Participatory Governance Assessments for REDD+ (PGAs)
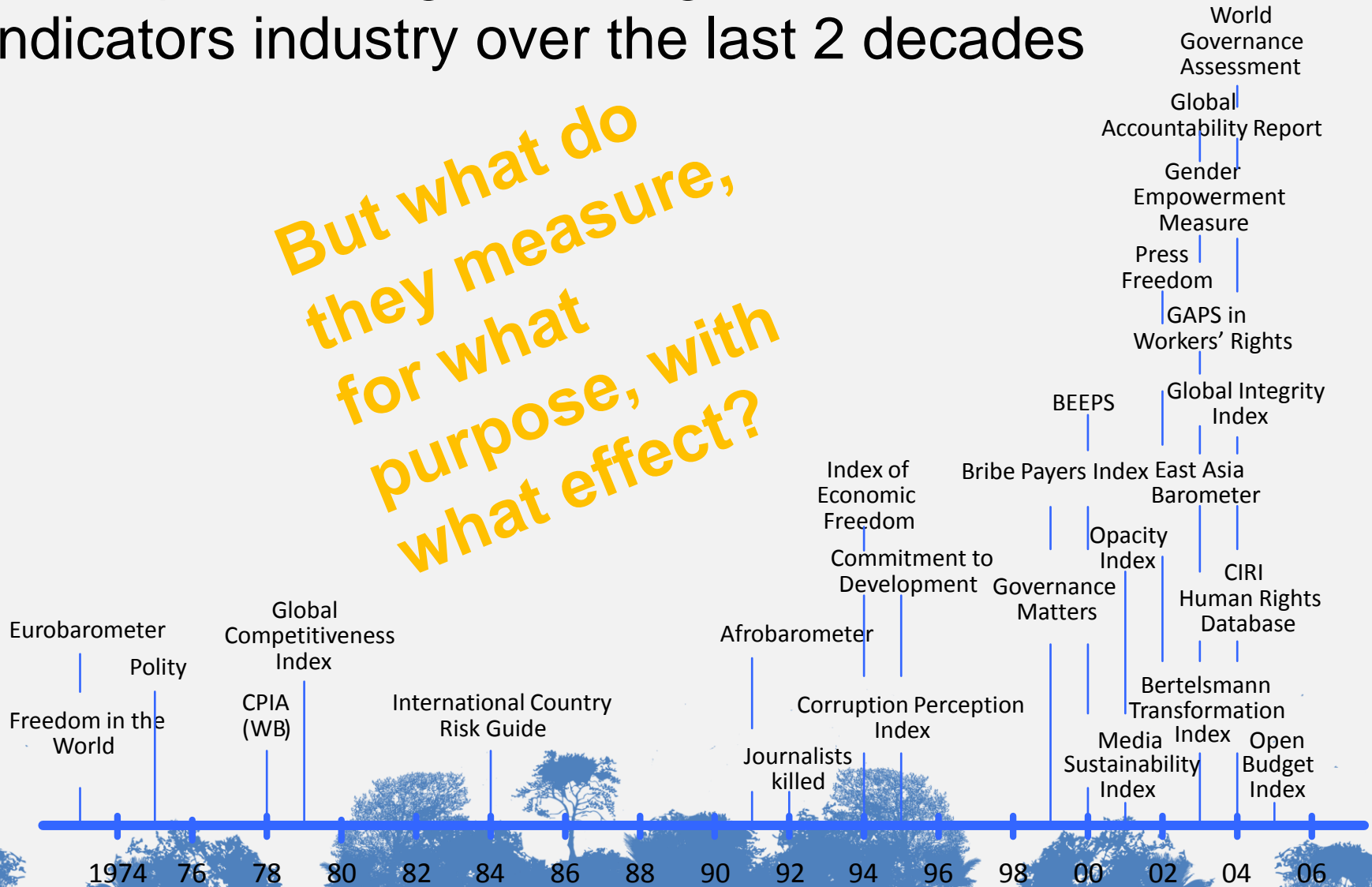
An approach that can contribute to addressing REDD+ safeguards and to the safeguards information system (SIS)

Calabar, 27 Nov. 2013

Danae Issa **danae.issa@undp.org**

Exponential growth of governance indicators industry over the last 2 decades

UN-REDD PROGRAMME

But what do they measure, for what purpose, with what effect?

