



UN-REDD
PROGRAMME



Workshop Report

Participatory Governance Assessments
Knowledge Exchange Meeting
17-18 April 2012, Bogor - Indonesia

Workshop Report

1. Background for this meeting

The UN-REDD Programme is currently piloting four PGA pilots (Ecuador, Nigeria, Vietnam and Indonesia) which are in different stages of preparation and implementation. In our dialogue with the PGA practitioners and stakeholders, they have expressed a strong interest in and a need to share knowledge and experience thus far to learn from each other's PGA processes. Acknowledging that the PGA pilots are work in progress, The UN-REDD Programme and UNDP Indonesia jointly organized this South-South Exchange to accommodate the expressed need for discussing strategic, contextual and methodological aspects and challenges, as well as to look for ways to overcome these issues.

2. Objectives and outcomes

By gathering PGA practitioners from the four pilot countries, involved in different facets of the PGA process, this South-South Exchange aimed to:

- raise awareness on the PGA for REDD+ approach and highlight its relevance for national REDD+ processes
- facilitate knowledge-sharing between countries and practitioners with a view to strengthen in-country PGA processes
- establish a community of practice made of all those involved in PGAs for REDD+
- assess the need for a "Guide to PGAs for REDD+" and develop an understanding of what to include in such Guide
- introducing other UN-REDD tools available to complement the PGA approach in addressing REDD+ governance issues

To a large extent these objectives are met as awareness is raised among new countries, a PGA Community of Practice (COP) is established and constructive feedback and suggestions on how to facilitate communication within this COP provided for further follow-up, and available tools and approaches within the agencies were presented and their possible application and relevance within the PGA process highlighted.

3. Participants

In total, 55 participants from nine UN-REDD Partner countries (Ecuador, Indonesia, Vietnam, Nigeria, Paraguay, Myanmar, Sri Lanka, Papua New Guinea, and Cambodia) attended the workshop. The primary target audience for this workshop was representatives from government, civil society and the day-to-day coordinators of the PGA process in the four PGA pilot countries. To raise awareness of the PGA approach beyond the existing pilots, government representatives from the following countries were also invited. In addition, staff from the regional and HQ teams of The UN-REDD Programme and within the agencies attended and contributed throughout the workshop.

4. Key issues addressed and discussed during the workshop

4.1 Opening remarks session:

During the opening of this meeting, the objectives of the meeting were emphasized, and in particular the sharing of knowledge between the pilot countries was seen as important at this stage. Norway

emphasized the importance of governance and anti-corruption measures for the success of REDD+, both in Indonesia and in other REDD+ countries, and mentioned that (from the The Norwegian Embassy's perspective) they will be following the PGA process in Indonesia closely and with high interest.

4.2 Governance assessments in a broader perspective:

Since the PGAs build on the experience and knowledge from previous and on-going governance assessments under the UNDP Global Programme on Governance Assessment led by the UNDP Oslo Governance Centre, as well as FAO's expertise on forest governance and data collection, reflections and lessons learned from these strands of work were highlighted alongside a general overview of the PGA for REDD+ approach.

From a recent mid-term review of the UNDP Global Programme on Governance Assessment, the following main messages – which are also highly relevant to consider when conducting a PGA for REDD+ process – were presented:

- One should pay significant attention 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 policymakers find convincing? To take advantage of stakeholder consultations to ask how to solve problems, challenges and recommendations is beneficial in this regard.
- Selecting the right institutional arrangement for the assessment is critical, especially with regards to location of a monitoring system. An agency which has 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 enhances civil society actors' legitimacy, legitimacy matters for policy influence, and finally collaboration with civil society actors enhances legitimacy of government.
- A good communication strategy is a pre-requisite 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.

Both the mid-term review of the Global Programme on Governance Assessment and a recent regional workshop looking at past and on-going governance assessments in the Asia-Pacific Region, highlighted the importance of country ownership to ensure the sustainability and continued update and dissemination of governance data. The flexibility to adapt the governance assessment process to the country specific context was also stressed as key, in comparison to too prescriptive approaches. Further, positive results from governance assessments are seen where these processes have also produced a set of recommendations crafted to influence policy and which are detailed enough to be 'actionable'.

4.3 Insights into the four PGA pilots

The four PGA pilots shared their experience from the preparation work and first steps of their respective PGA pilots. In Indonesia, one of the key messages was that ensuring strong buy-in from government is crucial, and that sufficient time needs to be allocated for doing this. Also, there is a need to find a balance between reporting evidence and avoiding 'naming and shaming' when working on collecting and sharing

governance data which needs to be carefully considered. In Ecuador, one of the main points was the need to integrate the PGA into other on-going processes on governance and safeguards to ensure coordination and increase the efficiency of the REDD+ process. Further, Nigeria stressed that the PGA process needs to be driven both at the national and state/ local level in order to ensure it has an eventual impact and has the potential to expand beyond a single state. From Vietnam, the link between the PGA process and possible input to establishing a system for reporting on safeguards was highlighted. Further, the insufficient access to information and lack of consultation is a key issue to be addressed in the PGA process in Vietnam.

