

# Stakeholder Participation Guidance

*Guidance to support stakeholder participation in design, implementation and assessment  
of policies and actions*

*First Draft, 26 July 2017*

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## PART I: INTRODUCTION, OBJECTIVES AND KEY CONCEPTS

### 1. INTRODUCTION

*With the adoption of the United Nations Sustainable Development Goals and the Paris Agreement in 2015, governments around the world are increasingly focused on implementing policies and actions that achieve sustainable development and greenhouse gas (GHG) mitigation objectives. There is an increasing need to assess and communicate the multiple impacts of policies and actions to ensure they are effective in delivering a variety of sustainable development and GHG mitigation benefits. Broad stakeholder participation is essential for fostering greater transparency, effectiveness, trust and ambition in policies and actions.*

#### Purpose of the guidance

The Initiative for Climate Action Transparency (ICAT) provides guidance for the assessment of the GHG, sustainable development and transformational impacts<sup>1</sup> of policies and actions. This document provides guidance to help users conduct effective stakeholder participation in support of these impact assessments. The guidance can also help users with stakeholder participation beyond impact assessment, such as to support policy design and implementation.

Effective stakeholder participation enhances policies and actions and their assessment by:

- Raising awareness and enabling better understanding of complex issues for all parties involved, building their capacity to contribute effectively
- Building trust, collaboration, shared ownership and support for policies and actions among stakeholder groups, leading to less conflict and easier implementation
- Addressing stakeholder perceptions of risks and impacts and helping to develop measures to reduce negative impacts and enhance benefits for all stakeholder groups, including the most vulnerable
- Enhancing the credibility, accuracy and comprehensiveness of the assessment, drawing on diverse expert, local and traditional knowledge and practices
- Enhancing transparency, accountability and legitimacy, and respect for stakeholders' rights
- Enabling enhanced ambition and finance by strengthening the effectiveness of policies and the credibility of reporting

The guidance helps users answer the following questions:

- Who is affected by or has influence on a given policy or action?
- Have the stakeholders of a given policy or action been effectively engaged?

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<sup>1</sup> A transformational impact is a system change that results from a policy or action leading to processes of change and outcomes of change at scale and that are sustained over time.

1 The guidance was developed with the following objectives in mind:

- 2 • To raise awareness of the benefits of stakeholder participation
- 3 • To provide practical guidance on planning and implementing effective participatory processes

4 The guidance supports users in achieving various objectives of effective stakeholder participation, such  
5 as building understanding and support for policies and actions, strengthening the assessment of impacts  
6 and strengthening the technical review of assessment reports. These objectives are further elaborated in  
7 Chapter 2.

8 This guidance is intended to be used in combination with any other ICAT guidance documents that users  
9 choose to apply. The series of guidance is intended to enable users to assess the impacts of a policy or  
10 action in an integrated and consistent way within a single impact assessment process. Refer to the ICAT  
11 *Introductory Guide* for more information about the ICAT guidance documents and how to apply them in  
12 combination.

### 13 Intended users

14 This guidance is intended for use by a wide range of organisations and institutions. Throughout this  
15 guidance, the term “user” refers to the entity using the guidance.

16 The following examples explain how different types of users can use the guidance:

- 17 • **Governments:** Strengthen stakeholder participation in design, implementation and assessment  
18 of policies and actions to enhance effectiveness of policy design and implementation, and to build  
19 support and participation from stakeholders, including addressing potential barriers to effective  
20 implementation. Governments can also use this guidance to enhance the monitoring of  
21 performance of implemented policies and actions and ex-post assessment of impacts to learn  
22 from experience, enhance transparency of reporting, and facilitate access to financing for policies  
23 and actions.
- 24 • **Stakeholders affected by policies and actions, such as local communities and civil society**  
25 **organisations:** Participate more effectively in and influence the design, implementation and  
26 assessment of policies and actions to ensure their concerns and interests are addressed.
- 27 • **Donor agencies and financial institutions:** Assess the extent to which stakeholders’ interests  
28 and rights have been addressed in policies and actions which they have financed, such as  
29 through grants or loans, including results-based financing and development policy loans.
- 30 • **Businesses:** Strengthen stakeholder participation in private sector actions, such as voluntary  
31 commitments, implementation of new technologies, or private sector financing, and enhance  
32 private sector participation in policies and actions.
- 33 • **Research institutions and non-governmental organisations (NGOs):** Strengthen participatory  
34 approaches to assessing the various environmental, social, and economic impacts of policies or  
35 actions to assess performance or provide support to decision makers.

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## 1 Scope and applicability of the guidance

2 This guidance is designed to support all other guidance within the ICAT series of guidance. It explains the  
3 key elements of effective stakeholder participation, linking with the other ICAT guidance documents which  
4 indicate the points within an impact assessment or technical review where stakeholder participation can  
5 be useful. Each guidance document highlights the importance of engaging stakeholders at a particular  
6 point and refers to this guidance for recommended practices for engaging them.

7 This guidance provides general principles, concepts, methods and approaches for stakeholder  
8 participation, applicable for all types of policies<sup>2</sup> and throughout the policy design and implementation  
9 cycle. The guidance also contains examples and case studies [*to be developed*] that illustrate how to  
10 apply the guidance to specific policies or country contexts.

11 The guidance is organised into three parts. Part I provides an introduction, including objectives and key  
12 concepts. Part II provides guidance on key elements for the user to consider when designing and  
13 implementing effective stakeholder participation. Part III provides guidance on reporting how stakeholder  
14 participation has been conducted.

15 The guidance provides various methods and approaches that can be used in varying country contexts;  
16 however, it does not provide specific guidance for all possible stakeholder groups for all different country  
17 contexts (including laws and regulations on stakeholder participation). Users should consider their country  
18 context carefully and should adapt this guidance for application to their specific stakeholder participation  
19 needs.

## 20 When to use the guidance

21 The guidance can be used throughout the policy design and implementation cycle, including:

- 22 • **Before policy implementation:** To improve the design of a policy and build understanding,  
23 participation and support among stakeholders for the policy; to strengthen the assessment of  
24 expected future impacts of a policy (through ex-ante assessment)
- 25 • **During policy implementation:** To improve implementation of a policy to enhance its GHG,  
26 sustainable development and/or transformational impacts; to strengthen the assessment of  
27 impacts achieved to date (through ex-post assessment) and expect future impacts (through ex-  
28 ante assessment)
- 29 • **After policy implementation:** To enhance adaptive management to improve the policy; to  
30 strengthen the assessment of impacts that have occurred as a result of a policy (through ex-post  
31 assessment)

## 32 Key recommendations

33 The guidance includes key recommendations that represent recommended elements for implementing  
34 effective stakeholder participation. The key recommendations are intended to assist users in planning and  
35 implementing effective stakeholder participation and are based on the principles of inclusiveness,

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<sup>2</sup> Throughout this guidance, where the word “policy” is used without “action,” it is used as shorthand to refer to both policies and actions.

1 transparency, responsiveness, accountability and respect for rights (see Section 3.3 on principles for  
2 effective stakeholder participation).

3 In keeping with ICAT guidance being non-prescriptive, the key recommendations focus on the key steps  
4 that users are recommended to follow, rather than on any specific methods, models or tools they should  
5 use. Key recommendations focus more on the “what” users should do than the “how” they can do it. The  
6 guidance that accompanies each key recommendation provides the “how.”

7 Key recommendations are indicated in subsequent chapters by the phrase “It is a *key recommendation*  
8 to...” All key recommendations are also compiled in a checklist at the beginning of each chapter.

9 Key recommendations are provided as an option to users that want to assess and report impacts  
10 according to a consistent set of steps and approaches. Users that want to follow a more flexible approach  
11 can choose to use the guidance without adhering to the key recommendations.

12 The ICAT *Introductory Guide* provides further description of how and why key recommendations are used  
13 within the ICAT guidance documents, as well as more information about following either the “flexible  
14 approach” or the “key recommendations” approach when using the guidance. Refer to the *Introductory*  
15 *Guide* before deciding on which approach to follow.

## 16 Relationship to other resources

17 This guidance supports and is consistent with international treaties, conventions and other agreements  
18 related to stakeholder participation, including, for example, the United Nations Universal Declaration of  
19 Human Rights<sup>3</sup> and the United Nations Economic Commission for Europe (UNECE) Aarhus Convention  
20 on Access to Information, Public Participation in Decision-Making and Access to Justice in Environmental  
21 Matters<sup>4</sup> (see Box 3.1 for additional examples of relevant international agreements). It builds on many  
22 existing resources including those listed in the “References” section.

## 23 Process for developing the guidance

24 This guidance is being developed through an inclusive, multi-stakeholder process convened by ICAT. The  
25 development is led by the Climate, Community & Biodiversity Alliance (lead) and VCS. The draft was  
26 developed by drafting teams, which are a subset of a broader Technical Working Group, and the  
27 guidance development leads. The Technical Working Group consists of experts and stakeholders from a  
28 range of countries identified through a public call for expressions of interest. The Technical Working  
29 Group contributed to the development of the technical content for the guidance through participation in  
30 regular meetings and written comments.

31 A Review Group will provide written feedback on multiple drafts of the guidance. The drafts will also be  
32 circulated for public consultation more broadly. The draft guidance will be implemented with ICAT  
33 participating countries and other interested countries to ensure that it can be practically implemented,  
34 gather feedback for its improvement and provide case studies for the final publication. Anyone interested  
35 in testing the guidance is encouraged to get in touch with the ICAT team.

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<sup>3</sup> Available at: <http://www.un.org/en/universal-declaration-human-rights/>.

<sup>4</sup> Available at: <http://www.unece.org/fileadmin/DAM/env/pp/documents/cep43e.pdf>

- 1 ICAT's Advisory Committee provides strategic advice to the initiative. More information about the
- 2 guidance development process, including governance of the initiative and the participating countries, is
- 3 available on the ICAT website.
- 4 All contributors to this guidance document are listed in the "Contributors" section.
- 5

## 2. OBJECTIVES OF EFFECTIVE STAKEHOLDER PARTICIPATION

*This chapter provides an overview of objectives users may have for stakeholder participation in the design, implementation and assessment of policies. Determining the stakeholder participation objectives is an important first step, since decisions about approaches and steps to follow will be guided by the identified objectives.*

Stakeholder participation can make an important contribution to strengthening the design, implementation and assessment of policies. Stakeholder participation supports the increased effectiveness of policies by integrating stakeholder knowledge and perceptions, and builds support for policies through increased transparency, accountability and legitimacy of decision-making. The following potential objectives of effective stakeholder participation in design, implementation and assessment of policies have been identified in relation to the objectives and scope of the initiative:

- **To build understanding, participation and support**, including removing barriers, for climate policies among diverse stakeholders
- **To improve design and implementation** of policies to enhance their GHG, sustainable development and transformational impacts
- **To strengthen assessment of impacts of policies on GHG emissions** by enhancing the comprehensiveness of the assessment through diverse expert, local and traditional knowledge and practices
- **To strengthen the identification and assessment of sustainable development impacts** by enhancing the comprehensiveness of the assessment through diverse expert, local and traditional knowledge and practices
- **To strengthen the identification and assessment of transformational impacts** by enhancing the comprehensiveness of the assessment through diverse expert, local and traditional knowledge and practices
- **To strengthen technical review** of GHG emissions, sustainable development or transformational impact assessment reports
- **To facilitate the assessment of effectiveness and efficiency of stakeholder participation** in policy design, implementation and assessment

Users may pursue one or more of these objectives depending on when in the policy design and implementation cycle they are seeking to conduct stakeholder participation. They can identify stakeholder participation objectives to support their objectives in using other ICAT guidance.

### 3. KEY CONCEPTS, ELEMENTS AND PRINCIPLES

*This chapter introduces key concepts contained in this guidance, provides an overview of the key elements involved in stakeholder participation, and outlines the principles of effective stakeholder participation.*

#### Checklist of key recommendations

- Base stakeholder participation on the principles of inclusiveness, transparency, responsiveness, accountability and respect for rights

#### 3.1 Key concepts

This section describes several key concepts that are relevant to this guidance.

##### Stakeholders and marginalised people or groups

Stakeholders are people, organisations, communities or individuals who are affected by and/or who have influence or power over the policy. Stakeholders include different agencies and levels of government as well as civil society and private sector organisations and members of the public that are affected by or may influence the policy.

Marginalised people or groups are those that have relatively little or no influence over decision-making processes. Marginalised people or groups are those that tend to be ignored, misrepresented or underrepresented such as women, indigenous peoples and local communities. Marginalisation may be related to a range of factors including gender, ethnicity, socio-economic status, remoteness, inaccessibility, political connections, culture and religion.

##### Participation and effective stakeholder participation

Participation entails processes that enable stakeholders to understand and influence decisions and processes that may interest or affect them. Other terms for participation include involvement and engagement. Participation involves a spectrum of possible levels of stakeholder involvement and influence. Table 3.1 describes the stakeholder participation goal and associated user promise based on the level of stakeholder involvement.

Effective stakeholder participation entails processes in which stakeholders have meaningful influence on decisions, involving those who are potentially affected by or interested in a decision and who have a right to be involved in the decision-making process. The processes recognise and communicate the needs and interests of all stakeholders, involve stakeholders in defining how they participate, provide stakeholders with the information and capacity to participate, and communicate to stakeholders how their input affected the decisions.

