



## Practical Guide to Participatory Governance Assessments for REDD+ (PGAs)



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The UN-REDD Programme is the United Nations collaborative initiative on Reducing Emissions from Deforestation and forest Degradation (REDD+) in developing countries. The Programme was launched in 2008 and builds on the convening role and technical expertise of the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP). The UN-REDD Programme supports nationally-led REDD+ processes and promotes the informed and meaningful involvement of all stakeholders, including Indigenous Peoples and other forest-dependent communities, in national and international REDD+ implementation.

# Practical Guide to Participatory Governance Assessments for REDD+ (PGAs)

2014



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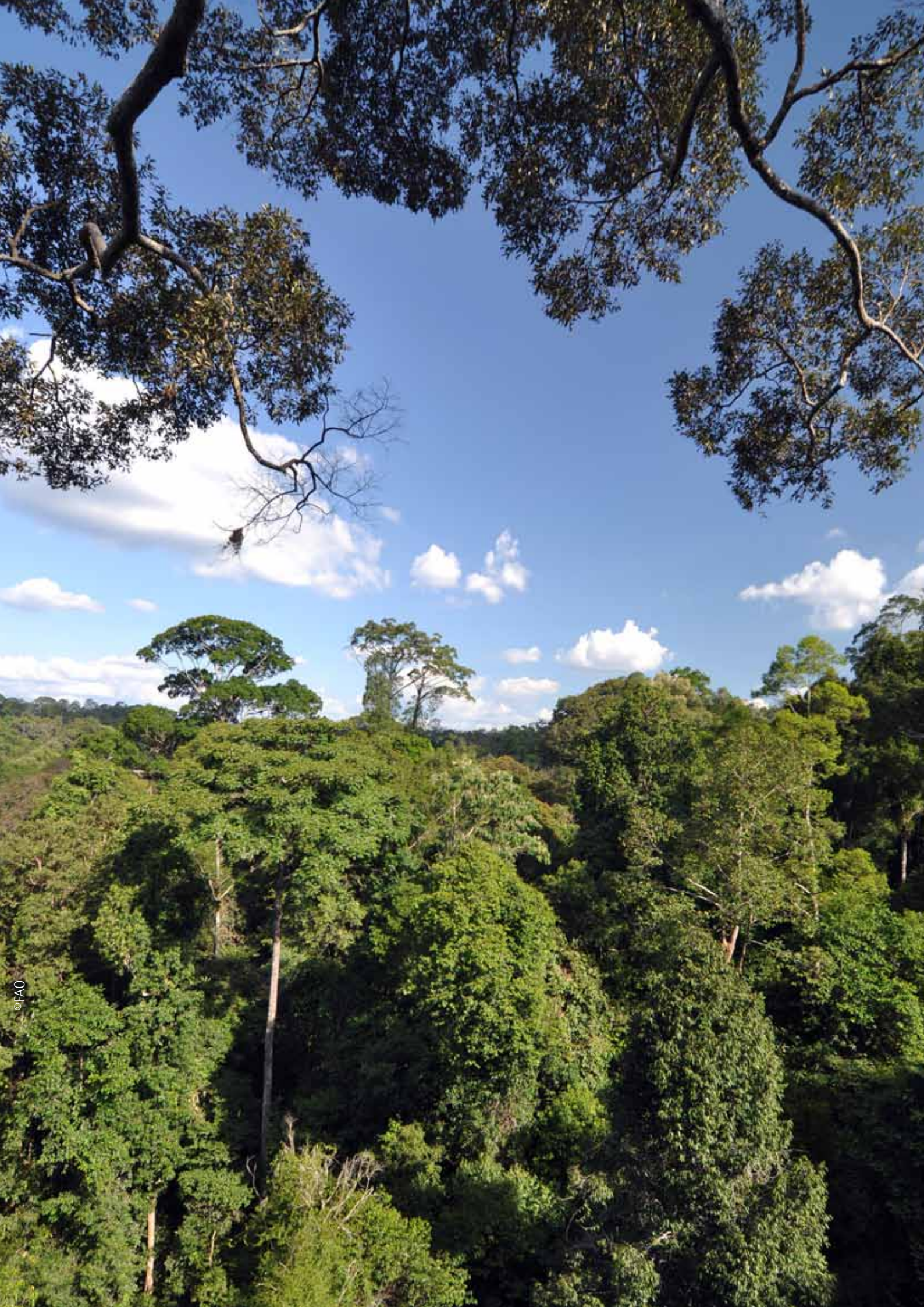


# Acronym List

AMAN	Indigenous Peoples' Alliance of the Archipelago; <i>Aliansi Masyarakat Adat Nusantara</i>
BAPPENAS	National Planning and Development Agency
BeRT	Benefits and Risk Tool
CAST	Country Approach to Safeguards Tool
CONAICE	Confederation of Indigenous Nationalities of the Ecuadorian Coast; <i>La Confederación de Nacionalidades y Pueblos Indígena de la Costa Ecuatoriana</i>
CONAIE	Confederation of Indigenous Nationalities of Ecuador; <i>La Confederación de Nacionalidades Indígenas del Ecuador</i>
DARD	Department of Agricultural and Rural Development
FAO	Food and Agriculture Organization of the United Nations
FLEGT	Forest Law Enforcement, Governance and Trade
GHG	greenhouse gas
Gol	Government of Indonesia
ICA	Institutional and Context Analysis
IP	indigenous peoples
JNP	Joint National Programme
KPK	National Corruption Eradication Commission
LIA	Livelihoods Impact Assessment
MAE	Ecuador's Ministry of Environment; <i>Ministerio del Ambiente del Ecuador</i>
MARD	Ministry of Agriculture and Rural Development
MRV	Measurement, Reporting and Verification
NFMS	National Forest Monitoring Systems
NGO	Non-Governmental Organization
NGOCE	NGO Coalition for Environment
PGA	Participatory Governance Assessment for REDD+
PLRs	Policies, Laws and Regulations
REDD+	Reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries
REDD+ SES	REDD+ Social and Environmental Standards
RFN	Rainforest Foundation Norway
RTRW	Regional Spatial Plan
SEPC	UN-REDD Programme Social and Environmental Principles and Criteria
SIS	Safeguards Information System
UKP4	Presidential Working Unit for Supervision and Management of Development
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
UN-REDD	The United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in developing countries
WALHI	The Indonesian Forum for Environment; <i>Wahana Lingkungan Hidup Indonesia</i>
WWF	World Wildlife Fund for Nature









# Introduction

## 1.1 The Importance of Addressing Governance Challenges in REDD+

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

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

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

## 1.2 Purpose of This guide

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

## 1.3 Who This Guide Is For

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

## 1.4 Defining Good Governance

Numerous attempts have been made to fully capture the concept and characteristics of good governance in a single definition. In this publication, governance is seen as the **system of values, practices, policies and institutions by which a society manages its affairs**. This relates to the economic, political and social dimensions in society.

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



Further, good governance is characterized by high levels of:

- **transparency** in the form of available, accessible and reliable information on how decisions are taken; the status and progress (or lack thereof) of different processes; how funding is being spent; how state resources are managed and policies being implemented; and how people are being recruited;
- **participation**, or the level of interaction between citizens and state actors, exemplified through the following questions:
  - To what extent is there agreement on what to be done and how to achieve common goals?
  - To what extent are citizens able to address their interests in dialogue with government or state actors, to have their differences mediated and to exercise their legal rights?
- **accountability** facilitated by clearly defined roles and responsibilities within and among government institutions (at local and national levels) and by sufficient citizen engagement to voice and address their concerns at the appropriate levels;
- **fairness** or the premise that public policies and services should be designed to meet the needs and interests of all citizens, as opposed to a select few;
- **capacity** of different actors, especially the government's capacity to effectively manage state resources and implement sound policies and enforce laws, as well as the capacity of citizens and civil society at large to appropriately demand services, exercise their human rights and hold decision-makers and relevant institutions to account when affairs are not run according to mandates or plans.

## 1.5 Key Governance Challenges Specific to REDD+

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

### *Viet Nam*<sup>2</sup>

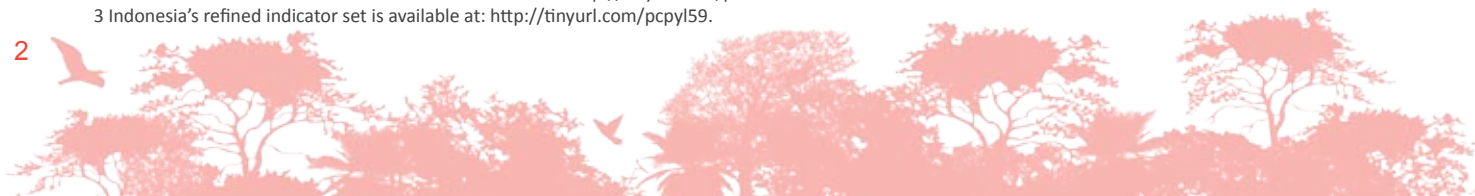
- **participation of stakeholders** in the process of making and implementing decisions with regards to contracting of production forest and land under Decree 135 (hereunder, how are rights for stakeholders to participate recognized; what are stakeholders' capacity to meaningfully participate; how are disputes handled; etc.);
- **forest tenure and benefit sharing** (hereunder, legal recognition of rights and benefits; clarity of tenure – relating to forest boundaries and to what extent does proof of land exist; equity – to what extent is there a difference between the legal framework and how it is being enforced [*de jure* vs. *de facto*]; awareness – to what extent are stakeholders aware of their rights and responsibilities to forests; etc.).

### *Indonesia*<sup>3</sup>

- **certainty over space and forest areas:** relating to the predictability and accuracy of forest management, such as the number of spatial violations monitored by civil society / NGOs, number of complaints to provincial governments and to what extent relevant laws and policies have integrated governance principles;
- **fairness of forest resources management:** relating to indigenous peoples' (IP) rights in the REDD+ process, such as regulations recognizing IP rights, operating procedures for forest and land conflict management, the ratio of "indigenous forest areas" mapped by IPs, the ratio between forest areas being managed by the private sector and by communities, percentage of tenurial conflicts being resolved, etc.;
- **anti-corruption/transparency in forest management:** relating to, among others, recruitment procedures in the forestry sector (including consideration of integrity and competency), percentage of companies with sustainable certificates, percentage of NGOs monitoring the licensing of forest resources, perception of bribes for permit application (by business actors) and corruption-related cases in the forestry sector investigated by law enforcers and NGOs;

<sup>2</sup> Viet Nam's indicator set as of March 2014 is available at: <http://tinyurl.com/p47nkh2>.

