional mapping <i>is ideal</i> when such NGOs/NGO network doing so receive the funds on a regular and non-binding basis                   |
| 60   | The mechanism to report the results or process of the participation involvement to civil society organizations, communities assisted and the public | Regional spatial and forest planning | Accountability              | <p><b>Central:</b> National environmental NGOs based in Jakarta but are active at sub national level</p> <p><b>Province:</b> Provincial environmental NGOs based in the capital city of province</p>   | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Document of mechanism to report back or note of the results of meetings with the parties</li> </ul>                                  | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>Procedures for presenting the participation result or the participation process,</li> <li>standardization of report contents or participation process</li> </ul>   | Assessment of the mechanism to report the participation outcomes or process applied to the civil society organizations, communities providing assistance and the public <i>is ideal</i> when such mechanism addresses the procedure to present the |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |
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|  |  |  |  | <p><b>District:</b> District environmental NGOs based in the capital city of district</p> | <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Director of NGOs</li> </ul> | <ul style="list-style-type: none"> <li>forums to present the participation results or processes,</li> <li>selection of participants to the forum to convey participation results or processes, and</li> <li>mechanism to give inputs from the forum participants</li> </ul> <p><b>Structured</b> (with follow-up questions) <b>Interview questions.</b> The applied method will solicit info based on the following questions:</p> <ul style="list-style-type: none"> <li>Has the reporting mechanism, which reports the participation results or process, addressed the procedure of presenting the participation result or process?</li> <li>Does the mechanism for reporting the participation results or process address the standardization of the report contents or participation process?</li> <li>Does the mechanism for reporting the participation results or process address the forum for presenting the participation results or process?</li> <li>Does the mechanism for reporting the participation results or process address the selection of the participants to the forum for presenting the participation</li> </ul> | <p>results, standardization of report contents, forum to present the results, selection of participants and the mechanism to present the inputs</p> |
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**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |
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|    |  |                           |          |   |   | <p>results or process?</p> <ul style="list-style-type: none"> <li>Does the mechanism for reporting the participation results or process address the mechanism for presenting the inputs from the forum participants?</li> </ul>  |   |
| 61 | Number of NGO activists that own the legal drafting skills pertaining to the rights of indigenous/local communities to forests | Tenure Arrangement Issues | Capacity | <p><b>Central:</b> National environmental NGOs based in Jakarta</p> <p><b>Province:</b> Provincial environmental NGOs based in the capital city of province</p> <p><b>District:</b> District environmental NGOs based in the capital city of district</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Training materials and legal drafting documents,</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>The selected legal drafters in each NGOs or and Director of NGOs</li> </ul> | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>Proof of participation in the legal drafting training and</li> <li>length of work or experience as a legal drafter</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit info based on the following questions:</p> <ul style="list-style-type: none"> <li>Is there sufficient number NGO activists that are competent in legal drafting pertaining to the indigenous peoples?</li> <li>Do the NGO activists, who are competent in legal drafting associated with the indigenous peoples, own the evidence of participation in legal drafting training?</li> <li>How much of work experience do NGO activists have on legal drafting?</li> </ul> | Assessment of NGO activists that are competent in legal drafting associated with indigenous peoples <i>is ideal</i> when the number of those owning the required qualifications is sufficient, and they own proofs of participation in legal drafting training and sufficient work experience as legal drafters |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |
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|----|---|---------------------------|----------------|---|--|---|---|
| 62 | Number of academicians that own the legal drafting skills pertaining to the rights of indigenous/local communities to forests | Tenure Arrangement Issues | Capacity       | <p><b>Province:</b> Dean of Faculty of Law based in the capital city of province</p> <p><b>District:</b> Dean of Faculty of Law based in the capital city of district</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>• Training materials and legal drafting documents</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>• Dean of Faculty of Law based in the capital city of district</li> </ul> | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>• Proof of participation in the legal drafting training</li> <li>• Length of work or experience as a legal drafter</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit info based on the following questions:</p> <ul style="list-style-type: none"> <li>• Is there sufficient number academics competent in legal drafting pertaining to the indigenous peoples?</li> <li>• Do the academics, which are competent in legal drafting associated with the indigenous peoples, own the evidence of participation in legal drafting training?</li> <li>• How much of work experience do the academics have on legal drafting?</li> </ul> | Assessment of academicians who are competent in legal drafting associated with indigenous peoples <i>is ideal</i> when the number of those owning the required qualification is sufficient number, and they own proofs of participation in legal drafting training and sufficient work experience as legal drafters |
| 63 | The number of NGOs/NGO networks that own the  | Tenure Arrangement Issues | Accountability | <b>Central:</b> National environmental or anti-corruption NGOs  | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>• Annual reports</li> </ul>  | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p>  | Assessment of the number of NGO/NGO networks that own the program to monitor the  |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |
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|    | programs to monitor the arrangement of the rights of the indigenous peoples to forests                             |                           |                | <p>based in Jakarta</p> <p><b>Province:</b> Provincial environmental or anti-corruption NGOs based in the capital city of province</p> <p><b>District:</b> District Environmental or anti-corruption NGOs based in the capital city of district</p> | <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Director of NGOs</li> </ul> <p><b>Media analysis:</b></p> <ul style="list-style-type: none"> <li>The biggest printing media at national and province level</li> </ul> | <ul style="list-style-type: none"> <li>Annual report</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>Is there a sufficient number of NGOs/NGO network which monitor how the rights of the indigenous peoples to the forests are granted?</li> </ul> <p><b>Media analysis:</b> This applied method will collect data based on the guided categories:</p> <ul style="list-style-type: none"> <li>The names of NGOs which monitor the monitoring the rights of indigenous peoples?</li> <li>The types of NGOs which monitor the arrangement of rights of indigenous peoples?</li> <li>The types of monitoring carried out by NGOs based on the information from the newspapers?</li> </ul> | arrangement of the rights of the indigenous peoples to forests <i>is ideal</i> when there is at least one NGO/NGO network in each assessment location who own the programs to monitor the arrangement of the rights of the indigenous peoples to forests |
| 64 | Code of ethics that are applied by NGOs/ NGO networks in monitoring the rights of indigenous communitiesto forests | Tenure Arrangement Issues | Accountability | <p><b>Central:</b> National environmental NGOs based in Jakarta</p> <p><b>Province:</b> Provincial environmental NGOs based in the capital city of province</p>   | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Codes of ethics</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Directors of NGOs</li> </ul>   | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>Code of conducts</li> </ul> <p><b>Structured (with follow-up questions) Interview questions.</b> The applied method will solicit information based</p>   | Assessment of the codes of conduct applied by NGOs/NGO networks in doing the monitoring <i>is ideal</i> when they include the principles of good governance (6 principles) and have enough   |

| Participatory Forest and REDD+ Governance Assessment Tools |  |                           |                             |   |  |   |  |
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| No   | Indicator Name   | Forest Management Issues  | PGA's Governance Principles | Unit of Observation   | Data Sources   | Methods   | Assessment Score   |
|  |  |                           |                             | <b>District:</b> District environmental NGOs based in the capital city of district  |  | <p>on the following questions:</p> <ul style="list-style-type: none"> <li>• Have the codes of conduct applied by NGOs/NGO networks to carry out monitoring already incorporated the principles of good governance (6 principles)?</li> <li>• What is your opinion on the credibility of the codes of conduct applied by the NGOs/NGO networks in doing the monitoring?</li> </ul>   | credibility  |
| 65   | 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 | Tenure Arrangement Issues | Accountability              | <p><b>Central:</b> National environmental NGOs based in Jakarta</p> <p><b>Province:</b> Provincial environmental NGOs based in the capital city of province</p> <p><b>District:</b> District environmental NGOs based in the capital city of district</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>• NGOs annual report</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>• Directors of NGOs</li> </ul> <p><b>Media analysis:</b></p> <ul style="list-style-type: none"> <li>• The biggest printing media at national and sub-national level</li> </ul> | <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>• 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?</li> <li>• 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?</li> </ul> <p><b>Media analysis.</b> The applied method will solicit information based on the guided categories:</p> | Assessment of the number of civil society groups, who show to the public any procedural irregularities and communities potential losses as a result of to the issues of rights to forests and lands, <i>is ideal</i> when there are civil society groups doing this regularly and transparently and used by the news reporters as news source. |