1 **Table 3.1: Stakeholder participation spectrum**

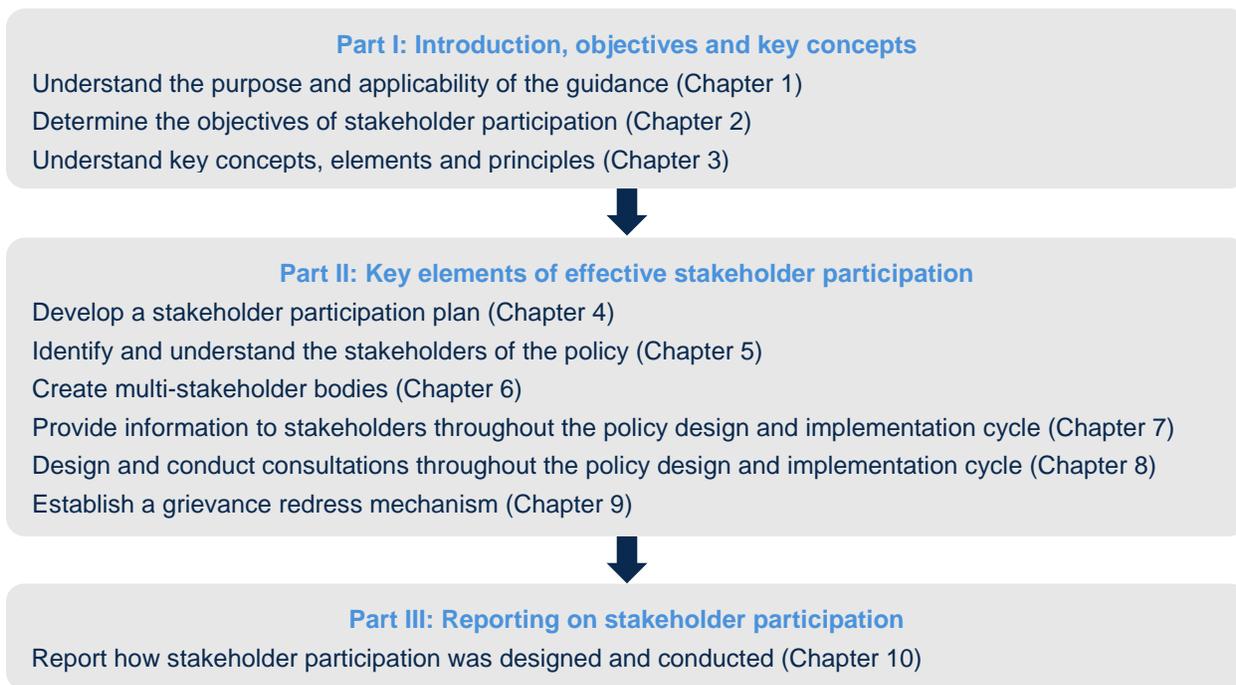
Low level of stakeholder participation		Mid-level	High level of stakeholder participation	
Inform	Consult	Involve	Collaborate	Empower
Provide the stakeholder with balanced and objective information to assist them in understanding the problem, alternatives and solutions	Obtain stakeholder input on analysis, alternatives or decisions	Work directly with stakeholders throughout the process to ensure that stakeholder concerns and aspirations are consistently understood and considered	Partner with stakeholders in each aspect of decision-making including the development of alternatives and the identification of preferred solutions	Place decision-making in the hands of stakeholders
“We will keep you informed.”	“We will keep you informed, listen to and acknowledge concerns and aspirations and provide feedback on how stakeholder input influences the decision.”	“We will work with you to ensure that your concerns and aspirations are directly reflected in the alternatives developed and provide feedback on how stakeholder input influenced the decision.”	“We will look to you for advice and innovation in formulating solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible.”	“We will implement what you decide.”

2 *Source:* Adapted from IAP2 “Public Participation Spectrum”

### 3 **3.2 Overview of elements**

4 This guidance is organised around the elements a user should consider in conducting effective  
 5 stakeholder participation (see *Figure 3.1*). The guidance is relevant throughout the policy design and  
 6 implementation cycle and for any objective for stakeholder participation identified by the user. Part II  
 7 provides guidance on each of the key elements. Each relevant step of the *ICAT Renewable Energy*  
 8 *Guidance, Buildings Efficiency Guidance, Transport Pricing Guidance, Agriculture Guidance, Forest*  
 9 *Guidance, Sustainable Development Guidance, Transformational Change Guidance* and *Technical*  
 10 *Review Guidance* highlights the elements that are most relevant to achieve the user’s objectives. Each  
 11 relevant step and the corresponding elements of stakeholder participation are summarised in an  
 12 Appendix of each guidance document.

1 Figure 3.1: Overview of elements of effective stakeholder participation and the structure of this guidance  
2 document



3  
4 The elements described in Chapters 4-8 are not presented as sequential steps because each element  
5 needs to be considered for effective stakeholder participation and will benefit from ongoing improvements  
6 following an iterative approach for adaptive management.

### 7 3.3 Principles for effective stakeholder participation

8 The following five principles are intended to underpin and guide the implementation of stakeholder  
9 participation, especially where the guidance provides flexibility. It is a *key recommendation* to base  
10 stakeholder participation on the principles of inclusiveness, transparency, responsiveness, accountability  
11 and respect for rights, as follows:

- 12 • **Inclusiveness:** all stakeholders have opportunities and the capacity to participate effectively and  
13 equitably, including both men and women, with special attention to stakeholder groups that may  
14 be marginalised.
- 15 • **Transparency:** information relevant to making an informed decision is disseminated to all  
16 stakeholders and publicly accessible, in a format that can be understood, and provided in  
17 advance to enable effective participation.
- 18 • **Responsiveness:** changes are made in response to stakeholders' input as appropriate,  
19 stakeholders are informed how their input has been addressed, and stakeholder requests for  
20 information and for resolution of grievances are resolved impartially in a timely manner.
- 21 • **Accountability:** clear governance structures and processes are established including for  
22 decision-making and oversight, and for the resolution of grievances with appropriate redress.
- 23 • **Respect for rights:** stakeholders' rights related to policies and their impacts are recognised and  
24 respected, including procedural rights such as to information, participation and access to justice,

1 and substantive rights including customary rights as well as statutory rights, with special attention  
2 to stakeholder groups that may be marginalised.

3 Note that legal frameworks at local, national and international level, including customary practices  
4 and non-binding agreements that establish norms, can define rights related to each of these  
5 principles. With respect to international legal frameworks, this guidance refers to United Nations  
6 principles and corresponding agreements related to rights, for example on human rights,  
7 indigenous peoples and women's rights and any treaties, conventions and other agreements that  
8 the country may be party to. Box 3.1 provides examples of relevant international agreements.

9 Users should note that existing frameworks can be contradictory. In such cases, participatory  
10 processes need to be set in place to address contradictions when designing, implementing or  
11 evaluating policies.

12 *Box 3.1: Examples of relevant international agreements*

Some relevant international treaties, conventions and agreements include:

- **United Nations Universal Declaration of Human Rights:** This declaration, adopted by the United Nations General Assembly, sets out fundamental human rights to be universally protected. While the declaration is not legally binding, it serves as the foundation for a number of national and international laws and treaties.
- **United Nations Convention on Elimination of All Forms of Discrimination against Women<sup>5</sup>:** An international treaty adopted by the United Nations General Assembly that legally binds all states parties to fulfil, protect and respect women's human rights. It defines what constitutes discrimination against women and sets up an agenda for national action to end such discrimination.
- **United Nations Declaration on the Rights of Indigenous Peoples<sup>6</sup>:** This declaration establishes a universal framework of minimum standards for the survival, dignity and well-being of the indigenous peoples of the world. While not legally binding, it elaborates on existing human rights standards and fundamental freedoms as they apply specifically to indigenous peoples.
- **International Labour Organisation Convention 169 on Indigenous and Tribal Peoples<sup>7</sup>:** This convention, which is legally binding for member states, is the only international law guaranteeing the rights of indigenous and tribal peoples. It recognises and protects land ownership rights, and sets a series of minimum standards regarding consultation and consent.
- **UNECE Aarhus Convention on Access to Information, Public Participation in Decision-Making and Access to Justice in Environmental Matters:** This convention is legally binding for states parties and establishes a number of rights of the public (individuals and their associations) with regard to the environment.

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<sup>5</sup> Available at: <http://www.un.org/womenwatch/daw/cedaw/cedaw.htm>

<sup>6</sup> Available at: [http://www.un.org/esa/socdev/unpfii/documents/DRIPS\\_en.pdf](http://www.un.org/esa/socdev/unpfii/documents/DRIPS_en.pdf)

<sup>7</sup> Available at: [http://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100\\_ILO\\_CODE:C169](http://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:C169)

## 1 PART II: KEY ELEMENTS OF EFFECTIVE STAKEHOLDER 2 PARTICIPATION

### 3 4. PLANNING EFFECTIVE STAKEHOLDER PARTICIPATION

4 *Planning and sharing of plans for stakeholder participation helps stakeholders to understand the*  
5 *opportunities for participation, and the role they can have in designing, implementing and assessing*  
6 *policies. It helps them to decide how and when they want to participate, and to prepare for their*  
7 *participation. Planning stakeholder participation involves identification of activities, methods, timing, roles,*  
8 *responsibilities and resources to meet the defined objectives of stakeholder participation effectively and*  
9 *efficiently throughout the policy design and implementation cycle.*

#### 10 Checklist of key recommendations

- Commence stakeholder participation at the start of, and continue it throughout, the policy design and implementation cycle
- Determine the objectives and scope for stakeholder participation before starting stakeholder participation activities
- Make an initial identification of stakeholder groups at the start of planning and establish processes for representatives of these groups to inform decisions on planning, including on the objectives of and opportunities for stakeholder participation
- Develop a stakeholder participation plan that specifies activities, methods, timing, roles, responsibilities, reporting and resources required to meet the identified objectives of stakeholder participation
- Publish and disseminate the stakeholder participation plan to stakeholders
- Revise and improve the stakeholder participation plan iteratively after each phase of its implementation

#### 11 4.1 Identifying the objectives for stakeholder participation

12 It is a *key recommendation* to commence stakeholder participation at the start, and continue it throughout,  
13 the policy design and implementation cycle. Stakeholder participation must have a purpose. It is a *key*  
14 *recommendation* to determine the objectives and scope for stakeholder participation before starting  
15 stakeholder participation activities. The primary purpose may be to ensure that the policy design,  
16 implementation and assessment processes are informed by a well-represented understanding of  
17 stakeholder views, knowledge and interests. Stakeholder participation can also foster positive stakeholder  
18 relationships, including inter-personal relationships, during a process where there may be a wide  
19 divergence of views, opinions, interests and expectations. It can enable stakeholder learning – including  
20 learning about the perspectives of other stakeholders. This understanding and learning can enhance the  
21 contributions of the stakeholders and enable stakeholders to assume and share responsibility for policies  
22 (see Chapter 1 for rationale and Chapter 2 for potential objectives of stakeholder participation).

1 The mandate for conducting stakeholder participation should be clearly established and assigned by the  
2 entity responsible for the design, implementation and/or assessment of the policy. Where the lead entity  
3 lacks the appropriate competencies for conducting stakeholder participation, it is important to seek  
4 assistance from others to facilitate and manage the different elements of participation (see Part II of this  
5 guidance for details on the elements of effective stakeholder participation).

6 It is a *key recommendation* to make an initial identification of stakeholder groups at the start of planning  
7 and establish processes for representatives of these groups to inform decisions on planning, including on  
8 the objectives of and opportunities for stakeholder participation. When initiating stakeholder participation  
9 planning, conduct an initial identification of stakeholder groups and involve stakeholders from these  
10 groups in defining the objectives of the participation. Define the initial objectives and scope of the  
11 participation and adjust them based on input received from stakeholders during the participation process.