<sup>3</sup> Indonesia's refined indicator set is available at: <http://tinyurl.com/pcpyl59>.





- **law enforcement capacity:** complaint mechanisms integrating whistle-blower principles, action plan for corruption prevention, law enforcers having received / receiving training on the multi-laws approach to forestry crime, investigations into corruption cases and forestry crimes by NGOs and media, percentage of forestry crime cases prosecuted by the prosecutor's office, percentage of verdicts on forestry crimes and so on.

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

### *Nigeria (based on introductory discussions and preliminary indicator set, still to be further refined)*

- **broad and informed participation of REDD+ stakeholders:** participation and consultation mechanisms, stakeholder capacity at national and local levels, training and communication, community organization, cohesion and empowerment and gender equality;
- **harmonization of policy and legal framework for REDD+:** assessment and definition of rights to land, carbon and REDD+ (and legislation, as required); and guidance for REDD+ community activities, REDD+ projects and REDD+ entrepreneurs;
- **transparency and accountability of the REDD+ process and finance:** public information on REDD+ funds and activities, allocation and use of funds, selection of beneficiaries and priority to rural livelihoods and complaint mechanisms;
- **intergovernmental relations and coordination:** federal-state dialogue and cooperation between federal and state levels and between ministries and agencies, bureaucracy and pace of implementation and funding mobilization.

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

- how REDD+ plans and strategies, including benefit distribution systems, are being **designed** in a participatory way to better ensure they benefit relevant stakeholders in the end and not only elites;
- the ensured **integrity** of fiduciary and fund-management systems and whether corruption risks are dealt with;
- whether activities are / will be implemented in a **transparent** and **accountable** manner;
- whether the country is **legally prepared** for REDD+ and what are the legal gaps that should be addressed;
- **transparency and access to relevant information** on REDD+ systems, revenue management, benefit distribution systems, MRV and conflict resolution systems;
- **government coordination** in REDD+ planning and implementation, coordination among different levels of government, clarity of roles and responsibilities and cross-sectorial coordination;
- **legislative reform and enforcement** e.g. land tenure and anti-corruption measures.

## 1.6 Participatory Governance Assessment for REDD+ (PGA)

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

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

Primary outputs of a PGA include:

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



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

Ecuador was one of the initial four PGA pilots. In early 2014, while this guide was being drafted, Ecuador opted not to prioritize the PGA process after all. However, Ecuador's experience and plans with the PGA demonstrate how a PGA can be integrated into a broader, national REDD+ process, with benefits to the country's efforts on stakeholder engagement and the development of information systems.

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

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

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

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

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

These outputs in turn can further provide and contribute to:

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

Although the PGA data – if used actively – have the potential for addressing governance challenges, bottlenecks and shortcomings for improved governance systems and structures, the data are by no means a silver bullet and will be limited in scope by the governance issues prioritized by stakeholders, the applied methodology and non-technical limitations.<sup>4</sup>

## 1.7 Main Steps of a PGA Process Outlined

Although the PGA process is flexible enough to be adapted to a country-specific context, the PGA process may still be outlined through four main steps with regards to preparation and design, implementation and follow-up of findings and recommendations. These steps will be elaborated in more detail in the following chapter, while Table 1 below provides a snapshot of what the PGA typically will look like from a general perspective.

<sup>4</sup> For more background information on how the PGA fits within the larger REDD+ process at the national level, please refer to Annexes IV and V, and also Example 2 and Annex VII on how Indonesia has and will be using the PGA data in its national- and provincial-level REDD+ implementation.

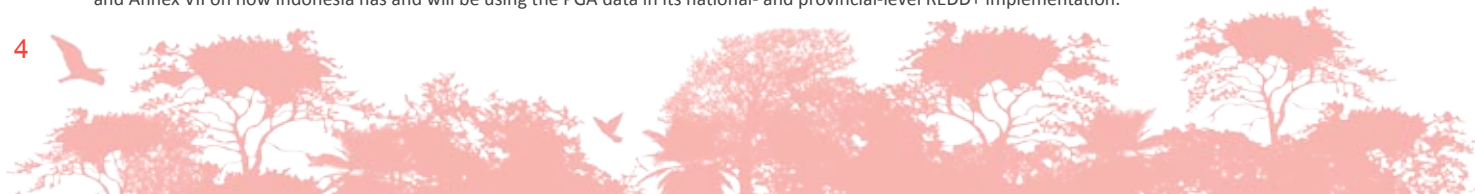
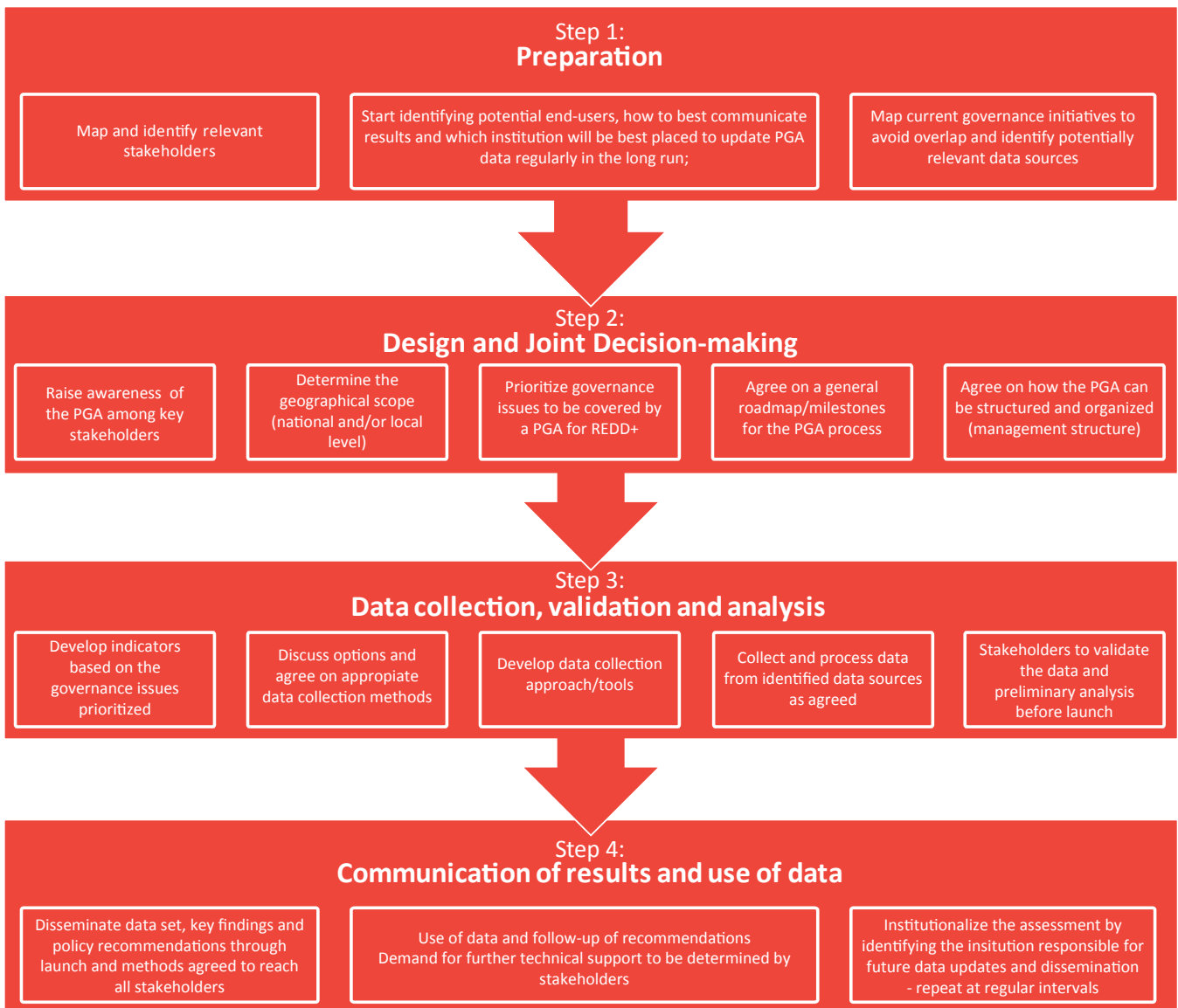




Table 1: Main steps of a PGA process







# PGA Steps in Detail

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

## Step 1: Preparation

- **How will the PGA data and information be used?** Careful thought must be given to why a PGA is needed and relevant as well as how the results of the PGA will be used, as these answers will determine how the PGA is set up. As mentioned above, the PGA results can contribute to, among others, governance planning and policy-making and related REDD+ activities such as stakeholder engagement and a Safeguards Information System (SIS).
- **Who is the intended end-user(s) of the PGA?** Key questions to determine early in the PGA process are: 1) Who will be using the PGA data in the end? And 2) For what purpose will they be using the PGA data? Asking these questions will ensure relevant information in a format that is accessible to relevant stakeholders, and will determine to a great degree which stakeholders should be approached and contribute at what stages throughout the PGA process.

In Table 2 below there are some examples of possible end-users and how they may actively make use of the PGA data in the short and long term – all with the ultimate view of improved governance.