World Governance Assessment

Global Accountability Report

Gender Empowerment Measure

Press Freedom

GAPS in Workers' Rights

Global Integrity Index

BEEPS

Index of Economic Freedom

Bribe Payers Index

East Asia Barometer

Opacity Index

CIRI Human Rights Database

Commitment to Development

Governance Matters

Global Competitiveness Index

Afrobarometer

Eurobarometer

Polity

CPIA (WB)

International Country Risk Guide

Corruption Perception Index

Bertelsmann Transformation Index

Open Budget Index

Freedom in the World

Journalists killed

Media Sustainability Index

1974   76   78   80   82   84   86   88   90   92   94   96   98   00   02   04   06

Definition of Governance

GOVERNANCE

Governance is defined as comprising the mechanisms, processes and institutions that determine how power is exercised, how decisions are made on issues of public concern, and how citizens articulate their interests, exercise their legal rights, meet their obligations and mediate their differences

Democratic Governance
(UNDP Definition)

- Democratic governance means that **people have a say** in the decisions that affect their lives and that they can hold decision-makers accountable.

- It further entails that the rules, institutions and practices that govern social interactions are **inclusive and fair**, that women are equal partners with men in private and public spheres of life, that people are free from discrimination based on race, ethnicity, class, gender or any other attribute, and that the needs of future generations are reflected in current policies.

- It also means that economic and social policies are **responsive to people's needs and their aspirations**, that these policies aim at eradicating poverty and expanding the choices that all people have in their lives, and that human rights and fundamental freedoms are respected.

What are the objectives of governance assessments?

Examples:

External assessments: by development partners, independent research institutions, private sector companies,...

-To make decisions on investment

-To make decision on aid allocation, development support plans

- strategic information for foreign affairs decisions;...

But limitations on ownership and national capacity development

Peer assessments: assessment of a state by other states (peers) on a voluntary basis e.g. African peer-review mechanism among AU members