| Participatory Forest and REDD+ Governance Assessment Tools |   |                            |                             |   |   |   |   |
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| No   | Indicator Name  | Forest Management Issues   | PGA's Governance Principles | Unit of Observation   | Data Sources  | Methods   | Assessment Score  |
|  |   |                            |                             |   |   | <ul style="list-style-type: none"> <li>Names of civil society groups which show to the public the irregularity of procedure and potential losses suffered by peoples as a result of problems related to rights to forests and land?</li> <li>The types of NGOs which show to the public the irregularity of procedure and potential losses suffered by peoples as a result of problems related to rights to forests and land?</li> <li>The types of procedural irregularities and potential losses suffered by peoples as a result of problems related to rights to forests and land based on the information from the newspapers?</li> </ul> |   |
| 66   | The number of NGOs that have capacity building programs for their members/staff to monitor the forest and peatland management | Forest Organization Issues | Capacity                    | <p><b>Central:</b> National environmental NGOs based in Jakarta</p> <p><b>Province:</b> Provincial environmental NGOs based in the capital city of province</p> <p><b>District:</b> District environmental NGOs based in the capital city of district</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>NGOs annual reports and work plan</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Directors of NGOs</li> </ul> | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>Annual work plans and</li> <li>annual reports</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>Is there a sufficient number NGOs with the capacity building</li> </ul>  | Assessment of number of NGOs that have capacity building programs for their members/staff to monitor forest and peatland management <i>is ideal</i> when there is a NGO who have capacity building programs for their members/staff to monitor the forest and peatland management in each assessment location |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |
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|    |   |                            |                |   |  | programs for their members/staff to monitor forest and peatland management?   |   |
| 67 | The mechanism to select NGO representatives to multi party forums/institutions    | Forest Organization Issues | Transparency   | <p><b>Central:</b> National environmental NGOs based in Jakarta</p> <p><b>Province:</b> Provincial environmental NGOs based in the capital city of province</p> <p><b>District:</b> District environmental NGOs based in the capital city of district</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Internal mechanism</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Directors of NGOs</li> </ul> | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>Internal mechanisms</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit info based on the following questions:</p> <ul style="list-style-type: none"> <li>Are the considerations used in selecting representatives (such as expertise and gender representation) of NGOs to the multi stakeholders' institutions adequate?</li> <li>Is the mechanism for selecting NGO representatives to the multi-party institutions/forums adequate?</li> <li>Are there sufficient forums to select NGOs' representatives to the multi stakeholder institutions/forums?</li> </ul> | Assessment of the mechanism to select NGO representatives to the multiparty institutions/forums <i>is ideal</i> when such mechanism takes into account the considerations used to adequately select representatives (bearing in mind their expertise, gender representation), mechanism to select representatives and forum to select representatives |
| 68 | The number of advocacy initiatives to eradicate corruption in the forestry sector | Forest Organization Issues | Accountability | <b>Central:</b> National environmental/Anti-corruption NGOs based in Jakarta  | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Work plans and reports</li> </ul>  | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p>  | The assessment score to the number of advocacy initiatives to eradicate corruption in the forestry sector by  |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |
|----|----------------|--------------------------|-----------------------------|---------------------|--------------|---------|------------------|
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|----|--|---|----------------|---|---|--|--|
|    | by environmental activists, NGOs or NGO anti-corruption activists  |   |                | <p><b>Province:</b> Provincial environmental/Anti-Corruption NGOs based in the capital city of province</p> <p><b>District:</b> District environmental/Anti-corruption NGOs based in the capital city of district</p>                                     | <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Directors of NGOs</li> </ul>  | <ul style="list-style-type: none"> <li>Work plans and annual reports</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit info based on the following questions:</p> <ul style="list-style-type: none"> <li>Is there a sufficient number of advocacy initiatives to eradicate corruption in all forestry sectors by NGO environmental activists or anti-corruption NGO activists?</li> </ul>  | environmental activists, or NGO anti-corruption activists <i>is ideal</i> when there is a NGO who advocacy initiatives to eradicate corruption in the forestry sector by environmental activists, or NGO anti-corruption activists   |
| 69 | The number of NGOs which monitor the granting of permits/licenses in the forest areas and management of conservation areas | Forest Management Implementation Issues | Accountability | <p><b>Central:</b> National Environmental NGOs based in Jakarta</p> <p><b>Province:</b> Provincial Environmental NGOs based in the capital city of province</p> <p><b>District:</b> District Environmental NGOs based in the capital city of district</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Plans and reports of activities and media clippings</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Director of NGOs</li> </ul> <p><b>Media Analysis:</b></p> <ul style="list-style-type: none"> <li>The biggest printing media both at national and sub national level</li> </ul> | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>Work plan and Reports of Activities and media clippings</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit info based on the following questions:</p> <ul style="list-style-type: none"> <li>Is there a sufficient number NGOs monitoring the permit/license giving within forest zones and management of forest protected areas?</li> </ul> <p><b>Media analysis:</b> This applied method will solicit information based on the guided questions:</p> <ul style="list-style-type: none"> <li>Names of NGOs which monitor the permit/license granting in</li> </ul> | Assessment of The number of NGOs which monitor the granting of permits/licenses in the forest areas and management of conservation areas <i>is ideal</i> when there is a NGO who monitor the granting of permits/licenses in the forest areas and management of conservation areas |

| Participatory Forest and REDD+ Governance Assessment Tools |  |   |                             |   |   |   |   |
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| No   | Indicator Name   | Forest Management Issues                | PGA's Governance Principles | Unit of Observation   | Data Sources  | Methods   | Assessment Score  |
|  |  |   |                             |   |   | <p>forest areas and conservation area management?</p> <ul style="list-style-type: none"> <li>The types of NGOs which monitor the permit/license granting in forest areas and conservation area management?</li> <li>The types of monitoring carried out by NGOs associated with the granting of permits/licenses in forest areas and conservation management based on the information from the newspapers?</li> </ul>   |   |
| 70   | The level of knowledge about NGO activists that monitor the principles and procedures for granting permits/licenses and conservation area management | Forest Management Implementation Issues | Transparency                | <p><b>Central:</b> National environmental NGOs based in Jakarta</p> <p><b>Province:</b> Provincial environmental NGOs based in the capital city of province</p> <p><b>District:</b> District environmental NGOs based in the capital city of district</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Proofs of attending training on monitoring</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Director of NGOs</li> </ul> | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>Proofs of attending training on monitoring</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit info based on the following questions:</p> <ul style="list-style-type: none"> <li>Is the understanding of NGO activists of the principles and procedure for granting licenses/permits for conservation area management adequate?</li> <li>Are there adequate strategies for monitoring the principles and procedure for granting licenses/permits and the</li> </ul> | Assessment of the level of knowledge of NGO activists to monitor the principles and procedure for granting permits/licenses and the management of conservation areas <i>is ideal</i> when such understanding against the principles and procedures, adequate monitoring implementation strategy and own adequate proofs of having participated in monitoring training |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name  | Forest Management Issues                | PGA's Governance Principles | Unit of Observation   | Data Sources   | Methods  | Assessment Score   |
|----|---|---|-----------------------------|---|--|--|--|
|    |   |   |                             |   |  | management of conservation areas?<br>• Are there sufficient proofs of participation, in the monitoring training owned by NGO activists?  |  |
| 71 | The number of NGOs that actively build the capacity of the indigenous communities to manage forests | Forest Management Implementation Issues | Capacity                    | <p><b>Central:</b> National environmental NGOs based in Jakarta</p> <p><b>Province:</b> Provincial environmental NGOs based in the capital city of province</p> <p><b>District:</b> District environmental NGOs based in the capital city of district</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>NGOs annual report and work plan</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Directors of NGOs</li> </ul> | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>NGOs' annual reports and work plan</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>Is there a sufficient number of NGOs that build the capacity of the indigenous communities to manage the forests?</li> <li>Is the implementation of capacity building for indigenous communities in forest management adequate?</li> </ul> | Assessment of The number of NGOs that eagerly build the capacity of the indigenous communities to manage forests <i>is ideal</i> when there is a NGO that have capacity building programs for indigenous communities to manage forests |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name  | Forest Management Issues    | PGA's Governance Principles | Unit of Observation | Data Sources  | Methods   | Assessment Score  |
|----|---|-----------------------------|-----------------------------|---------------------|---|---|---|
| 73 | The number of NGOs that accept public complaints concerning forest issues | Control and law enforcement | Accountability              |                     | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>• Complaint reports received,</li> <li>• activity plan and report, and</li> <li>• Media clippings</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>• Directors of NGOs</li> </ul> <p><b>Media Analysis:</b></p> <ul style="list-style-type: none"> <li>• The biggest printing media at national and sub-national level</li> </ul> | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>• Standard Operating Procedure (SOP) for accepting complaints covering issues on corruption &amp; forest crimes, planning, duties and, responsibilities for forest and peatland, and</li> <li>• special staff assigned to accept complaints</li> </ul> <p><b>Structured interview questions</b> (with follow-up questions). The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>• How many public complaints are accepted by NGOs?</li> <li>• Do the public complaints include the following issues: Corruption &amp; forest crimes, planning, duties, and responsibilities for forest and peatland management?</li> <li>• Is the SOP accepting complaints adequate?</li> <li>• Is there a sufficient number of staff assigned to accept complaints?</li> </ul> <p><b>Media analysis:</b> This applied method will solicit information based on the guided questions:</p> <ul style="list-style-type: none"> <li>• What are the names of NGOs</li> </ul> | Assessment of the number of NGOs which accept public complaints related to forestry issues <i>is ideal</i> when there is an NGO which receives complaints covering the three issues, when there are complaints mechanism SOPs, and when there are special staff assigned to accept complaints |

| Participatory Forest and REDD+ Governance Assessment Tools                      |   |   |                             |   |   |   |   |
|---|---|---|-----------------------------|---|---|---|---|
| No  | Indicator Name  | Forest Management Issues                      | PGA's Governance Principles | Unit of Observation   | Data Sources  | Methods   | Assessment Score  |
|   |   |   |                             |   |   | <p>which accept public complaints related to forestry issues?</p> <ul style="list-style-type: none"> <li>• What types of NGOs accept public complaints related to forestry issues?</li> <li>• Are the complaints, submitted by the people to NGOs, based on the information from the newspapers?</li> </ul> |   |
| <b>Component 2: Actors' Capacity - Indigenous Peoples and Local Communities</b> |   |   |                             |   |   |   |   |
| 72  | The number of indigenous peoples community activists that strive indigenous peoples' community rights with solid data | Regional spatial and forestry planning issues | Capacity                    | <b>Central:</b> Archipelago Indigenous Peoples' Alliance/ AMAN, peasant associations, local community organizations | <b>Documents:</b> <ul style="list-style-type: none"> <li>• Inputs given to regional spatial and forestry planning attended</li> </ul> | <b>Document data analysis:</b> This applied method will examine the following data items: <ul style="list-style-type: none"> <li>• Inputs given to regional spatial and forestry planning attended</li> </ul>   | Assessment of the number of IP and local community activists who strive IP and local community rights with solid data in regional spatial and forestry planning <i>is ideal</i> |

| Participatory Forest and REDD+ Governance Assessment Tools |  |   |                             |   |   |  |   |
|--|--|---|-----------------------------|---|---|--|---|
| No   | Indicator Name   | Forest Management Issues                      | PGA's Governance Principles | Unit of Observation   | Data Sources  | Methods  | Assessment Score  |
|  | in regional spatial and forestry planning  |   |                             | <p><b>Province:</b> Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations</p> <p><b>District:</b> Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations</p>   | <p>by IP and local community activists</p> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Indigenous peoples activists with crossed check with NGO activists and government officials</li> </ul> | <p>by IP and local community activists</p> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>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?</li> </ul> | when the active activists can articulate the objective condition of regional spatial and forestry planning, the IP and local communities' interests, and forest sustainability  |
| 73   | The knowledge level of IPs and local community that participate in regional spatial and forestry planning forum on regional spatial and forestry planning issues | Regional spatial and forestry planning issues | Capacity                    | <p><b>Central:</b> Archipelago Indigenous Peoples' Alliance/AMAN, peasant associations, local community organizations</p> <p><b>Province:</b> Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations</p> <p><b>District:</b> Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations</p> | <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Indigenous peoples and local community activists</li> </ul>   | <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>Do indigenous peoples know the difference between protected areas with the production area?</li> <li>Do indigenous peoples know their area in forest status or regional spatial status?</li> </ul>   | Assessment of the knowledge level of indigenous peoples and local community that participate in regional spatial and forestry planning forum on regional spatial and forestry planning issues <i>is ideal</i> when they know the difference between protected areas with the production area and their area in forest status or regional spatial status |