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

Possible end-users of PGA data, findings and recommendations	
Type of actors:	Areas of potential use:
Government actors	<ul style="list-style-type: none"> <li>• as a basis for strategic planning and prioritization where the PGA data have pointed to areas requiring the most urgent attention</li> <li>• as a basis for more informed, relevant (to all stakeholders) and strategic policy-making</li> <li>• as a basis for more informed and strategic governance reform</li> <li>• feeding into relevant components of a country's Safeguards Information System (SIS)</li> <li>• measuring progress and regression against baseline and updated PGA data</li> </ul>
Civil society actors	<ul style="list-style-type: none"> <li>• credible and robust evidence (already validated by government) as basis for their lobby and advocacy work</li> <li>• prioritizing areas of strategic intervention and focus based on PGA findings</li> </ul>
Private sector actors	<ul style="list-style-type: none"> <li>• as part of their planning</li> </ul>
Academia	<ul style="list-style-type: none"> <li>• evidence to support further research</li> </ul>
Donors	<ul style="list-style-type: none"> <li>• to get a clear indication on the state of governance and performance over time relating to the implementation of REDD+ (governance systems, structures, performance, etc.) – particularly through the SIS</li> </ul>
Journalists	<ul style="list-style-type: none"> <li>• reporting to the public on measured progress and regression</li> <li>• feed into public debate</li> </ul>
Parliamentarians/ lawmakers	<ul style="list-style-type: none"> <li>• to hold decision-makers to account for poor performance in certain areas over time, and as a basis to shift direction / argue for reform in these areas</li> <li>• as basis in budget negotiations</li> <li>• report to constituencies on progress and regression in general and/or feed into public debate</li> </ul>

**Who should be involved and contribute at what stage?** The PGA process encourages wide participation both to add to the comprehensiveness of the data and to bring about realistic recommendations to identified and agreed upon governance shortcomings. As such, it is encouraged that stakeholders are involved beyond the "typical" actors – by inviting the private sector actors (e.g. business associations) and also allowing for critical and constructive voices from civil society. Stakeholders should be approached as early as possible, and once the organizational structure is determined jointly (see Step 2 below), who contributes with what and when should be clear to all.<sup>5</sup>

<sup>5</sup> An Institutional Context Analysis (ICA) may also benefit the mapping of stakeholders. The ICA Guidance Note is available at: <http://tinyurl.com/ozwuum6>.



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

**What already exists in terms of similar governance initiatives and useful data sources?** Governance initiatives of a similar and relevant character and previous stakeholder analysis should be mapped, not only to avoid overlap but also to identify what data sources already exist and how these can be used further once the scope of the PGA process is determined.<sup>6</sup>

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

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

## Step 2: Design and Joint Decision-Making

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

### Example 2: How the PGA data are and will be used in Indonesia

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

Dr Kuntoro Mangkusubroto, Head of Indonesia's REDD+ Preparedness Task Force/the Presidential Working Unit for Supervision and Management of Development (UKP4), referred to the PGA process in Indonesia as a "most valuable contribution to the process of improving governance of forests, land and REDD+" and emphasized the importance of regular governance data updates to "track progress or regression" towards the baseline available.

In his remarks Dr (Hc) Zulkifli Hasan, Minister of Forestry, stated that the PGA report will be used as a key reference to develop the next strategic forestry plan, particularly with regard to the forest governance aspects. In addition, the PGA will be a model used to conduct forest and REDD+ governance in the future. The PGA rightly points to areas requiring urgent attention, and as such provides comprehensive data and evidence for government planning and a basis for further policy-making.

Abdon Naban, General Secretary of AMAN (Indigenous Peoples' Alliance of the Archipelago) and one of the PGA Expert Panel members, stated that the PGA process is contributing to a constructive space for dialogue between different stakeholders, and that AMAN has already used preliminary findings and recommendations in their national working meeting for strategic planning in Palangkaraya-Central Kalimantan in March this year.

A significant accomplishment of Indonesia's PGA process is the production of baseline data credible to a variety of stakeholders. Since the launch, the PGA data have been used in a variety of ways by different actors to support both decision- and policy-making with evidence. The Indonesian REDD+ Agency is particularly keen on using the PGA as its "own monitoring tool." The PGA is also the basis of NGO's (such as WALHI and AMAN) advocacy work, and the recommendations have sparked positive changes, such as implementing sanctions upon suspicion or detection of corrupt practice among public officials.<sup>a</sup> At the provincial level, Jambi Province has requested the continuation of a province-specific index and online forest conflict map to inform its daily decision-making, as well as to use in the development of its provincial-level REDD+ strategy.

More concrete examples on how different Indonesian actors are utilizing the PGA data and following up on the recommendations can be found in Annex VII.

<sup>a</sup> More from the launch of the PGA report in Indonesia can be found at: <http://tinyurl.com/ppuqws>.

<sup>6</sup> Some relevant processes worth checking might be FLEGT (Forest Law Enforcement, Governance and Trade) and LIA (Livelihoods Impact Assessment).





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

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

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

### Example 3: Nigeria's experience on Step 2: Preparing the groundwork for informed participation and decision-making

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

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

Feedback from workshop participants reflected the sentiment that the preparatory research contributed greatly to a common understanding of the complex issues and enabled more active engagement in the discussions.<sup>b</sup>

### Example 4: Indonesia's experience on Step 2: Setting up the PGA and agreeing on an organizational structure

In Indonesia, the PGA was first discussed among national-level government and civil society representatives and subsequently through provincial-level consultations.

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

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

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

Further information on the PGA process in Indonesia can be found in Figure 1.

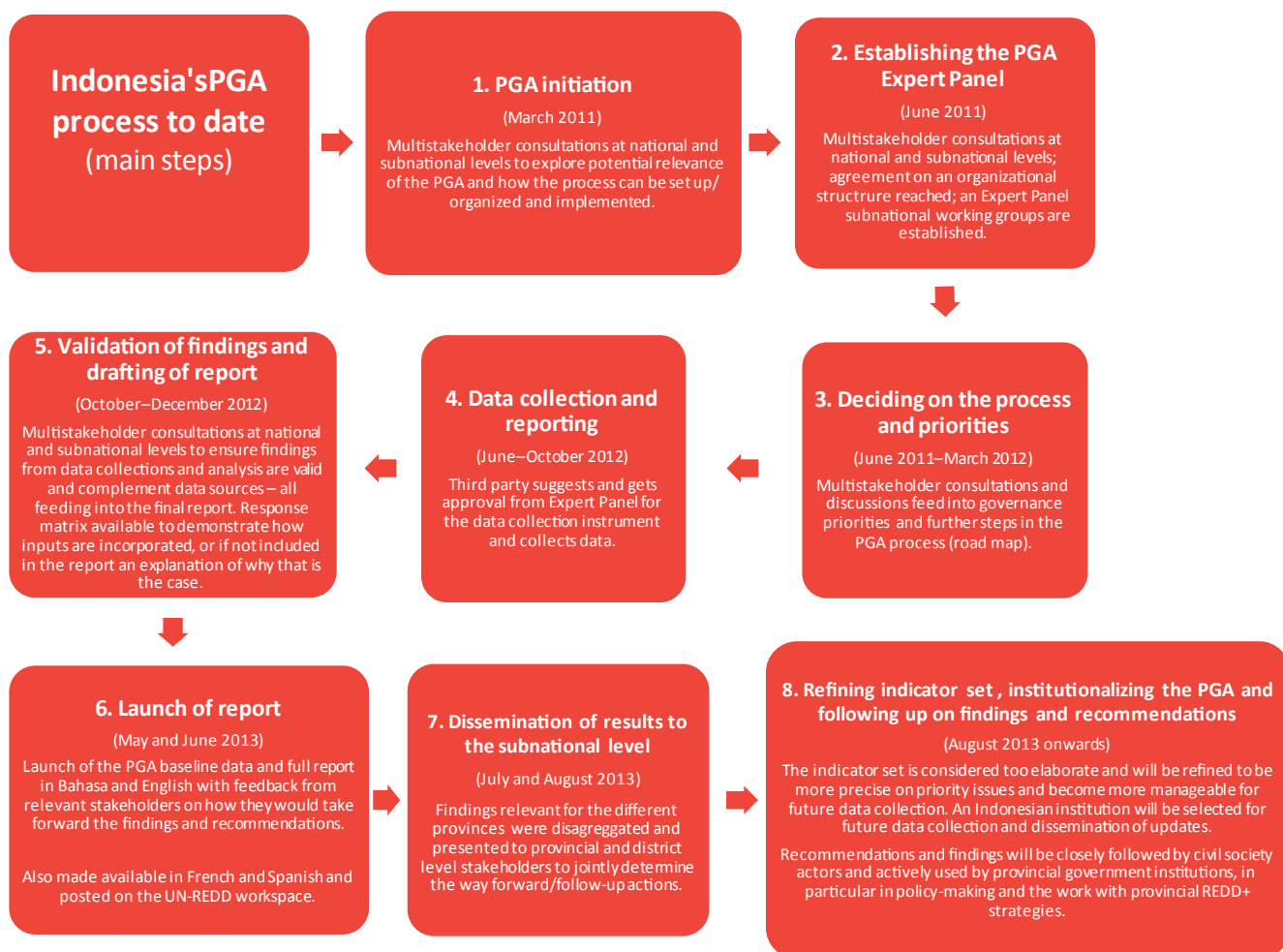
<sup>b</sup> The January 2013 workshop report and preliminary research for the PGA in Nigeria can be found at: <http://tinyurl.com/qercy4e>.

**Why is an organizational structure needed?** Who is expected to contribute with what during the PGA process is important for several reasons. Firstly, it clarifies for the stakeholders invited to join what they are supposed to contribute with, what their role will be and how much time is needed, and also the role of the PGA coordinator vis-à-vis the stakeholders.

Secondly, it is key to balancing a wide and meaningful participation with the need for a smaller and representative constituency or group within the PGA, which will take decisions after discussions and input have been given. How this is done can vary from country to country. Both from a legitimacy and practical angle, it is recommended based on experience thus far with the PGA pilots to identify a few individuals (roughly six to eight) representing civil society, government, private sector and academia whom the stakeholders approached agree on. They can and should be given a mandate to have the overall responsibility for the PGA process. This will involve taking decisions on the major steps and methodological options when needed – based upon the input from the larger stakeholder group(s) and with a view to demonstrate how and why inputs have been taken into account or not (through response matrices, among others).

See Example 4 below from Indonesia on how it has structured its PGA process. Viet Nam also looked to Indonesia for a restructuring of its PGA process and to have more clarity on the expected contributions and roles of the different stakeholders. An “Expert Group” similar to Indonesia’s “Expert Panel” was discussed and agreed upon by stakeholders, to both have more expertise on the methodological side included in the process, but also to have a representative and smaller body responsible for taking the final decisions based on stakeholder inputs.<sup>7</sup>

**Figure 1: Indonesia's PGA process to date**



<sup>7</sup> The January 2014 workshop report for the PGA in Lam Dong, Viet Nam is available at: <http://tinyurl.com/q9emnrp>.