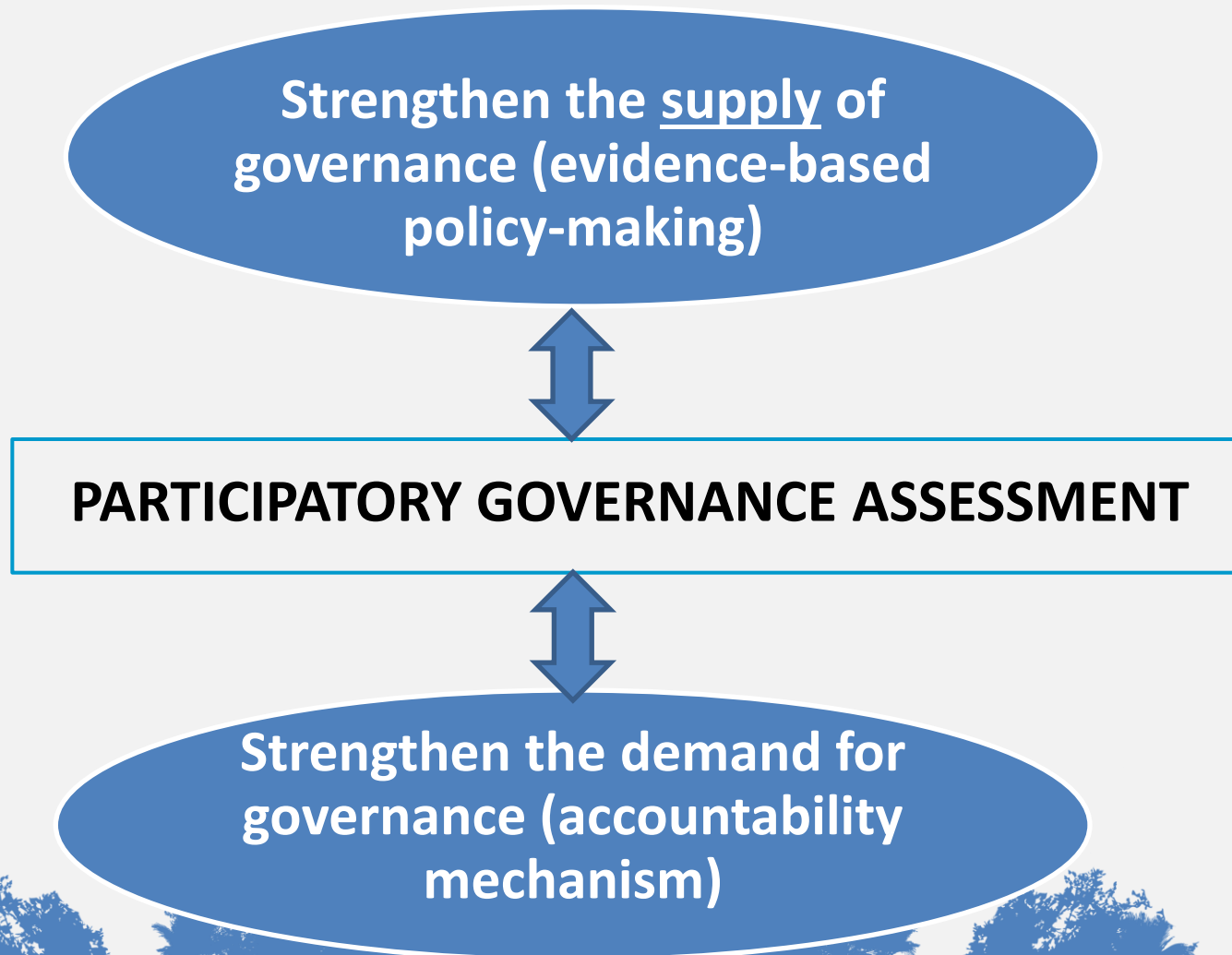***National or local assessments:***

- To understand the causes of a problem and obstacles to reform (bottlenecks), or factors for success of policies

- Evidence-based policy-making

- Understand the impact of certain governance issues on a specific sector or population groups and design solutions

Country-led Participatory Governance Assessments:

✓ Are undertaken by a country on its own initiative

✓ Can be conducted by government, parliament, CSOs, academic institutions, media organizations, or a coalition of different entities

✓ Can monitor different aspects of governance (comprehensive, sectoral, local...)

✓ Include participation of both State and non-State actors

✓ Influence political decision-making and policy-making

The double purpose of participatory governance assessments:

Strengthen the **supply** of governance (evidence-based policy-making)

↕

PARTICIPATORY GOVERNANCE ASSESSMENT

↕

Strengthen the demand for governance (accountability mechanism)

4 fundamental principles:

Accountability: Country-led assessments act as a critical accountability mechanism for governance performance to local stakeholders.

Participation: A broad and representative range of national actors have opportunities to input into key stages of the assessment process.

Transparency: National actors have unbiased access to information on the assessment process and the results of the assessment are made available to the public as a public good.

Legitimacy: National actors agree that the assessment process and its results are legitimate and should be followed.

10 characteristics

- Assessment is aligned to national political priorities, such as NDP
- Assessment is country contextualized
- Methodology is rigorous
- Selection of indicators is transparent and participatory
- Results are stored in a public national database
- Indicators are pro-poor and gender-sensitive
- Capacity of national stakeholders are developed
- The assessment is cost-effective and timely
- The results are widely communicated
- The assessment is repeated

