



DIREKTORAT JENDRAL PLANOLOGI
KEMENTERIAN KEHUTANAN

UN-REDD
PROGRAMME
INDONESIA



SCOPING MISSION REPORT AND PROPOSAL

for UN-REDD Capacity Development Initiative(s)
in Central Sulawesi Province





DIRECTORATE GENERAL OF FORESTRY PLANNING
MINISTRY OF FORESTRY OF REPUBLIC INDONESIA

UN-REDD
PROGRAMME
INDONESIA

Scoping Mission Report and Proposal for UN-REDD Capacity Development Initiative(s) in Central Sulawesi Province

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Part I.

Context and Background

The UN-REDD (United Nations-Reducing Emissions from Deforestation and Forest Degradation) Joint Program is a collaborative program of UNDP/UNEP/FAO aimed at coordinating national and international efforts in the creation of a post Kyoto Protocol on REDD. The Program was officially launched by the Norwegian Prime Minister and UN Secretary General in September 2008 and Indonesia was selected as one of the pilot countries.

The Ministry of Forestry Indonesia, together with FAO, UNEP, and UNDP has developed the UN-REDD National Joint Program (NJP) for Indonesia. The NJP was signed by the Indonesian Government and the UN in November 2009. The objective of the UN-REDD NJP is “support the Government of Indonesia in attaining REDD-Readiness”. In order to secure this objective, three Outcomes will be pursued:

- Outcome 1: Strengthened multi-stakeholder participation and consensus at national level
- Outcome 2: Successful demonstration of establishing a REL, MRV, and fair payment systems based on the national REDD+ architecture.

- Outcome 3: Capacity established to implement REDD+ at decentralized levels.

To implement the NJP, a UN-REDD Project Management Unit (PMU) has been established at the Ministry of Forestry. The PMU is led by a National Project Manager (NPM) with technical support coming from a Chief Technical Advisor (CTA). The PMU includes three components, each focusing on one of the three outcomes. Each of these components is led by a Team Leader (TL) who reports to NPM.

As Central Sulawesi has been selected as the pilot province of UN-REDD, capacity of relevant stakeholders needs to be strengthened particularly toward REDD+ readiness (Outcome 3). UN-REDD has engaged a national consultant as Technical Assistance/ Technical Assistant (TA) to undertake a capacity needs assessment, including identification of key stakeholders and a set of capacity building programs.

Given UNDP’s significant experience in the field of Capacity Development (CD), including in the development and application of tools and methodologies for CD and CA (Capacity Assessment), a CD advisor from the UNDP Asia Pacific Regional Center (APRC) was engaged by UN-REDD to support the initial

phase – a scoping mission¹ - of developing CD initiatives in Central Sulawesi. The APRC Advisor, during the initial scoping mission, was responsible for the following:

- a) Initial scoping exercise, to identify special circumstances regarding REDD+ implementation in Central Sulawesi, and the development of a workplan for a comprehensive CA and CD Plans.
- b) On-the-job training of the National Consultant regarding each element of the work program.

- c) Discussions with the UN-REDD PMU regarding resources, workplans, etc.

Subsequently, the APRC Advisor, together with the UN-REDD Regional Coordinator, UNDP CO staff, and PMU, is responsible for oversight of the work of the National Consultant. The National Consultant is responsible for implementation of the agreed workplan, including regular reporting of progress and any constraints to the APRC Advisor, together with the UN-REDD Regional Coordinator, UNDP CO staff, and PMU.

¹ The scoping mission took place from 6-15 November 2011. See annexes for additional information on scoping mission itinerary; team members; and original ToRs.

Part II.

Key Considerations and Relevant Background Information

There are a number of factors that have been taken into consideration in the formulation of the present proposal for CD initiatives supported by UN-REDD in Central Sulawesi. In no particular order of importance, these are briefly summarized as follows:

- **UN-REDD Program Timeframe.** The UN-REDD program, as it is presently formulated, will come to a close in June, 2012. While there is apparently some possibility for a next phase or extension of the program, the general indication to the CD advisor has been that any CD initiatives or activities should be planned with reference to the anticipated close of the project in approximately 7 months.
- **Institutional Structure in Central Sulawesi.** In February 2011, the Governor of Central Sulawesi issued a decree (522/84/DISHUTDA-GST/2011) establishing a multi-stakeholder **REDD+ Working Group** (hereafter referred to as “**Pokja**”), which is further organized into four sub-working groups, sub-Pokjas I-IV, each with specific responsibilities related to the Province’s efforts to achieve REDD+ readiness. The fourth sub-working group, Pokja IV, has the mandate and responsibility for “FPIC, Empowerment,

and Development of Local Capacity and Community”, specifically:

- To carry out public education as well as awareness raising/information dissemination regarding climate change and REDD+ scheme in reducing emissions from deforestation and forest degradation in Central Sulawesi;
- To foster and create a collaborative spirit among stakeholders in the implementation of REDD+ activities in Central Sulawesi;
- To carry out efforts to increase ability and capability of community in reducing and controlling emissions, deforestation and forest degradation in Central Sulawesi;
- To recommend FPIC steps and procedure in REDD+ pre-conditions and implementation².

It was indicated to the APRC advisor that the capacity development/capacity assessment activities proposed as a result of the scoping mission would become part of the workplan for Pokja IV, and be overseen and

² This has been drawn from the English language version of the decree, which may be an unofficial translation.

institutionally anchored (at decentralized level) with this body.

- **Longer Term REDD+ Institutional Structure in Central Sulawesi.** The Pokja receives technical (and a small amount of financial³) support from the UN-REDD program. This has raised questions about the longer term sustainability of the Pokja, once the UN-REDD program ends in mid-2012. (The Governor's decree does not, however, specifically mention any end date for when the Pokja would be disbanded, nor any deadline for when the respective tasks of the sub-Pokjas must be completed.)