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

**How to ensure clarity amongst stakeholders on the relevance and expected outcomes of the PGA throughout the process?** The importance of clear communication of the relevance of the PGA in the larger national process and of the expected outcome(s) throughout the process should not be underestimated. This should not only be done

when stakeholders first convene, but should be repeated throughout the process and ideally at the beginning of each meeting and workshop. It is also advisable to provide a reference to the status of the PGA report or which step the process is currently at (see Table 1 on the different steps).

### Step 3: Data Collection and Analysis

This chapter provides a brief introduction to data collection and analysis in the context of conducting a PGA. It covers how to break down key governance issues into components and indicators, determine a data collection approach, ensure data quality and analyse data. For more comprehensive guidance on the technical aspects of data collection, including resources and case studies, please refer to *Assessing Forest Governance: A Practical Guide to Data Collection, Analysis and Use*, developed by the UN-REDD Programme and partners.<sup>8</sup>

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

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

#### 2.3.1 Determining Components and Developing Indicators

Once key governance issues have been prioritized as detailed in Step 2, the next step is to determine their core components,<sup>9</sup> or the specific aspects of each governance issue to assess. This step very much depends on local conditions and on the governance issues that have been found to be key to examine in multi-stakeholder sessions. For more guidance on determining components and developing indicators, it may be useful to consult the "Framework for Assessing and Monitoring Forest Governance" or other relevant frameworks.<sup>10</sup>

<sup>8</sup> *Assessing Forest Governance: A Practical Guide to Data Collection, Analysis and Use* is available at: <http://tinyurl.com/n9edobk>.

<sup>9</sup> In the governance literature, "criteria" and "component" are often used interchangeably. In this publication and others, we have chosen to use the term "component".

<sup>10</sup> The WRI GFI Indicator Framework: <http://tinyurl.com/namoajm>, PROFOR tool for Assessing and Monitoring Forest Governance: <http://tinyurl.com/pns9hdf>, and FAO Voluntary Guidelines on the Responsible Governance of Tenure: <http://tinyurl.com/67a7tz5> each provide examples of indicators or principles relevant to forest governance.

Please see Figure 2 for an illustration of how to structure this process. For example, if one of the PGA's priority governance issues is stakeholder participation, one of its components may be "the existence and effectiveness of processes that ensure participation by key stakeholders." This component may be measured using a few indicators, including "the availability of funding and training provided for staff in the relevant agencies to conduct stakeholder outreach."<sup>11</sup>

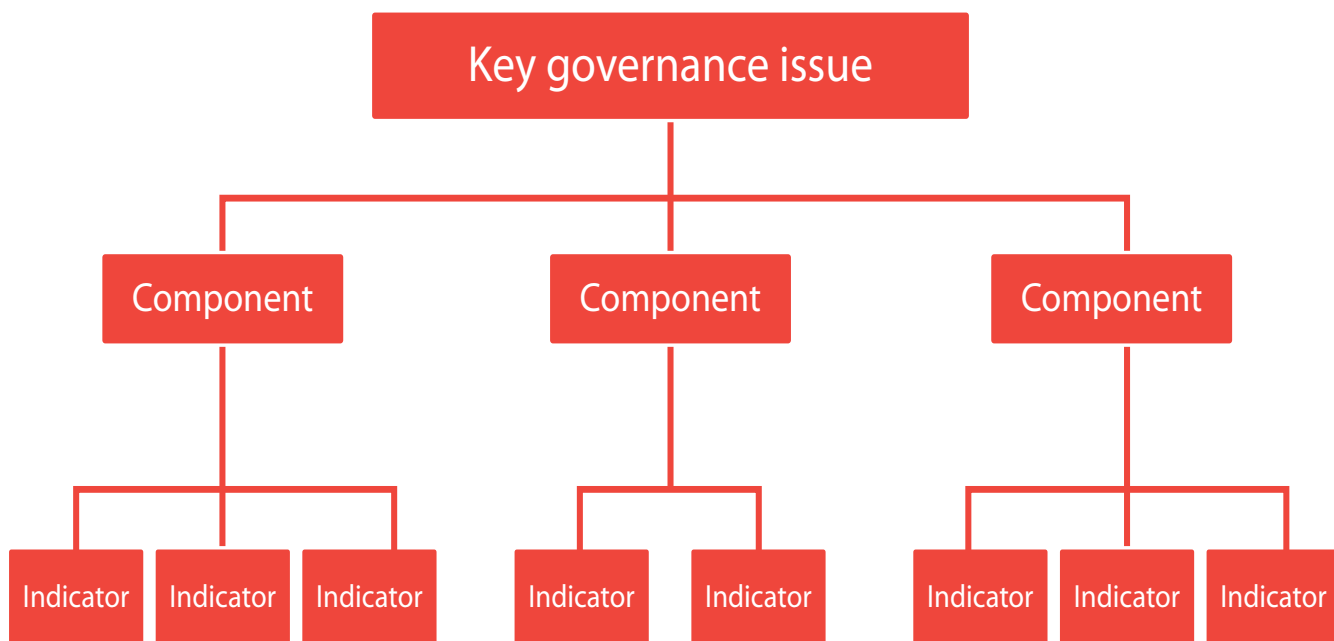
Once a set of components has been selected, the components may be broken down into subcomponents or directly into measurable indicators. An indicator is defined as "a quantitative, qualitative or descriptive attribute that, if measured or monitored periodically, could indicate the direction of change in a component."<sup>12</sup> Components may be assessed using one or more indicators. Indicators can take several forms, but an indicator should always be SMART, that is:

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

It may not be clear whether an indicator passes some of these tests until it has been piloted, as described later in this chapter. For instance, a seemingly difficult indicator may already have been measured as part of a routine government data collection process or a recent parallel assessment, or an indicator that seemed simple may actually be quite difficult to measure. Table 4 below provides an example of how Indonesia structured its indicator set and includes the data sources identified for each indicator.

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

**Figure 2: Breaking down a key governance issue into measurable indicators**



11 Examples taken from the Framework for Assessing and Monitoring Forest Governance: <http://tinyurl.com/3z72t4n>.

12 The FAO/PROFOR publication Assessing Forest Governance: A Practical Guide to Data Collection, Analysis and Use can be found at: <http://tinyurl.com/n9edobk>, and the Framework for Assessing and Monitoring Forest Governance is available at: <http://tinyurl.com/3z72t4n>.



**Table 3: PGA pilot overview**

PGA pilot overview	Indonesia	Viet Nam	Nigeria	Ecuador
Actors involved	National and subnational stakeholders involving academia, government, civil society and the private sector. Ministry of Forestry, Indonesia's REDD+ Preparedness Task Force, the Presidential Working Unit for Supervision and Management of Development (UKP4), the National Planning and Development Agency (BAPPENAS), Bogor Agriculture Institute and President of National Forestry Council, Indigenous Peoples' Alliance of the Archipelago (AMAN), Epistema and WALHI	VN Forest, functional departments at provincial level, state forest companies / management boards, functional unit at district level, communities (communal level), local universities and Vietnamese NGOs	Ministry of Environment, Cross River State Forestry Commission, NGOCE (NGO Coalition for Environment), University of Calabar, representatives from local communities (Mbe Mountain) and Women Environmental Programme	The Ministry of Environment, Fundacion Pachamama, CONAIE, CONAICE, Ceplaes, RFN, WWF, Care and Flora and Fauna, among others
Governance issues prioritized	<ul style="list-style-type: none"> <li>• law and policy framework</li> <li>• REDD+ actors' capacity (government, civil society, indigenous/ local community, business entity)</li> <li>• implementation aspects in the following issues:</li> <li>• spatial and forestry planning</li> <li>• rights regulation</li> <li>• forest organization</li> <li>• forest management</li> <li>• controlling and oversight</li> <li>• REDD+ infrastructure</li> </ul>	<ul style="list-style-type: none"> <li>• participation of local (commune) authority in decision-making processes related to forest management</li> <li>• law enforcement</li> <li>• allocation of forest/ land</li> <li>• intersectorial collaboration</li> <li>• (to be reviewed by Expert Group)</li> </ul>	<ul style="list-style-type: none"> <li>• broad and informed participation of REDD+ stakeholders</li> <li>• harmonization of policy and legal framework for REDD+</li> <li>• transparency and accountability of the REDD+ process and finance</li> <li>• intergovernmental relations and coordination</li> </ul>	<ul style="list-style-type: none"> <li>• national legal and political framework</li> <li>• compliance of norms and oversight</li> <li>• effective institutional advancement by government entities in the sector and inter-entity coordination</li> <li>• participation</li> <li>• information and transparency</li> <li>• governance systems and decision-making</li> <li>• indigenous peoples' and communities' rights</li> </ul>
Geographical scope at the country level	National, province and district level. The following eight provinces are included: Aceh, Riau, Jambi, South Sumatra, West Kalimantan, Central Kalimantan, East Kalimantan, Central Sulawesi, Papua and West Papua.	In addition to the national level, Lam Dong has been selected as the first PGA pilot province in Viet Nam.	Federal and state level (Cross River State)	Focusing primarily at the local level in Napo, Esmeraldas and Orellana provinces



**Table 4: Indonesian indicator structure<sup>13</sup>**  
**Example from Indonesia on how indicators were structured<sup>14</sup>:**

No.	Indicator	Forest management issue	PGA governance principle	Unit of observation	Data sources	Data collection method(s)	Assessment score*
<b>Component: Law and regulation framework</b>							
1	The existence and comprehensiveness of laws and policies governing transparent forest planning and Regional Spatial Plan (RTRW) formulation	Forest planning and spatial planning	Transparency	Central, provincial and district	Relevant laws and government, presidential and ministerial regulations	Document data analysis (determined whether the examined laws and policies governed and included data items predetermined by the PGA team)	*This PGA used a scoring system. The PGA team defined comprehensiveness of the laws and policies addressed by this indicator and assessed it accordingly.
<b>Component: Implementation results</b>							
100	Size of the forest areas that overlap with other land uses	Forest rights arrangement	Accountability	Central, provincial and district	Government documents and in-depth interviews with directors of relevant national and subnational agencies	Document data analysis and structured interviews	*This PGA used a scoring system. The PGA team determined that the <i>ideal</i> situation is when no forest areas overlap with other land uses.