A PGA IS A **PROGRESS**

Added value of participatory process
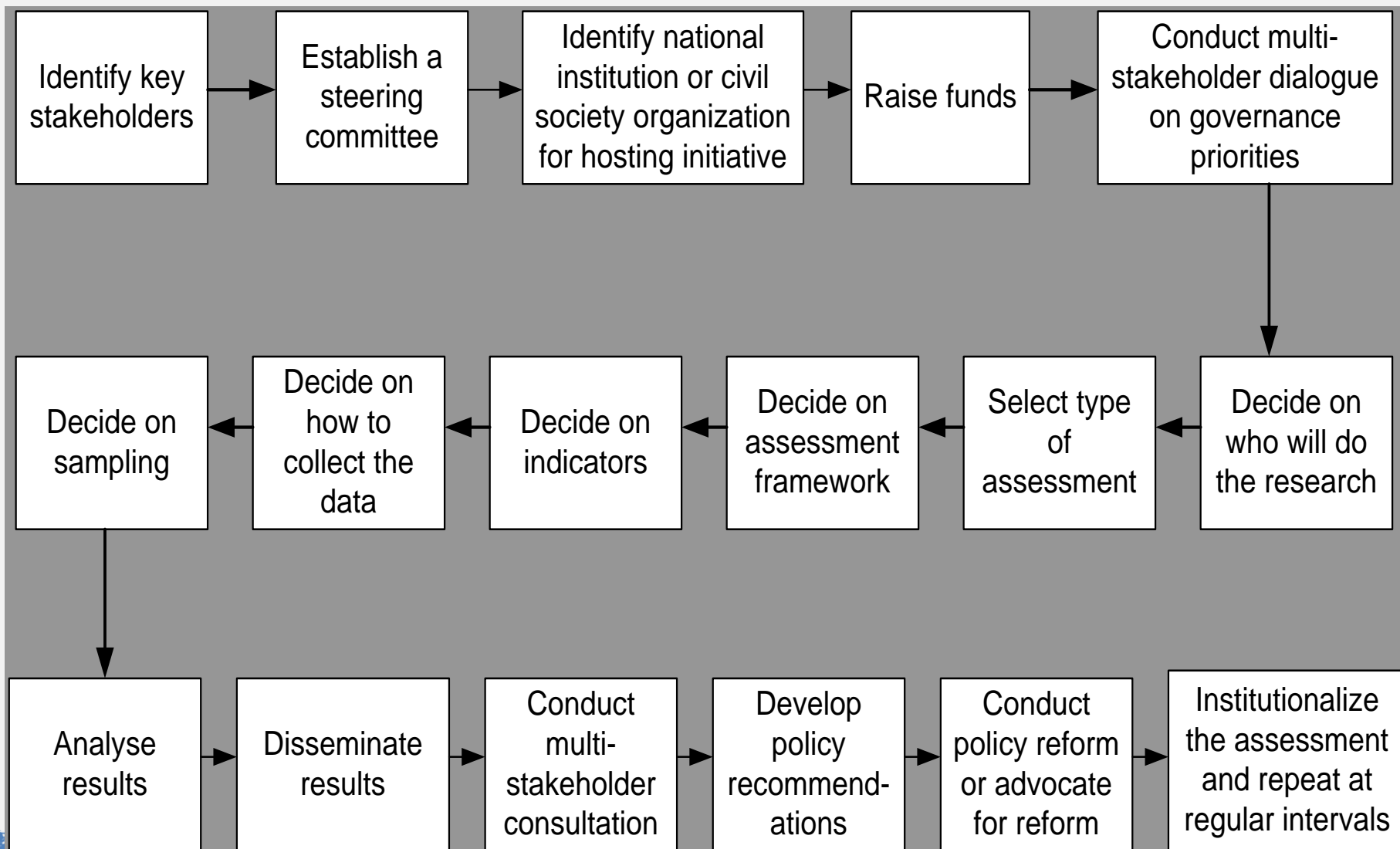
Technical benefits and political benefits

- **Local relevance of the information:** provides information that is actually needed and demanded by the concerned stakeholders
- **Actionability** of indicators
- **Ownership by actors – accountability:** increases the likelihood that actors will follow-up on the recommendations and take actions based on the information
- **Consensus-building** and **political will**: process may strengthen political dialogue
- **Sustainability** – Continuation of the dialogue and institutionalization of the assessment over time, towards an improvement of the country situation
- **Legitimacy** – when all stakehoders concerned have participated in taking decisions at all steps of the process, they are more likely to trust the process and its results, and consider the information legitimate
- **Public trust** in the exercise which is public and transparent
- Better **use of indicators** in planning by different entities