12 *Box 4.1: Examples of requirements related to involuntary resettlement, indigenous peoples and cultural*  
13 *heritage*

When setting objectives, identify and ensure conformity with national legal requirements and norms for stakeholder participation in public policies, as well as requirements of specific donors and of international treaties conventions and other agreements that the country is party to. These are likely to include requirements for disclosure, impact assessments and consultations. In the case of policies involving involuntary resettlement, indigenous peoples or cultural heritage, special requirements for stakeholder participation in country legislation, donor policies and/or international law may apply (see Box 4.1 for examples). The World Bank's Environment and Social Framework (2016)<sup>8</sup> provides standards related to involuntary resettlement, indigenous peoples and cultural heritage, as well as for information disclosure and stakeholder engagement:

- Environmental and Social Standard 5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement
- Environmental and Social Standard 7: Indigenous Peoples
- Environmental and Social Standard 8: Cultural Heritage
- Environmental and Social Standard 10: Information Disclosure and Stakeholder Engagement

United Nations documents outlining special provisions related to indigenous peoples include:

- Declaration on the Rights of Indigenous Peoples (2007)
- Office of the High Commissioner for Human Rights (OHCHR) Indigenous Peoples and the United Nations Human Rights System, Fact Sheet No. 9/Rev. 2 (2013)<sup>9</sup>
- United Nations Development Group (UNDP) Guidelines on Indigenous Peoples' Issues (2008)<sup>10</sup>

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<sup>8</sup> Available at: [http://consultations.worldbank.org/Data/hub/files/consultation-template/review-and-update-world-bank-safeguard-policies/en/materials/the\\_esf\\_clean\\_final\\_for\\_public\\_disclosure\\_post\\_board\\_august\\_4.pdf](http://consultations.worldbank.org/Data/hub/files/consultation-template/review-and-update-world-bank-safeguard-policies/en/materials/the_esf_clean_final_for_public_disclosure_post_board_august_4.pdf)

<sup>9</sup> Available at: <http://www.ohchr.org/Documents/Publications/fs9Rev.2.pdf>

<sup>10</sup> Available at: [http://www.un.org/esa/socdev/unpfii/documents/UNDG\\_guidelines\\_EN.pdf](http://www.un.org/esa/socdev/unpfii/documents/UNDG_guidelines_EN.pdf)

- OHCHR Guiding Principles on Business and Human Rights (2011)<sup>11</sup>
- UN-REDD Programme Guidelines on Free, Prior and Informed Consent (2013)<sup>12</sup>
- OHCHR Reports of the Expert Mechanism on the Rights of Indigenous Peoples and the Special Rapporteur on the Rights of Indigenous Peoples to the Human Rights Council<sup>13</sup>
- OHCHR Reports of the Working Group on the issue of human rights and transnational corporations and other business enterprises (2013)<sup>14</sup>

## 1 4.2 Developing a stakeholder participation plan

2 It is a *key recommendation* to develop a stakeholder participation plan that specifies activities, methods,  
3 timing, roles, responsibilities, reporting and resources required to meet the identified objectives of  
4 stakeholder participation. Once engaged, stakeholders should be involved in a review of the initial  
5 stakeholder participation plan to increase the likelihood that it meets its intended purpose and objectives.  
6 It is a *key recommendation* to publish and disseminate the stakeholder participation plan to stakeholders.

7 Planning for effective stakeholder participation:

- 8 • Begins at the start of the overall planning process for the policy
- 9 • Continues actively on an iterative basis, as risks and impacts or new context issues arise,  
10 enabling adaptive management
- 11 • Identifies methods and approaches that are gender-sensitive and socio-culturally appropriate,  
12 using languages and terminology that is understandable to stakeholders
- 13 • Uses or builds on consultation and participation structures and processes already in use in the  
14 country that have proven to be effective and legitimate, based on previously reported experiences
- 15 • Links or integrates with related stakeholder participation processes for other policies
- 16 • Includes measures to ensure that all participation is free of external manipulation, interference,  
17 coercion, discrimination and intimidation.
- 18 • Ensures that a full range of stakeholders are identified and their differences and barriers to  
19 participation are understood (see Chapter 5), multi-stakeholder bodies enable equitable and  
20 balanced representation and participation of all stakeholder groups to support decision-making  
21 (see Chapter 6), all relevant information is disseminated to stakeholders and publicly accessible  
22 in a manner that is timely, understandable and accessible (see Chapter 7), socio-culturally  
23 appropriate and gender-sensitive consultations enable effective exchange of information between  
24 stakeholders enabling diverse stakeholders to provide input reflecting their needs and interests  
25 (see Chapter 8), fair, impartial, accessible and responsive grievance redress mechanisms

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<sup>11</sup> Available at: [http://www.ohchr.org/Documents/Publications/GuidingPrinciplesBusinessHR\\_EN.pdf](http://www.ohchr.org/Documents/Publications/GuidingPrinciplesBusinessHR_EN.pdf)

<sup>12</sup> Available at: <http://www.unclearn.org/sites/default/files/inventory/un-redd05.pdf>

<sup>13</sup> Available at: <http://www.ohchr.org/EN/Issues/IPeoples/EMRIP/Pages/EMRIPIndex.aspx>

<sup>14</sup> Available at:  
<http://www.ohchr.org/EN/Issues/Business/Pages/WGHRandtransnationalcorporationsandotherbusiness.aspx>

1 process grievances in an efficient and timely manner (see Chapter 9), and the stakeholder  
2 participation process is documented and reported (see Chapter 10).

3 An example of a stakeholder participation process is provided in Box 4.2. Box 4.3 describes the  
4 information that should be provided in a stakeholder participation plan.

5 *Box 4.2: Example of how the elements of effective stakeholder participation can be addressed iteratively*  
6 *throughout the stakeholder participation process*

Effective stakeholder participation can be addressed iteratively, for example:

- Make initial identification of stakeholder groups
- Establish initial advisory group
- Develop initial plan for stakeholder engagement
- Refine identification of stakeholder groups
- Revise composition of advisory group and/or other governance bodies
- Assess opportunities and barriers for stakeholder participation
- Refine plan for stakeholder engagement, including methods to be used
- Provide all relevant information to stakeholders including about policies, their impacts (if known), process for impact assessment and opportunities to participate
- Conduct consultations
- Use information to improve the impact assessment
- Provide feedback to stakeholders on how their input has been used
- Communicate the impacts of policies to stakeholders

7 *Box 4.3: What is a stakeholder participation plan?*

A stakeholder participation plan describes the following:

- The objectives of stakeholder participation, incorporating stakeholder expectations for their participation.
- The process for identifying, mapping and understanding stakeholders (for example understanding their interest in and influence on the policy), and capacity building or other approaches needed to enable effective participation of different stakeholder groups, including any that are marginalised.
- The timing and methods by which stakeholders will participate throughout the policy design and implementation cycle, including explaining the different approaches that will be employed to enable effective participation of all stakeholder groups.
- The type and timing of information to be communicated to different stakeholders, setting out how communication with stakeholders is to be handled throughout the policy design and implementation cycle. Dedicated approaches and different levels of resources may be needed for communication with different stakeholder groups so that they can obtain the information they

need regarding the issues that potentially affect them in a timely manner.

- The measures that will be used to remove barriers to participation for stakeholder groups, including for any identified as marginalised.
- How the input of different stakeholder groups will be captured.
- Governance arrangements for stakeholder participation, including decision-making, oversight, implementation, monitoring and evaluation of the stakeholder participation process, and links with governance arrangements for the policy.
- Mechanisms for feedback and for grievance redress.
- Processes to evaluate effectiveness of stakeholder participation and improve the stakeholder participation plan after each phase of its implementation.
- Reporting, disclosure and dissemination of stakeholder participation activities.
- Financial and other resources required and available for implementation of all elements of the stakeholder participation plan, including resources that will be needed for ongoing costs such as for the functioning of multi-stakeholder bodies, and for feedback and grievance redress mechanisms.

### 1 4.3 Adopting an iterative approach to planning

2 It is a *key recommendation* to revise and improve the stakeholder participation plan iteratively after each  
3 phase of its implementation. Stakeholder participation should be an inclusive process conducted  
4 throughout the policy design and implementation cycle. An iterative approach to planning helps to  
5 increase the effectiveness of stakeholder participation and enable adaptive management. Through review  
6 and feedback, participants in the stakeholder participation process identify areas where improvement is  
7 needed and seek effective ways to make those improvements.

8 Adaptive management allows for uncertainty to be addressed by maintaining flexibility in planning by  
9 monitoring, evaluating and adjusting plans throughout the process. Iterative planning for adaptive  
10 management recognises that most initiatives go through changes: for example, the scope might expand  
11 or shrink, budgets or other resources might change, the timeline might change, the stakeholders might  
12 change and the tasks might present new challenges.

13 It is helpful to discuss and plan stakeholder participation in phases, for example revisiting the planning at  
14 the start of each stage of policy design and implementation. Conduct a meeting with representatives of  
15 the identified stakeholder groups at the start of each phase of the stakeholder participation process  
16 and/or stage of policy design and implementation to review the experiences of the prior phase or stage  
17 and consider new context for the stakeholder participation plan moving forward.

18

## 5. IDENTIFYING AND UNDERSTANDING STAKEHOLDERS

*Effective stakeholder participation involves identifying all types of stakeholders and understanding their differences across many dimensions, with special attention to those that may be marginalised.*

*Stakeholder mapping helps to understand the relative influence, impact or other characteristics of different stakeholder groups and to prioritise them with respect to different objectives and strategies for stakeholder participation.*

### Checklist of key recommendations

- Establish criteria for identifying stakeholders
- Establish a participatory process for identifying stakeholders and their legitimate representatives
- Follow a transparent and participatory process for understanding the interests, power and influence of different stakeholder groups, their stake in the policy and the way and extent to which they may be affected, as well as their expectations of the participation process
- Identify the opportunities and barriers affecting the participation of different stakeholders, particularly for women, indigenous peoples, youth and other groups that may be marginalised, and involve these stakeholders in identifying appropriate methods and approaches to enable their effective participation

### 5.1 Importance of identifying and understanding stakeholders

Identifying and understanding the full range of stakeholders relevant for the design, implementation and/or assessment of policies is important to:

- Identify all parties with an interest and/or stake in the policy who will be interested or have a right to participate.
- Build an understanding of the power and influence of the stakeholders and how they can influence the policy, to help harness their support and avoid risks caused by lack of stakeholder support.
- Promote inclusiveness and raise awareness among stakeholders about other stakeholders, and, in the case of divergent interests, the potential need to collaborate and compromise to find a solution that is fair to all parties.
- Enhance understanding of the extent to which stakeholders may be impacted positively or negatively by the policy, as a basis for revising the policy to reduce negative and enhance positive impacts.
- Understand the capacity of individuals and groups participating, and the incentives and obstacles to their participation so that appropriate methods to facilitate their participation can be adopted.

## 5.2 Criteria for stakeholder identification

It is a *key recommendation* to establish criteria for identifying stakeholders. The criteria should identify all individuals or groups who may:

- Be affected, either positively or negatively and directly or indirectly, by the implementation and associated impacts of the policy
- Directly affect the design, implementation and/or assessment of the policy either positively or negatively
- Have an interest in the policy, including those who bring expert knowledge into the process.<sup>15</sup>

Some stakeholders may be identified or may be marginalised through a country's policies, laws and regulations, which should be taken into consideration in developing criteria for the inclusion of stakeholders.

## 5.3 Methods for stakeholder identification

It is a *key recommendation* to establish a participatory process for identifying stakeholders. Stakeholders that are identified early in the process can help to identify further stakeholders and appropriate methods for their participation. It may be necessary to revisit stakeholder identification throughout the process as new information becomes available as the context for, or the details of, the policy change. All stakeholders who want to participate should be provided with equal opportunities throughout the process to participate and contribute to outcomes.<sup>16</sup>

Stakeholders can be identified, considered and selected using a combination of approaches including:

- **Experts:** Ask staff, government agencies, non-governmental organisations, local people, interested groups, or academics who have a lot of knowledge about the policy context
- **Self-selection:** Make announcements at meetings, in newspapers, on local radio or other media to invite stakeholders to come forward. This will attract those who believe they will gain from communicating their views
- **Other stakeholders:** Ask stakeholders to suggest other stakeholders who share their views and interests, as well as those who may have a different way of looking at the issues relevant to the policy
- **Written records and population data:** Use census and population data, which can provide useful information about the numbers of people by age, gender, religion and residence among others, including directories, organisational charts, surveys, reports or written records issued by local authorities, donor agencies, government bodies, experts, academics, non-governmental organisations, business and industry

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<sup>15</sup> Adapted from World Bank Group 2016

<sup>16</sup> Adapted from Forest Carbon Partnership Facility (FCPF) and UN-REDD Programme 2012

- 1 • **Oral or written accounts of major events:** Ask stakeholders to describe the major events in the
- 2 relevant to the policy context and the people who were involved in these events
- 3 • **Checklists:** Use or modify the checklists provided in Box 5.1 and Box 5.2<sup>17</sup>

4 *Box 5.1: Illustrative checklist for stakeholder identification*<sup>18</sup>

1. Individuals (such as company owners)
2. Families and households (such as long-term local residents)
3. Traditional groups (such as clans)
4. Community-based groups (such as self-interest organisations, neighbourhood associations, gender or age-based associations)
5. Local traditional authorities (such as a village council of elders, a traditional chief)
6. Political authorities recognised by national laws (such as elected representatives at the village, local or district levels)
7. Non-governmental bodies that link different communities (such as a council of village representatives, a district or local-level association of fishermen or natural resource management groups)
8. Local governance structures (administration, police, the judicial system)
9. Agencies with legal jurisdiction over natural resources, land and water
10. Local governmental services in areas such as education, health, environment, agriculture and forestry
11. Relevant non-governmental organisations at the local, national or international levels
12. Political party structures (at various levels)
13. Religious bodies (at various levels)
14. National interest organisations (such as workers' unions or people's associations, women groups)
15. National service organisations (non-governmental voluntary service clubs)
16. Voluntary cultural associations
17. Businesses and commercial enterprises (from local cooperatives to international corporations) and business associations
18. Universities and research organisations; technical or professional organisations or agencies
19. Local banks and credit institutions, and national banks
20. Government authorities at the district and regional levels

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<sup>17</sup> Adapted from Chevalier, Jacques M., and Buckles, Daniel J. 2008