| Participatory Forest and REDD+ Governance Assessment Tools |   |   |                             |   |   |   |  |
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| No   | Indicator Name  | Forest Management Issues                      | PGA's Governance Principles | Unit of Observation   | Data Sources  | Methods   | Assessment Score   |
| 74   | IP and local community internal mechanism to select representative in attending a meeting on regional spatial and forestry planning | Regional spatial and forestry planning issues | Participatory               | <p><b>Central:</b> Archipelago Indigenous Peoples' Alliance/AMAN, peasant associations, local community organizations</p> <p><b>Province:</b> Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations</p> <p><b>District:</b> Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Internal mechanism in selecting participants for attending forum initiated by government or non-government</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Indigenous peoples and local community activists</li> </ul> | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>The considerations of selecting representative for attending regional spatial and forestry planning,</li> <li>how to select the representative, and</li> <li>forums to select the representative</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>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?</li> <li>Is the mechanism for selecting indigenous peoples and local community representatives to the multi-party institutions/forums adequate?</li> <li>Are there sufficient forums to select indigenous peoples and local community representatives to the multi stakeholder institutions/forums?</li> </ul> | Assessment of the mechanism to select indigenous peoples/local community representatives to the multiparty institutions/forums <i>is ideal</i> when such mechanism takes into account the considerations used to adequately select representatives (bearing in mind their expertise and gender representation), mechanism to select representatives, and forum to select representatives |

| Participatory Forest and REDD+ Governance Assessment Tools |   |   |                             |  |  |  |  |
|--|---|---|-----------------------------|--|--|--|--|
| No   | Indicator Name  | Forest Management Issues                      | PGA's Governance Principles | Unit of Observation  | Data Sources   | Methods  | Assessment Score   |
| 75   | The mechanism to report the result or process of the participation involvement to IP and local community organization | Regional spatial and forestry planning issues | Accountability              | <p><b>Central:</b> Archipelago Indigenous Peoples' Alliance/AMAN, peasant associations, local community organizations</p> <p><b>Province:</b> Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations</p> <p><b>District:</b> Archipelago Indigenous Peoples' Alliance/ AMAN chapter, peasant associations, local community organizations</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Documents of mechanism to report back/note of results of meetings with the parties</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Heads of indigenous peoples and local community</li> </ul> | <p><b>Document data analysis:</b> The applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>Procedures for presenting the participation result or the participation process,</li> <li>standardization of report contents or participation process,</li> <li>forum to present the participation results or process,</li> <li>selection of participants to the forum to convey participation results or process, and</li> <li>mechanism to give inputs from the forum participants</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit info based on the following questions:</p> <ul style="list-style-type: none"> <li>Has the reporting mechanism, which reports the participation results or process, addressed the procedure of presenting the participation results or processes?</li> <li>Does the mechanism for reporting the participation result or process address the standardization of the report contents or participation process?</li> <li>Does the mechanism for</li> </ul> | Assessment of the mechanism to report the participation outcomes or process applied to the IPs and local community <i>is ideal</i> when such mechanism addresses the procedure to present the results, standardization of report contents, forum to present the results, selection of participants and the mechanism to present the inputs |

| Participatory Forest and REDD+ Governance Assessment Tools |  |                            |                             |   |  |  |  |
|--|--|----------------------------|-----------------------------|---|--|--|--|
| No   | Indicator Name   | Forest Management Issues   | PGA's Governance Principles | Unit of Observation   | Data Sources   | Methods  | Assessment Score   |
|  |  |                            |                             |   |  | <p>reporting the participation results or process address the forum for presenting the participation results or processes?</p> <ul style="list-style-type: none"> <li>• 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?</li> <li>• Does the mechanism for reporting the participation results or process address the mechanism for presenting the inputs from the forum participants?</li> </ul> |  |
| 76   | The number of indigenous peoples and local community activists who are active in striving indigenous peoples and local community rights in managing their forest | Tenure rights arrangements | Equity                      | <p><b>Central:</b> Archipelago Indigenous Peoples' Alliance/AMAN, peasant associations, local community organizations</p> <p><b>Province:</b> Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations</p> <p><b>District:</b> Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant</p> | <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>• Heads of Indigenous Peoples and local community</li> </ul> | <p><b>Structured</b> (with follow-up questions) <b>interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>• 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?</li> </ul>   | Assessment of the number of Indigenous Peoples and local community activists who are active in striving Indigenous Peoples and local community rights in managing their forest <i>is ideal</i> when there are indigenous peoples and local communities that strive for their rights in managing forest |

| Participatory Forest and REDD+ Governance Assessment Tools |  |                            |                             |   |   |   |  |
|--|--|----------------------------|-----------------------------|---|---|---|--|
| No   | Indicator Name   | Forest Management Issues   | PGA's Governance Principles | Unit of Observation   | Data Sources  | Methods   | Assessment Score   |
|  |  |                            |                             | associations, local community organizations   |   |   |  |
| 77   | The number of internal regulations which arrange land use and forest zonation traditionally      | Tenure rights arrangements | Transparency                | <p><b>Central:</b> Archipelago Indigenous Peoples' Alliance/ AMAN, peasant associations, local community organizations</p> <p><b>Province:</b> Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations</p> <p><b>District:</b> Archipelago Indigenous Peoples' Alliance/ AMAN chapter, peasant associations, local community organizations</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>The internal mechanisms on land use arrangement and forest zonation</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Heads of indigenous peoples and local communities</li> </ul> | <p><b>Document data analysis:</b> The applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>Written and unwritten internal rule,</li> <li>the rule clearly arranges about do and do not do, and</li> <li>sanctions to the rule breakers</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>Are the internal regulation written or unwritten?</li> <li>Does the rule clearly regulate what communities can do and cannot do regarding land use arrangement and forest zonation?</li> <li>Are there sanctions to the rule breakers?</li> </ul> | Assessment of the number of internal regulations that arrange land use and forest zonation traditionally <i>is ideal</i> when the existing rule regulates what community can do and cannot do and sanctions to the rule breakers |
| 78   | The mechanism to select indigenous peoples and or local community representatives to multi-party | Forest Organization Issues | Transparency                | <p><b>Central:</b> Archipelago Indigenous Peoples' Alliance/AMAN, peasant associations, local community organizations</p>   | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Internal mechanisms</li> </ul> <p><b>In-depth interviews:</b></p>   | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>Internal mechanisms</li> </ul>  | Assessment of the mechanism to select Indigenous Peoples and or local community representatives to multi-party forums/institutions <i>is ideal</i> when such mechanism takes   |

| Participatory Forest and REDD+ Governance Assessment Tools |   |   |                             |   |  |   |  |
|--|---|---|-----------------------------|---|--|---|--|
| No   | Indicator Name  | Forest Management Issues                | PGA's Governance Principles | Unit of Observation   | Data Sources   | Methods   | Assessment Score   |
|  | forums/institutions   |   |                             | <p><b>Province:</b> Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations</p> <p><b>District:</b> Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations</p> | <ul style="list-style-type: none"> <li>• Heads of Indigenous Peoples and local communities</li> </ul>  | <p><b>Structured</b> (with follow-up questions) <b>interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>• Are the considerations used in selecting representatives (such as expertise and gender representation) of IPs/local communities to the multi-stakeholders' institutions adequate?</li> <li>• Is the mechanism for selecting Indigenous Peoples/local community representatives to the multi-party institutions/forums adequate?</li> <li>• Are there sufficient forums to select Indigenous Peoples/local community representatives to the multi stakeholder institutions/forums?</li> </ul> | into account the considerations used to adequately select representatives (bearing in mind their expertise, gender representation), mechanism to select representatives and forum to select representatives  |
| 79   | The number of initiatives and partnership which build sustainable forest management model | Forest Management Implementation Issues | Equity                      | <p><b>Central:</b> Archipelago Indigenous Peoples' Alliance/AMAN, peasant associations, local community organizations</p> <p><b>Province:</b> Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations</p>          | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>• Forest initiatives and partnerships</li> </ul> <p>In-depth interviews:</p> <ul style="list-style-type: none"> <li>• Heads of Indigenous Peoples and local communities</li> </ul> | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>• Forest initiatives and partnership</li> </ul> <p><b>Structured</b> (with follow-up questions) <b>interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>• Are the number of initiatives and partnership which build sustainable forest management</li> </ul>   | Assessment of the number of initiatives and partnership which build sustainable forest management model is ideal when the Indigenous Peoples' initiatives/partnerships on forest management has more than one initiative in each assessment location |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |
|----|----------------|--------------------------|-----------------------------|---------------------|--------------|---------|------------------|
|----|----------------|--------------------------|-----------------------------|---------------------|--------------|---------|------------------|

|    |  |                                       |                |   |   |  |  |
|----|--|---------------------------------------|----------------|---|---|--|--|
|    |  |                                       |                | <b>District:</b> Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations   |   | model adequate?  |  |
| 80 | The number of Indigenous Peoples and local community who do monitoring on forest utilization by government, business entity, and non-government organization | Forest control and enforcement issues | Accountability | <p><b>Central:</b> Archipelago Indigenous Peoples' Alliance/AMAN, peasant associations, local community organizations</p> <p><b>Province:</b> Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations</p> <p><b>District:</b> Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Standard Operating Procedure for monitoring</li> <li>The complaints filed to government, business entity, and non-government organization</li> <li>A special staff who are assigned to conduct investigation</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Heads of IPs and local communities</li> </ul> | <p><b>Document data analysis:</b> This applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>The number of complaints from IPs and local community filed to government, business entity, and non-government organizations,</li> <li>Standard Operating Procedure for monitoring,</li> <li>the scope of monitoring issues, and</li> <li>a special staff who are assigned to conduct investigations</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>Are the number of IPs and local community that do monitoring on forest utilization by government, business entity, and non-government organization adequate?</li> <li>Does the complaint post cover the following issues e.g.</li> </ul> | Assessment of the number of Indigenous Peoples and local community who do monitoring on forest utilization by government, business entity, and non-government organization <i>is ideal</i> when there is at least one Indigenous Peoples/local community organization that monitors forest utilization in each assessment location with clear Standard Operating Procedure |