4.4 Context, process and strategic issues in a PGA

During this session, participants were given insights into how the Stakeholder Engagement (SE) and Free Prior and Informed Consent (FPIC) Guidelines have been developed and how they can be applied. The Guidelines on SE and on FPIC, respectively, are two available tools developed through extensive consultations, to acknowledge the fundamental importance of indigenous and forest-dependent peoples (IPs) within REDD+ processes, their undeniable rights, their unique role in forest conservation and their exclusion from usual decision-making processes. These tools provide justification, key principles, concrete options and practical steps for including these stakeholders effectively in REDD+ processes and ensuring the respect of their rights.

Both the SE and the FPIC tools share some key principles with the PGAs (e.g. ownership, participation, inclusion, transparency, access to information, etc.) and can come as concrete and practical options in support of different moments of a PGA process, for example to help identify stakeholders or map right-holders, set up participatory consultation mechanisms, ensure a human-rights-based approach to the PGA, and other.

Institutional and Context Analysis (ICA) was presented to shed light on how it may complement the PGA process. The ICA is an approach with four simple steps to analyse effectively the enabling and disabling environment within which a project or programme aims to operate, map and better understand stakeholders, identify entry points and define and mitigate risks related to any given development support initiative. ICA goes one step further than usual stakeholder analysis, by identifying the incentives that motivate each group of stakeholders, and placing them on a graph based on their interests and power relations – which will guide decisions on how to engage with each relevant stakeholder group.

An ICA can be useful at various stages of a programming cycle, and should be made to fit the specific need of a given project – e.g. analyse the causes of a failure, prepare a programme document, mid-term review, need for new stakeholder engagement strategy, etc. UNDP Oslo Governance Centre can support countries and actors, based on their demand, by advising them on the best way to adapt ICA so it is fit for purpose, and also by facilitating access to a consultant roster.

Main points addressed during the group discussions (reporting back to the plenary) were:

Most groups recommended the use of ICA to identify relevant stakeholders, analyse them and define the best ways to involve them in the PGA process. Similarly this would also inform an efficient communication strategy specifically targeted to each stakeholder group as relevant, using adapted forms and channels of communication for each group (incl. for example using indigenous languages etc.)

Most groups recommended the use of existing mechanisms of participation within REDD+ processes in the countries, such as participatory REDD+ platforms already set up, to avoid duplicating this type of groups and creating fatigue. However, it was also recommended to build on the existing structures and add to them, as they are often not sufficient to meet the broad participation requirements of a PGA. Indeed

more stakeholders should be added, including non-traditional REDD actors such as national anti-corruption agencies and other. That said, stakeholder participation should be organized in a targeted way, not necessarily involving all actors in everything at the same time. Processes and cultures specific to each actor should also be respected.

Parliament was mentioned by several groups as an important stakeholder that should be involved more effectively in PGAs.

The PGA management structure should guarantee that the assessment will be independent. The more stakeholders included in the PGA process, the higher chance to have an independent, fair assessment, hence the need for an independent expert panel with broad representation. But while ensuring such independence, the management structure should also have the capacity to bridge the assessment with decision-making processes and translate it into policy.

In several REDD+ countries, the subnational level and local stakeholders are often neglected, and more efforts should be made to include these stakeholders more effectively and in a meaningful manner. The dichotomy between national/subnational should be revised and countries should work to establish continuous links between these two levels to integrate the local more systematically into the national process, instead for under-serving it as is often the case. This would be a condition of a successful PGA process.

4.5 What to measure?

This session emphasized how priority information needs can be identified in a PGA process, and also the data required to provide relevant information. Once again, the experience of the PGA pilot in Indonesia was demonstrated, this time on how the scope of the assessment was identified in a participatory manner. The scope of the PGA in Indonesia is closely related to natural resources and forestry management. To better understand the scope of the PGA in Indonesia, three aspects of governance required mapping: 1) Laws and regulations, 2) Capacity of the government, Civil Society Organizations, communities and the private sector, and finally, 3) Implementation and performance.

Anti-corruption is, not surprisingly, one of the governance issues which has been prioritized both in the PGA pilot in Indonesia as well as in Nigeria. The UN-REDD Programme's recent and current work in collaboration with UNDP Democratic Governance Group (PACDE) on addressing corruption challenges in REDD+ was presented to the participants, as some of these work areas may be beneficial to a PGA process where anti-corruption has been prioritized. Awareness and knowledge sharing (especially the publication "Staying on Track – tackling corruption risks in climate change"), workshops, as well as targeted advisory and backstopping are all examples of how expertise on anti-corruption can be brought to and used in a PGA process at the country level.

From the group discussions during this session, the main governance risks identified were corruption, land tenure (more specifically lack of clarity on carbon rights, enforcement of existing laws and regulations, the issue of customary rights versus state ownership, and reallocation of land from public to private control), lack of capacity to handle and implement REDD+ (both low awareness levels of REDD+ among local communities and local governments). When requested to suggest ways on how to reach (a national) consensus on the most critical governance risks to monitor, a survey to compare priorities between different stakeholder groups, as well as stakeholder consultations (both at national and local levels to validate the prioritized issues that includes stakeholders and sectors normally not involved in REDD+) were suggested.