In addition, one aspect of REDD+ readiness includes having in place suitable "REDD+ [institutional] infrastructure"⁴, at both national and sub-national levels. However, there has not yet been clear guidance from the (central) Government of Indonesia/GoI to the Provinces on this matter. In other words Central Sulawesi is awaiting instructions on whether it will need to create a new "REDD+ agency/institution" (as well as details of the composition, mandate, budget, etc of such an institution), or whether existing institutions (such as, perhaps, the Pokja) will coordinate and oversee REDD+ implementation in the Province. It is also not yet clear whether the Provinces will have any autonomy in proposing their preferred decentralized arrangements to the central government. At present, in Central Sulawesi, sub-Pokja II is charged with looking into this issue.

³ Financial support is in the form of honorariums and/or DSA to cover travel expenses of Pokja members to participate in meetings. Members of the Pokja do not receive any compensation for their duties.

⁴ I believe this is discussed in the national REDD+ strategy that has been drafted, but need to check reference.)

- **Momentum for REDD+ in Central Sulawesi.** Having been chosen as the pilot province for UN-REDD, there is a noticeable energy and interest among stakeholders in the province with regard to REDD+. This provides both opportunities and challenges, which must be taken into account in the design and implementation of any CD initiatives.

On the one hand, there is positive momentum, including strong commitment from the provincial leadership, with the Governor having announced that REDD+ readiness is a priority. It is also likely that the Governor (as well as perhaps the Head of the Forestry Service) will represent Central Sulawesi as part of the Indonesian delegation to the CoP 17 in Durban, South Africa.

On the other hand, there are high expectations, as well as palpable frustration, among many stakeholders, who want to know more about REDD+, their role, what to expect, and when. Of particular concern are the widespread misperceptions about the financial aspects of REDD, including payment systems; benefit distribution; and market mechanisms.

- **Demand for Capacity Development.** Similarly, there is a general demand in Central Sulawesi for capacity development activities (most often understood as training activities) related to REDD+ readiness and implementation. More specifically, however, it is widely acknowledged that multiple stakeholder groups will all have important roles to play. This should be taken into account in the design of CD initiatives. There should also be attention to ensuring that CD initiatives are not limited to the provincial level, to the exclusion of the need at district and community levels.

- **Communications Objectives of UN-REDD.**

Under Outcome 1 of the UN-REDD program (Output 1.3), which is led by UNEP, a Communications Program is being designed, which will include the rollout of a communications strategy at sub-national level, in Central Sulawesi. To the extent possible, CD initiatives implemented under Outcome 3 should align with and complement the communications activities taking place in the province under Outcome 1, as this provides a good opportunity for synergies within the program.

- **Participatory Governance Assessment.**

A "Participatory Governance Assessment for REDD+ Implementation in Indonesia" is currently being undertaken, with implementation support from UNDP Indonesia, the Presidential Task Force on REDD+, Ministry of Forestry, and BAPPENAS. A high-level expert panel has been working for more than six months on the initiative, and has nearly completed the methodology, including indicators, verifiers, and data collection methods. The PGA will be conducted in ten provinces, including Central Sulawesi as the UN-REDD pilot

province. The actual assessment is expected to begin in January 2012, with results collated by April 2012, leading to policy recommendations at central, provincial, and district levels for each stakeholder group.

The PGA is very comprehensive in that it has identified six core issues of REDD+ implementation, with 75 indicators. It focuses on assessing three aspects (1) laws and policies; (2) capacity of stakeholders (four groups: government, civil society, local and indigenous communities, and private sector); (3) actual implementation of laws and policies. A draft matrix of the PGA (*internal and not for further circulation*) can be found in Annex III.

In short, there must be careful attention to ensuring that any capacity assessment initiatives in Central Sulawesi under UN-REDD are designed to complement and reinforce, rather than overlap with or duplicate, the PGA initiative that will be simultaneously taking place in the province in 2012. The risk of stakeholder "assessment fatigue" should be kept in mind and minimized.

Part III.

Summary of Scoping Mission Findings

The following is not a comprehensive summary of the findings of the scoping mission, but rather a very brief listing of key findings. If necessary/useful, this section can be developed further, with additional analysis, in the next iteration of this report. It is anticipated, however, that Annex IV of this report will include notes from the discrete consultation meetings during the scoping mission.

[The questions that were posed in each Focus Group Discussion were quite similar. The scoping mission team asked about capacity challenges in the province in relation to REDD+ implementation, and asked for inputs related to the specific capacity needs of respective stakeholder groups.]

- There is concern about insufficient coordination in the province related to REDD+. This includes coordination between stakeholder groups; coordination between provincial government agencies; coordination between district agencies; and coordination between province and district levels.
- It was noted in numerous consultation meetings that there is generally low awareness about REDD+ in the province,

with the exception perhaps of the Pokja. The level of awareness lessens at more decentralized levels: there is some awareness at provincial level, but poor awareness in the districts, sub-districts, and communities.

- Related to awareness, there was emphasis on the need to look not only at educating stakeholders about REDD+, but also to orient stakeholders (particularly local communities) about the *benefits to them of REDD+*: in other words, to carefully consider the issue of incentives for REDD participation.
- It was mentioned numerous times that there are serious capacity constraints related to overlapping mandates, overlapping policies, and unclear policies.
- Another oft-repeated issue relates to the disconnect between the design of various programs (e.g. forest management/conservation programs) and the lack of successful implementation.
- As mentioned in the previous section of this report, there is concern about the longer term institutional mechanism in Central Sulawesi for coordination and oversight of REDD+, not only what this

mechanism will be, but also how it will be funded, and what provisions there will be for participation by non-government stakeholders.