Qualitative indicators can take several forms:

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

Neither type of indicator (qualitative or quantitative) is inherently better than the other, either – or both – can be used to assess a component. For a practical checklist when assessing proposed indicators please see Table 5 below.

<sup>13</sup> The refined Indonesian PGA indicator set can be found at: <http://tinyurl.com/pcpyl59>.

<sup>14</sup> Example from Indonesia on how indicators were structured.



**Table 5: Checklist for assessing proposed indicators**

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

### 2.3.2 Determining Data Collection Methods

There is no one best way or method to collect data to answer indicator questions. The choice of data collection methods usually depends on available resources, access to the appropriate data sources, data needs in relation to the indicator, time constraints, already existing relevant data, etc. Data collection methods are also dependent on the needs of those who will ultimately use the data assessment, e.g. the level of data precision needed and how often data collection is required. An overall guiding rod, however, is that using a mix of data collection methods will generate a more robust (good quality) and comprehensive set of data. In addition, the most robust data are usually the data that can be separately acquired from and confirmed by multiple sources. If an observation is verified by multiple sources, it can often be considered more credible.

#### Developing a data collection approach

Before beginning to collect data, it is necessary to develop a plan for determining what data to collect and how to do so in a systematic way. Simplicity is key in developing a data collection approach for indicators. It is important to develop a data collection system that will only gather and process data to be used in measuring the current indicator set. This will minimize costs and reduce the burden of processing data that could possibly be irrelevant to the indicators that have been identified.

Below are some questions to consider before beginning data collection:

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

For a general overview of different data collection methods, see Table 6 below. Further information about the estimated cost, training time, duration and response rate of each of these methods can be found in Table 7. These are by no means comprehensive; more extensive information can be found in Chapter 3 and Annex 2 of *Assessing Forest Governance: A Practical Guide to Data Collection, Analysis and Use*.

#### Determining data sources

The first practical course of action when determining the appropriate data sources is to identify existing information and data sources relevant to the chosen components and indicators. It is likely that relevant data have been collected





and that similar methods have been used in previous studies, and these can feed into the PGA. In the context of REDD+, National Forest Monitoring Systems (NFMS) and Measurement, Reporting and Verification (MRV) systems may both serve as complementary sources of data.

Overall, data to be utilized for indicators can be obtained from two categories of sources. Primary data are data generated and/or collected especially for the indicators developed. Primary data are usually obtained through questionnaires, surveys, interviews, focus-group discussions, key informants interviews, expert panels, direct observation, case studies or any activity specifically designed to generate and/or collect information to be used for the PGA indicators. Secondary data are data that have been generated, collected and published for a different purpose altogether but are directly related to the PGA indicators. Secondary data are usually collected through document review and can be obtained through the same methodologies as primary data. As these data may be less reliable than primary data generated or collected specifically for the PGA, they should be collected from multiple sources and cross-checked (see "Ensuring Data Quality" below).

**Table 6: Common data collection methods**

Data collection methods	Description	Advantages (+) and disadvantages (-)
Document review	Existing records and documents are examined, and the necessary information is extracted.	<ul style="list-style-type: none"> <li>+ Inexpensive</li> <li>+ May require little training (or may require topical expertise, if reviewing legal documents, for instance).</li> <li>- Some documents, such as government records, may be difficult and time-consuming to obtain.</li> </ul>
Interviews	Information is obtained through inquiry and recorded by interviewers.	<ul style="list-style-type: none"> <li>+ Interviewees may respond more honestly than they would in a group setting.</li> <li>- Interviewees may alter their responses to the response they think the interviewer is seeking.</li> </ul>
Surveys (interview administered)	Respondents are asked to respond orally based on predetermined questions. Response options are often predetermined, and responses are analysed statistically.	<ul style="list-style-type: none"> <li>+ Data collectors may be able to explain questions or amend them to improve respondents' understanding.</li> <li>- Respondents may alter their responses to the response they think the data collector is seeking.</li> </ul>
Surveys (self-completed questionnaire)	Instead of questions being posed directly as with interviews and interview-administered surveys, respondents are asked to fill out written forms on their own. Response options are predetermined by the questionnaire, and responses are analysed statistically.	<ul style="list-style-type: none"> <li>+ Respondents may answer more honestly if their responses are anonymous.</li> <li>- Data collectors may be unable to verify that the respondent has understood the question or is knowledgeable about the subject.</li> </ul>
Focus groups	Stakeholders from one group are brought together to gather their point of view on an issue, to validate data or to review findings. A facilitator (or moderator) asks predefined questions to the group, and participants can openly discuss certain issues with other group members.	<ul style="list-style-type: none"> <li>+ Participants can directly verify or dispute certain points and thereby increase the likelihood of accurate data being incorporated.</li> <li>- Participants may be influenced by others' responses.</li> </ul>
Multi-stakeholder workshops	A range of stakeholders is brought together to perform such tasks as refining indicators, validating data or validating assessment findings. Led by a facilitator, the workshop may include breakout sessions into smaller groups.	<ul style="list-style-type: none"> <li>+ Allows data collectors to understand where disagreements may lie and among which stakeholders.</li> <li>- Stakeholders may disagree or be uncomfortable expressing their opinions, and coming to a consensus can be time consuming.</li> </ul>
Content analysis	Content analysis is a quantitative tool used to analyse the themes and terms found in chosen documents and media.	<ul style="list-style-type: none"> <li>+ Media files and documents may provide data not found elsewhere.</li> <li>- Identification of key themes and terms may be subjective.</li> </ul>



### Collecting data

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

**Table 7: Assessing data collection methods**

Characteristics	Data collection methods					
	Document review	Interviews	Surveys/questionnaires	Focus groups	Multi-stakeholder workshops	Content analysis
Cost	Low to moderate	Moderate to high	Moderate to high	Depends on number and proximity of participants	Depends on number and proximity of participants	Low to moderate
Amount of training required for data collectors	Some	Moderate to high	Moderate to high	Moderate	Moderate	Some
Completion time	Depends on amount of data needed	Moderate to long (depends on number/location)	Moderate to long (depends on number/location)	Short to moderate (depends on number)	Short to moderate (depends on number)	Depends on amount of data needed
Response rate	Depends on availability of necessary documents	Moderate to high	Depends on method of distribution and follow up	High	High	Depends on availability of necessary documents and media

### 2.3.3 Ensuring Data Quality

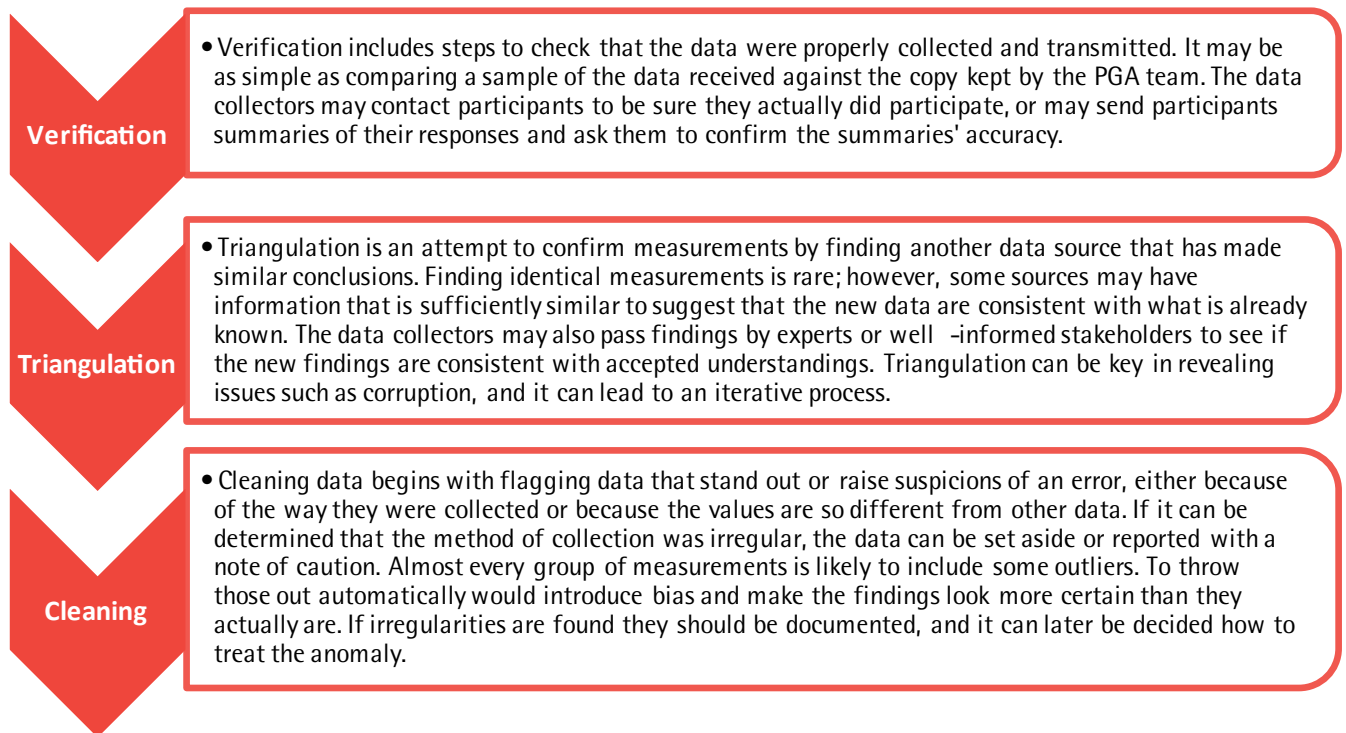
To make certain that the data collected are correct and complete, the quality of the data must be confirmed. Once the data have been collected, it is essential to make sure that the data used to evaluate the PGA indicators are up-to-date and reliable. Again, it is important to note that once indicators are developed, they are not final in any sense. Indicators are often adjusted, as they are tested against the realities of collecting data to address the governance issues being assessed. Processing the collected data includes three practical steps: verification, triangulation and cleaning, as described in Table 8 below.