Increase impact of assessment

Figure 5: Main Obstacles to Using Research and Evidence to Influence Policy

Source: Komsweig et al (2006)
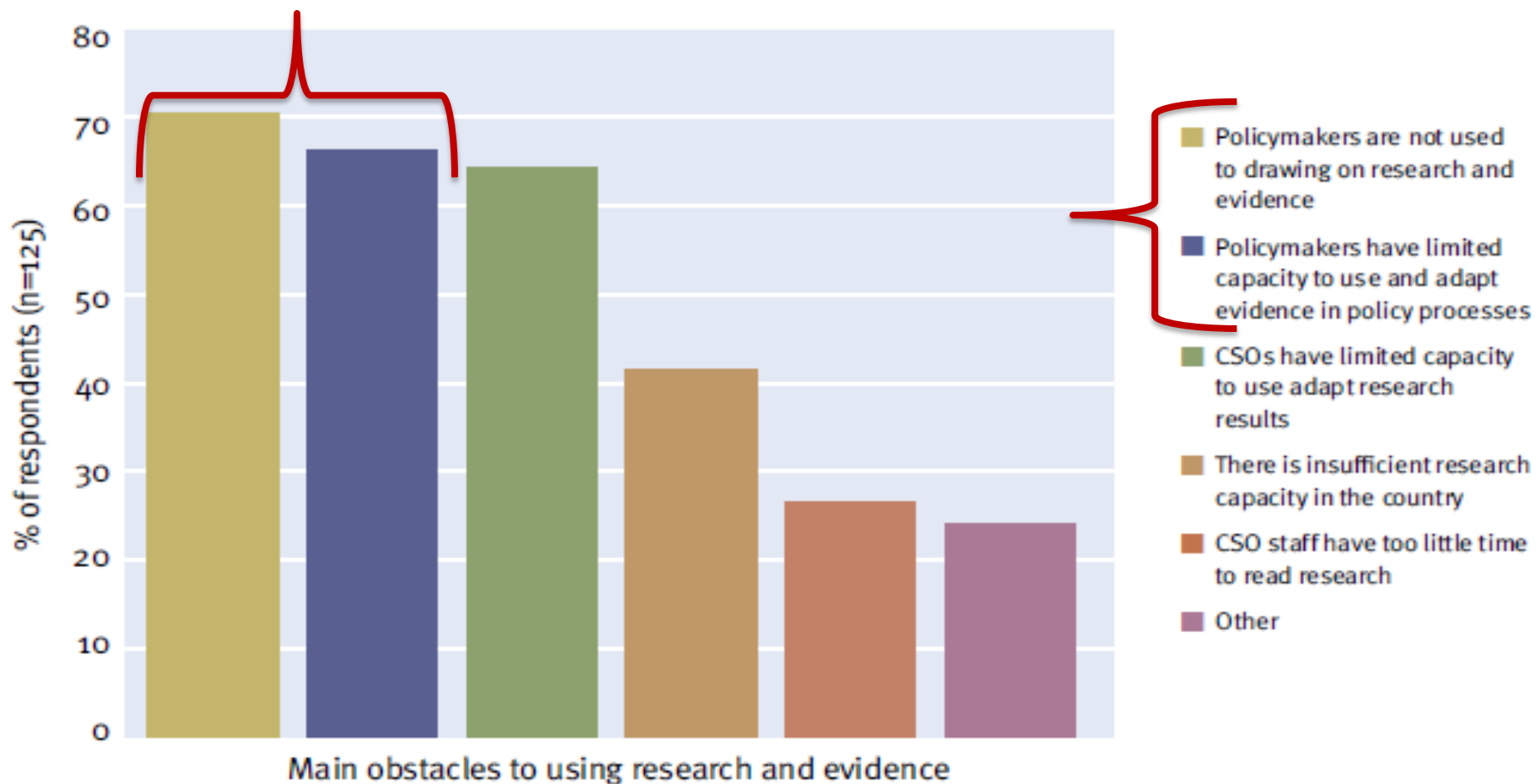
Participatory Governance Assessments (PGAs) for REDD+

- **INDONESIA**
- **NIGERIA**
- **VIETNAM**
- **ECUADOR**

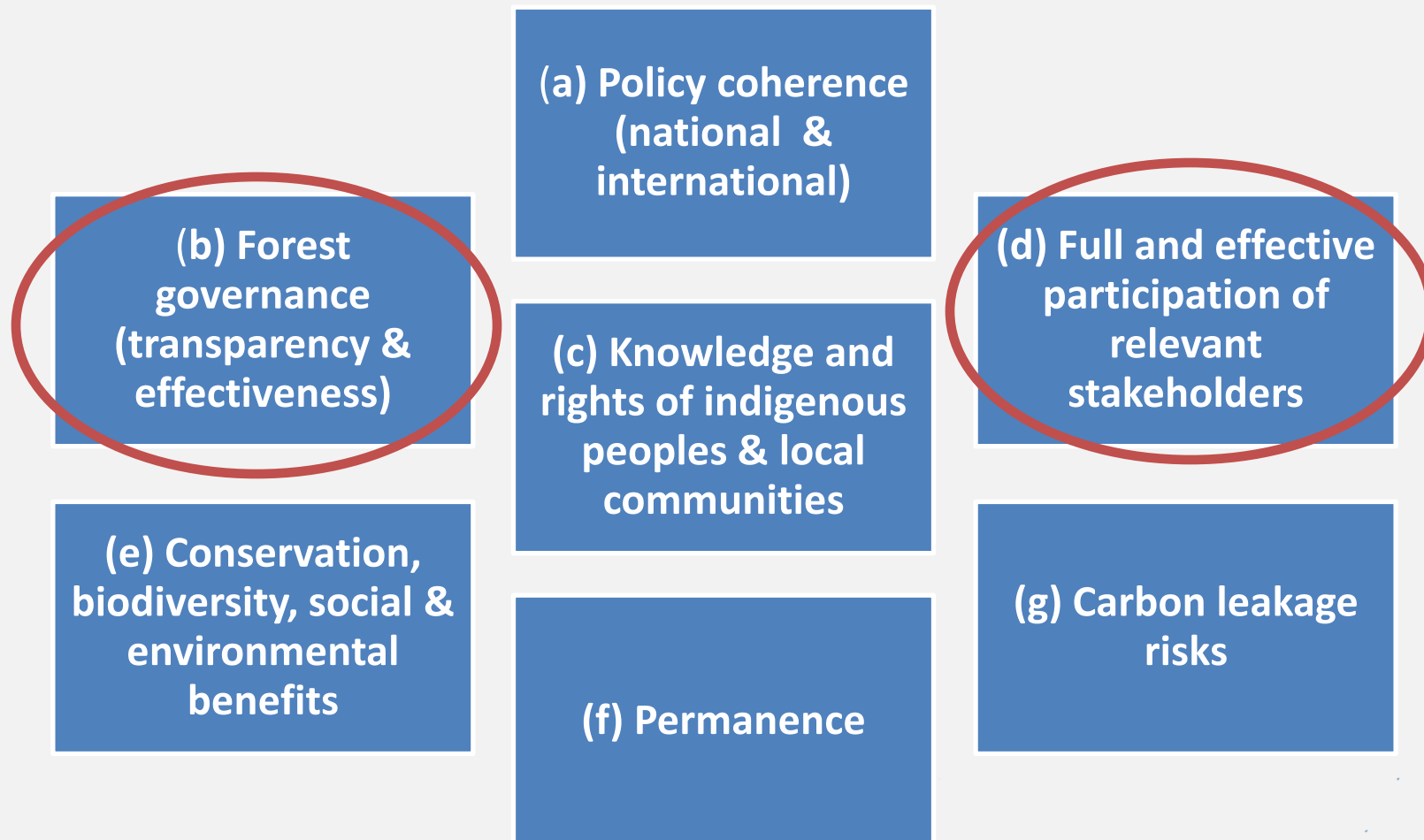| Establish organizational structure | Identify governance issues | Develop indicators framework | Collect data | Analyze and disseminate results |