Another issue discussed in the consultations has to do with the distinction between REDD+ initiatives and ongoing initiatives which cover similar ground but are not explicitly labeled 'REDD+'; how to avoid duplication; how to integrate similar initiatives; etc.

Part IV.

Proposal for CD/CA Initiatives: Phase I and (Optional) Phase II

It is proposed that UN-REDD support to CD in Central Sulawesi be undertaken as two distinct but complementary initiatives. The recommendation is to proceed immediately with Phase I, while Phase II is optional, given that it is dependent on several variables which are currently unknown. This is discussed in more detail below.

Phase I: Creating a Knowledge and Learning Facility for REDD+ in Central Sulawesi *Overview*

The discussions and consultations during the scoping mission have made it abundantly clear that there is a critical need for focused initiatives to strengthen the capacity of all stakeholder groups in Central Sulawesi in the area of knowledge, learning, and general awareness of REDD+. The importance of investing in sub-national stakeholders' knowledge is well recognized, as evidenced by the Governor's decree creating a sub-Pokja dedicated not only to FPIC, but also to improving awareness and to general "capacity building" of stakeholders. It is also clear that Pokja IV has focused more on the FPIC "half" of its task and has not yet formulated a comprehensive strategy for the capacity building "half" of its mandate.

Information gathered in Palu and Donggala during the scoping mission consultations consistently pointed to the urgent need to improve understanding of REDD+. Indeed, the UN-REDD program has developed a communications strategy which will be rolled out in Central Sulawesi in the coming months. This will undoubtedly be an important and much needed contribution.

Yet there is also a great deal of work to be done to clarify and support the establishment of a **longer term institutional mechanism for brokering the supply and demand sides of REDD+ knowledge and learning initiatives in Central Sulawesi**. The present proposal aims to take on this challenge, by creating a REDD+ facility, an institutional mechanism to meet the knowledge and learning needs of all stakeholder groups in the province in a self-sustaining way.

Underlying this proposal is the contention that UN-REDD's potential contribution will be maximized by focusing, in the short run (next 7 months), on establishing a knowledge platform made up of **existing organizations and institutions**, with a view **towards long term sustainability after the closing of the program in mid-2012**. Also underlying the proposal is the contention that the success of

capacity development initiatives often depends on the degree to which they recognize and address systemic issues; one-off, ad hoc, and externally imposed CD programs rarely have more than a temporary impact and short-lived results.

Therefore the Phase I proposal will take a systematic approach by looking at both supply and demand of REDD+ knowledge/learning needs in the province, as well as focusing on establishing and supporting institutional structures for coordination, monitoring, oversight, and overall knowledge “brokering”. The overarching objective of Phase I, in other words, is to support the articulation and establishment of a REDD+ Knowledge and Learning Facility in the province.

Phase I: Methodology and Approach

It is proposed that Phase I be composed of three main components, as follows:

- **Component I:** Stakeholder Mapping (Rapid Scan)
- **Component II (Demand):** Assessment of REDD+ Knowledge and Learning Needs among Stakeholders
- **Component III (Supply):** Inventory and Mapping of Capacity Suppliers
- **Component IV:** Establishment and Activation of Knowledge and Learning Facility

In terms of sequence, Component I will need to be undertaken first, although Components II and III may be undertaken more or less simultaneously in that they complement each other. For additional details on the timing, sequence, and workplan for implementing Phase I, please refer to Part V of this report. It is thought to be feasible, however, that all four components could be undertaken between November 2011- June 2012 (when UN-REDD ends), although the primary objective

is not merely for UN-REDD to implement a program over the next 7 months but rather to support the establishment of a knowledge platform and facility which will have a life in the medium and even long term.

Component I: Stakeholder Mapping (Rapid Scan)

The Stakeholder Mapping will be a relatively rapid scan of stakeholders in the province, but is a necessary first step in the establishment of the Knowledge and Learning Facility. The consultant leading the Phase I exercise will need to do additional research to verify whether any such stakeholder mapping has already been conducted, so that the results of any such previous exercise can be drawn upon.

The objective of Component I will be to disaggregate beyond the major stakeholder group headings (e.g. Government, NGOs), and to map the organizations/agencies/groups which make up the respective stakeholder groups. The mapping should also be conducted in such a way as to indicate the variations and unique composition of the stakeholder groups at the district level, and perhaps sub-district level. For example, there may be different NGOs operating in different areas/districts of the province.

Finally, the output of the Stakeholder Mapping should not merely be a listing of actors, but should also be annotated with respect to current and potential function/role in REDD+ implementation and, as such, potential knowledge and learning needs.

Timeline: completed by end of December 2011

***Component II (Demand):
Assessment of REDD+ Knowledge and Learning Needs among Stakeholders***

Utilizing the Stakeholder Mapping output, the next step will be to map out networks. These networks will form the basis for conducting the assessment (each network will be assessed). It is likely that these networks will loosely be correlated with the major stakeholder groups, but there may be some variation. It is recommended, for instance, that there be a distinct network for district-level government and another for provincial-level government.

Each network will be assessed separately in order to establish a baseline of knowledge levels about REDD+ and respective roles and functions in REDD+ implementation. The recommended approach involves (for each network) identifying a representative group of individuals (drawn from several agencies/organizations in the network) to participate in the assessment. The methodology for the assessment will be qualitative, and will rely on focus group discussions (FGDs)⁵. There may also be key informant interviews. Information and data gathered through these methods will also be validated through a review of key documents.