Once these steps have been followed, it is possible to analyse the indicators using the data collected and to determine if they provide information necessary to assess the components. New indicators may be adopted and old indicators dropped when needed. This process is one that can be repeated throughout the PGA data collection process to further refine indicators and improve data quality. For further guidance on ensuring data quality, including data storage considerations, please see *Assessing Forest Governance: A Practical Guide to Data Collection, Analysis and Use*.

### 2.3.4 Analysing Data and Validating Findings

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

**Table 8: Practical steps to process collected data**



### *Comparisons*

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

### *Patterns and outliers*

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

### *Anecdotes*

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

If the analysis has the potential to be highly controversial or subjective, it is recommended to engage stakeholders in the analysis and/or recommendation processes. The data should be presented to stakeholder experts or at stakeholder workshops, and stakeholders should be asked to draw conclusions and recommendations from the data themselves. Possible questions for stakeholders may include what problems do the data identify, which problems have the highest priority and what actions they recommend. The PGA analysis may then include a collection of differing viewpoints tied to particular groups.





### Example 5: Jointly validating the findings in Indonesia

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

<sup>c</sup> Documents from this October 2012 validation meeting in Indonesia are available at: <http://tinyurl.com/nwm3kka>.

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

Following a meeting where relevant stakeholders validate the findings, the PGA report should be written and revised. This report should be well written and straightforward, and it should include recommendations made on the basis of the PGA's findings.

## Step 4: Communication of Results and Use of Data

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

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

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

### 2.4.1 Dissemination of the Results

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

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

### *2.4.2 Ensuring Active Use of the Governance Data*

Producing robust and credible governance data is no small feat, but it is just a first step – together with appropriately disseminating the data – in a process towards increased accountability. For the governance data to ultimately make a difference in policy and decision-making, various stakeholders will have to make active use of the data that have been produced and made available.<sup>15</sup>

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

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

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

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

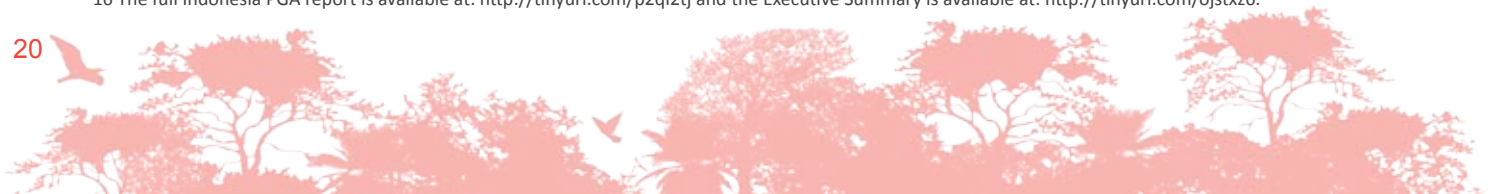
### *2.4.3 Ensuring Continued Regular Updates of the PGA Data to Track Progress and Regression*

The PGA data may be presented in different forms depending on the differing needs and preferences throughout the country where a PGA is undertaken. In Indonesia, the baseline data resulting from the PGA were presented as a report, describing the different shortcomings and weaknesses associated with REDD+ governance at national and local levels. In the report there were also: an overview of the state of REDD+ governance through elaborate indicators, recommended actions for governance reform and an Executive Summary of the comprehensive data presented in the full report.<sup>16</sup> In the long run, the aim is indeed to have updates of the PGA data so stakeholders may track progress and/or regression.

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

<sup>15</sup> See Annex XII for more concrete examples of utilization of the PGA data in Indonesia.

<sup>16</sup> The full Indonesia PGA report is available at: <http://tinyurl.com/p2ql2tj> and the Executive Summary is available at: <http://tinyurl.com/ojstxz6>.



# Annex I: Summary of Key Considerations for Each PGA Step

## Step 1: Preparation

General considerations:

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

Practical first steps in a preparatory stage:

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

In the introductory communication with stakeholders and throughout the process:

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

## Step 2: Design and Joint Decision-Making

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

Agree on the following:

- ✓ how the PGA results and recommendations should be used;
- ✓ who the main end users are;
- ✓ geographical scope of the PGA (national and subnational levels);
- ✓ a set of priority governance issues;
- ✓ a general road map (plan) and main next steps;
- ✓ the organizational structure and responsibilities/roles of each of the PGA groups.



### Step 3: Data Collection and Analysis

Before starting the data collection process, it is recommended to produce a document outlining the decisions on (a) who should collect the data; (b) what specific methods will be used to collect data for each indicator; (c) the specific timeline and steps on when, where and how to collect data; and (d) how the data will be validated to ensure their quality, once collected.

Practical steps:

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

### Step 4: Communication of Results and Use of Data

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

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



## Annex II: Linking With Other UN-REDD Programme Tools and Guidance

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

- **UN-REDD Programme Social and Environmental Principles and Criteria (SEPC):** starting point for discussing relevant governance issues [http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=6985&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=6985&Itemid=53)
- **REDD+ Corruption Risk Assessment:** for guidance on how to analyse and address corruption risks in REDD+ <http://www.tinyurl.com/redd-CRA-V2>
- **UNDP Oslo Governance Centre publications:** such as "Country-led governance assessments"; "Fostering Social Accountability"; "How to prepare for a governance assessment"; "Pro-poor and gender sensitive indicators"; and the "Institutional Context Analysis" [http://www.unredd.net/index.php?option=com\\_docman&task=cat\\_view&gid=1116&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=cat_view&gid=1116&Itemid=53)
- **Gender Sensitive REDD+:** for guidance on how to appropriately address gender dimensions in REDD+ [http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=11824&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=11824&Itemid=53)
- **FCPF/UN-REDD Guidelines on Stakeholder Engagement:** The guidelines are designed to support effective stakeholder engagement in the context of REDD+ readiness, with an emphasis on the participation of indigenous peoples and other forest-dependent communities. The guidelines contain (1) relevant policies on indigenous peoples and other forest-dependent communities; (2) principles and guidance for effective stakeholder engagement; and (3) practical how-to steps on planning and implementing effective consultations. The guidelines will be useful when preparing and implementing a comprehensive set of consultation and participation activities for the PGA. [http://www.un-redd.org/Stakeholder\\_Engagement/Guidelines\\_On\\_Stakeholder\\_Engagement/tabid/55619/Default.aspx](http://www.un-redd.org/Stakeholder_Engagement/Guidelines_On_Stakeholder_Engagement/tabid/55619/Default.aspx)
- **Framework for Assessing and Monitoring Forest Governance:** a comprehensive analytical framework to diagnose, assess and monitor forest governance. <http://www.fao.org/climatechange/27526-0cc61ecc084048c7a9425f64942df70a8.pdf>
- **Assessing Forest Governance: A Practical Guide to Data Collection, Analysis and Use:** This guide provides methodological guidance on the steps of data collection, from developing indicators and selecting data collection methods, to analysing data and using them to generate information. [http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=12800&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=12800&Itemid=53)
- **LEG-REDD+:** introduction to the nature of legal preparedness for REDD+, as well as a practical outline of specific sources of support to countries. [http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=11760&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=11760&Itemid=53)
- **Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security:** serve as a reference and set out principles and internationally accepted standards for practices for the responsible governance of tenure, providing a framework that states can use when developing their own strategies, policies, legislation, programmes and activities. <http://www.fao.org/nr/tenure/voluntary-guidelines/en/>
- **National Grievance Redress Mechanism:** Governance priorities and data from the PGA can feed into the design and implementation of the national level grievance mechanism. [http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=11841&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=11841&Itemid=53)
- **Benefits and Risk Tool (BeRT 2.0):** (in development) intended to help national actors to understand how the Policies, Laws and Regulations (PLRs) already in place in the country of interest relate to the Cancun safeguards and to conduct a rapid assessment of gaps in the coverage of the safeguards by these existing PLRs. [http://www.unredd.net/index.php?option=com\\_docman&task=cat\\_view&gid=3525&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=cat_view&gid=3525&Itemid=53)
- **Country Approach to Safeguards Tool (CAST):** designed to support planning at the country level for activities related to REDD+ safeguards and Safeguard Information Systems (SIS), in response to the relevant UNFCCC decisions. [http://www.unredd.net/index.php?option=com\\_docman&task=cat\\_view&gid=3524&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=cat_view&gid=3524&Itemid=53)

- **UN-REDD Framework for Supporting the Development of Country Approaches to Safeguards:** The conceptual framework developed by the UN-REDD Safeguards Coordination Group builds on UNFCCC decisions and provides countries with guidance on how to respond to these agreements. It describes the main components, steps and activities that countries may wish to consider in developing a country-level approach to safeguards. [http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=10177&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=10177&Itemid=53)
- **UN-REDD Programme Policy Brief: Putting REDD+ Safeguards and Safeguard Information Systems Into Practice:** This UN-REDD Programme Policy Brief outlines some of the key considerations for countries as they develop country-level approaches to promote and support REDD+ safeguards and examines how safeguards are currently being addressed and respected. <http://www.un-redd.org/Newsletter35/PolicyBriefonREDDSafeguards/tabid/105808/Default.aspx>





# Annex III: Lessons Learned from Governance Assessments

## Key lessons learned from the PGA pilots, from a practical perspective

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

Bringing the PGA work forward beyond the four pilots in Indonesia, Ecuador, Viet Nam and Nigeria means that looking back at key lessons from these pilots is imperative. Thus far, lessons learned from a more practical perspective when conducting PGAs are

- Ensuring **sufficient human capacity** to facilitate and coordinate the overall process, to convene diverse stakeholders and communicate results, etc. is critical to maintaining the progress and momentum in a PGA process. Recruiting a full-time PGA coordinator as early as possible is highly recommended.
- Realizing all governance challenges cannot be addressed through a PGA and **keeping it simple have proven useful**. Narrowing down **governance issues to three to four key areas** will provide more relevant information back to stakeholders, and fewer rather than too many **indicators** make the dissemination of data and regular data collection more manageable and cost efficient.
- A **smaller, but representative group** consisting of both civil society and government actors (in addition to academia and private sector, where relevant) is practical for the more frequent discussions required to conduct more detailed discussions and decisions (such as refining an indicator set, concluding which data collection methods should be used and deciding on the geographical scope of the PGA). Consultations of **broader stakeholder group(s) can be useful for the general discussions** of the PGA (such as prioritizing key governance issues for the PGA and for validating the findings).
- **Mapping existing data sources** is useful to find alternative data sources that may substitute parts of the data collection, and in turn can make regular updates more manageable.
- **Mapping ongoing and relevant governance initiatives** to avoid duplication of efforts and to identify relevant data sources will save time and costs.
- **Making use of existing stakeholder platforms** as a starting point for stakeholder analysis and inclusion is relevant, although inclusion of stakeholders should not be limited only to existing stakeholder platforms.
- **Preliminary research and analysis of governance issues** with the view to feed into the initial workshop will provide useful insights of the state of governance in the country. Pointing to or suggesting priority issues that the PGA may cover seems to be a valuable starting point to inform and spark discussions and group work during the workshop.