<sup>18</sup> Adapted from Borrini-Feyerabend, G. and M. Brown 1997

21. National governments including ministries and agencies responsible for relevant sectors
22. Foreign aid or development cooperation agencies (government and non-government)
23. Staff and consultants of relevant projects and programs
24. International multilateral agencies (such as UNICEF, FAO, UNEP, UNDP)
25. Other international organisations (such as IUCN, WWF)

1 *Box 5.2: Checklist of questions to deepen stakeholder identification*

1. Are there specific communities, groups or individuals who may be affected by the policy or impact assessment? For example: Are there indigenous communities or nomads, or traditional resource users with customary rights in the national context? Are there recent arrivals? Non-residents? Absentee landlords? Are there local communities or non-profit organisations concerned with the issues?
2. Are there business people or industries (across a wide range of sectors) that might be negatively affected by the policy, impact assessment and other decisions? Who, including businesses, has invested in the economic activities that will be affected?
3. Are there research, development, conservation, mitigation or adaptation projects and programs to be considered? Are there employees (national and international) who will be affected by policy? Identify who among these people are active in or affected by the policy.
4. Who are the main traditional authorities in the jurisdiction who can speak about the implications of the policy – and about what is at stake? What are the respected institutions that people rely on?
5. Who has access to and/or uses the land, forest, air, water or other resources that are likely to be affected?
6. Which communities, groups and individuals are most dependent on or have a stake in the policy or impact assessment processes? Is this related to livelihood or economic activity?
7. Who is responsible for claims, including customary rights and legal jurisdiction, in the territory or area to be affected? Are there communities with historic and/or other types of acquired rights involved?
8. Which government agencies are officially responsible for the policy?
9. Are there national and/or international bodies involved because of specific laws or treaty obligations?
10. Which communities, groups or individuals are most knowledgeable about, and capable of dealing with, the issue and the policy? So far, who has a direct experience in managing them or facilitating their participation in managing them?
11. How does use of the resources change depending on the seasons, the geography and the interests of the users? Are there seasonal migration patterns? Are there major events or trends (such as development projects, land reforms, migration, disaster, natural increase or decrease in the population) affecting local communities and other interested parties?
12. Are there co-management projects around that people are familiar with? If so, to what extent are they succeeding? Who are their main partners? What experiences do people have with co-managing GHG mitigation initiatives or sustainable development initiatives?
13. Who are the legitimate representatives of these stakeholder groups?

## 5.4 Understanding stakeholder profiles and characteristics

It is a *key recommendation* to follow a transparent and participatory process for understanding the interests, power and influence of different stakeholder groups, their stake in the policy and the way and extent to which they may be affected, as well as their expectations of the participation process. An understanding of the different profiles and characteristics of stakeholder groups and individuals can be developed by systematically seeking to understand their relationship to the policy in terms of their:

- Knowledge of the issues related to the policy
- Existing relationship with the design, implementation and/or assessment of the policy (e.g., close or distant; formal or informal, level of support or opposition)
- How the policy affects them (e.g., positive or negative, direct or indirect)
- Perceived power and ability to advance or hinder the design, implementation and/or assessment of the policy and/or the participation processes
- Relationships with other stakeholders and interests
- Expectations of the participation
- Willingness to engage in the participation
- Type of organisation (e.g., civil society, government, consumer, producer, trader)
- Socio-cultural context
- Relationship to the geographical scale of the policy
- Capacity to engage in the participation (e.g., language barriers, information technology literacy, disability)
- Legitimacy, role in governance and representation mechanisms.<sup>19</sup>

## 5.5 Mapping to prioritise stakeholders and identify appropriate approaches for their participation

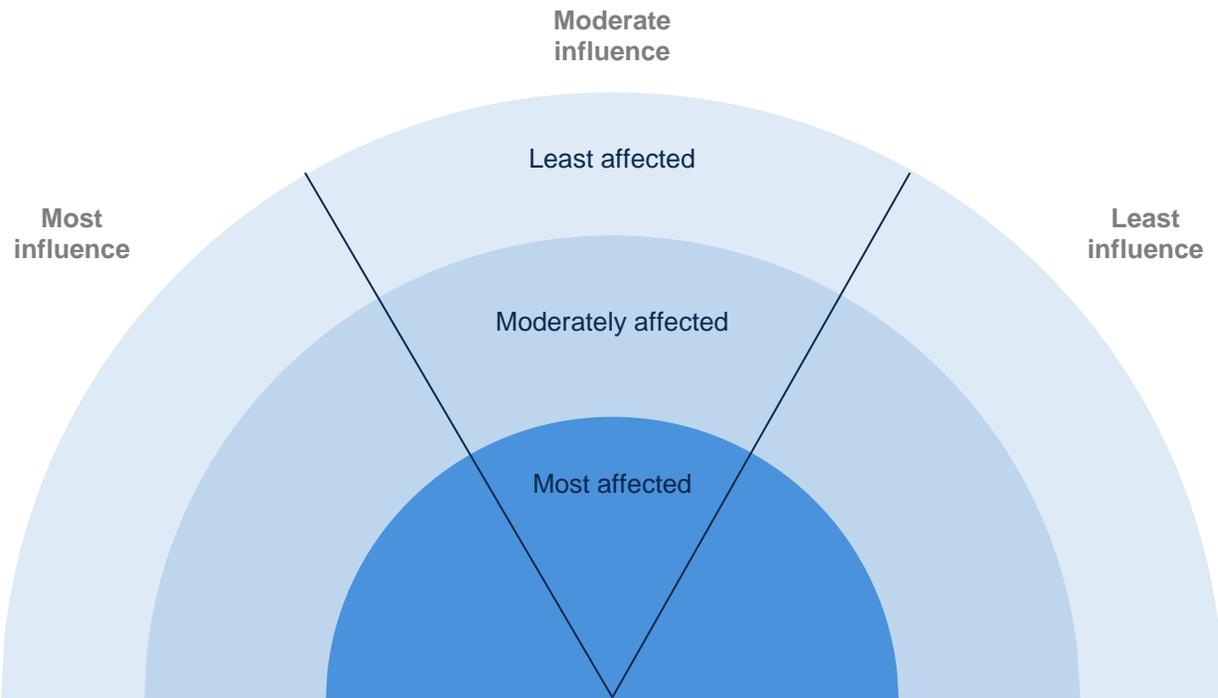
“Mapping” stakeholders helps to determine which groups and individual representatives are most important to engage with in relation to the purpose and scope of the participation (see Chapter 4 on identifying objectives). There are various methods for mapping stakeholders. Two common methods of stakeholder mapping, the “rainbow diagram” and the “stakeholder matrix”, are described below. Use the method that works best for the context.

The rainbow diagram (see Figure 5.1) is often used to understand the extent to which stakeholder groups are affected compared with the extent to which they are influential.

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<sup>19</sup> Adapted from AccountAbility 2015.

1 *Figure 5.1: Rainbow diagram*



2

3 *Source:* Adapted from Chevalier, J.M., and D.J. Buckles 2008.

4 This rainbow diagram can be adapted to understand any characteristics that describe the main  
 5 differences between the stakeholder groups. For example, the semicircles can be used to identify  
 6 stakeholder groups working at local, regional and national levels and the pie-shaped wedges can be used  
 7 to show the extent to which these groups are affected by the policy.

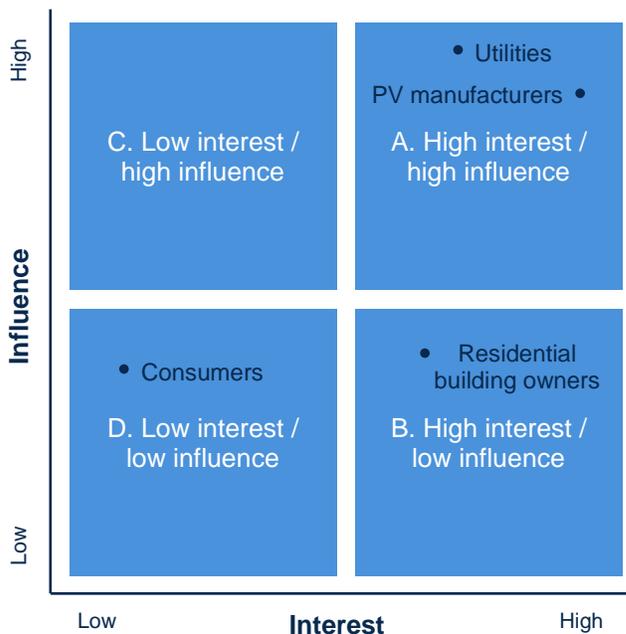
8 Mapping can be based on any of the criteria used in advance to characterise the stakeholders. Mapping  
 9 of stakeholders can be done using several criteria on one diagram or “map” - and may involve several  
 10 maps to gain better insight. For example, potential stakeholders’ level of influence (the pie shaped  
 11 wedges in Figure 5.1) can be mapped against their willingness or capacity to engage (in the semicircles),  
 12 or their knowledge of issues can be mapped against their expectations.

13 Similarly, a “stakeholder matrix” can also be used to map stakeholders by understanding the relationships  
 14 between the stakeholders and the policy (see Figure 5.2). The level of interest and influence of  
 15 stakeholders will depend on a range of issues such as the nature of the policy, the timing and extent of  
 16 their involvement and their ability to impact the outcomes.

17 Figure 5.2 illustrates how the stakeholders for a solar photovoltaic (PV) incentive policy might be mapped  
 18 on a stakeholder matrix. The stakeholders are mapped according to their level of interest in and level of  
 19 influence on the policy. The eligible sectors for this policy include residential (all types of residential  
 20 buildings), institutional (schools, health institutions), social sectors (community centres, welfare homes,  
 21 old age homes, orphanages, common service centres), commercial and industrial facilities. In the  
 22 stakeholder matrix below installation is focused on residential buildings, therefore the relevant  
 23 stakeholders might have the following levels of interest in and influence on the policy:

- 1 • **Residential building owners** are likely to have a high interest in and medium influence on the
- 2 policy given the potential payback they could receive from installing solar panels and the high
- 3 upfront cost of installation
- 4 • **PV manufacturers** may have both a high interest in and high influence on this policy given their
- 5 interest in selling their product and their role in producing the product in order for such a policy to
- 6 be implemented
- 7 • **Utilities** are likely to have a high interest in and a high influence on the policy due to their key role
- 8 in connecting the solar PV installation to the grid and their interest in maintaining their critical role
- 9 in the energy system.
- 10 • **Consumers** are likely to have a relatively low interest and low influence on the policy because
- 11 they are likely to continue consuming electricity from the grid regardless of the energy source
- 12 unless prices increase dramatically or the supply becomes unstable.

13 *Figure 5.2: Stakeholder matrix*



14  
15 *Source:* Adapted from Department of Education and Early Childhood Development 2011.

16 The following method can be used when completing a stakeholder matrix:

- 17 1. Make a list of stakeholder groups (see Section 5.2 on how to identify stakeholders)
- 18 2. Draw a set of two-by-two quadrants with one criterion increasing on the x-axis and the second
- 19 criterion increasing on the y-axis
- 20 3. Write the name of each stakeholder group on an index card or post-it note
- 21 4. Rank the stakeholders on a scale of one to five, according to the two criteria on the matrix, such
- 22 as ‘interest in the policy outcomes’ or ‘influence on the policy’
- 23 5. Consider the following:

- 1           • Are there any unexpected placements?
- 2           • Which stakeholders have the most and least opportunities to participate?
- 3           • Are there stakeholders for whom additional efforts should be made to ensure
- 4           engagement?

5 Boxes A, B and C in the matrix are the key stakeholders of the policy. The implications of each box are  
6 summarised below:

- 7           • **Box A:** These are stakeholders appearing to have a high degree of influence on the policy, who  
8           are important for its success, and who also have high interest in the policy. It is important to  
9           construct good working relationships with these stakeholders to ensure an effective coalition of  
10          support for the policy. Examples might be senior government officials, politicians or trade unions.
- 11          • **Box B:** These are stakeholders with high interest in the policy but with low influence. Their  
12          interests may need to be protected. An example may be marginalised groups such as indigenous  
13          peoples, youth or the elderly, who might be beneficiaries of the policy but who have little ‘voice’ in  
14          its development.
- 15          • **Box C:** These are stakeholders with high influence, who can therefore affect the policy outcomes,  
16          but whose interest in the policy is not high or not necessarily aligned with the overall goals of the  
17          policy. An example might be financial administrators who can exercise considerable discretion  
18          over funding. These stakeholders could be a barrier to success of the policy and may need  
19          specific monitoring and engagement.
- 20          • **Box D:** These are stakeholders with low interest in and low influence on the policy. Limited  
21          monitoring and engagement is needed for this group, though they should be kept informed.

22 The interest or influence of a stakeholder may change as the policy progresses. Therefore, it is important  
23 to reassess and identify new stakeholders and the level of stakeholder participation at each phase of  
24 implementation of the stakeholder participation plan as discussed in Chapter 4.

25 Setting clear criteria for mapping stakeholders helps to avoid being driven by non-strategic considerations  
26 such as the “noisiest” stakeholders, the short-term focus of the media, or the comfort zone of managers or  
27 government personnel.