At the time of this writing it is not yet possible to outline in detail the assessment questions (scope of questions, content, etc). Further work will need to be done in a collaborative manner by both the APRC advisor as well as the national consultant to outline the questions and precise methodology for the “demand” assessment. This work can be done

⁵ The assessment methodology will draw on some principles and good practices of the UNDP capacity assessment methodology, but will not utilize all components of UNDP’s comprehensive CA methodology.

⁶ The PGA is also expected to be conducted in January 2012; it is advisable to explore options for economies of scale in this regard- for example in scheduling FGDs.

during late November into December 2011, in parallel to Component I (stakeholder mapping). Therefore, it is reasonable to expect that preparatory work will take place in December, with the actual assessment will being conducted during January 2012⁶.

It is important to emphasize that the expectation and recommendation involves FGDs/assessment exercises which will be conducted not only in Palu, but also in one or more districts and/or sub-districts.

Timeline: completed by late January 2012

Component III (Supply): Inventory and Mapping of Capacity Suppliers

While assessing demand is critical for developing strategies for knowledge and learning initiatives in the province, it is equally important to address and take into account the availability of local ‘capacity suppliers’ to meet this demand in the medium and long term (as opposed to relying in whole or in part on donor-funded workshops, trainings, and consultancies in the near term). The linking of supply with demand goes to the heart of the sustainability of support to knowledge and learning in the province.

The inventory and mapping of capacity suppliers can be undertaken during the same period as the “demand” assessment, and can similarly be completed by end January 2012. In fact, it is envisioned that the FGDs convened for the demand assessment will serve a dual purpose in that they can be a venue for exploring as well, with a given stakeholder “network”, the capacity suppliers in the province.

The mapping of capacity suppliers should be as specific as possible. It is anticipated that suppliers will include universities and other tertiary education institutions, NGOs and other civil society groups, private sector consultancy organizations, public sector insti-

tutions such as local governance academies, etc. The objective of the mapping is not simply to create a list of all potential suppliers, it is instead to go a step further to identify the specific areas related to REDD+ (whether in areas of environmental management, governance, policy-making, community forestry, accountability and demand for good governance, anti-corruption, technical areas such as spatial planning or financial management, etc) that each 'supplier' has the potential to support. It also should be made clear that it is very likely that many of the organizations or institutions which may be a 'supplier' in a particular thematic area or topic may also themselves be a 'demander' in other areas or topics.

The capacity supplier mapping should focus first and foremost on a comprehensive mapping of suppliers in the province. However, if there are areas of demand which cannot be met by existing suppliers in the province (for example in highly technical subject matter), there should be an effort to identify where the capacity supply exists in the country- whether in another province or region, or in Jakarta.

Timeline: completed by late January 2012.

Component IV: Establishment and Activation of Knowledge and Learning Facility

There are several aspects to Component IV, some of which can be laid out in advance and some of which cannot, due to unknown variables (such as budget) and the fact of not knowing the outcomes of Component II and III.

One aspect that can, at least to some extent, be thought through in advance is that of the actual institutional 'home' of the REDD+ Knowledge and Learning Facility in the prov-

ince. For the time being at least, it is proposed that the Facility, including the implementation of Components I-IV, be anchored with Pokja IV, and incorporated into its workplan. It is hoped that by early or mid 2012 there will be more clarity on the question of whether a provincial "REDD+ agency" will be established. Should this happen, it would be advisable to explore and perhaps even advocate for the REDD+ Knowledge and Learning Facility to be permanently attached to that agency (ideally with a discretionary budget line!). If such a separate REDD+ agency does not materialize, other options will need to be explored. One possibility is that Pokja IV transitions or morphs into a more permanent role of acting as the Facility. A second option would be to house the Facility in one of the universities in the province.

So one part of Component IV will be for the national consultant, in collaboration with Pokja IV, to think through and explore these options. It will also be important not only to identify options for the permanent home of the Facility, but also to codify the mandate of the Facility, which is envisioned to include not only "brokering" supply and demand, but ideally also having a role in coordination, monitoring and oversight, and quality control. Should the Facility be able to secure independent funding for REDD+ knowledge initiatives, it would also play a role in managing this budget.

The second part of Component IV is the "activation" of the Knowledge and Learning Facility. The "demand" assessment (Component II) will generate a rich data on the REDD+ knowledge and learning needs among various stakeholder groups in the province. Before the close of the UN-REDD program in June 2012, it is reasonable to aim to 'activate' the facility by beginning to link some of the demand needs with the identified capacity suppliers and to roll out some learning initiatives.

It is difficult at this time to be specific about the scope, target, and timeframe for this first cut of learning initiatives. One variable is the question of budget- whether there is budget under UN-REDD and if so how much; whether any non- UN-REDD seed funding can be secured.

A final note on the terminology of “knowledge and learning initiatives”: while it is true that such initiatives will include some trainings and workshops, a key role of the Facility will be to identify a range of options for meeting “demand” in the province. These options may include institutional twinning, coaching and mentoring, “on-the-job” learning, exposure to best practices, and tertiary education such as extension courses.

Timeline: completed by June 2012.