| Participatory Forest and REDD+ Governance Assessment Tools |  |                                       |                             |  |   |  |  |
|--|--|---------------------------------------|-----------------------------|--|---|--|--|
| No   | Indicator Name   | Forest Management Issues              | PGA's Governance Principles | Unit of Observation  | Data Sources  | Methods  | Assessment Score   |
|  |  |                                       |                             |  |   | corruption, regional spatial and forestry planning, forest tenure, forest organization, forest management implementation etc.?<br><ul style="list-style-type: none"> <li>Is the SOP for monitoring adequate?</li> <li>Is the assigned staff adequate?</li> </ul>   |  |
| 81   | The internal control mechanism in Indigenous Peoples/local community organizations to implement forest utilization according to Sustainable Forest Management principles | Forest control and enforcement issues | Accountability              | <b>Central:</b> Archipelago Indigenous Peoples' Alliance/AMAN, peasant associations, local community organizations<br><b>Province:</b> Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations<br><b>District:</b> Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations | <b>Documents:</b> <ul style="list-style-type: none"> <li>The internal mechanisms on land use arrangement and forest zonation</li> </ul> <b>In-depth interviews:</b> <ul style="list-style-type: none"> <li>Heads of indigenous peoples and local communities</li> </ul> | <b>Document data analysis:</b> The applied method will examine the following data items: <ul style="list-style-type: none"> <li>Written and unwritten internal rules,</li> <li>If the rule clearly arranges about how to do and not to do, and</li> <li>sanctions to the rule breakers</li> </ul> <b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions: <ul style="list-style-type: none"> <li>Are the internal regulation written or unwritten?</li> <li>Does the rule clearly regulate what communities can do and cannot do regarding land use arrangement and forest zonation?</li> <li>Are there sanctions to the rule breakers?</li> </ul> | Assessment of the internal control mechanism in indigenous peoples/local community organizations to implement forest utilization according to Sustainable Forest Management principles <i>is ideal</i> when the existing rule regulates what community can do and cannot do and sanctions to the rule breakers |
| 82   | The participation level of the indigenous  | REDD+ infrastructure                  | Participation               | <b>Central:</b> Archipelago Indigenous Peoples'  | <b>Documents:</b> <ul style="list-style-type: none"> <li>Record of</li> </ul>   | <b>Document data analysis:</b> The applied method will examine the following   | Assessment of level of participation of indigenous/  |

| Participatory Forest and REDD+ Governance Assessment Tools |   |                             |                             |   |  |  |   |
|--|---|-----------------------------|-----------------------------|---|--|--|---|
| No   | Indicator Name  | Forest Management Issues    | PGA's Governance Principles | Unit of Observation   | Data Sources   | Methods  | Assessment Score  |
|  | peoples in REDD+ task forces set up by the central and local governments  | issues                      |                             | <p>Alliance/AMAN, peasant associations, local community organizations</p> <p><b>Province:</b> Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations</p> <p><b>District:</b> AMAN chapter, Peasant Association, Local community organizations</p> | <p>attendance records, and</p> <ul style="list-style-type: none"> <li>minutes of meetings</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Heads of IPs and local communities</li> </ul> | <p>data items:</p> <ul style="list-style-type: none"> <li>Presence,</li> <li>type of role, and</li> <li>the level of influence</li> </ul> <p><b>Structured (with follow-up questions) )interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>Is there sufficient presence of indigenous peoples in REDD+ task forces as set up by the central and local governments?</li> <li>Is there sufficient participation of the indigenous peoples in REDD+ task force, established by the central and local governments?</li> <li>Is there sufficient level of influence of the indigenous peoples in REDD+ task force, established by the central and local governments?</li> </ul> | peoples in REDD+ task forces set up by the central and local governments <i>is ideal</i> when the presence, role, and level of influence of indigenous peoples is sufficient  |
| 83   | The number of Indigenous Peoples and local community activists that have skill in developing REDD+ project development design | REDD+ infrastructure issues | Capacity                    | <p><b>Central:</b> Archipelago Indigenous Peoples' Alliance/AMAN, peasant associations, local community organizations</p> <p><b>Province:</b> Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local</p>  | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Training certificates</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Heads of IPs and local communities</li> </ul>     | <p><b>Document data analysis:</b> The applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>Training certificates</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>Is the number of indigenous</li> </ul>   | Assessment of the number of indigenous people and local community activists that have skills in developing REDD+ project development design <i>is ideal</i> when each indigenous peoples' organization in assessment location has indigenous peoples activists who have skills as a REDD+ project developer |



| Participatory Forest and REDD+ Governance Assessment Tools |  |                             |                             |  |   |   |  |
|--|--|-----------------------------|-----------------------------|--|---|---|--|
| No   | Indicator Name   | Forest Management Issues    | PGA's Governance Principles | Unit of Observation  | Data Sources  | Methods   | Assessment Score   |
|  |  |                             |                             | community organizations  |   | peoples and local community activists that have skills in developing REDD+ project development design adequate?<br><ul style="list-style-type: none"> <li>Do they have training certificate as REDD+ project developers?</li> <li>How many years of experience as REDD+ project developers do they have?</li> </ul>   |  |
|  |  |                             |                             | <b>District:</b> Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations  |   |   |  |
| 84   | The number of indigenous peoples who monitor the implementation of the principles and mechanism of FPIC (Free, Prior Informed Consent) | REDD+ infrastructure issues | Accountability              | <b>Central:</b> Archipelago Indigenous Peoples' Alliance/AMAN, peasant associations, local community organizations<br><b>Province:</b> Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations<br><b>District:</b> Archipelago Indigenous Peoples' Alliance/AMAN chapter, peasant associations, local community organizations | <b>Documents:</b> <ul style="list-style-type: none"> <li>Monitoring activity plans and reports</li> </ul> <b>In-depth interviews:</b> <ul style="list-style-type: none"> <li>Heads of indigenous peoples and local communities</li> </ul> | <b>Document data analysis:</b> The applied method will examine the following data items: <ul style="list-style-type: none"> <li>Monitoring procedures,</li> <li>codes of conduct, and</li> <li>monitoring mechanism</li> </ul> <b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions: <ul style="list-style-type: none"> <li>Is the number of indigenous peoples who monitor the implementation of the principles and mechanism of Free Prior Informed Consent adequate?</li> <li>Is the monitoring procedure adequate?</li> <li>Are the codes of conduct monitoring adequate?</li> <li>Are the monitoring mechanisms adequate?</li> </ul> | Assessment of the number of indigenous peoples organizations who monitor the implementation of the principles and mechanism of Free Prior Informed Consent <i>is ideal</i> when the number of organizations, monitoring procedures, codes of conduct and monitoring mechanisms is sufficient |

| Participatory Forest and REDD+ Governance Assessment Tools |  |  |                             |   |  |   |  |
|--|--|--|-----------------------------|---|--|---|--|
| No   | Indicator Name   | Forest Management Issues               | PGA's Governance Principles | Unit of Observation   | Data Sources   | Methods   | Assessment Score   |
| <b>Component 2: Actors' Capacity-Business Entity</b>       |  |  |                             |   |  |   |  |
| 85   | The number of business representatives who are present and participate in meetings which discusses forest planning | Regional Spatial and Forestry Planning | Participation               | <b>Central:</b> Logging associations, oil palm associations, mining associations, selected land based companies   | <b>Documents:</b> <ul style="list-style-type: none"> <li>• Lists of attendance</li> <li>• Minutes of meetings</li> </ul> <b>In-depth interviews:</b> <ul style="list-style-type: none"> <li>• Heads of logging, mining, oil palm associations</li> <li>• Manager level of the selected land based companies</li> </ul> | <b>Document data analysis:</b> The applied method will examine the following data items: <ul style="list-style-type: none"> <li>• The materials presented in the meetings which discuss regional and forestry planning,</li> <li>• list of attendances, and</li> <li>• minutes of meetings</li> </ul> <b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions: <ul style="list-style-type: none"> <li>• Is there a sufficient number of representatives from the business communities who are present and participate in meetings that discusses the forest planning?</li> <li>• Are the materials, presented by business entity activists in meetings that discuss regional and forestry planning, adequate?</li> </ul> | Assessment of the number of representatives from the business circles who are present and participate in meetings that discusses forest planning <i>is ideal</i> when those attending the meetings are able to articulate the objective conditions of spatial plans and forest plans, interests of indigenous peoples and sustainable forestry economic activities in the regional and forestry planning |
|  |  |  |                             | <b>Province:</b> Logging Association, Oil palm association, Mining Association, selected land based companies     |  |   |  |
| 86   | Level of knowledge among the major business players who give inputs to the regional and forestry planning          | Regional Spatial and Forestry Planning | Capacity                    | <b>Central:</b> Logging associations, oil palm associations, mining associations, selected forest based companies | <b>In-depth Interviews:</b> <ul style="list-style-type: none"> <li>• Heads of logging, mining, and oil palm associations</li> <li>• Manager level of the selected land based companies</li> </ul>  | <b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions: <ul style="list-style-type: none"> <li>• Do the main business players participating know the difference between protected forest areas and cultivated areas, as well as</li> </ul>  | Assessment of the level of knowledge among the main businesses players who provide inputs related to the regional and forest planning, <i>is ideal</i> when those participating know the difference between protected  |
|  |  |  |                             | <b>Province:</b> Logging associations, oil palm   |  |   |  |