28 Initial profiling and mapping can take place without the systematic involvement of stakeholders. However,  
29 as planning continues, identified stakeholder representatives should be involved in the stakeholder  
30 selection process and adjustments made based on their input.

### 31 Further references

32 For guidance on approaches to stakeholder analysis and mapping, see the following references:

- 33           • Better Evaluation’s *Stakeholder mapping and analysis* provides guidance on identifying  
34           stakeholders to inform data-collection and evaluation processes<sup>20</sup>

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<sup>20</sup> Available at: [http://betterevaluation.org/en/evaluation-options/mapping\\_stakeholders](http://betterevaluation.org/en/evaluation-options/mapping_stakeholders)

- 1 • Morphy's *Stakeholder Analysis* provides step by step guidance on how to analyse stakeholders  
2 by their influence and interest<sup>21</sup>
- 3 • Requirements Techniques' *Stakeholder Power/Interest Analysis* provides step by step guidance  
4 for using the stakeholder matrix to identify stakeholders<sup>22</sup>

## 5 5.6 Identifying legitimate stakeholder representatives

6 It is a *key recommendation* to establish a participatory process for identifying legitimate representatives of  
7 stakeholder groups. Stakeholder representatives are important to facilitate the participation of larger  
8 stakeholder groups, including disseminating information to and receiving information from the members of  
9 these groups.

10 When identifying stakeholder representatives, it is important to ensure that these individuals are indeed  
11 true representatives or advocates of the views of their constituents and can be relied upon to faithfully  
12 communicate information back to their constituents. Stakeholder representatives should have sustained  
13 interest and time to engage in the participation process and to communicate with their stakeholder group,  
14 as well as the capacity and resources to fulfil their role.

15 Based on agreed criteria, stakeholder groups should select their own representatives through a  
16 mechanism that they define based on their bylaws and/or norms. Provisions should be made to enable  
17 these representatives to share and receive information and to discuss issues with their constituencies to  
18 ensure effective participation.

19 One way to validate legitimacy of representatives is by talking directly to a sample of the stakeholders to  
20 assess how well or perhaps how inconsistently stakeholder views are being represented. Another way is  
21 to validate that stakeholders have indeed transparently selected their own representatives.

## 22 5.7 Enhancing opportunities and reducing barriers to stakeholder 23 participation

24 It is a *key recommendation* to identify the opportunities and barriers affecting the participation of different  
25 stakeholders, particularly for women, indigenous peoples, youth and other groups that may be  
26 marginalised, and involve these stakeholders in identifying appropriate methods and approaches to  
27 enable their effective participation. Barriers to participation can reduce the effectiveness of stakeholder  
28 participation. While it may not be possible to remove all barriers, it is important to make efforts to enhance  
29 participation of all stakeholders. Being respectful of differences and acknowledging that invisible barriers  
30 to communications exist is critical.

31 Identify opportunities to increase participation and reduce barriers to participation of each stakeholder  
32 group through initial profiling of stakeholder groups and ongoing adjustment in discussion with members  
33 of each stakeholder group. This includes knowing how information is best provided to each stakeholder  
34 group, their needs for timely and continuous capacity building, the most effective methods for conducting  
35 inclusive, socio-culturally and gender-sensitive consultations and the resources needed to facilitate their

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<sup>21</sup> Available at: <http://www.stakeholdermap.com/stakeholder-analysis.html>

<sup>22</sup> Available at: <https://requirementstechniques.wordpress.com/stakeholder-analysis/stakeholder-powerinterest-analysis/>

1 participation. Consult participants about what might prevent or hinder their participation, and what  
2 arrangements can be made for them to feel comfortable and to become involved.

3 Examples of barriers to participation and ways to address them include:

- 4 • **Information:** Stakeholders may not have adequate information, in an appropriate format and  
5 language, about the policy, the process or the substantive issues to participate effectively.  
6 Chapter 7 discusses how to provide information to various stakeholder groups based on their  
7 circumstances.
- 8 • **Capacity:** Stakeholders may not have the knowledge, understanding and skills, for effective  
9 participation either as an individual or as a representative. Education, training and public  
10 awareness may be needed to build the capacity of stakeholders in each group to participate  
11 effectively. Where experienced people and resources for capacity building are limited, supportive  
12 partnerships can sometimes be developed with national or international NGOs, universities,  
13 consulting companies, or bilateral or multilateral agencies.
- 14 • **Accessibility:** Stakeholders may lack access to technology (e.g., the internet), face certain social  
15 or cultural constraints or be in locations that are not conducive to participating in in-person  
16 meetings or written consultations, online or otherwise. To address such constraints, hold  
17 meetings at a time and location identified with the stakeholder groups, and use approaches and  
18 technologies with which they are familiar and can access easily. Identify socio-culturally  
19 appropriate and gender-sensitive approaches that provide a safe setting for women and men of  
20 all ethnicities and political affiliations to participate. For example, this may involve holding  
21 separate consultation meetings with women or other groups.
- 22 • **Financial and other resources:** Stakeholders may not have adequate resources to travel and  
23 participate in consultations. Support for transportation, accommodation and food may be  
24 necessary in order for certain groups to participate; however compensation in other ways,  
25 including cash payments such as daily sitting allowances or per diems should be considered  
26 cautiously as it could potentially influence, or be perceived to influence, stakeholders' input.
- 27 • **Timing:** The schedule should allow sufficient time for stakeholders to share information, provide  
28 or receive feedback or participate in consultations. Ensure that sufficient time is provided for  
29 effective stakeholder participation in the design, implementation and/or assessment processes.  
30 Chapter 4 discusses how to plan for stakeholder participation, including the timing for each  
31 element of effective participation.

32 Try to include representatives of all stakeholder groups equitably. This may require providing education  
33 and support to certain stakeholder groups in order to level the playing field across all groups. Use the  
34 stakeholder identification and mapping processes to determine the barriers faced by each group and then  
35 minimise the barriers as much as possible.

### 36 Further references

37 For methods aimed at increasing the participation of women, see the following references:

- 1 • UNFCCC's Gender and Climate Change – Resources – Capacity-building<sup>23</sup>
- 2 • European Institute's *Gender Equality and Climate Change Report*<sup>24</sup>
- 3 • Governance and Social Development Resource Centre's *Gender and Climate Change: Overview*
- 4 *Report*<sup>25</sup>
- 5 • UNDP's *Guidance Note Gender Sensitive REDD*<sup>26</sup>
- 6 • Global Landscapes Forum's *How to walk the talk: Promoting gender equality in national climate*
- 7 *policy and action*<sup>27</sup>

8 For methods aimed at overcoming barriers related to language and ethnicity, or based on the  
9 stakeholders' history, location and jurisdiction, see the following references:

- 10 • UNFCCC's *Report on good practices of stakeholder participation in implementing Article 6 of the*
- 11 *Convention*<sup>28</sup>
- 12 • OECD's *Encouraging Increased Climate Action by Non-Party Stakeholders*<sup>29</sup>

13 For methods aimed at overcoming barriers that can divide the stakeholders based on differentials in  
14 power, wealth, and access to resources refer to:

- 15 • Moser and Ekstrom's *A framework to diagnose barriers to climate change adaptation*<sup>30</sup>

16

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<sup>23</sup> Available at: [http://unfccc.int/gender\\_and\\_climate\\_change/items/9690.php](http://unfccc.int/gender_and_climate_change/items/9690.php)

<sup>24</sup> Available at: <http://eige.europa.eu/rdc/eige-publications/gender-equality-and-climate-change-report>

<sup>25</sup> Available at: <http://www.gsdr.org/go/display&type=Document&id=4305>

<sup>26</sup> Available at: <http://www.undp.org/content/undp/en/home/librarypage/womens-empowerment/guidance-note-gender-sensitive-redd-.html>

<sup>27</sup> Available at: <http://www.landscapes.org/glf-marrakesh/agenda-item/day-one/discussion-forum-3/how-to-walk-the-talk-promoting-gender-equality-in-national-climate-policy-and-action/>

<sup>28</sup> Available at: <http://unfccc.int/resource/docs/2014/sbi/eng/03.pdf>

<sup>29</sup> Available at: <https://www.oecd.org/environment/cc/Encouraging-Increased-Climate-Action-by-Non-Party-Stakeholders.pdf>

<sup>30</sup> Available at: <https://www.weadapt.org/sites/weadapt.org/files/legacy-new/knowledge-base/files/952/5241a63f0f66cpnas-2010-moser-1007887107.pdf>

## 6. ESTABLISHING MULTI-STAKEHOLDER BODIES

*A multi-stakeholder body or structure is a formal or informal regular gathering of people representing various constituencies, interests and stakes for the purpose of ensuring and enabling their participation, contribution and influence towards a goal or strategy. Multi-stakeholder bodies provide a forum for dialogue and mutual learning to inform decision-making.*

*Multi-stakeholder bodies are an important element of effective stakeholder participation in the design, implementation and assessment of policies and contribute to successful implementation of the stakeholder participation plan (see Chapter 4 for guidance on stakeholder participation plans). They are an important means for addressing ‘the how’ of stakeholder participation.*

### 10 Checklist of key recommendations

- Clearly define the mandate, objectives, role and scope of multi-stakeholder bodies
- Identify and strengthen existing multi-stakeholder bodies, or establish new ones where needed, that meet the needs and criteria to support effective stakeholder participation in the design, implementation and/or assessment of the policy
- Clearly define the composition of multi-stakeholder bodies to enable equitable and balanced representation and participation of all stakeholder groups, including those that may be marginalised
- Clearly define the procedures and decision-making process of multi-stakeholder bodies

### 11 6.1 Importance of multi-stakeholder bodies

12 Multi-stakeholder bodies are important to:

- 13 • Enable the organised and coordinated participation of various stakeholder groups in the design, 14 implementation and assessment of policies.
- 15 • Leverage the expertise and perspectives of different stakeholders.
- 16 • Enable joint and collaborative efforts to address an issue of common or divergent interests and 17 stakes, or an issue that crosses boundaries of expertise or sectors.
- 18 • Provide a mechanism for iterative exchange between and input from stakeholders over time, 19 facilitating reciprocal learning and feedback, communication and information sharing.
- 20 • Contribute to decision-making, either through an advisory or decision-making role, promoting 21 broader understanding and ownership of decision-making and enhancing the credibility and 22 legitimacy of decision-making.

### 23 6.2 Characteristics of multi-stakeholder bodies

24 Multi-stakeholder bodies can be formal or informal and can be institutionalised or ad hoc, as in the 25 following examples:

- 26 • **Formal and institutionalised:** A structured platform or working group, or commission that meets 27 virtually and/or physically. For example, a government may establish a commission, a working 28 group or a consultative group as a permanent body to address a critical public policy issue that

1 formulates recommendations or provides guidance for informed and evidence-based decision-  
2 making. Examples include the Civil Society Platforms established in many countries where  
3 REDD+ activities are being implemented (e.g., Cameroon, Mexico, Nepal, Ghana and  
4 Guatemala), and Civil Society Networks on Adaptation which are being helpful to shape the  
5 climate policy on adaptation in developing countries.

- 6 • **Informal and institutionalised:** A loose yet coordinated network of actors who have agreed to  
7 work together to exert influence or contribute to a collective agenda they have interest in. For  
8 example, during the early stage of the REDD+ readiness process, the government of Cameroon  
9 organised a series of multi-stakeholder meetings of the government, NGOs, research  
10 organisations, international organisations, donors and private sector organisations to reflect on  
11 and generate a common understanding to shape the direction of REDD+ in the country.  
12 Participation in this meeting was voluntary.
- 13 • **Formal and ad-hoc:** A body established to fulfil an objective for a limited period. For example, a  
14 government may establish a multi-stakeholder commission, a working group or a consultative  
15 group with a time-bound mandate to address a clearly identified set of issues that contributes to a  
16 broader public policy or climate agenda. Examples include ad hoc groups in charge of the  
17 elaboration of measurement, reporting and verification (MRV) methodology formulation of  
18 national REDD+ strategy or to formulate a proposal for legal and institutional frameworks for  
19 climate action.
- 20 • **Informal and ad-hoc:** A group that emerges to discuss and influence a particular issue. For  
21 example, in advance of the UNFCCC Conference of Parties hosted by the Peruvian Government  
22 in 2014, national civil society actors came together to form a united platform - Grupo Peru COP20  
23 – in order to develop common positions and coordinate collective advocacy around the  
24 negotiations. This loose civil society platform continues to collaborate and inform national climate  
25 policy today.

26 Multi-stakeholder bodies can have different advisory and/or decision-making roles, such as:

- 27 • Providing expert advisory inputs.
- 28 • Making informed recommendations integrating diverse stakeholder perspectives.
- 29 • Making decisions on behalf of or in collaboration with government.

30 Multi-stakeholder bodies can be structured in different ways to address multiple issues, including:

- 31 • A single multi-stakeholder body to cover the range of issues agreed, within which sub-working  
32 groups or sub-committees are created to handle thematic issues in contribution to the overall  
33 agenda of the multi-stakeholder body.
- 34 • Different multi-stakeholder groups to handle specific thematic issues separately.

35 Multi-stakeholder bodies can be established at different levels, including:

- 36 • Multi-stakeholder bodies established at national, subnational and local level considering the  
37 scope of the policy.
- 38 • Multi-stakeholder bodies established in a project or program specific area.