Other Factors for Consideration

With reference to Part II of this report (“factors for consideration and relevant contextual information”), the approach proposed in Phase I is appropriate and timely in the following ways:

- The Knowledge and Learning Facility can be implemented immediately, with some quick-win results to show by the end of the UN-REDD program in June 2012
- The Knowledge and Learning Facility is not expected to duplicate the PGA and will in fact complement it
- The Knowledge and Learning Facility will also complement and reinforce the communications work being supported by UN-REDD under Outcome 1
- The Facility is a capacity development initiative that will involve multiple stakeholders in the province, including at district and community levels

- The Facility is an initiative that fits neatly within the mandate of Pokja IV and can arguably be incorporated into its workplan
- The Facility provides an opportunity for UN-REDD to support existing institutions with a long term perspective, rather than supporting one-off trainings
- The successful establishment and activation of a REDD+ Knowledge and Learning Facility would offer potential for this model to be upscaled to other provinces through a demonstration effect; this would certainly be a significant achievement and contribution not only by UN-REDD but perhaps more importantly by the province of Central Sulawesi itself

Phase II (Optional): Comprehensive CA and CD Support to Lynchpin Institutions in Central Sulawesi

It is important to emphasize that Phase II is optional. While the implementation of Phase II would undoubtedly be a contribution, should a decision be taken to only implement Phase I, this can be undertaken as a standalone initiative. In other words, the expected impact of Phase I will not be diluted or undermined if Phase II is not pursued.

By way of overview, Phase II involves UN-REDD support to conducting a comprehensive Capacity Assessment (CA) of one or more key REDD+ institutions in Central Sulawesi. This CA would be comprehensive in several ways. It would utilize the UNDP methodology for CA, including quantitative elements. It would do an in-depth assessment of one or more organizations/institutions in the sense of assessing the full spectrum of capacities needed for REDD+ implementation (e.g. technical and functional capacities across one or more of the core issues of Knowledge, Leadership, Accountability, and Institutional Ar-

rangements). It would aim to generate CD plans based on the assessment, which would be implemented in the short, medium and longer term.

The recommendation is that if Phase II is implemented, it should be done in so in a staggered manner with Phase I. In fact, the recommendation is for Phase II implementation to take place in approximately the time period of March/April 2012. There are several reasons for this suggested timeframe:

- Should UN-REDD decide to implement Phase II, a fair amount of groundwork remains in order to prepare for such a comprehensive CA, including the following:
 - Further work needs to be done to identify the institutions/organizations that will be assessed. During the scoping mission, several options were identified such as Bappeda; Forestry Service; Environment agency; district agencies; and the provincial legislature. It will take time to consult with the leadership of these institutions and determine whether there is demand for such an assessment.
 - Further work needs to be done to explore linkages and potential overlaps with the forthcoming PGA exercise. A comprehensive CA of one or more public sector agencies has the potential to complement the PGA by looking in depth at the *capacities needed by key agencies to implement the recommendations emerging from the PGA*.
 - Conducting a comprehensive CA using the UNDP methodology can be extremely worthwhile in that it yields specific capacity development strategies and recommendations, but it is also an undertaking that takes time to design and conduct. Once the target organizations/institutions for the CA

are identified, additional work will need to be done to design the parameters to be assessed.

- It may be advisable to wait until March/April in part because there may be more clarity on whether there will be a second phase or extension of the UN-REDD program beyond June 2012, which could continue to support implementation of the CD plans emerging from the CA.
- Similarly, by early/mid 2012, there may be more clarity on whether a provincial "REDD+ agency" will be established; the existence and role of such an agency would ideally be taken into account in any such comprehensive CA.
- Finally, it is worth mentioning that the UNDP Capacity Development team at APRC will be conducting a 2-day training on the CD/CA methodology in Bangkok in January 2012. If UN-REDD decided to implement Phase II, the national consultant could possibly participate in this focused training before leading the comprehensive CA in Central Sulawesi.

In short, the option of conducting a comprehensive CA is very sound in that it will look at strengthening the capacities of existing institutions in the province in a long term and comprehensive way. But there are some challenges and limitations which should also be recognized up front. A comprehensive CA takes time to design and conduct. It will be most feasible if it targets just a select few 'lynchpin' institutions (and probably those in government), rather than attempting to look at many organizations across all the stakeholder groups. It will have to be carefully aligned with the PGA initiative. It may lend itself better to a scenario where the implementation of emerging CD strategies and recommendations can be supported by a UN-REDD

program that will continue beyond June 2012, so as not to risk a process-oriented assessment that does not move into the implementation stage.

UN-REDD should carefully consider the potential benefits of such a comprehensive CA, which are significant. It is therefore recommended that this Phase II be taken under discussion and, if it is to go forward, the pro-

jected timeframe is staggered with Phase I.

In view of the optional nature of Phase II, the present report does not detail the next steps and workplan. However, should UN-REDD decide to move forward with Phase II, UNDP's regional CD team will be able to provide support to outlining the process and making recommendations about the content and objectives of such an assessment.

Part V.

Next Steps and Provisional Workplan

Immediate Next Steps

- Presentation of this proposal to UN-REDD team by APRC advisor; feedback and discussion (14-15 November)
- Next iteration of this proposal developed by APRC advisor, based on feedback, and shared with UN-REDD and UNDP (by 25 November)
- In-depth orientation provided by APRC advisor to national consultant (by 15 November), and ongoing backstopping by APRC CD team (ongoing)
- Finalization and agreement by UN-REDD on content and implementation plan for Phase I (by 30 November)
- Begin implementation of Phase I by 1st December, per workplan outlined below.