Relevance of PGAs to REDD+

For government:

• to highlight areas in need of urgent attention and prioritize action;

• to provide relevant information on governance for policy-making and planning at national and sub-national level;

• as a basis for political reform;

• as **governance data that can aliment the National Safeguards Information System**, to be transmited to the UNFCCC;

• to monitor progress and regression if regularly updated.

For civil society:

• Consistent information on governance that can be used for advocacy and demanding accountability to decision makers

• Data validated by the government, which avoids debates on the accuracy on the information and allows to move forward in the dialogue between civil society and government

• To monitor progress or lack thereof

REDD+ safeguards

(a) Policy coherence (national & international)

(b) Forest governance (transparency & effectiveness)

(c) Knowledge and rights of indigenous peoples & local communities

(d) Full and effective participation of relevant stakeholders

(e) Conservation, biodiversity, social & environmental benefits

(f) Permanence

(g) Carbon leakage risks

Durban Outcome (COP17, 2011): Decision on SIS

- **Agreed on the SIS elements:**

Consistency	- Be consistent with Cancun guidance
Accessibility & Periodic Reporting	- Provide transparent and consistent information that is accessible by all relevant stakeholders and updated on a regular basis
Improvement over Time	- Be transparent and flexible to allow for improvements over time
Comprehensiveness	- Provide information on how all of Cancun safeguard elements are being addressed and respected
Country Driven	- Be country-driven and implemented at the national level;
Utilizing Existing Systems	- Build upon existing systems, as appropriate

Ecuador:

Harmonizing different approaches to safeguards and indicators within a single national Safeguards Information System (SIS)

Harmonization of existing safeguard tools

Socio-Environmental Strategic Evaluation (SESA)

Environmental & Social Management Framework (ESMF)

Social and Environmental Principles and Criteria (SEPC)

Multiple Benefits and Risks Analysis

Participatory Governance Assessment (PGA)

Social and Environmental Standards for REDD (REDD+SES)