| Participatory Forest and REDD+ Governance Assessment Tools |  |  |                             |   |   |  |  |
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| No   | Indicator Name   | Forest Management Issues               | PGA's Governance Principles | Unit of Observation   | Data Sources  | Methods  | Assessment Score   |
|  |  |  |                             | associations, mining associations, selected forest based companies<br><b>District:</b> Logging associations, Oil palm association, mining association, selected forest based companies  |   | the statuses of the areas in the regional planning?<br><ul style="list-style-type: none"> <li>Do the main business players participating know the statuses of the areas in the regional planning?</li> </ul>   | forest areas and plantation forest, as well as the status of such areas in the regional planning   |
| 87   | The mechanisms to report the result or process of the participation involvement to the agencies which have sent them | Regional Spatial and Forestry Planning | Accountability              | <b>Central:</b> Logging associations, oil palm associations, mining associations, selected forest based companies<br><b>Province:</b> Logging associations, oil palm associations, mining associations, selected forest based companies<br><b>District:</b> Logging associations, oil palm associations, mining associations, selected forest based companies | <b>Documents:</b> <ul style="list-style-type: none"> <li>Mechanisms of reporting back</li> <li>Reporting participation processes</li> </ul> <b>In-depth Interviews:</b> <ul style="list-style-type: none"> <li>Heads of logging, mining, oil palm associations</li> <li>Manager level of the selected land based companies</li> </ul> | <b>Document data analysis:</b> The applied method will examine the following data items: <ul style="list-style-type: none"> <li>Procedures for presenting the participation outcomes or processes,</li> <li>contents of reports on participation outcomes or processes,</li> <li>forums to present the participation outcomes or processes,</li> <li>selection of participants to the forum to convey participation outcomes or processes, and</li> <li>mechanisms to give inputs from the forum participants</li> </ul> <b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions: <ul style="list-style-type: none"> <li>Is the procedure for delivering</li> </ul> | Assessment of the mechanism to report the participation outcomes or process to the sending institutions <i>is ideal</i> when such mechanism addresses the procedure for presenting the outcomes, contents of outcome reports, forum to present the outcomes, selection of participants and the mechanism to present the inputs by the participants |

| Participatory Forest and REDD+ Governance Assessment Tools |   |                           |                             |  |  |  |   |
|--|---|---------------------------|-----------------------------|--|--|--|---|
| No   | Indicator Name  | Forest Management Issues  | PGA's Governance Principles | Unit of Observation  | Data Sources   | Methods  | Assessment Score  |
|  |   |                           |                             |  |  | <p>the participation outcomes or processes adequate?</p> <ul style="list-style-type: none"> <li>• Are the contents of the reports or participation processes sufficient?</li> <li>• Are there sufficient forums to convey the participation outcomes or processes adequate?</li> <li>• Is the mechanism of selection of participants to the forum for presenting participation outcomes and processes adequate?</li> <li>• Is the mechanism for presenting inputs from the forums participants adequate?</li> </ul>                      |   |
| 88   | The company document which regulates FPIC (Free Prior Informed Consent) | Tenure arrangement rights | Transparency                | <p><b>Central:</b> Logging associations, oil palm associations, mining association, selected forest based companies</p> <p><b>Province:</b> Logging associations, oil palm associations, mining associations, selected forest based companies</p> <p><b>District:</b> Logging associations, oil palm associations, mining associations, selected</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>• FPIC documents</li> </ul> <p><b>In-depth Interviews:</b></p> <ul style="list-style-type: none"> <li>• Heads of logging, mining, oil palm associations</li> <li>• Manager level of the selected land based companies</li> </ul> | <p><b>Document data analysis:</b> The applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>• Data collection mechanisms,</li> <li>• material completeness for getting approvals,</li> <li>• mechanisms to select facilitators,</li> <li>• mechanism to get consent from communities,</li> <li>• complaint mechanisms on FPIC processes,</li> <li>• monitoring mechanisms, and</li> <li>• follow-up mechanisms on FPIC results</li> </ul> <p><b>Structured</b> (with follow-up questions)</p> | <ul style="list-style-type: none"> <li>• Assessment of the company document which regulates on FPIC (Free Prior Informed Consent) <i>is ideal</i> when the regulation covers data collection mechanisms, material completeness for getting approvals, mechanisms to select facilitator, mechanisms to get consent from community, complaint mechanisms on FPIC process, monitoring mechanisms, and follow-</li> </ul> |

| Participatory Forest and REDD+ Governance Assessment Tools |   |                           |                             |   |   |   |  |
|--|---|---------------------------|-----------------------------|---|---|---|--|
| No   | Indicator Name  | Forest Management Issues  | PGA's Governance Principles | Unit of Observation   | Data Sources  | Methods   | Assessment Score   |
|  |   |                           |                             | forest based companies  |   | <p><b>interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>• Are the existing FPIC mechanisms adequate?</li> <li>• Are the materials completeness for getting approval is adequate?</li> <li>• Are the mechanisms to select facilitators adequate?</li> <li>• Are the mechanisms to get consent from communities adequate?</li> <li>• Are the complaint mechanisms on FPIC processes adequate?</li> <li>• Are monitoring mechanisms on FPIC processes adequate?</li> <li>• Are the follow up mechanisms on FPIC results adequate?</li> </ul> | up mechanisms on FPIC results  |
| 89   | The amount of funds allocated for the determining the borderline and confirmation in its working area | Tenure arrangement rights | Transparency                | <p><b>Central:</b> Logging associations, oil palm associations, mining associations, selected forest based companies</p> <p><b>Province:</b> Logging associations, oil palm associations, mining association, selected forest based companies</p> <p><b>District:</b> Logging associations, oil palm associations, mining</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>• Company financial statements</li> </ul> | <p><b>Document data analysis:</b> The applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>• The allocated fund for determining the borderline and the confirmation in its working area</li> </ul>  | Assessment of the amount of funds allocated to determine the boundaries and confirmation in their working areas <i>is ideal</i> when the funds allocated are equivalent to those in the proposal |

| Participatory Forest and REDD+ Governance Assessment Tools |   |   |                             |  |  |   |  |
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| No   | Indicator Name  | Forest Management Issues                | PGA's Governance Principles | Unit of Observation  | Data Sources   | Methods   | Assessment Score   |
|  |   |   |                             | associations, selected forest based companies  |  |   |  |
| 90   | The mechanisms to select business representatives to multi-stakeholder forums               | Forest Organization Issues              | Participation               | <p><b>Central:</b> Logging associations, oil palm associations, mining associations, selected forest based companies</p> <p><b>Province:</b> Logging associations, oil palm associations, mining associations, selected forest based companies</p> <p><b>District:</b> Logging associations, oil palm associations, mining associations, selected forest based companies</p> | <p><b>In-depth Interviews:</b></p> <ul style="list-style-type: none"> <li>• Heads of logging, mining, oil palm associations</li> <li>• Manager level of the selected land based companies</li> </ul> | <p><b>Structured</b> (with follow-up questions) <b>interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>• Are the considerations used in selecting representatives (such as expertise and gender representation) adequate?</li> <li>• Are the mechanisms for selecting representatives adequate?</li> <li>• Are the forums to select representatives in the multi stakeholder institution sufficient?</li> </ul> | Assessment of the mechanisms to select business representatives to multi-stakeholders forums <i>is ideal</i> when the mechanisms consider expertise, gender considerations, transparent mechanisms and appropriate forums in selecting representatives |
| 91   | The number of land based companies which implement sustainable forest management principles | Forest management implementation issues | Effectiveness               | <b>Central:</b> Eco-labeling institutes and Ministry of Forestry   | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>• Data from eco-labeling Institutes on companies which implement sustainable forest management principles</li> </ul>                 | <p><b>Document data analysis:</b> The applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>• Data from eco-labeling Institutes on companies which implement sustainable forest management principles</li> </ul>   | Assessment of the number of land based companies which implement sustainable forest management principles <i>is ideal</i> when all land based companies implement Sustainable Forest Management principles   |
| 92   | The companies' internal control mechanism to  | Forest control and law enforcement      | Accountability              | <b>Central:</b> The selected forest based companies  | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>• Internal control</li> </ul>  | <p><b>Document data analysis:</b> The applied method will examine the following data items:</p>   | Assessment of the companies' internal control mechanisms to implement forest utilization   |

| Participatory Forest and REDD+ Governance Assessment Tools |   |                                    |                             |   |   |  |   |
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| No   | Indicator Name  | Forest Management Issues           | PGA's Governance Principles | Unit of Observation   | Data Sources  | Methods  | Assessment Score  |
|  | implement forest utilization activity according to sustainable forest management principles                                 |                                    |                             | <b>Province:</b> The selected forest based companies<br><b>District:</b> The selected forest based companies  | mechanism<br><b>In-depth interviews:</b> <ul style="list-style-type: none"> <li>• Manager level in the selected land based companies</li> </ul>   | <ul style="list-style-type: none"> <li>• Written and unwritten internal rules,</li> <li>• If the rule clearly arranges about what to do and not to do, and</li> <li>• sanctions to the rule breakers</li> </ul> <b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions: <ul style="list-style-type: none"> <li>• Are the internal regulations written or unwritten?</li> <li>• Do the rules clearly regulate what communities can do and cannot do regarding land use arrangement and forest zonation?</li> <li>• Are there any sanctions to the rule breakers?</li> </ul> | activity according to sustainable forest management principles <i>is ideal</i> when the existing rule regulates what communities can do and cannot do and when there are sanctions to the rule breakers   |
| 93   | The number of forest based companies that own ethics code and good corporate governance principles in running the companies | Forest control and law enforcement | Accountability              | <b>Central:</b> The selected forest based companies<br><b>Province:</b> The selected forest based companies<br><b>District:</b> The selected forest based companies | <b>Documents:</b> <ul style="list-style-type: none"> <li>• Ethics code documents</li> <li>• Good corporate governance documents</li> </ul> <b>In-depth interviews:</b> <ul style="list-style-type: none"> <li>• Manager level of the selected land based companies</li> </ul> | <b>Document data analysis:</b> The applied method will examine the following data items: <ul style="list-style-type: none"> <li>• Ethics code documents and</li> <li>• good corporate governance documents</li> </ul> <b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions: <ul style="list-style-type: none"> <li>• Is the number of forest based companies that own ethics code</li> </ul>   | Assessment of number of forest based companies that own ethics code and good corporate governance principles in running the companies <i>is ideal</i> when all forest based companies own ethics code and good corporate governance principles in running the companies |