PROVISIONAL WORKPLAN FOR PHASE I (REDD+ KNOWLEDGE AND LEARNING FACILITY)⁷

Action Item	Timeframe	Responsible Party
Critical Preliminary Activities		
- Sharing proposal for Phase I with stakeholders consulted during scoping mission, including in Donggala (e.g. follow up to scoping mission); gather inputs and feedback	By mid-December	Farid
- Sharing proposal for Phase I with key individuals in Province (e.g. Pak Nahardi)	By mid-December	Farid
- Sharing proposal for Phase I with Pokja IV (will need to be a more in-depth feedback session in light of their key role in implementing Phase I)	By mid-December	Farid

⁷ This report does not contain a workplan for Phase II, given that its implementation is contingent on further discussions by UN-REDD

- Additional discussions with key implementing partners of PGA (sharing of Phase I proposal and in depth discussions to identify synergies and generally promote partnership)	By mid-December	Farid
- Preliminary work for Component I/stakeholder mapping (research on whether any similar exercise already undertaken)	By mid-December	Farid
- Develop ToRs for Component I/stakeholder mapping (expanding on description in this report), and sharing with UN-REDD team and Ashley/CD team	By mid-December	Farid, with review of ToRs and inputs by Ashley and UN-REDD team
Implementation of Component I (Stakeholder Mapping)		
- Conduct stakeholder mapping (will include both desk work and field work in Central Sulawesi)	By end of December	Farid
- Produce output/deliverable (mapping report), for comments and finalization	By end of December	Farid, with review of report by Ashley and UN-REDD team
Preparation for Components II and III (Demand Assessment and Capacity Supplier Mapping)		
- Finalize methodology for “demand” assessment; produce ToRs/concept note	By mid-December	Ashley and Farid, with review and comments by UN-REDD team
- Map out networks of stakeholder groups; identify in a participatory and transparent manner the individuals who will participate in the assessment	By end of December	Farid
- Schedule (with sufficient lead time and through correct channels) the FGDs to take place in January (including consulting with PGA team to maximize synergies)	By end of December or first week of January	Farid, support from Pak Didi
- Develop ToRs for Capacity Supplier Mapping (expanding on description in this report), and sharing with UN-REDD team and Ashley/CD team	By end of December	Farid, with review of ToRs and inputs by Ashley and UN-REDD team

Implementation of Components II and III		
- Conduct “demand” assessment through FGDs and key information interviews	By end of January	Farid
- Conduct capacity supplier mapping (utilizing FGDs of Component II, as well as other methods)	By end of January	Farid
- Collate and analyze results of “demand” assessment FGDs	By mid-February	Farid, with inputs/ support from Ashley
- Produce output (report) of capacity supplier mapping, share for comments and finalize	By mid-February	Farid, with inputs from UN-REDD team and Ashley
Preparation for Component IV (Establishment and Activation of REDD+ Knowledge and Learning Facility)		
- Ongoing discussions with Pokja IV and other key (leadership) individuals in the province about long term institutional home for the Facility	Ongoing, but aim to have clarity by end of February	Farid and Pak Agus
- Develop ToRs which outline the mandate and role of the Facility, share for comments with all concerned actors.	By mid-February	Farid and Ashley, with inputs from UN-REDD team
Implementation of Component IV		
- Determine institutional home for Facility	By end of February	Farid and UN-REDD team
- Based on results of “demand” assessment, identify and propose initial round of Knowledge and Learning initiatives, to be supported by appropriate capacity suppliers and facilitated by the newly established REDD+ Knowledge and Learning Facility	By end of March	Farid, with support from Ashley and UN- REDD team
- Based on feasibility of scope and availability of budget, develop detailed proposal and implementation plan for initial round of Knowledge and Learning Initiatives	By end of April	Farid , with support from Ashley and UN- REDD team

<ul style="list-style-type: none"> - Oversee implementation of initial round of Knowledge and Learning initiatives 	By end of May	Farid
Critical Follow Up Activities (prior to end of UN-REDD Programme)		
<ul style="list-style-type: none"> - Produce report detailing the framework, methodology, process, and preliminary results of UN-REDD's support to the establishment of REDD+ Knowledge and Learning Facility in Central Sulawesi 	By mid-June	Farid, with inputs from Ashley and UN-REDD team
<ul style="list-style-type: none"> - Identify audiences, and disseminate report, with a view to promoting upscaling in other provinces and sharing of lessons learned 	By end June	UN-REDD team

ANNEXES

Annex I: Original Mission ToRs

UN-REDD Technical Assistance; Capacity Development Assessment: Central Sulawesi

Location : Jakarta and Central Sulawesi,
INDONESIA

Starts : 7 Nov. 2001

Background

UNDP Indonesia's mission is to be an agent for change in the human and social development of Indonesia. UNDP aims to be a bridge between Indonesia and all donors as well as a trusted partner to all stakeholders. UNDP works in four key areas of development: Democratic Governance, Regional Development and Poverty Reduction, Conflict Prevention and Recovery, and Environment and Climate Change. Besides the four priority areas, UNDP Indonesia is also engaged in cross cutting initiatives such as HIV/AIDS and gender equality.

I. Organizational Context

The UN-REDD (United Nations-Reducing Emissions from Deforestation and Forest Degradation) Joint Programme is a collaborative programme of UNDP/UNEP/FAO aimed at coordinating national and international efforts in the creation of a post Kyoto Protocol on REDD. The Programme was officially launched by the Norwegian Prime Minister and UN Secretary General in September 2008 and Indonesia was selected as one of the pilot countries.

The Ministry of Forestry Indonesia, together with FAO, UNEP, and UNDP has developed the UN-REDD National Joint Programme (NJP) for Indonesia. The NJP was signed by the Indonesian Government and the UN in November 2009.

The objective of the UN-REDD NJP is “support the Government of Indonesia in attaining REDD-Readiness”. In order to secure this objective, three Outcomes will be pursued:

- Outcome 1: Strengthened multi-stakeholder participation and consensus at national level.
- Outcome 2: Successful demonstration of establishing a REL, MRV, and fair payment systems based on the national REDD+ architecture.
- Outcome 3: Capacity established to implement REDD+ at decentralized levels.