The following types of data can be collected to track these prioritized issues – as reported back to the plenary: a) Existing governance related data – from different sources (official government data - statistics,

surveys, spot-checks, budget figures - as well as data collected by various non-state actors such as international organizations and media), especially in the forest sector but also exploring other sources that contain data specific to the risk. Mapping customary land and nationally acknowledged legal land/forest was seen as a good example to address land tenure challenges. b) Data collected through capacity needs assessment to understand gaps and track level of understanding. c) Mapping of policy framework and enforcement to understand where the gaps are in the policy framework, and where there are no gaps, why enforcement is not working.

4.5 What to do with the data?

Designing strategies for policy uptake and increased accountability is a long term goal for the PGA. How the data will be used is indeed a test on whether the PGA has been successful or not. UNDP Oslo Governance Centre shared some of their experience on how to ensure sustainability through institutionalization and ownership, but also recommendations for policy-making: "From the demand side of governance, accountability mechanisms are put in place and from the supply side of governance the tools to have evidence based for national decision making are created". It is also important to secure the broad based ownership throughout the assessment process, as policy-makers are more likely to use what they have contributed to, rather than reports being published by external actors. Moreover, the assessment process should focus more on the solutions than the problems or challenges.

The REDD+ Task Force in Indonesia provided insights into how the data from the PGA may be utilized, such as providing information on: 1) governance preparedness of additional provinces to be selected as next pilot provinces for REDD+, 2) progress of governance improvement in Central Kalimantan (current pilot province), 3) the legislation review and how this can be improved in terms of law enforcement, 4) provincial/ local/ central governments, civil society and donor communities to conduct governance reform activities and programs, and 5) information for a new agency on REDD+ to develop its own strategy, plan and program.

Parliamentarians, with their oversight functions in particular, were also addressed as a possible user of PGA data. The project *Legislative support for REDD+* (LEG REDD+ under The UN-REDD Programme), which aims at assisting countries in strengthening their legal capacity for REDD+ implementation, and how this may link to the PGA process in addressing legal issues and shortcomings identified through the PGA process was presented, alongside UNDP's work on Parliamentary Development, from which PGA stakeholders and participants may request technical backstopping and further capacity building should there be interest to involve parliaments and parliamentarians as users of PGA data eventually.

From the group discussions, a PGA was seen to be made more sustainable by linking up with already on-going forest or REDD+ governance initiatives. A need to integrate information systems and multiple reporting demands is evident, how to get there is still a work in progress. Using culturally sensitive media as well as using various types of media (online, storytelling, print etc.), in addition to making sure information is public and easily accessible were seen as important factors to ensure the active use of information generated through a PGA.

Although the workshop presented different tools and approaches which might compliment the PGA process by adding value in certain stages and addressing certain challenges and/ or issues, this also caused some confusion as to *when* these tools and approaches could be applied, and for what purpose. One of the interventions suggested highlighting this in a more comprehensible manner to demonstrate how the different initiatives may be of relevance in a PGA process. This will be one of the points for further follow-up to be presented in the planned guide on the PGAs: a visualization of the PGA process with specific reference to when and how different tools and approaches can be added to the process.

5 Workshop evaluation results

All participants were given an evaluation form at the end of the workshop to range their experience of the workshop with regards to the substantial issues covered, quality of the presentations, workshop methodology, but also the more practical and logistical side of the workshop.

The ratings and results from this evaluation confirm that the participants saw this as a useful workshop, that the content and issues addressed are indeed useful for their work, and that the workshop has indeed motivated the participants and given them ideas on how to apply what they have learned in their further work on the PGAs for REDD+. Also, the organization of the workshop received excellent ratings.

In the more open ended questions, the issues which seemed to clarify and also a source of inspiration for further work was the coupling of Institutional and Context Analysis and PGAs, as well as the existing tools on anti-corruption, in addition to the actual work and experience of the four PGA pilots.

6 Follow-up

Based on feedback from the group, discussions and comments made in the plenary, as well as from the evaluation forms from the individual participants, there are several points to followed up closely – both to better facilitate communication between the PGA practitioners, as well as demonstrating how and when different initiatives, tools and approaches may be included in a PGA cycle:

- Develop a visualization of *when* and *how* the different tools fit within a PGA process or cycle. This overview can also be included in the PGA Guide, which will be drafted later in 2012
- Prepare and share a database of all PGA practitioners for contact information and work areas/ roles and encourage the UN-REDD workspace as a communication channel for sharing documents, plans and experience, and investigate the possibility for a more closed folder to share more internal information between the PGA focal points in each pilot country
- Regular (annual) meetings for the now established PGA Community of Practice
- Follow up on the request to convene the IP representatives involved in the PGA pilots

Annexes (hyperlinks)

1. [Final agenda](#)
2. [Participants list](#)
3. [Evaluation results](#)

For more information, presentations and background documents to the workshop, please visit the UN-REDD workspace folder for this meeting [here](#).