1 In terms of composition, multi-stakeholder bodies can aim to include:

- 2 • A balanced representation of all stakeholder groups.
- 3 • Only members from specific groups, such as constituency-based stakeholder bodies in which the
- 4 range of stakeholders whose interests or actions overlap with or impact the said constituency are
- 5 represented (e.g., a civil society platform).

### 6 6.3 Defining the mandate, objectives, role and scope for multi- 7 stakeholder bodies

8 It is a *key recommendation* to clearly define the mandate, objectives, role and scope of multi-stakeholder  
9 bodies. These should be established by the user and agreed among stakeholder representatives. This  
10 involves determining:

- 11 • The need for a multi-stakeholder body and its mandate or authority to carry out its role.
- 12 • Whether the multi-stakeholder body will function as a technical or advisory, or a decision-making,  
13 body.
- 14 • The level of authority, autonomy and independence of the multi-stakeholder body from political  
15 and other influential parties. This involves determining the entity which creates the body and to  
16 which it reports – whether the body will be attached to established institutional arrangements  
17 within the government or an agency created by the government, or will be created as a parallel  
18 independent structure or body that brings independent contributions.
- 19 • Whether there will be one or several multi-stakeholder bodies.
- 20 • Whether it is an ad hoc body created circumstantially to achieve some specific time-bound  
21 objective, or a body to function in longer term.
- 22 • The mechanisms through which the body will influence the policy.

23 Agreement among stakeholders on these key aspects could be sought through an existing appropriate  
24 multi-stakeholder body, through consultations with stakeholders and/or through establishment of a  
25 temporary advisory body (see Chapter 4 for guidance on planning), depending on the context.

26 It is a *key recommendation* to identify and strengthen existing multi-stakeholder bodies, or establish new  
27 ones where needed, that meet the needs and criteria to support effective stakeholder participation in the  
28 design, implementation and/or assessment of the policy. Creation of new multi-stakeholder bodies can  
29 lead to confusion and conflicts, in addition to needing time commitment from members and ongoing  
30 resources for their functioning, so it may be preferable to adapt existing bodies if they can adequately  
31 meet the identified needs and criteria.

### 32 6.4 Defining the composition and ensuring balanced representation and 33 participation

34 It is a *key recommendation* to clearly define the composition of multi-stakeholder bodies to enable  
35 equitable and balanced representation and participation of all stakeholder groups, including those that  
36 may be marginalised. Once the objectives, role and scope of the multi-stakeholder body are defined, the  
37 relevant stakeholders should be identified and the appropriate size of the group should be determined.

- 1 For decision-making groups, a maximum of 15-25 people is recommended, but platforms and networks  
2 established to share information may be much larger, depending on logistics and available resources.
- 3 Identify criteria for mapping and selecting stakeholder groups that will be represented on the multi-  
4 stakeholder body and the specific skill sets, attributes and qualifications to be demonstrated by those who  
5 will participate in the multi-stakeholder body on behalf of their constituencies in agreement with an  
6 existing appropriate multi-stakeholder body or through consultations with stakeholders. The method  
7 adopted for identifying the representatives is important as it affects their legitimacy, and the legitimacy of  
8 the multi-stakeholder body (see Chapter 5 for guidance on identifying legitimate representatives).
- 9 It is important to define the balance of the group including the number of participants that will come from  
10 different stakeholder groups and geographical regions in agreement with an existing appropriate multi-  
11 stakeholder body or through consultations with stakeholders. When seeking balanced and equitable  
12 representation on a multi-stakeholder body, ensure that all stakeholder groups that have been identified  
13 are represented (see Chapter 5 for guidance on identifying stakeholders), with special attention to  
14 ensuring equitable participation of marginalised people or groups.
- 15 Another measure to promote balanced and equitable representation and participation is to establish, as  
16 part of the overall stakeholder participation strategy, specific bodies to enable the engagement,  
17 participation and contribution of marginalised groups. Specific bodies may be established for women,  
18 indigenous peoples or local communities who might need to caucus separately in order to reflect and  
19 contribute on their own terms without being influenced by dominant stakeholders. While these specific  
20 bodies could channel their contributions through a broader multi-stakeholder body, space and  
21 mechanisms should be secured for them to directly interact and dialogue with key decision-making  
22 structures to ensure that their concerns and contributions are delivered without filtration.

## 23 6.5 Defining procedures and decision-making processes

24 It is a *key recommendation* to clearly define the procedures and decision-making process of multi-  
25 stakeholder bodies. It is important to ensure that the rules for decision making do not give dominant voice  
26 to the most powerful at the expense of marginalised people or groups.

27 Procedures, including housekeeping rules, for the functioning of the multi-stakeholder body should be  
28 designed and agreed by the members, including the following topics if relevant:

- 29 • Virtual or physical meetings, or both
- 30 • Venues, frequency and timing of meetings
- 31 • Procedures through which notes and outcomes of meetings will be captured, consolidated, stored  
32 and communicated through appropriate channels
- 33 • Procedures to ensure that every member speaks and that the contribution of everyone is  
34 registered and considered
- 35 • The governance structure of the multi-stakeholder body and appointment of key positions such as  
36 chairperson and secretariat, preferably through elections or self-selection
- 37 • A procedure for decision-making for the objectives and mandate of the multi-stakeholder body

- 1 • Conflict management mechanisms to handle disputes, conflict of interest and conflicts related to  
2 the body.

3 Rules and procedures should take into account budgetary constraints and the policies and procedures of  
4 the entity responsible for the policy. They should be made available to the public.

5 The decision-making mechanism should be fair, so that no single stakeholder group can dominate and no  
6 stakeholder group can be marginalised. Options include:

- 7 • **Consensus:** a decision is reached when no member has a sustained objection (i.e., all members  
8 are willing to 'live with' the decision) provided the right conditions have been created for people to  
9 express themselves without fear and to register their objections. This approach takes into account  
10 the views of all members but may lead to less ambitious solution. It may also take time or may  
11 even be impossible to achieve. Where bodies aim to make decisions based on consensus, they  
12 should define and agree on an alternative decision-making mechanism at the start of the process,  
13 in case consensus cannot be achieved.
- 14 • **Majority voting:** a decision is reached when a pre-defined proportion (e.g., 50% or 70%) of the  
15 members are in favour. This approach may ignore the views of minority and marginalised groups  
16 and lead their frustration.
- 17 • **Voting by sectors or constituencies:** the members are organised by sector or constituency into  
18 chambers, or other groupings. For a decision to be approved, a defined proportion of all  
19 chambers must be in favour (e.g., 60% or 75%) plus a defined threshold (e.g., 51%) of the  
20 members within each chamber. This approach ensures that decisions cannot be made unless a  
21 majority in each sector agrees. It can be effective in building trust by reassuring stakeholder  
22 groups that their voice will be heard or, in the case of government, that they will not lose complete  
23 control.

## 24 6.6 Setting a plan and agenda for the multi-stakeholder body

25 The multi-stakeholder body should agree on the expected results, outputs or deliverables, and the plans  
26 for achieving them with clearly agreed milestones. The plan should clarify roles and responsibilities, the  
27 frequency and purpose of meetings, and any preparatory work. Without a clear plan and agendas for  
28 each meeting, the multi-stakeholder body may be prone to free riding, power games, and manipulation by  
29 more powerful members.

## 30 6.7 Supporting the function of the multi-stakeholder body

31 Procedures need to be established and followed to ensure that the body functions effectively. These  
32 include:

- 33 • **Transparency measures:** ensuring that plans for and reports of meetings and other activities of  
34 the body are disclosed publicly
- 35 • **Communication mechanisms:** ensuring effective and timely communication with and among  
36 members, and between members and their constituents, using appropriate channels and forms
- 37 • **Facilitation:** ensuring balanced and inclusive participation, focus on meeting objectives and good  
38 time management

- 1 • **Documenting and reporting:** ensuring that key points, recommendations and decisions are  
2 accurately and impartially captured.

3 Depending on the defined mandate of the multi-stakeholder body which may be advisory or deliberative, it  
4 is essential to clearly establish and agree on mechanisms through which the outputs and decisions of the  
5 multi-stakeholder body will be extended to other authorities and venues of decision making related to the  
6 policy. Failure to have a well-established and functioning outreach and communications pathways may  
7 result in the multi-stakeholder body not achieving its intended role and influence on the design,  
8 implementation and/or assessment of the policy.

9 It is critical to identify and ensure availability of ongoing resources, financial and otherwise, that are  
10 needed for the functioning of the various multi-stakeholder bodies being established and for effective  
11 delivery of their contribution and participation. This may include support to members with financial or  
12 logistical difficulties to participate (e.g., transportation from and back to remote areas, translation to  
13 languages that are the most understood by different stakeholder groups, and accommodation support  
14 during meeting periods for participants coming from distant areas).

#### 15 Further references

16 For guidance on creating an effective multi-stakeholder body, see the following reference:

- 17 • AccountAbility and Utopies' Critical Friends: *The Emerging Role of Stakeholder Panels in*  
18 *Corporate Governance, Reporting and Assurance*<sup>31</sup>

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<sup>31</sup> Available at: [http://www.stakeholderpanels.net/StakeholderPanels\\_report.pdf](http://www.stakeholderpanels.net/StakeholderPanels_report.pdf)

## 1 7. PROVIDING INFORMATION TO STAKEHOLDERS

2 *Providing information involves active dissemination to stakeholders and public disclosure of information.*  
 3 *Stakeholders need information to be able to participate effectively to support policy design,*  
 4 *implementation and assessment. Effective participation requires an understanding of the issues based on*  
 5 *good information. Informed stakeholders provide richer and more effective input. The objectives and*  
 6 *benefits of stakeholder participation cannot be achieved without providing sufficient relevant information.*

### 7 Checklist of key recommendations

- Disseminate information to stakeholders and ensure that the information is timely, relevant and comprehensive, including information about potential and actual impacts as well as opportunities to participate
- Tailor the content as well as the format and the way that information is provided to ensure that it is understandable and accessible for each stakeholder group, based on consultations with them
- Publicly disclose information about policies, unless there is a legitimate reason to keep some information confidential, following an established policy on disclosure of information

### 8 7.1 Importance of providing information to stakeholders

9 Stakeholders need information about how they may be or are affected by a policy, especially where the  
 10 policy may affect their rights, for example with respect to their security or their livelihoods. Providing  
 11 information to stakeholders about how they may be affected is often required by national law, for example  
 12 through regulations on social impact assessment, by donor policies, and by international treaties,  
 13 conventions and agreements that the country is party to. Stakeholders also need other kinds of  
 14 information in order to participate effectively, including clarification about their expected role in designing,  
 15 implementing and assessing policies and about the options and mechanisms for influencing the policies.

16 In the case of government policies, all members of the public are stakeholders so information about the  
 17 policies and their impacts should be publicly disclosed. National laws and donor policies often require  
 18 public disclosure of many types of information. In addition, public reporting on stakeholder participation,  
 19 showing the scope and breadth of outreach demonstrates transparency and helps to build public support  
 20 for policies.

### 21 7.2 Providing information to stakeholders

22 It is a *key recommendation* to disseminate information to stakeholders and ensure that the information is  
 23 timely, relevant and comprehensive, including information about potential and actual impacts as well as  
 24 opportunities to participate.

#### 25 Timely

26 Stakeholders need information in advance to participate effectively. Sufficient time is needed between the  
 27 provision of information and the occasion of participation (such as a public consultation or a meeting of a  
 28 multi-stakeholder body) to give participants time to think about the issues, consider the options and trade-  
 29 offs, and to discuss these with others. In addition, stakeholders need information in advance about how

1 they can participate so that they can plan their participation and contribution. Optimal timing varies with  
2 the specific circumstances.

3 In addition to information provided in advance of a specific opportunity to participate, it is important to  
4 provide information to stakeholders consistently throughout the policy design and implementation cycle,  
5 for example providing feedback to stakeholders after consultations and providing updates on progress or  
6 changes in plans and processes. To this end, it is important to establish mechanisms for ongoing  
7 communication with stakeholders.

## 8 Relevant

9 The information provided needs to prepare stakeholders for participating effectively. It is important that  
10 information provided is objective, unbiased and impartial, with an explanation of any uncertainties and  
11 different views. Stakeholders are likely to appreciate information that is linked to concerns they have  
12 voiced, for example on how the policy is projected to impact air quality, public health, jobs, and other  
13 relevant sustainable development impact categories (see ICAT *Sustainable Development Guidance* for  
14 further information about impact categories).

## 15 Comprehensive

16 It is important that information provided covers all relevant topics including, but not limited to:

- 17 • Processes for design, implementation and assessment of the policy
- 18 • Description of the policy including<sup>32</sup>:
  - 19 ○ Title of the policy
  - 20 ○ Type of policy
  - 21 ○ Description of specific interventions
  - 22 ○ Status of the policy
  - 23 ○ Date of implementation
  - 24 ○ Date of completion (if relevant)
  - 25 ○ Implementing entity or entities
  - 26 ○ Objectives and intended impacts or benefits of the policy
  - 27 ○ Level of the policy
  - 28 ○ Geographic coverage
  - 29 ○ Sectors targeted
  - 30 ○ Other related policies
  - 31 ○ Additional information that may be relevant to describe the policy such as activities,  
32 timeline and budget

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<sup>32</sup> Refer to the ICAT impact assessment guidance documents for the complete checklist of recommended information to understand and describe the policy.