For more details on the UN-REDD NJP, reference is made to Annex 1 (Indonesia UN-REDD National Joint Programme). To implement the NJP, a UN-REDD Project Management Unit (PMU) has been established at the Ministry of Forestry. The PMU is led by a National Project Manager (NPM) with

technical support coming from a Chief Technical Advisor (CTA). The PMU includes three components, each focusing on one of the three outcomes. Each of these components is led by a Team Leader (TL) who reports to NPM. As Central Sulawesi has been selected as the pilot province of UN-REDD, capacity of relevant stakeholders needs to be improved particularly toward REDD+ readiness. UN-REDD then intends to deploy a qualified individual as Technical Assistance/Technical Assistant (TA) to perform capacity needs assessment that includes identification of key stakeholders and a set of capacity building programs required to improve capacity and function of each relevant stakeholder.

Objectives and Outputs

Objectives

The CDNA will review the key results that need to be achieved by key provincial government agencies and other local stakeholders (communities, the private sector) in implementation of REDD+. Capacity requirements for achieving those results will then be identified at the enabling environment or policy level, at the organizational level, and at the individual level. Capacity requirements will then be compared with existing capacities, on the basis of which capacity gaps will be identified. Appropriate responses to capacity gaps will be formulated and prioritized as basis for preparing comprehensive medium-term capacity development plans for each of the involved agencies, including strategies, action plans, and corresponding budgets.

The objectives of the CDNA-CDP are as follows:

- Provide an overview of the key capacities that need to be in place for key provincial agencies and other local stakeholders in order to be able to implement plans to

reduce emissions from forests, starting in 2012.

- Analyze policies, laws, and regulations and determine the constraints and/or impetus that they cause on the operations of the stakeholders.
- Conduct a capacity development needs assessment of provincial government agencies and other local stakeholders.
- For each stakeholder group, develop and recommend a medium-term capacity development plan, including strategies, specific actions and timelines, and corresponding budgets.

Outputs

The expected outputs are as follows:

- A scoping report containing an initial analysis of the development and capacity challenges faced by local stakeholders in implementing REDD+ as well as a capacity assessment framework and detailed work plan
- A capacity assessment report, identifying the medium-term capacity requirements, mapping the existing capacity, and pinpointing capacity gaps in relation to the key results that each stakeholder group should achieve over the next two years
- A comprehensive medium-term CDP and instruments recommended with detailed action plans to address the identified priority capacity needs, building on existing relevant initiatives and including indicative list of potential CD projects/programs based on global good practices

Methodological Approach

Coverage

Five districts (kabupatens) have been identified as the pilot districts for UN-REDD. Within these districts, all relevant stakeholder groups (government, communities, CSOs, Indigenous Peoples, private sector, academia) will have a role to play in developing and implementing emission reduction plans which are due to be prepared by mid 2012.

Capacity Development Needs Assessment

The UNDP capacity assessment (CA) methodology will provide the overall framework for the CDNA. Nevertheless, the methodology and the instruments may be modified to suit specific circumstances of Central Sulawesi.

Employing a range of data collection methodologies, the CA approach traditionally offers a self-assessment platform that will allow direct engagement of the key officials and staff of involved agencies, and their partners, in coming up with quantitative as well as qualitative capacity indicators, which will serve as basis for the prioritization of the capacity development needs of these agencies. The assessment will be conducted through meetings and self-assessment sessions/consultations with key agency management and staff as well as in-depth interviews with key staff members of other agencies and development partners (e.g., civil society organizations, international organizations). The CA framework and work plan, including the capacity indicators, will be developed by the CA team following initial research and consultation meetings, and will be validated through a presentation to senior officials from said agencies prior to its application.

Specifically, the CA will use a range of methodologies to triangulate information and come up with a comprehensive understand-

ing of the prevailing capacity development issues and needs. These methodologies will include the following:

- Desk research/review. This will serve as the preliminary activity for the capacity assessment, which will compile relevant research documents and findings, evaluation reports, policies, project documents, etc., to come up with an initial understanding of on-going or completed initiatives, as well as policy statements, that will inform the planning and conduct of the capacity assessment to ensure that the process builds on and adds value to existing or completed activities.
- Dialogues and consultation workshops. Dialogues and consultation workshops will be convened throughout the capacity assessment process to bring together different stakeholders around a common issue, discuss common challenges, problems, and perspectives, and agree on potential areas for further discussion, analysis or collaboration.
- Focus group discussions. Focus group discussions (FGDs) aim to bring together different actors to discuss a specific issue or bring together representatives from the same sector (e.g., civil society organizations) to discuss their particular concerns.
- Key informant/semi-structured interviews. This will involve semi-structured interviews with officials and key staff members from government and relevant organizations, to obtain their feedback and perspectives, as well as the capacity needs of relevant government agencies.
- Self-assessment. This will serve as the crux of the CA, which will employ qualitative and quantitative indicators to determine priority capacity needs of key government agencies. CA worksheets,

which contain specific capacity indicators that will be assessed, will be developed by the CA Team to be filled up by staff members from key agencies. Results of the self-assessment will be consolidated by the CA Team and used to compare, validate, and complement the results obtained from the other methodologies.

The National Consultant will participate fully in the scoping mission, and will thereafter be responsible for implementation of the agreed workplan, including regular reporting of progress and any constraints encountered to the APRC Advisor, together with the UN-REDD Regional Coordinator, UNDP CO staff, and PMU.

Roles of APRC Advisor and National Consultant

The APRC Advisor, during the initial mission, will be responsible for:

- a) Initial scoping exercise, to identify special circumstances regarding REDD+ implementation in Central Sulawesi, and the development of a workplan for a comprehensive CDNA and CDP
- b) On-the-job training of the National Consultant regarding each element of the work programme to be implemented
- c) Discussions with the UN-REDD PMU regarding resources, workplans, etc.