| Participatory Forest and REDD+ Governance Assessment Tools |  |   |                             |   |  |   |  |
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| No   | Indicator Name   | Forest Management Issues                    | PGA's Governance Principles | Unit of Observation   | Data Sources   | Methods   | Assessment Score   |
|  |  |   |                             |   |  | and good corporate governance principles in running the companies adequate?   |  |
| 94   | The existing documents which regulate and ensure the business representative in REDD+ infrastructure development | REDD+ infrastructure issues                 | Participation               | <p><b>Central:</b> The selected forest based companies</p> <p><b>Province:</b> The selected forest based companies</p> <p><b>District:</b> The selected forest based companies</p>  | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Public consultative meeting mechanisms</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Head of land based association</li> <li>Head of REDD+ Taskforce</li> </ul>   | <p><b>Document data analysis:</b> The applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>Public consultative meeting mechanism</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>Are there any documents that regulate and ensure the business representative in REDD+ infrastructure development developed by REDD+ taskforce?</li> </ul> | Assessment of the existing documents which regulate and ensure the business representative in REDD+ infrastructure development <i>is ideal</i> when the documents regulate the business representative in consultative meeting forum |
| <b>Component 3: Implementation-Results</b>                 |  |   |                             |   |  |   |  |
| 95   | The level of acceptance on the documents of regional spatial and forest planning                                 | Regional spatial and forest planning issues | Participation               | <p><b>Province:</b> Provincial Development Planning Agency, Provincial Government Provincial Forestry Department, Provincial Government Public Work Department,</p> <p><b>District:</b> District Development Planning</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>The agreement documents on regional spatial and forest planning</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Heads of Provincial/district Development</li> </ul> | <p><b>Document data analysis:</b> The applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>The agreement documents on regional spatial and forest planning who have signed and whether all parties have signed the agreed document</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied</p>  | Assessment of the level of acceptance on the documents of regional spatial and forest planning <i>is ideal</i> when all key stakeholders agree and have signed the acceptance document of the regional spatial and forest planning   |



**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |
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|----|----------------|--------------------------|-----------------------------|---------------------|--------------|---------|------------------|

|    |   |   |               |  |  |   |   |
|----|---|---|---------------|--|--|---|---|
|    |   |   |               | Agency, District Government District Forestry Department, District Government Public Work Department                         | Planning Agencies, Provincial/district Governments, Provincial/district Forestry Department, Provincial Government Public Work Department, the representatives of environmental NGOs and indigenous peoples and local communities, academicians, and land-based companies associations | method will solicit information based on the following questions: <ul style="list-style-type: none"> <li>How is the level of acceptance on the documents of regional spatial and forest planning by the key stakeholders?</li> </ul>  |   |
| 96 | The extent of forest areas which are designated and accepted by the parties | Regional spatial and forest planning issues | Participation | <b>District:</b> District Government Forestry Department, Forestry Mapping Unit, local communities that surrounds the forest | <b>Documents:</b> <ul style="list-style-type: none"> <li>This documents receipt of the parties</li> </ul> <b>In-depth interviews:</b> <ul style="list-style-type: none"> <li>Head of District Government Forestry Department, Forestry Mapping Unit, indigenous</li> </ul>             | <b>Document data analysis:</b> The applied method will examine the following data items: <ul style="list-style-type: none"> <li>The extent of forest areas which are designated and accepted by the parties</li> </ul> <b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions: <ul style="list-style-type: none"> <li>How is the acceptance of the</li> </ul> | The extent of forest areas which are designated and accepted by the parties <i>is ideal</i> when all designated forests are accepted by the parties |

| Participatory Forest and REDD+ Governance Assessment Tools |  |   |                             |  |  |  |  |
|--|--|---|-----------------------------|--|--|--|--|
| No   | Indicator Name   | Forest Management Issues                    | PGA's Governance Principles | Unit of Observation  | Data Sources   | Methods  | Assessment Score   |
|  |  |   |                             |  | peoples and local community organizations  | parties to extent of forest areas already designated?  |  |
| 97   | The number of regional spatial plans for managing indigenous peoples that are accommodated into the provincial and/or district spatial plans | Regional spatial and forest planning issues | Equity                      | <b>Province:</b> Provincial Government Forestry Department,<br><b>District:</b> District Government Forestry Department  | <b>Documents:</b> <ul style="list-style-type: none"> <li>Spatial planning documents (provincial and district)</li> </ul> <b>In-depth interviews:</b> <ul style="list-style-type: none"> <li>Heads of Province/District Government Forestry Department, Forestry Mapping Unit, indigenous peoples and local community organization</li> </ul> | <b>Document data analysis:</b> The applied method will examine the following data items: <ul style="list-style-type: none"> <li>Spatial planning documents (provincial and district) and</li> <li>the number of spatial plans for managing indigenous peoples that are accommodated into the provincial and/or district spatial plans(the recent data)</li> </ul> <b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions: <ul style="list-style-type: none"> <li>Is there a sufficient number of public-managed spaces by the indigenous peoples that are accommodated into the provincial and/or district spatial plans?</li> </ul> | The number of spatial plans for managing indigenous peoples that are accommodated into the provincial and/or district spatial plans <i>is ideal</i> when the spatial plans for managing indigenous peoples and all realization percent is accommodated into the provincial and/or district spatial plans |
| 98   | The number of forest possession conflicts which can be resolved each year  | Regional spatial and forest planning issues | Accountability              | <b>Central:</b> Forest Planning Directorate of Ministry of Forestry<br><b>Province:</b> Provincial Government Forestry Department and Head of Forest Planning Unit | <b>Documents:</b> <ul style="list-style-type: none"> <li>Land possession conflict resolution documents</li> </ul> <b>In-depth interviews:</b> <ul style="list-style-type: none"> <li>Head of forest</li> </ul>   | <b>Document data analysis:</b> The applied method will examine the following data items: <ul style="list-style-type: none"> <li>The number of land possession conflicts which can be resolved each year and</li> <li>the mediation result may be</li> </ul>  | The number of land possession conflicts which can be resolved each year <i>is ideal</i> if they can all be resolved and the outcomes are acceptable to all parties   |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |
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|----|--|----------------------------------|----------------------|---|---|---|---|
|    |  |                                  |                      | <p><b>District:</b> District Government Forestry Department and Head of Forest Planning Unit</p>  | <p>planning directorate at the Ministry of Forestry, Government Forestry Department at sub-national level, and head of forest planning unit</p> <ul style="list-style-type: none"> <li>Head of indigenous peoples and local community organization at central and sub-national level</li> </ul>   | <p>acceptable to all parties and executed consistently</p> <p><b>Structured</b> (with follow-up questions) <b>interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>How many land possession conflicts are being resolved each year?</li> <li>Have the mediation outcomes been accepted by all parties and executed consistently?</li> </ul>  |   |
| 99 | <p>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</p> | <p>Forest Rights Arrangement</p> | <p>Effectiveness</p> | <p><b>Central:</b> Ministry of Forestry</p> <p><b>Province:</b> Government Forest Department</p> <p><b>District:</b> Government Forest Department</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Number of rights of the communities and businesses already administered in Ministry of Forestry or Forest Department at sub-national level</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Director of forest inventory and Director of forest conservation</li> </ul> | <p><b>Document data analysis:</b> The applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>Number of rights of the communities and businesses already administered in Ministry of Forestry or Forest Department at sub-national level (the recent data)</li> </ul> <p><b>Structured</b> (with follow-up questions) <b>interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>Are all rights of the communities and businesses already</li> </ul> | <p>The 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 Dept <i>is ideal</i> when all forest rights issued by Ministry of Forestry have been administered</p> |

| Participatory Forest and REDD+ Governance Assessment Tools |  |                           |                             |  |   |  |  |
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| No   | Indicator Name   | Forest Management Issues  | PGA's Governance Principles | Unit of Observation  | Data Sources  | Methods  | Assessment Score   |
|  |  |                           |                             |  | <ul style="list-style-type: none"> <li>• Heads of Forest Government Department at sub-national level</li> <li>• Head of indigenous peoples organizations</li> </ul>   | administered in the units which administer the rights of communities and businesses in Ministry of Forestry/Forestry Services Department?  |  |
| 100  | Size of the forest areas that overlap with other land uses | Forest Rights Arrangement | Accountability              | <p><b>Central:</b> Forest Planning Directorate, Directorate General of Forest Business Development, and Directorate General of Forest Conservation</p> <p><b>Province:</b> Government Forestry Department</p> <p><b>District:</b> Government Forestry Department</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>• Size of the forest areas that overlap with other land uses</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>• Director of forest planning</li> <li>• Director of Forest Business development</li> <li>• Director of Forest Conservation</li> <li>• Head of Forestry Department at sub-national level</li> </ul> | <p><b>Document data analysis:</b> The applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>• Size of forest areas that overlap with other land uses (the recent data)</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>• How large is size of the forest areas that overlap with other land uses?</li> </ul> | The size of the forest areas that overlap with other land uses <i>is ideal</i> when there is no forest areas that overlap with other land uses |
| 101  | Number of conflicts among members of forest area users     | Forest Rights Arrangement | Accountability              | <p><b>Central:</b> Forest Planning Directorate, Directorate General of Forest Business Development and Directorate General of Forest Conservation</p> <p><b>Province:</b> Government Forestry Department</p>   | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>• Number of conflicts among members of forest area users</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>• Director of forest planning</li> </ul>  | <p><b>Document data analysis:</b> The applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>• Number of conflicts among members of forest area users (the recent data)</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied</p>  | The number of conflicts among members of forest area users <i>is ideal</i> when there are no conflicts among members of forest area users      |