- 1 • Key questions or issues to be addressed by the policy, including studies undertaken to inform the  
2 design, implementation and assessment of the policy
- 3 • GHG, sustainable development and transformational impacts that are expected to be (1) relevant  
4 and (2) significantly affected by the policy (either positively or negatively) if known, including  
5 impacts for different stakeholder groups
- 6 • Changes or adaptations to plans, processes and impacts throughout the policy design and  
7 implementation cycle
- 8 • Governance structures and procedures for decision making and oversight related to the policy,  
9 and reports on implementation of these procedures
- 10 • Mechanisms to participate in policy design, implementation and/or assessment
- 11 • Mechanisms to ask questions and request information, and how to access them
- 12 • Grievance and redress mechanisms and how to access and use them
- 13 • Plans for stakeholder participation and opportunities to participate
- 14 • How stakeholder input will be used, and later how it was used
- 15 • Relations to other existing or planned policies.

### 16 7.3 Providing information that is accessible and tailored for each 17 stakeholder group

18 It is a *key recommendation* to tailor the content as well as the format and the way that information is  
19 provided to ensure that it is understandable and accessible for each stakeholder group, based on  
20 consultations with them. Stakeholders need to understand the information that is provided. It is important  
21 to provide it in a form appropriate to each stakeholder group, using language and terminology that they  
22 understand and using communication media already known and used by them. It may be necessary to  
23 provide information in different formats tailored for different stakeholder groups. For example, a less  
24 technical summary can be prepared for stakeholders who do not have sufficient technical knowledge and  
25 information can be prepared taking into account socio-cultural, including gender, sensitivities.

26 Information has not been provided effectively if it is not reaching the stakeholders. This means that efforts  
27 are needed to actively disseminate information to ensure that stakeholders receive it. Information can be  
28 made accessible to stakeholders through mechanisms they use such as the internet, radio and posting in  
29 public places. More active forms of sharing information can also be considered including emails, direct  
30 mail, newsprint and broadcast media, public meetings, social media, gatherings of specific stakeholder  
31 sub-groups, and through leaders.

32 It is important that relevant information is made accessible to members of all stakeholder groups using  
33 tailored dissemination strategies, including strategies tailored for women, local communities and others  
34 who may have less access to information. It is helpful to consult stakeholders to identify what information  
35 they need, when and how to enable their effective participation. Communication mechanisms can use  
36 and build on existing communication channels that have proved effective in the past.

1 It is important to ensure that information is not just provided and accessible to those stakeholders who  
2 participated in the past, for example by distributing information by email only to the participants in  
3 previous meetings.

4 Information on policies may be sensitive and have the potential to cause conflicts (e.g., information  
5 related to land acquisition or significant impacts on resource tenure, environment and health). Users  
6 should identify potentially sensitive information and consider an appropriate strategy for dissemination,  
7 such as through meetings where clarifications can be provided immediately. Restrictions may be placed  
8 on how information can be further disclosed by stakeholders, for example through a confidentiality  
9 agreement. However, consider any potential tensions and conflicts they may cause and any legal  
10 implications before imposing any restrictions on sharing of information.

## 11 7.4 Responding to questions and requests for information

12 It is important to ensure that there is an accessible and effective mechanism to receive questions and  
13 provide responses, including requests for further information. Procedures need to be established and  
14 published about how to ask questions and request information, how requests will be responded to within  
15 what time frame, and what information can be requested based on the existing practices and rights to  
16 information law at national and international level. Ensure that stakeholders are made aware of, and know  
17 how to use, information request mechanisms. (See Chapter 8 for guidance on mechanisms for ongoing  
18 consultations and Chapter 9 for guidance on grievance and redress mechanisms).

## 19 7.5 Disclosure of information

20 It is a *key recommendation* to publicly disclose information about policies, unless there is a legitimate  
21 reason to keep some information confidential, following an established policy on disclosure of information.  
22 In addition to active dissemination of information to stakeholders, it is important to establish a policy and  
23 strategy for passive disclosure of information, at least meeting any national, international, donor or other  
24 legal requirements, noting that right to information laws exist in many countries. In general, information  
25 should be disclosed unless there is a legitimate reason not to. Information can be disclosed on a  
26 government website with dedicated space for information on the policy, and other forms of disclosure may  
27 be appropriate and/or required depending on the context.

## 28 Further references

29 For guidance on providing information to stakeholders, see the following references:

- 30 • World Bank's *Environmental and social framework: setting standards for sustainable*  
31 *development* (ESS10)<sup>33</sup>
- 32 • UNECE's *Convention on access to information, public participation in decision-making and*  
33 *access to justice in environmental matters*<sup>34</sup>

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<sup>33</sup> Available at: <http://documents.worldbank.org/curated/en/311951468331802393/Environmental-and-social-framework-setting-standards-for-sustainable-development>

<sup>34</sup> Available at: <http://ec.europa.eu/environment/aarhus/>

- 1 • UNEP's *Putting Rio Principle 10 into action: an implementation guide for the UNEP Bali*
- 2 *Guidelines*<sup>35</sup>

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<sup>35</sup> Available at: <http://staging.unep.org/civil-society/Portals/24105/documents/BaliGuidelines/Draft%20Implementation%20Guide%20Bali%20Guidelines%20for%20public%20commenting%2020150513.pdf>

## 8. DESIGNING AND CONDUCTING CONSULTATIONS

Consultations are processes that enable exchange of information between stakeholders (including between government and other stakeholders), including providing information and capacity building to stakeholders and enabling diverse stakeholders to provide input reflecting their needs and interests related to the policy that is the subject of the consultation.

### Checklist of key recommendations

- Identify and use socially and culturally appropriate and gender-sensitive consultation methods that enable effective consultation of different stakeholder groups, including those that may be marginalised
- Conduct consultations with diverse stakeholder groups to support the design, implementation and/or assessment of the policy
- Share with stakeholders a synopsis of the input received during consultations and how the input was taken into account

### 8.1 Importance of consultations

Consultations are important to:

- Obtain input from stakeholders about policy design, implementation and assessment.
- Provide information to stakeholders and raise their awareness about the policy.
- Enable exchange of knowledge and understanding between different stakeholders including with the users.
- Provide an opportunity for capacity building to help stakeholders to participate more effectively.

Consultations can help to:

- Improve outcomes by taking account of stakeholders' input at relevant decision points.
- Review, identify and prioritise different options and approaches including helping to identify those that optimise benefits across diverse stakeholder groups.
- Capture stakeholder feedback on what is working well and where issues arise.
- Contribute to transparency.
- Build trust, common understanding and legitimacy by providing stakeholders with an avenue to input and have their views and concerns taken on board.

### 8.2 Methods for conducting consultations

It is a *key recommendation* to identify and use socially and culturally appropriate and gender-sensitive consultation methods that enable effective consultation of different stakeholder groups, including those that may be marginalised. When designing and planning consultations, various consultation approaches can be considered, including those listed in Table 8.1. Different methods can be used together in a

- 1 complementary way. Use of electronic media and the internet can be relatively low cost while reaching a
- 2 large number of stakeholders. However, it is important to assess the extent to which access to the
- 3 internet may be limited for some stakeholders and consider using electronic methods as a tool
- 4 complementing other consultation methods.

5 *Table 8.1: Consultation methods*

<b>Public meetings</b>	An open, accessible method of consulting with the public. Depending on the scale of the issue under consultation, they can take place at any level (e.g., national, subnational, local). Ensure they are accessible and adequate notice is given to enable interested stakeholders to participate. Meeting size affects participation. Groups of fewer than twenty people provide greater opportunities for everyone to speak. Breaking out into smaller groups and using participatory methods (e.g., asking participants to provide input on cards, then grouping the cards into issues and getting their input on ranking the issues) can help to capture all viewpoints.
<b>Workshops</b>	Gathering a group of stakeholders to gain their feedback in a structured format. They enable different stakeholders to discuss and exchange views on specific topics, often adopting a face-to-face format which allows for brainstorming and testing ideas. A series of workshops can be more effective than a single workshop. Different workshop types can be adopted (e.g., open space discussions which lack an initial agenda and emphasise self-organisation, write shops where groups of stakeholders develop written documents together and round table discussions). Facilitation is important, and a skilled neutral individual can help to ensure that group rules are clear, views are taken seriously, and no one participant dominates.
<b>Focus group discussions</b>	Semi-structured discussions with a small group, generally from similar backgrounds (generally 5–12 participants plus 1–2 skilled facilitators). Open discussions explore people’s attitudes, concerns and preferences toward a specific issue, with the range of viewpoints collated at the end. Community members not used to formal meetings may feel more comfortable expressing themselves in a focus group discussion (e.g., women, ethnic minorities, or disadvantaged castes; the disabled; or poor individuals and households). Focus groups generally last about two hours and the discussions among participants are guided by a skilled facilitator.
<b>In-depth interviews</b>	Face-to-face or virtual interviews with individual stakeholders that can be used to get a sense of stakeholders’ perspectives. They can be structured (formal, and closely following a written interview guide), semi-structured (partially directed by an interview guide, but open and conversational to allow interviewees to introduce other topics of interest), or unstructured (organised around a few general questions or topics, but informal and open-ended). Structured interviews are likely to yield information that can be compared and generalised, while less structured ones can explore an issue in depth and permit related issues to be introduced into the discussion. Interviews with key informants possessing particular knowledge of an issue can be especially useful.
<b>Stakeholder assessments</b>	Systematic consultation with stakeholders to help identify and design climate policy, signal any potential constraints to their participation, and obtain feedback on reactions to an intervention during implementation. This assessment is an investigation of the perceptions of a systematic sample of beneficiaries and other stakeholders to ensure that their concerns are heard and incorporated into policy formulation.
<b>Expert elicitation</b>	A protocol for consulting with experts including a process for helping experts understand the elicitation process, avoiding biases, and producing independent

	and reliable judgments. Expert elicitation can help to avoid bias when expert judgments are needed for assessments. Refer to the 2006 <i>IPCC Guidelines for National Greenhouse Gas Inventories</i> Chapter 2 Approaches to Data Collection for an expert elicitation protocol. <sup>36</sup>
<b>Surveys</b>	A sequence of focused, predetermined questions in a fixed order, often using closed questions with predetermined, limited options for responses. Surveys can be useful to identify problems or objectives, narrow the focus or clarify the objectives of the policy, plan strategies for implementation, and monitor or evaluate participation. Surveys can be conducted through interviews or by requesting written responses either online or on paper.
<b>Written consultations</b>	Typically involve using a consultation web page or printed sheet to introduce the policy and to solicit written input. A draft document, broad topics, or open-ended questions can be used to solicit comments, with more freedom to submit personalised responses than a survey). The call for written comments can be made to specific stakeholders or to the public. Define a deadline for receiving comments, ensuring that this allows sufficient time for stakeholders to be made aware of the invitation for comments and to provide the comments. Identify appropriate methods to solicit comments (e.g., email, letter or phone) and for submission of comments (e.g., online, email, mail or hand delivery to an office or a box in a public place). Provide an explanation to stakeholders about how their input will be shared and used. For example, a synthesis of the comments and responses can be posted bi-weekly on the internet or a summary can be published at the end of the consultation. Publication of comments during the consultation enables further reactions from stakeholders. Social media can also be used. Online consultation enables open public consultation, but has limitations as it only reaches those who are literate and have internet access, and therefore may not reach marginalised stakeholders.
<b>Electronic discussion (e-discussions)</b>	Enable stakeholders to provide input in response to input from other stakeholders through an electronic medium. E-discussions can be moderated discussions on specific topics (e.g., comments on a draft document). They can be held through an electronic mailing list (e.g., a list-serve), on a website where comments from other stakeholders are posted (e.g., in response to a blog or other information posted on the web) or via social media (e.g., Twitter or Facebook). The advantages of these discussions include lower costs and the ability to reach larger audiences. The disadvantage is that access to the internet may be limited for some stakeholders. Thus, electronic means are best used as a tool complementing other consultation methods, such as face-to-face interviews or other events. To be a successful complement to other consultation tools, ensure that online deliberations are competently and constructively moderated.

- 1 Some consultation methods use a facilitator to guide the discussion. Box 8.1 describes the role of a
- 2 facilitator in consultations as well as the characteristics users can look for when identifying a facilitator.