Subsequently, the APRC Advisor, together with the UN-REDD Regional Coordinator, UNDP CO staff, and PMU, will be responsible for oversight of the work of the National Consultant.

Indicative Schedule of Initial Scoping Mission

Nov. 6 th	Travel to Jakarta
Nov. 7 th	Meetings with PMU, UNDP and FAO CO staff in Jakarta
Nov. 8 th	Travel to Palu, initial meeting with local UN-REDD staff and provincial counterparts
Nov. 9 th -11 th	Meetings with representatives of all local stakeholder groups
Nov. 12 th	Travel to Jakarta
Nov. 13 th	Write-up of proposal
Nov. 14 th	De-briefing with PMU and UNDP and FAO CO staff
Nov. 15 th	Travel to Bangkok

Annex II: Scoping Mission Schedule and Team Members

Schedule

Date	Agenda
Sunday, 6 Nov (arrive from Bangkok)	
Monday, 7 Nov (Jakarta)	
8:00-9:00	Discussions with Anton and Keiko at UNDP office
10:00-13:00	Initial briefing meeting at PMU
13:00-13:30	Courtesy call/meeting with Pak Yuyu
15:00-16:00	Meeting with Pak Budhi at UNDP
Tuesday, 8 Nov (Jakarta)	
8:45-10:00	Orientation session with Pak Farid at UNDP
10:30-11:30	Meeting with Pak Ucok at PMU to discuss PGA
15:00	Depart for Palu
Wednesday, 9 Nov (Palu)	
8:30-9:15	Breakfast meeting with Pak Nahardi
10:00-12:30	Consultation FGD with provincial government agencies representatives
14:00-15:30	Consultation FGD with NGOs and community group representatives
16:00-17:30	Consultation FGD with university professors
Thursday, 10 Nov (Palu/Donggala)	
10:00-11:30	Consultation FGD with Donggala district Forestry & Plantation office
12:30-14:00	Consultation FGD with journalists
14:00-15:00	Consultation FGD with private sector (forest concessionaires)

16:00	Depart for Jakarta
Friday, 11 Nov (Bogor)	
9:00-14:30	Consultation FGD with Pokja IV (agenda item from 13:00-14:30)
Monday, 14 Nov (Jakarta)	
10:00-11:00	[Internal presentation on CD to UNDP's Environment unit]
15:00-17:00	Presentation of scoping report/proposal to PMU; discussion
19:00-21:00	Training and orientation on methodology and workplan with Farid
Tuesday, 15 Nov (Jakarta)	
8:30-10:00	Training and orientation on methodology and workplan with Farid
10:00	Depart for Bangkok

Scoping Mission Team Members:

Ashley Palmer	Capacity Development Specialist, UNDP Asia Pacific Regional Center
Agus Hernadi	UN-REDD Team Leader 3
Keiko Nomura	UNDP Program Officer for UN-REDD
Muhammed Farid	UN-REDD TA, Capacity Building Specialist
Didi Suharyadi	UN-REDD Regional Facilitator

Annex III: PGA Matrix (*Draft- not for circulation*)

See attachment; matrix is included as separate document

Annex IV: Key Points from Consultation FGDs and List(s) of Participants

(This annex is optional but could be added; I believe Pak Agus may have summary notes of the main points captured from the FGDs and Pak Didi has the list(s) of participants from each stakeholder group.)

Annex V: Key Documents Consulted (rough list!)

1. Governor's Decree establishing Pokja in Central Sulawesi (translation)
2. Draft FPIC Guidelines for Central Sulawesi (translation)
3. Guide to Public Consultation for drafting the National REDD+ Strategy (translation)
4. Policy Recommendation: FPIC Instrument for Indigenous and/or Local Communities who will be affected by REDD+ activities (National Forestry Council and UN-REDD)
5. Semi-Annual Report 2011, UN-REDD Program Indonesia
6. Indonesia National REDD+ Strategy, "Draft 1, Revised"
7. Indonesia UN-REDD National Joint Pro-gram Document
8. UNFCCC Report of the CoP 16 held in Cancun, 29 Nov- 10 Dec, 2010
9. UN-REDD Program Social and Envi-ronmental Principles and Criteria (Version 3, draft for consultation, September 2011)
10. "Fast Facts" on Participatory Governance Assessment (PGA) for REDD+ Implementation in Indonesia
11. Concept Note (August 2010) for PGA for REDD+ Implementation in Indonesia
12. "Fast Facts October 2011" for PGA (2-pages issued by UN-REDD Indonesia)
13. Central Sulawesi Provincial REDD+ Strategy, "0 Draft", September 2011 (translation)
14. Practitioner's Guide: Capacity Development for Environmental Sustainability (UNDP CD Group)

15. UN-REDD Asia Pacific: 2-pagers on lessons learned- five different topics
16. Forest People's Program (Central Sula-wesi), "Rights, forests, and climate briefings series" (Oct 2011)
17. RECOFTC, "9 key questions on REDD+"
18. UN-REDD, "FAQs on UN-REDD program"
19. "The Dynamics of Decentralization in the Forestry Sector in South Sulawesi", Case Study #11, CIFOR
20. "The Complexities of Managing Forest Resources in Post-decentralization Indonesia", CIFOR
21. Indonesia-Norway REDD+ Partnership": First Evaluation of Deliverables; Final Report, May 2011
22. Draft Indicators/Matrices for the PGA for REDD+ Implementation in Indonesia
23. Practitioners Guide to Capacity Assessment of Anti-Corruption Agencies, UNDP
24. Fast Facts on Governance Assessments, UNDP Oslo Governance Center

Also consulted:

<http://www.un-redd.org>

<http://www.redd-net.org>

<http://www.thereddesk.org>