A single REDD+ information system
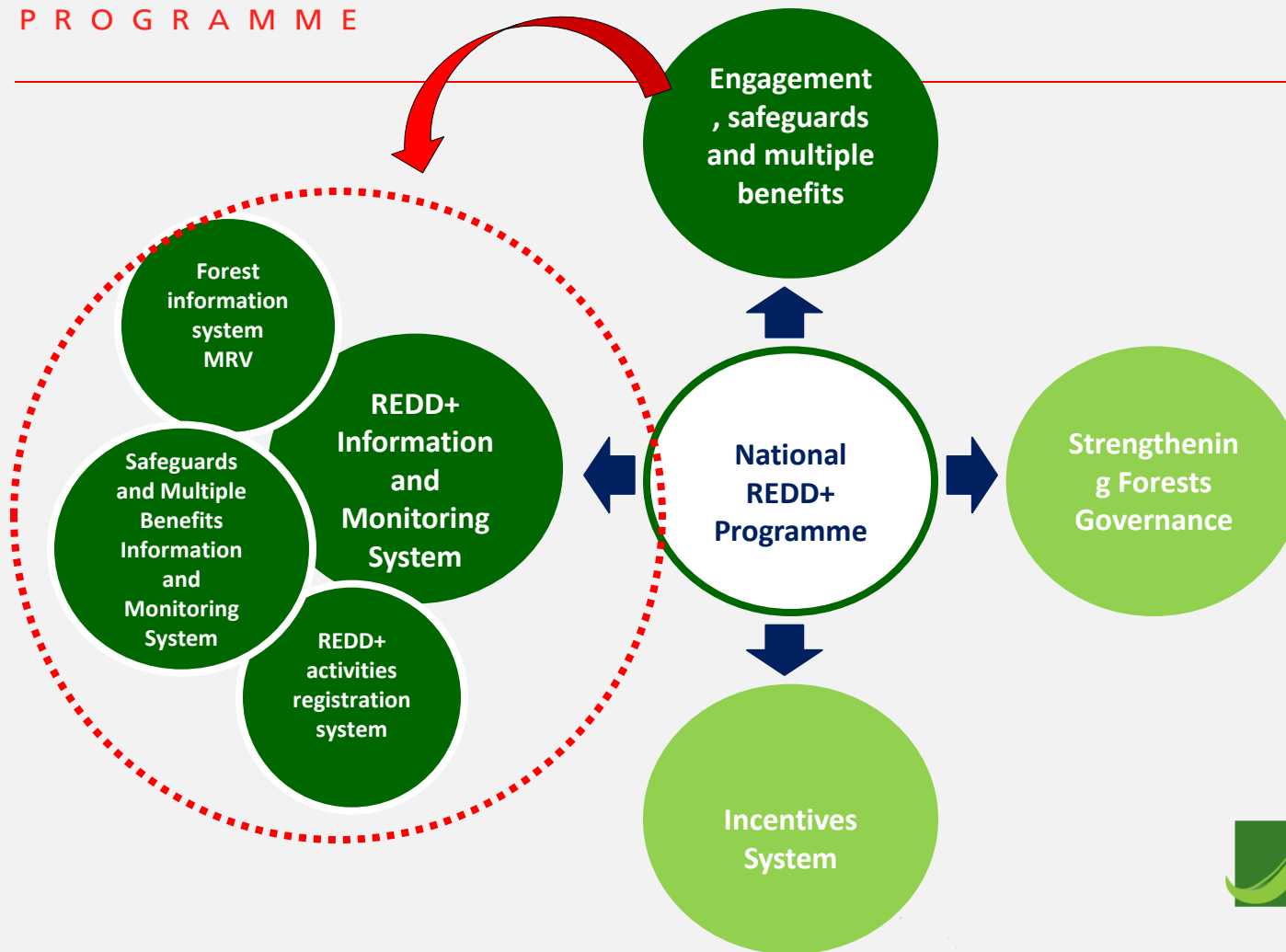
The PGA in Ecuador:

A process in support of participation and governance indicators for REDD+

The PGA in support of stakeholder engagement in REDD + (Outcome 2) and the national Safeguards Information System (SIS) (Outcome 5)

2. Process of consultation with and involvement of civil society implemented

Output 2.3: Monitoring System to assess the effectiveness of stakeholder engagement and good governance

Activity 2.3.1. Participaroty Governance Assessment (PGA)