## Relevant lessons from the UNDP Oslo Governance Centre's mid-term review:<sup>17</sup>

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

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

<sup>17</sup> The mid-term review is available at: <http://tinyurl.com/nqqokzp>.

- Selecting the **right institutional arrangement** for the assessment is critical, especially with regards to the location of a monitoring system. An agency that has an official mandate to monitor is advantageous, but one should also involve and engage an agency or government body responsible for follow up and reform, as well as actors with technical expertise to monitor.
- **Increased involvement of civil society in designing and implementing assessments is a win-win.** Evidence – in the form of accessible, credible and robust governance – enhances civil society actors' and indigenous peoples' legitimacy. Legitimacy matters for policy influence, and collaboration with indigenous peoples and civil society actors enhances legitimacy of government.
- **A good communication strategy is a prerequisite for good results and active use of the data** from a governance assessment process. This should also be considered and planned for early in the process.



# Annex IV: PGA Fast Facts

## UN-REDD PROGRAMME

## FAST FACTS

### Participatory Governance Assessments for REDD+ (PGAs) – June 2013

#### Why are we piloting the PGAs?

The Participatory Governance Assessment for REDD+ (PGA) is a truly inclusive process involving different stakeholders from government, civil society, private sector and academia with the view to analyse the current state of governance and produce robust and credible governance information as the first step to improve identified governance weaknesses and shortcomings identified.

The PGA serves many purposes in a country's national REDD+ process depending on which stakeholder group is using the governance data.

From a government perspective, the PGA results provides robust evidence which can feed into and **support government's policy-making, planning and strategies** at national and sub-national levels and as such act as a **starting point for governance reform**. With regular updates of the PGA data it will also be possible to **track progress or regression**. Lastly, the comprehensiveness of governance data available through the PGA process will also lend itself to **feed into the national Safeguards Information System**, which countries in turn will report back to UNFCCC.

From a civil society perspective, the robust

governance data available through the PGA process offers valuable evidence to their **lobbying and advocacy**, as well as a **monitoring tool** to ultimately hold decisions makers to account.

#### What is the added value of a participatory approach?

Through the piloting of the PGAs, the UN-REDD Programme has noted the following benefits associated with producing governance data in an inclusive manner:

**Legitimacy:** When stakeholders have been involved in deciding on main steps and components of the process they place trust in the actual process of obtaining the data and deem the actual findings and recommendations legitimate and accurate.

**Ownership:** With meaningful engagement from the onset, stakeholders also develop an ownership to the data itself and to follow up the recommendations as opposed to recommendations being presented from external entities.

**Relevant data produced:** Stakeholders involved are also part of the target audience for the PGA data being produced – and by jointly determining the scope of the PGA one ensures that the data being produced is actually in demand and seen as relevant by different stakeholders.

**Comprehensiveness of data:** a more complete vision of reality is made available when the realities, contexts and perspectives of different stakeholders are taken into account. This provides a better evidence base for more effective policy-making and governance reform.

#### Building on an existing approach to governance assessments

The PGA approach builds both on the UNDP Oslo Governance Centre's



knowledge of and experience with conducting governance assessments in a wide range of sectors and themes (such as anti-corruption, justice and public service delivery), as well as FAO's expertise in data collection in the forestry sector.

#### Where: current PGA pilots

The following countries are currently conducting PGA pilots; Indonesia, Ecuador, Nigeria and Vietnam with support from the UN-REDD Programme.







### How are the PGAs implemented?

The PGA report provides through extensive stakeholder consultations, contributions and inputs:

- 1: Preparations;** this step includes analysing the stakeholder landscape and identifying relevant stakeholders for the PGA process, as well as looking ahead to determine who are the end-users of the PGA report, how results will be communicated to reach all intended target audiences, as well as identifying possible national institutions which in the long-run will be collecting and updating the PGA data at regular intervals, as well as be responsible for the information-sharing.
- 2: Design and joint decisions;** this component includes convening of relevant stakeholders to introduce stakeholders to the benefits, relevance and limitations of the PGA process and results, starting to analyse the governance situation, as well as

preparing for joint decisions and agreements on how to best structure the PGA (whom to contribute when and how); the geographical scope of the PGA; which governance issues to prioritize; and lastly a roadmap with relevant milestones relevant to the country context for the PGA process.

- 3: Data collection and analysis;** this phase of the PGA involves stakeholders' agreement on an indicator set based on the agreed governance priorities; choice of data collection methods; and lastly validation and analysis of data once collected.
- 4: Communication of results and use of data;** this phase will require dissemination of key findings and recommendations to stakeholders at all levels; use of data and recommendations as reference in planning, advocacy and decision-making; and possibly into national

**“Strengthening citizen voice and the engagement of civil society, along with traditional forms of support to develop state systems and institutions, is critical to responsive governance mechanisms.”**

*Source: Fostering Social Accountability, UNDP Guidance note 2011*



### Contact details:

For more information on the PGA for REDD+ approach, please contact Tina Sølvsberg by phone: +47 926 29 992 or e-mail: [tina.solvsberg@undp.org](mailto:tina.solvsberg@undp.org)

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# Annex V: Frequently Asked Questions

## UN-REDD PROGRAMME

Background information for the  
Pre-PB10 Information Session  
on the PGA process in Indonesia

Lombok, 25<sup>th</sup> June 2013

### Frequently Asked Questions

#### 1. What is the PGA for REDD+ ?

The Participatory Governance Assessment for REDD+ (PGA) is a truly inclusive process involving different stakeholders from government, civil society, private sector and academia with the view to produce robust and credible governance information as the first step to improve governance weaknesses, and in the long run be the basis for policy reform, and if used strategically by civil society actors has the potential to serve as an accountability mechanism.

This information will be available in the form of

- a comprehensive analysis of the state of governance relevant for Indonesia's REDD+ process in particular and forest governance in general;
- recommendations on how to address the shortcomings; as well as
- information on the performance of selected governance issues at national, district and provincial level

More information about the PGA approach is available [here](#).

#### 2. How is the PGA relevant for national REDD+ processes ?

Analysing and addressing governance challenges are key to addressing underlying causes of deforestation as well as to identify and mitigate shortcomings and risks in current governance systems and structures. In seriously addressing governance challenges access to reliable and robust governance data is essential.

With this backdrop, the PGA serves many purposes in a country's national REDD+ process depending on which stakeholder group is using the governance data.

From a government perspective, the PGA results serve:

- To highlight shortcomings and relatively low performance, and as such point to issues of urgent attention (will help Government prioritize strategically)
- As robust governance information and evidence which can feed into and support government's policy-making, planning and strategies at national and sub-national levels
- As a basis and starting point for policy-reform
- As comprehensive governance data which can feed into the national Safeguards Information System, which Indonesia in turn will report back to UNFCCC
- To track progress or regression (if updated regularly)

From a civil society perspective, the PGA serves as/ to:

- Robust governance evidence and information to support lobbying and advocacy and to holding decisions makers to account
  - o The main advantage (for both points above) being that the government has already validated the data – discussions around the correctness of this data is



therefore avoidable and progress is more likely to be made in the dialogue between civil society and government

- Monitor progress or regression

#### 3. What is the added value of a participatory approach as opposed to more independently conducted assessments, reports etc. ?

Although participatory processes take time, cost more and are sometimes quite challenging to implement adequately, there are in particular four added values and benefits that outweigh

these challenges :

**Legitimacy:** When stakeholders have been involved in deciding on main steps and components of the process; prioritizing the scope; formulating the indicators; determining how data will be collected; and validating the data - they place trust in the actual process of obtaining the data and deem the actual findings and recommendations legitimate and accurate.

**Ownership:** When stakeholders are involved from the onset, they also get more ownership to follow up the recommendations as opposed to recommendations being presented from external entities.

**Relevant data produced:** Stakeholders involved are also part of the target audience for the PGA data being produced – and by jointly determining the scope of the PGA (thereby also determining what data will be available) one ensures that the data being produced is actually in demand and seen as relevant by different stakeholders.

**Comprehensiveness of data:** a more complete vision of reality is made available when the realities, contexts and perspectives of different stakeholders are taken into account. This provides a better evidence base for more effective policy-making and governance reform.

In contrast to inclusive processes, governance reports and indices written by “actor x” with the view of getting “actor y” to change its current practice are more likely to be denounced and shelved – not necessarily because of the inaccuracy of the data, but rather because of the lack of engagement by the concerned party which often results in scepticism towards the results of the assessment. This is the case with most of the governance indices that produce international rankings, after which the countries scoring badly reject the methods used as well as the findings (e.g. the Corruption Perception Index).

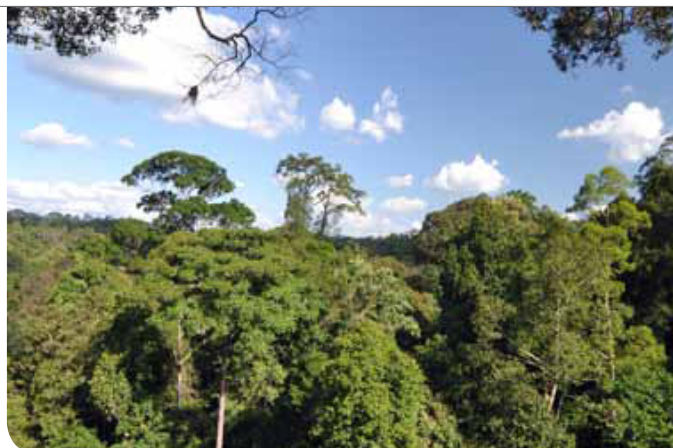
#### 4. Where is the PGA for REDD+ being piloted?