| Participatory Forest and REDD+ Governance Assessment Tools |   |                           |                             |   |  |  |   |
|--|---|---------------------------|-----------------------------|---|--|--|---|
| No   | Indicator Name  | Forest Management Issues  | PGA's Governance Principles | Unit of Observation   | Data Sources   | Methods  | Assessment Score  |
|  |   |                           |                             | <b>District:</b> Government Forestry Department   | <ul style="list-style-type: none"> <li>Director of Forest Business development</li> <li>Director of Forest Conservation</li> <li>Head of Forestry Department at sub-national level</li> </ul>  | <p>method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>How many conflicts among members of forest area users do occur?</li> </ul>   |   |
| 102  | Number of best practices for the conflict resolution related to the recognition of the rights of indigenous peoples/local communities | Forest Rights Arrangement | Effectiveness               | <p><b>Central:</b> Forest Planning Directorate, Directorate General of Forest Business Development and Directorate General of Forest Conservation</p> <p><b>Province:</b> Government Forestry Department</p> <p><b>District:</b> Government Forestry Department</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Number of best practices for the conflict resolution related to the recognition of the rights of indigenous peoples/local communities</li> </ul> <p><b>In-depth interview:</b></p> <ul style="list-style-type: none"> <li>Director of forest planning</li> <li>Director of Forest Business development</li> <li>Director of Forest Conservation</li> <li>Head of Forestry Dept. at sub</li> <li>Chairman of IPs organization at national and sub-national level</li> </ul> | <p><b>Document data analysis:</b> The applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>The number of best practices for the conflict resolution related to the recognition of the rights of indigenous peoples/local communities</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>Do the conflict resolutions regarding the recognition of the rights of indigenous peoples/local communities include violence prevention mechanism?</li> <li>Do the conflict resolutions regarding the recognition of the rights of indigenous peoples/local communities include the mechanism of the acceptance of parties?</li> <li>Do the conflict resolutions regarding the recognition of the</li> </ul> | The number of best practices for the conflict resolution related to the recognition of the rights of indigenous peoples local communities <i>is ideal</i> when the number of best practices increase yearly |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |
|----|----------------|--------------------------|-----------------------------|---------------------|--------------|---------|------------------|
|----|----------------|--------------------------|-----------------------------|---------------------|--------------|---------|------------------|

|     |   |                            |               |  |   |   |  |
|-----|---|----------------------------|---------------|--|---|---|--|
|     |   |                            |               |  |   | rights of indigenous peoples/local communities include the existing commitment implemented?   |  |
| 103 | Frequency of news coverage related to the recognition of the rights of adat/local communities to manage forests | Forest Rights Arrangement  | Transparency  | <p><b>Central:</b> The largest and widest national printed newspaper and electronic newspaper</p> <p><b>Province:</b> The largest and widest printed newspaper at province level</p> | <p><b>News content analysis:</b></p> <ul style="list-style-type: none"> <li>News coverage related to the recognition of the rights of indigenous peoples/local communities to manage forests</li> </ul>   | <p><b>The content analysis:</b> The applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>News coverage related to the recognition of the rights of indigenous peoples/local communities to manage forests in two years</li> </ul>   | The frequency of news coverage related to the recognition of the rights of indigenous peoples/local communities to manage forests <i>is ideal</i> when the news coverage increase yearly |
| 104 | Amount of transaction costs to procure forest concession permit   | Forest Organization Issues | Effectiveness | <b>Central:</b> Ministry of Forestry   | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Forest permit transaction cost document</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Director of Forest Business development</li> <li>Chairman of forest based companies association</li> </ul> | <p><b>Document data analysis:</b> The applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>Forest permit transaction cost document (the latest data)</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>Is the amount of transaction costs to procure forest concession permit cost effective?</li> </ul> | The amount of transaction costs to procure forest concession permit <i>is ideal</i> when it is cost effective according to business associations   |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |
|----|----------------|--------------------------|-----------------------------|---------------------|--------------|---------|------------------|
|----|----------------|--------------------------|-----------------------------|---------------------|--------------|---------|------------------|

|     |   |   |               |   |   |  |   |
|-----|---|---|---------------|---|---|--|---|
| 105 | Government authority and interventions in the forest concession permit process which are the domain of the permit holders     | Forest Organization Issues              | Participation | <b>Central:</b> Ministry of Forestry  | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>The number of stages and conditions in every stage in the forest concession permit process</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Director of Forest Business development</li> <li>Chairman of forest based companies association</li> </ul>                          | <p><b>Document data analysis:</b> The applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>The number of stages and conditions in every stage in the forest concession permit process (the latest data)</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>Are there any government authority and interventions in the forest concession permit process which are the domain of the permit holders?</li> </ul>           | The government authority and interventions in the forest concession permit process which are the domain of the permit holders <i>is ideal</i> when there is no overlap domain with the permit holders regarding the forest concession permit process                |
| 106 | Number of adat/local communities that manage forests, peatlands, and plantation areas including village and community forests | Forest Management Implementation Issues | Equity        | <p><b>Central:</b> Ministry of Forestry</p> <hr/> <p><b>Province:</b> Forest Department</p> <hr/> <p><b>District:</b> Forest Department</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Number of indigenous peoples/local communities that manage forests, peatlands, and plantation areas including village forests and community forests</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Director of Forest Business development</li> <li>Head of Forest</li> </ul> | <p><b>Document data analysis:</b> The applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>Number of indigenous peoples/ local community that manage forests, peatlands, and plantation areas including village and community forests</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>How many local communities and/or indigenous peoples that manage forest and peatland areas in the forest area exist?</li> </ul> | The number of indigenous peoples/local communities that manages forests, peatlands, and plantation areas including village and community forests <i>is ideal</i> when at least 10 percent of the forest area is managed by local communities and indigenous peoples |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |
|----|----------------|--------------------------|-----------------------------|---------------------|--------------|---------|------------------|
|----|----------------|--------------------------|-----------------------------|---------------------|--------------|---------|------------------|

|     |  |   |               |  |   |  |  |
|-----|--|---|---------------|--|---|--|--|
|     |  |   |               |  | Department at sub-national level <ul style="list-style-type: none"> <li>Head of indigenous peoples and local community organizations</li> </ul>   |  |  |
| 107 | Number of forest areas sustainably managed by the forest management actors | Forest Management Implementation Issues | Effectiveness | <b>Central:</b> Ministry of Forestry<br><b>Province:</b> Forestry Department<br><b>District:</b> Forestry Department | <b>Documents:</b> <ul style="list-style-type: none"> <li>Number of forest areas sustainably managed by the forest management actors according to the government</li> </ul> <b>In-depth interviews:</b> <ul style="list-style-type: none"> <li>Director of Forest Business development</li> <li>Head of Forest Department at sub-national level</li> </ul> | <b>Document data analysis:</b> The applied method will examine the following data items: <ul style="list-style-type: none"> <li>Number of areas sustainably managed by the forest management actors according to government standard (the latest data)</li> </ul> <b>Structured</b> (with follow-up questions) <b>interview questions.</b> The applied method will solicit information based on the following questions: <ul style="list-style-type: none"> <li>How many forest areas are sustainably managed by the forest management actors according to the government standard?</li> </ul> | The number of forest areas sustainably managed by the forest management actors <i>is ideal</i> when all forest areas are managed sustainably by forest management actors |
| 108 | Percentage of forests that own forest management units (KPH)               | Forest Management Implementation Issues | Effectiveness | <b>Central:</b> Ministry of Forestry<br><b>Province:</b> Forestry Department<br><b>District:</b> Forestry Department | <b>Documents:</b> <ul style="list-style-type: none"> <li>Percentage of forests that own forest management units (the latest data)</li> </ul>  | <b>Document data analysis:</b> The applied method will examine the following data items: <ul style="list-style-type: none"> <li>Percentage of forests that own forest management units (the latest data)</li> </ul> <b>Structured</b> (with follow-up questions)   | The Percentage of forests that own forest management units <i>is ideal</i> when all forest areas have forest management units  |



| Participatory Forest and REDD+ Governance Assessment Tools |   |   |                             |   |  |   |  |
|--|---|---|-----------------------------|---|--|---|--|
| No   | Indicator Name  | Forest Management Issues                | PGA's Governance Principles | Unit of Observation   | Data Sources   | Methods   | Assessment Score   |
|  |   |   |                             |   | <b>In-depth interviews:</b> <ul style="list-style-type: none"> <li>Director of Forest Management Unit in Ministry of Forestry</li> <li>Head of Forestry Department at sub-national level</li> </ul>  | <b>interview questions.</b> The applied method will solicit information based on the following questions: <ul style="list-style-type: none"> <li>How many percentage of forest that own forest management unit exist?</li> </ul>  |  |
| 109  | Number of forest management-based ecological services                         | Forest Management Implementation Issues | Effectiveness               | <b>Central:</b> Ministry of Forestry<br><b>Province:</b> Forestry Department<br><b>District:</b> Forestry Department  | <b>Documents:</b> <ul style="list-style-type: none"> <li>Number of forest management-based ecological services</li> </ul> <b>In-depth interviews:</b> <ul style="list-style-type: none"> <li>Director of Forest Conservation and Environmental Services</li> </ul> | <b>Document data analysis:</b> The applied method will examine the following data items: <ul style="list-style-type: none"> <li>Number of forest management-based ecological services according to government data (the latest data)</li> </ul> <b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions: <ul style="list-style-type: none"> <li>How many forest management-based ecological services exist?</li> </ul> | The number of forest management-based ecological services <i>is ideal</i> when the number of forest management-based ecological services increase every year         |
| 110  | The number of budget use violations at the provincial and district/city level | Forest Control and enforcement issues   | Effectiveness               | <b>Central:</b> The Inspectorate of Ministry of Forestry, Finance and Development Supervisory Agency (BPKP) and Supreme Audit Agency<br><b>Province:</b> The provincial government inspectorate, Regional | <b>Documents:</b> <ul style="list-style-type: none"> <li>The number of budget use violations at the provincial and district/city level</li> </ul>  | <b>Document data analysis:</b> The applied method will examine the following data items: <ul style="list-style-type: none"> <li>The number of budget use violations at the Ministry of Forestry or Forestry Department at sub-national level</li> </ul>   | The number of budget use violations at the Ministry of Forestry or Forestry Department at sub-national level <i>is ideal</i> when there are no budget use violations |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No  | Indicator Name  | Forest Management Issues              | PGA's Governance Principles | Unit of Observation  | Data Sources  | Methods  | Assessment Score  |
|-----|---|---------------------------------------|-----------------------------|--|---|--|---|
|     |   |                                       |                             | Supervision Agency, Finance and Development Supervisory Agency (BPKP) and Supreme Audit Agency<br><b>District:</b> District government inspectorate, Regional Supervision Agency, Finance and Development Supervisory Agency (BPKP) and Supreme Audit Agency |   |  |   |
| 111 | Number of forestry crimes brought by the police to state prosecutor | Forest Control and enforcement issues | Effectiveness               | <b>Province:</b> Regional Police Office<br><b>District:</b> Resort Police Office   | <b>Documents:</b> <ul style="list-style-type: none"> <li>Number of forestry crimes brought by the police to state prosecutor</li> </ul> <b>In-depth interviews:</b> <ul style="list-style-type: none"> <li>Director of Crime Unit in Police Office</li> </ul> | <b>Document data analysis:</b> The applied method will examine the following data items: <ul style="list-style-type: none"> <li>Number of forestry crimes brought by the police to state prosecutor (the latest data)</li> </ul> <b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions: <ul style="list-style-type: none"> <li>How many forestry crimes are brought by the police to state prosecutor?</li> </ul> | The number of forestry crimes brought by the police to state prosecutor <i>is ideal</i> when all the investigated forestry crimes are brought to state prosecutor |
| 112 | Number of forestry crimes comprising corruptions, administrative    | Forest Control and enforcement issues | Effectiveness               | <b>Central:</b> Supreme court  | <b>Documents:</b> Number of forestry crimes comprising corruptions,   | <b>Document data analysis:</b> The applied method will examine the following data items:   | The number of forestry crimes comprising corruptions, administrative breaches, environmental crimes,  |