Local participation structures developed

Governance indicators finalized and baseline on governance in REDD+ established

1. National forest monitoring system designed and implemented

3. Policies and instruments for the implementation of REDD + developed

4. Development of the necessary operational framework for the implementation of the REDD+ mechanism

5. Multiple environmental and social benefits guaranteed (Safeguards)

6. Design and implementation of the benefits distribution system
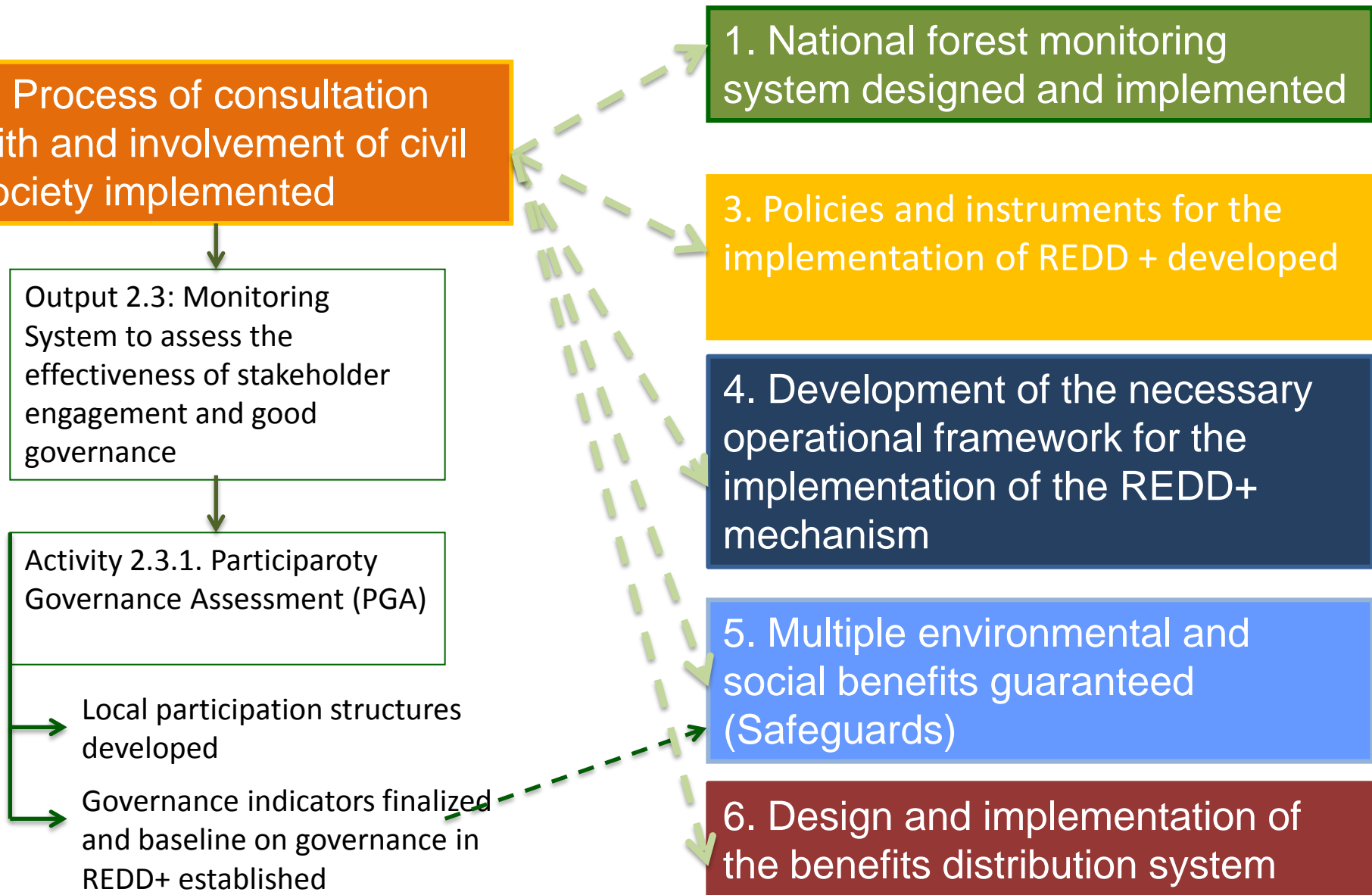
TIMELINE	PGA STEPS	TYPE AND LEVEL OF WORK
June	**1. Preliminary strategic agreements**	political - national
	2. Update of PGA Concept Note / Methodology	technical - national
July	**3. Harmonization between SIS and PGA themes**	technical - national
August	**4. Communication and accountability on updated PGA roadmap and methodology**	national meeting
September	**5. Local consultation process on governance indicators**	local workshops
October	**6. Refinement of governance indicators and sources of information**	technical - national
November	**7. Validation of governance indicators and sources of information within SIS**	national meeting
February-March	**8. Piloting of governance indicators**	technical – local
April	**9. Finalisation/Final validation of governance indicators and data collection methods (in the SIS)**	national level
May-June	**10. Follow-up and strengthening of local participation platforms**	local level

2013

2014

UN-REDD PROGRAMME

Institutionalization within the SIS in MAE's Monitoring Unit

And in Nigeria...

How can the PGA contribute to addressing the REDD+ safeguards and to the SIS in Nigeria?

1. **Broad and informed participation of REDD+ stakeholders**
2. **Harmonization of policy and legal framework for REDD+**
3. **Transparency and accountability of the REDD+ process**
4. **Finance - Inter-governmental relations and coordination**

PGA/REDD+ Committee

Current status

| Establish organizational structure | Identify governance issues | Develop indicators framework | Collect data | Analyze and disseminate results |