The UN-REDD Programme is currently piloting four PGA processes; Indonesia, Vietnam, Ecuador and Nigeria, and have established a PGA Community of Practice to facilitate both the technical and practical exchange between the countries and involved practitioners.

An overview showing the similarities and differences between these PGA pilots are available [here](#).

#### 5. How is the UN-REDD Programme providing support to these pilots ?

The PGA approach as applied by the UN-REDD Programme builds on the different agencies comparative advantages addressing governance challenges. The approach itself builds



expertise in data collection in the forest sector – both tailored to REDD+ governance challenges when conducting the PGA for REDD+.

Further the UN-REDD Programme coordinates the work in the PGA pilots by providing technical support on issues such as stakeholder analysis and selection, governance analysis, indicator development, data collection, communication of results to reach all intended target audiences, sustainability elements of the PGA by institutionalizing the regular updates and dissemination of results. In addition, the UN-REDD Programme extrapolates lessons learned in the pilots and facilitates South-South Exchange.

In addition to the technical support, the UN-REDD Programme has also provided financial support the PGA pilots.

#### 6. How was the PGA for REDD+ conducted in Indonesia ?

**When:** preparations for the PGA process in Indonesia commenced in May 2011

**Who:** the PGA in Indonesia is structured to involve national and sub-national stakeholders throughout the process involving academia, government and civil society. Ministry of Forestry, Indonesia’s REDD+ Preparedness Task Force, the Presidential Working Unit for Supervision and Management of Development (UKP4), the National Planning and Development Agency (BAPPENAS), Bogor Agriculture Institute and President of National Forestry Council), Indigenous Peoples Alliance of the Archipelago (AMAN), Epistema and Walhi are stakeholders who have actively contributed to the process.

**What:**

- Based on the recognition that the PGA by no means is a silver bullet that can cover, address and solve most/ all governance challenges related to REDD+ in a country, the stakeholders’ governance analysis serves as a relevant basis from which to prioritize the most important governance issues that the PGA will provide data on
- In Indonesia, the following governance issues were seen as





Civil Society, Indigenous/Local Community, Business Entity) and Implementation aspects in the following issues: spatial and forestry planning, rights regulation, forest organization, forest management, controlling and oversight and REDD+ infrastructure.

**Where:** The PGA process in Indonesia both involves stakeholders and governance issues pertaining to the national levels, and similarly in the following eight provinces; Aceh, Riau, Jambi, South Sumatra, West Kalimantan, Central Kalimantan, East Kalimantan, Central Sulawesi, Papua and West Papua as well as two districts level actors in respective province.

### 7. What are the main findings and recommendations of the PGA for REDD+ in Indonesia ?

Some of the key findings are related to the following:

- There is a capacity disparity between the national, provincial and district levels with sub-national levels relatively weaker than the national level
- There is a clear need for transparency and better access to than to information on law enforcement as well as forest related crimes
- Too few forest related crimes are proceeded to court, and even fewer are resolved
- Civil society is often found to be far more active than government actors (at different levels) with regards to law enforcement and as drivers for policy reform pertaining to REDD+

A roadmap for improving governance with the following main recommendations are included in the PGA report:

- integrating the roles of community and civil society actors in all areas of identified limitations, weaknesses and bottlenecks;

- engaging business association initiatives in work on improving governance systems and structures – in particular in relation to permit systems;
- providing a clear direction and sufficient resources for the improvement of governance
- identifying and properly addressing drivers of deforestation at the provincial level

### 8. How will the critical findings indicating poor performance in some areas be dealt with?

The PGA report in Bahasa Indonesia was launched on the 6th of May this year. Following this launch, there seems to be a preoccupation in the media coverage regarding the provinces with the poorest performance and a tendency to name and shame these provinces.

Contrary to this naming and shaming, the PGA process encourages and allows for open dialogue and in turns acts as a starting point for addressing and improving critical issues and bottlenecks identified. Furthermore, it provides a set of realistic recommendations which takes into account the realities, contexts and perspectives of the different stakeholders.

During the PGA report launch on 6th of May, high level representatives of the Government of Indonesia outlined how they saw the PGA findings and recommendations being further used in Indonesia.

In addition to referring to the PGA as a "*most valuable contribution to the process of improving governance of forests, land and REDD+*", **Kuntoro Mankusubroto**, Head of Indonesia's REDD+ Preparedness Task Force/ the Presidential Working Unit



of Supervision and Management (UKP4) outlined the following potential usages for the PGA results in Indonesia:

- Regular updates of the PGA data to track progress and regression towards the baseline now available and set targets
- Key reference and starting point for local government leaders, both at the provincial and district levels, to improve governance accordingly

**The Indonesian Minister of Forestry, Dr. Zulkifli Hasan**, stated that the PGA for REDD+ report will be used as a key reference to develop the next strategic forestry planning, particularly with regards to the forest governance aspects. In addition, the PGA will be used as a model to conduct forest and REDD+ governance in the future.

**Abdon Nababan, Secretary General in AMAN** (Alliance of Indonesian Indigenous Peoples) states that the PGA process is contributing to build a constructive space for dialogue between different stakeholders, and that AMAN has already used preliminary PGA findings and recommendations in their strategic planning during their national planning meeting in March this year.

## 9. Governance baseline data is now available in Indonesia – now what?

The PGA has now completed its first phase and comprehensive baseline data is available, which is a valuable and useful point of departure and basis for governance reform in Indonesia. Next steps will include:

- Ensuring dissemination of results to all relevant stakeholders at the sub-national level
- Focusing on the active use of the PGA data by both government, civil society and private sector actors – both for planning purposes and to follow up recommendations

- Institutionalization: identifying an Indonesian agency or institution to provide regular and timely updates to use the potential of the PGA to track progress and/ or regression on set targets (measure against baseline/ targets)



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## Annex VI: How the PGA Process Links with Other UN-REDD Programme Processes

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

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

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

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

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

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



# Annex VII: How the PGA is Being Utilized in Indonesia – Preliminary Results Based on Robust Governance Data<sup>18</sup>

How PGA data and/or recommendations are used:	By whom:	Results of this usage:
To inform strategic planning for 2013 and as basis for dialogue with and advocacy towards Gol	AMAN (Indonesian Peoples' Alliance of the Archipelago)	<p>A better informed and more strategic approach to determine which governance issues to focus on; which are the most urgent; which institutions to approach within Gol; and where to focus geographically</p> <p>More openness and willingness by Gol to listen to the PGA evidence/data used in dialogue and advocacy with the Gol</p> <p>More interaction with the government as the PGA creates the space and platforms to constructively engage at regular intervals</p>
A study on the effectiveness of the permit system in avoiding corruption-related practices in the Ministry of Forestry was undertaken – as recommended in the PGA report 2012	Ministry of Forestry in collaboration with KPK (National Corruption Eradication Commission)	<p>The study was part of the KPK study on the permit system in the natural resource sector. The latest development is that, during 2014, the Ministry of Forestry has agreed to revise 12 ministry regulations as recommended by the PGA report, according to the Ministry's work plan submitted to KPK.</p> <p>Further, this study allowed government and private sector actors to constructively discuss the situation and how to address the challenges, and in addition the findings and recommendations were well received (boding well for the continuation and policy-uptake).</p>
<p>An online forest conflict map specific to Jambi Province</p> <p>Jambi specific PGA/forest governance index</p>	Jambi provincial government, Jambi Forestry Department	<p>The Jambi provincial government expressed interest in having more province-specific governance data to fit their needs in implementing their REDD+ strategy. The results of this province-specific tailoring of data will be the possibilities:</p> <p>to monitor ongoing forest conflicts to be better informed and to be more strategically able to determine <i>where</i> and <i>how</i> to intervene to resolve the conflicts;</p> <p>to monitor and track progress at the provincial level to assess and redirect the REDD+ process on specific issues .</p> <p>With regards to the online forest conflict map, this will enhance the provincial government's oversight of conflicts and where to focus their attention.</p>

<sup>18</sup> This table demonstrates the utilization and preliminary results as of April 2014. This table will be updated regularly and will be available at: <http://tinyurl.com/qyqqvak>.



Developing a set of sanctions for public officials to encourage non-corrupt practices	UKP4 (President's Delivery Unit)	The sanctions provide clarity on internal procedures and increase the attention given to anti-corruption work with the view to address risks identified; encourage non-corrupt practices; as well as have in place a set of actions to enforce once corrupt practice is suspected or detected.
A conflict resolution mechanism is being established	Provincial/national levels	Currently under development to address the gap identified.
Province-specific study to compare the South Sumatra governance findings with the financial resources available to more strategically make use of existing resources, while at the same time addressing the recommendations for improved governance	Provincial government of South Sumatra	More strategic and realistic options for REDD+ policy-making and reform in South Sumatra for improved governance, taking financial viability into account. This was requested by the provincial government as they wanted to see what was actually possible given the current budget situation.
PGA data feeding into the SIS	Gol: Ministry of Forestry and REDD+ Agency	This is currently being explored with the Ministry of Forestry and is highly supported by the Norwegian Embassy in Jakarta, whereas REDD+ Agency is open to exploring this further.
PGA framework used as REDD+ Agency's own monitoring tool of the entire REDD+ process in Indonesia	REDD+ Agency	This was expressed in a meeting 3 May 2014 with the head of the REDD+ Agency, as this would fill a current gap. To be explored further.
To develop a set of sanctions for public officials to encourage non-corrupt practices	UKP4 (President's Delivery Unit)	Under development. Eventually the sanctions will provide clarity on internal procedures and increase the attention given to anticorruption work with the view to address risks identified; to encourage non-corrupt practices; and to have in place a set of actions to enforce once corrupt practice is suspected or detected.







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