| Participatory Forest and REDD+ Governance Assessment Tools |   |                                       |                             |   |  |   |  |
|--|---|---------------------------------------|-----------------------------|---|--|---|--|
| No   | Indicator Name  | Forest Management Issues              | PGA's Governance Principles | Unit of Observation   | Data Sources   | Methods   | Assessment Score   |
|  | breaches, environmental crimes, forestry-related tax adjudicated by the court   |                                       |                             | <b>Province:</b> High court<br><b>District:</b> The first level court | administrative breaches, environmental crimes, forestry-related tax adjudicated by the court   | <ul style="list-style-type: none"> <li>Number of forestry crimes comprising corruptions, administrative breaches, environmental crimes, forestry-related tax adjudicated by the court (the latest data)</li> </ul>  | forestry-related tax adjudicated by the court <i>is ideal</i> when all cases result in maximum sentence  |
| 113  | Integrity index in the forestry sector by Corruption Eradication Commission   | Forest Control and enforcement issues | Effectiveness               | <b>Central:</b> Corruption eradication commission                     | <b>Documents:</b> <ul style="list-style-type: none"> <li>Integrity survey done by Corruption Eradication Commission</li> </ul>   | <b>Document data analysis:</b> The applied method will examine the following data items: <ul style="list-style-type: none"> <li>Integrity index for Ministry of Forestry, Forest Department at sub-national level</li> </ul>  | The Integrity index in the forestry sector is ideal when the index score fall into good category   |
| 114  | Corruption perception index particularly on forestry sector in the assessment locations   | Forest Control and enforcement issues | Effectiveness               | Central: The Transparency International Indonesia (TII)               | <b>Documents:</b> <ul style="list-style-type: none"> <li>Corruption perception index particularly on forestry sector in the assessment locations produced by Transparency International Indonesia</li> </ul> | <b>Document data analysis:</b> The applied method will examine the following data items: <ul style="list-style-type: none"> <li>Corruption perception index particularly on forestry sector in the assessment locations produced by Transparency International Indonesia (the latest data)</li> </ul> | The corruption perception index particularly on forestry sector in the assessment locations <i>is ideal</i> when the corruption perception index is at low level   |
| 115  | Value of state losses in the Forest Management Task Force/Forest Management Units, based on the audit results of Financial Statements of such | Forest Control and enforcement issues | Effectiveness               | <b>Central:</b> Supreme Audit Agency                                  | <b>Documents:</b> Value of state losses in the Forest Management Task Force/Forest Management Units, based on the audit results of Financial   | <b>Document data analysis:</b> The applied method will examine the following data items: <ul style="list-style-type: none"> <li>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</li> </ul>   | 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 <i>is ideal</i> when there is no value of state losses in the Forest |

| Participatory Forest and REDD+ Governance Assessment Tools |   |                                       |                             |  |  |  |  |
|--|---|---------------------------------------|-----------------------------|--|--|--|--|
| No   | Indicator Name  | Forest Management Issues              | PGA's Governance Principles | Unit of Observation  | Data Sources   | Methods  | Assessment Score   |
|  | Working Units   |                                       |                             |  | Statements of such Working in Ministry of Forestry   | Ministry of Forestry (the latest data)   | Management Task Force/ Forest Management Units, based on the audit results of Financial Statements reported by the Supreme Audit Agency  |
| 116  | Number of public complaints about the forest management performance               | Forest Control and enforcement issues | Effectiveness               | <b>Central:</b> Ministry of Forestry<br><b>Province:</b> Forestry Department<br><b>District:</b> Forestry Department | <b>Documents:</b> <ul style="list-style-type: none"> <li>Number of public complaints about the forest management performance</li> </ul>  | <b>Document data analysis:</b> The applied method will examine the following data items: <ul style="list-style-type: none"> <li>Number of public complaints about the forest management performance (the latest data)</li> </ul>   | Number of public complaints about the forest management performance <i>is ideal</i> when the number of public complaints about the forest management performance decrease significantly every year |
| 117  | Number of adat/local community organizations which can access the REDD+ locations | REDD+ Implementation issues           | Equity                      | <b>Central:</b> Ministry of Forestry, REDD+ Taskforce<br><b>Province:</b> REDD+ Taskforce                            | <b>Documents:</b> <ul style="list-style-type: none"> <li>Number of indigenous peoples/local community organizations which can access the REDD+ locations</li> </ul> <b>In-depth interviews:</b> <ul style="list-style-type: none"> <li>Head of Climate Change Task Force under Ministry of Forestry</li> <li>Head of Presidential REDD+ Task Force</li> <li>Head of Provincial REDD+ Task Force</li> </ul> | <b>Document data analysis:</b> The applied method will examine the following data items: <ul style="list-style-type: none"> <li>Number of indigenous peoples/local community organizations which can access the REDD+ locations (the latest data)</li> </ul> <b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions: <ul style="list-style-type: none"> <li>How many indigenous peoples/local community organizations have access to the REDD+ locations?</li> </ul> | Number of of Indigenous peoples/local community organizations which can access the REDD+ locations <i>is ideal</i> when all indigenous peoples/local community have access to REDD+ location       |
| 118  | Level of acceptance   | REDD+                                 | Participation               | <b>Central:</b> REDD+ Task   | <b>Documents:</b>  | <b>Document data analysis:</b> The applied   | Level of acceptance of REDD+   |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |
|----|----------------|--------------------------|-----------------------------|---------------------|--------------|---------|------------------|
|----|----------------|--------------------------|-----------------------------|---------------------|--------------|---------|------------------|

|     |   |                             |               |   |   |  |  |
|-----|---|-----------------------------|---------------|---|---|--|--|
|     | of REDD+ strategies by the actors               | Implementation issues       |               | Force<br><b>Province:</b> REDD+ Task Force  | <ul style="list-style-type: none"> <li>Minutes of meeting indicating that key actors agree with the National REDD+ Strategy</li> </ul> <p><b>In-depth interviews:</b></p> <ul style="list-style-type: none"> <li>Head of REDD+ Taskforce</li> <li>Head of Climate Change Taskforce under Ministry of Forestry</li> <li>Selected National/Provinces NGOs which are involved in the development of National REDD+ Strategy</li> <li>Chairman of land based company association</li> <li>Chairman of Indigenous peoples and local community organizations</li> </ul> | <p>method will examine the following data items:</p> <ul style="list-style-type: none"> <li>Minutes of meeting indicating that key actors agree with the National REDD+ Strategy</li> </ul> <p><b>Structured (with follow-up questions) interview questions.</b> The applied method will solicit information based on the following questions:</p> <ul style="list-style-type: none"> <li>To what extent do the key actors accept the REDD+ Strategy?</li> </ul> | strategies by the actors <i>is ideal</i> when all key actors can receive the developed REDD+ Strategy        |
| 119 | Deforestation rates in the assessment locations | REDD+ Implementation issues | Effectiveness | <p><b>Central:</b> Ministry of Forestry</p> <p><b>Province:</b> Forestry Department</p> | <p><b>Documents:</b></p> <ul style="list-style-type: none"> <li>Deforestation rates in the assessment</li> </ul>  | <p><b>Document data analysis:</b> The applied method will examine the following data items:</p> <ul style="list-style-type: none"> <li>Deforestation rates in the</li> </ul>   | Deforestation rate in the assessment locations <i>is ideal</i> when the rate of deforestation is zero in the |

**Participatory Forest and REDD+ Governance Assessment Tools**

| No | Indicator Name | Forest Management Issues | PGA's Governance Principles | Unit of Observation | Data Sources | Methods | Assessment Score |
|----|----------------|--------------------------|-----------------------------|---------------------|--------------|---------|------------------|
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|     |   |                             |               |  |   |  |  |
|-----|---|-----------------------------|---------------|--|---|--|--|
|     |   |                             |               | District: Forestry Department  | locations   | assessment locations (the latest data)   | assessment locations   |
| 120 | Degradation rates in the assessment locations   | REDD+ Implementation issues | Effectiveness | <b>Central:</b> Ministry of Forestry<br><b>Province:</b> Forestry Department<br><b>District:</b> Forestry Department | <b>Documents:</b> <ul style="list-style-type: none"> <li>Deforestation rates in the assessment locations</li> </ul>   | <b>Document data analysis:</b> The applied method will examine the following data items: <ul style="list-style-type: none"> <li>Degradation rate in the assessment locations (the latest method)</li> </ul>  | Degradation rate in the assessment locations <i>is ideal</i> when the rate of degradation rate is zero   |
| 121 | Number of areas that are sustainably managed by the forest management units in the implementation of REDD+ (demonstration activities) | REDD+ Implementation issues | Effectiveness | <b>Central:</b> Ministry of Forestry<br><b>Province:</b> Forestry Department<br><b>District:</b> Forestry Department | <b>Documents:</b> <ul style="list-style-type: none"> <li>Number of areas that are sustainably managed by the forest management units in the implementation of REDD+ (demonstration activities)</li> </ul> | <b>Document data analysis:</b> The applied method will examine the following data items: <ul style="list-style-type: none"> <li>The number of areas that are sustainably managed by the forest management units in the implementation of REDD+ (demonstration activities)</li> </ul> | Number of areas that are sustainably managed by the forest management units in the implementation of REDD+ (demonstration activities) <i>is ideal</i> when all areas are managed sustainably |