<sup>36</sup> Available at: <http://www.ipcc-nggip.iges.or.jp/public/2006gl/index.htm>

1 *Box 8.1: Role and characteristics of a facilitator*

**Meeting or workshop facilitator role:**

- Helps develop the agenda before the meeting
- Helps users determine or adjust the objective and achieve desired results
- Helps participants understand how this meeting will contribute to the broader stakeholder participation process for the policy and how the outputs will be used
- Remains neutral and does not provide personal views on content
- Creates a safe and encouraging environment for open discussion
- Seeks appropriate participation from all participants
- Ensures that everyone has an opportunity to speak and that their views are respected
- Keeps groups focused on desired outcomes
- Guides the process and makes suggestions for alternatives
- Makes sure the note taker captures all valuable information
- Designates someone to keep track of time and helps to stay on time

**Characteristics of a good facilitator are:**

- Familiarity with the subject
- Understanding of the whole (stakeholder participation) process
- Neutral to the topic of discussion
- Good reputation and trust with all participating stakeholders including the target stakeholders and the entity sponsoring consultations, often including both civil society and government
- Ability to engage the audience, encourage participation and to keep people's attention and the discussion moving
- Ability to level unbalanced interactions, especially when differences exist among the powerful and powerless stakeholders
- Ability to guide and listen

2 Further references

3 For guidance on consultation methods, see the following references:

- 4 • UNECE's *Tool #50: Stakeholder Consultation Tools*<sup>37</sup>
- 5 • Department of Education and Early Childhood Development's *Stakeholder Engagement*
- 6 *Framework*<sup>38</sup>

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<sup>37</sup> Available at: [http://ec.europa.eu/smart-regulation/guidelines/tool\\_50\\_en.htm](http://ec.europa.eu/smart-regulation/guidelines/tool_50_en.htm)

## 1 8.3 Planning consultations

2 It is a *key recommendation* to conduct consultations with diverse stakeholder groups to support the  
 3 design, implementation and/or assessment of the policy. Consultation is not a one-off event but a  
 4 dynamic, ongoing process that can involve several objectives, target groups and methods at different  
 5 times. Plan consultations carefully as part of the overall planning for stakeholder participation and include  
 6 them in the stakeholder participation plan explained in Chapter 4. Share the plans for consultations with  
 7 stakeholders in advance to allow them to prepare well and to select the consultations they want to  
 8 participate in.

9 When planning consultations:

10 **Set clear objectives for consultations** by conferring with internal and external groups with knowledge of  
 11 the policy and the implementation context and area. Define the scope of consultations by identifying and  
 12 prioritising issues for consultation, defining clearly from the start what is and is not under consideration.

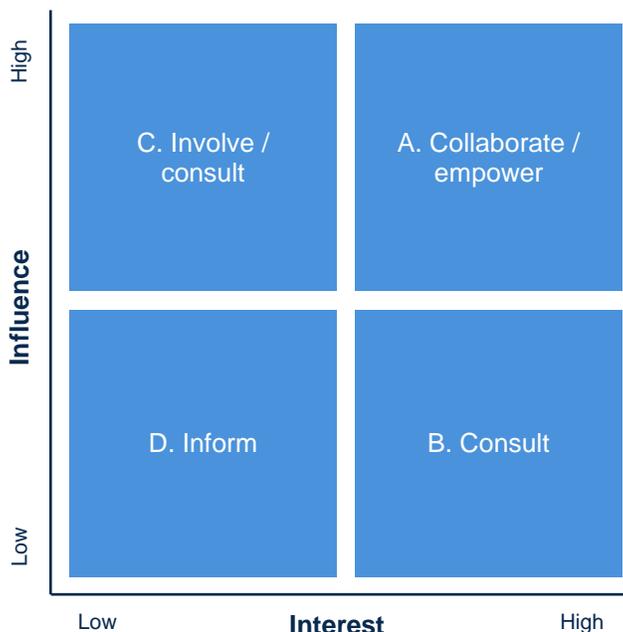
13 **Identify appropriate stakeholder groups** for the subject of the consultations (see Chapter 5 for  
 14 guidance on identifying and mapping stakeholders to identify the groups that are most affected or have  
 15 greatest influence on a policy). For example, ensure that stakeholder groups potentially affected by the  
 16 policy have an opportunity to raise concerns about potential negative impacts, express desired outcomes  
 17 and provide input on the policy design including the theory of change, both before the program design is  
 18 finalised and during implementation and assessment.

19 **Adapt consultation methods for the identified stakeholder groups.** Select the most appropriate  
 20 consultation methods (e.g., written consultations, in-person events or internet-based methods)  
 21 considering the scale and impact of the respective initiative (e.g., a large-scale initiative with a broad  
 22 impact requires input from a wider range of stakeholders than a more technical policy measure), the  
 23 appropriate level of interaction for the stakeholders and for the topic, factors affecting accessibility (e.g.,  
 24 language and disability) and timing requirements. The type of consultation should be proportionate to the  
 25 scale and impact of the respective initiative. A large-scale initiative with a broad impact will require input  
 26 from a wider range of stakeholders. A more technical policy will merit a more targeted approach.  
 27 Stakeholder mapping (see Chapter 5 for guidance on stakeholder mapping) that helps users understand  
 28 stakeholders based on level of influence and interest can help users to determine the most appropriate  
 29 methods for consultations. Figure 8.1 provides examples of methods for providing information and  
 30 conducting consultation that are likely to be appropriate for stakeholders with different levels of influence  
 31 and interest with respect to a policy.

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<sup>38</sup> Available at: <https://www.eduweb.vic.gov.au/edulibrary/public/commrel/policy/oct2011stakeholderengagement.pdf>

1 *Figure 8.1: Stakeholder matrix*



2

3 *Source:* Adapted from Department of Education and Early Childhood Development 2011.

4 **Conduct stakeholder consultations at each relevant stage of policy design and implementation.**

5 The most appropriate type, level and methods of stakeholder consultation depend on the type of  
 6 stakeholders and their relative level of interest and influence (see Box 8.1 and also Section 5.5 for  
 7 guidance on mapping stakeholders using this kind of matrix). They also depend on the stage of policy  
 8 design, implementation and assessment. For example, the following types of consultation can be helpful  
 9 at the following stages of policy design and implementation:

- 10 • **Before policy implementation** to establish the need and/or opportunity for the policy, to  
 11 research possible policy responses and to identify workable solutions by reviewing a range of  
 12 policy options, including consultations on:
  - 13 ○ Issues and problems that a policy could address and setting objectives.
  - 14 ○ Possible policy responses and associated challenges and opportunities.
  - 15 ○ Potential policy options and the detail of proposals, for example with respect to feasibility,  
 16 effectiveness and/or potential impacts.
- 17 • **During policy implementation** to develop plans for implementation of the policy and to optimise  
 18 stakeholder participation in implementation, including consultations on:
  - 19 ○ Plans for implementation with respect to efficiency, effectiveness and equity in meeting  
 20 policy objectives, on ways that stakeholders can participate in implementation and on  
 21 policy outcomes, results and impacts including ways to address negative and enhance  
 22 positive outcomes.

- 1 • **After policy implementation** to evaluate efficiency, effectiveness and equity with respect to  
2 achieving policy objectives and to provide feedback for improvements to policy design and  
3 implementation, including consultations on:
  - 4 ○ Methods for, and the findings of, monitoring (i.e., the assessed impacts of the policy) and  
5 technical review, including on ways for stakeholders to participate.
  - 6 ○ Ways that findings from monitoring and technical review can feed back to improve  
7 design, implementation and assessment of the policy.
  - 8 ○ Lessons learned about the process followed for the design, implementation and  
9 assessment of the policy, including on stakeholder participation.

10 **Use several complementary consultation methods** to obtain varied input from different stakeholders at  
11 different times using the most appropriate approaches.

12 **Share and validate the plans for consultation** prior to commencing consultations by using the most  
13 adapted media for the target stakeholder groups, using feedback from stakeholders to improve the  
14 planning. See Chapter 4 for guidance on planning and Chapter 7 for guidance on announcing and  
15 communicating consultations.

16 **Assess effectiveness of past consultations and revise plans for future consultations** through a  
17 participatory evaluation and planning process conducted with stakeholder representatives.

## 18 8.4 Conducting consultations

19 Conducting an inclusive and equitable consultation process is essential to ensure effective participation  
20 and the contribution of marginalised groups.

21 Conduct consultations at mutually agreed locations and through representatives who are designated by  
22 the stakeholder groups in accordance with their own procedures (see Chapter 5 for guidance on  
23 identifying legitimate stakeholder representatives). Different approaches can be appropriate for different  
24 stakeholder groups.

25 One of the guiding principles of consultation processes is inclusive engagement with stakeholders who  
26 are difficult to reach or have limited access. Priority stakeholders need to be targeted but may be more  
27 marginalised and harder to consult with, especially for certain sectors such as water, agriculture and  
28 forestry. Inclusive consultation requires informing and engaging broadly with the communities and other  
29 stakeholders using socially and culturally appropriate methods to enable them to have meaningful  
30 influence on the subject of consultation. These could include indigenous peoples and culturally and  
31 linguistically diverse communities. Conduct consultation in a way that is gender and inter-generationally  
32 sensitive.

33 Where consultations involve group discussions, for example in workshops, solicit assistance from experts  
34 who are skilled at managing group dynamics. In addition to a facilitator, a note taker or rapporteur is  
35 helpful to record key points. Often, a rapporteur does not need to keep detailed minutes but can capture  
36 the progress of the discussion, themes, points, issues and areas of substantial agreement or  
37 disagreement. It can help to video or audiotape the proceedings. Summarise commitments and next  
38 steps at the end of the meeting.

1 Skills training or learning activities can be helpful for organisers and participants of consultations, for  
2 example through conducting multi-stakeholder consultation training courses events to enhance  
3 knowledge on the topics and skills on conducting consultations.

4 The findings from consultations need to be analysed, reported and discussed with representatives of the  
5 stakeholder groups concerned (e.g., with an advisory group established to support the stakeholder  
6 participation process for the policy). This analysis feeds into the decision-making process about the  
7 design, implementation and assessment of the policy.

8 On completing a consultation, develop a report of findings, acknowledge key issues raised during  
9 consultations and respond as appropriate and describe how the outcomes of the consultation process will  
10 be incorporated into policy. Share these reports with stakeholders, including those that participated in the  
11 consultations and those who were invited but not able to participate. Providing timely feedback is  
12 important to sustain stakeholder interest in and commitment to the process. In addition, the findings of all  
13 the consultations should be publicly disclosed.

#### 14 Further references

15 For guidance on conducting consultations, see the following references:

- 16 • African Development Bank's Chapter 4, *Handbook on stakeholder consultation and participation*  
17 *in ADB operations*<sup>39</sup>
- 18 • European Commission's *Guidelines on Stakeholder Consultation*<sup>40</sup>
- 19 • Action Research & Action Learning's *Guiding the consultative process*<sup>41</sup>

## 20 8.5 Feedback mechanisms for ongoing consultations

21 Feedback mechanisms enable ongoing consultations throughout the policy design and implementation  
22 cycle. Feedback mechanisms can take different forms and serve a variety of purposes, from channelling  
23 suggestions to improving the quality of a specific climate policy that is being developed to addressing the  
24 concerns or questions a stakeholder group may have in relation to a policy that affects them.

25 Feedback can go both ways. It includes opinions, concerns, suggestions and advice provided by  
26 stakeholders to those responsible for design, implementation and assessment of policies. Feedback also  
27 includes information provided to stakeholders about how their input has been used, or not, to influence  
28 the design, implementation and assessment of the policies.

29 It is important to make a distinction between “feedback” and “grievances”. Feedback is information  
30 provided back to stakeholders (including to the government) in response or reaction to previous  
31 information from that person or entity. Feedback includes opinions, concerns, suggestions and advice  
32 without need for a specific resolution. By contrast a “grievance” is an issue, concern, problem or claim  
33 (perceived or actual) that an individual or group wants to be addressed and resolved. Where feedback is

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<sup>39</sup> Available at: <http://www.afdb.org/fileadmin/uploads/afdb/Documents/Policy-Documents/Handbook%20on%20Stakeholder%20Consultaion.pdf>

<sup>40</sup> Available at: [http://ec.europa.eu/smart-regulation/guidelines/ug\\_chap7\\_en.htm](http://ec.europa.eu/smart-regulation/guidelines/ug_chap7_en.htm)

<sup>41</sup> Available at: [http://www.aral.com.au/resources/consulpro.html#a\\_cp\\_exch](http://www.aral.com.au/resources/consulpro.html#a_cp_exch)

1 not effectively dealt with, it may escalate into a grievance (see Chapter 9 for guidance on grievance  
2 redress mechanisms).

3 Diverse channels for feedback include:

- 4 • Dedicated email address or web page
- 5 • Verbal or written feedback at a drop-in centre
- 6 • Verbal communication at a meeting
- 7 • Physical feedback box at an office or in a public place
- 8 • Telephone hotline number
- 9 • Text message (e.g., SMS)
- 10 • Social media (e.g., Twitter or Facebook)

11 It is important to clarify roles and responsibilities to process input from feedback mechanisms to ensure  
12 that it informs the relevant stage of policy design, implementation and/or assessment and that a response  
13 is provided where appropriate.

14 Establish feedback mechanisms early in the design stage and maintain them throughout the life of the  
15 policy to optimise the benefits from this form of consultation throughout the policy design and  
16 implementation cycle.

## 17 8.6 Documenting how input was addressed

18 It is a *key recommendation* to share with stakeholders a synopsis of the input received during  
19 consultations and how the input was taken into account. It is important to explain to stakeholders how  
20 their input has influenced decision making and helped to shape the design, implementation and/or  
21 assessment of the policy.

22 All input received can be compiled according to the issues raised. A written explanation of how each  
23 issue has been addressed can be prepared. Input and comments received from meetings, workshops or  
24 written consultations may be overlapping. To streamline communications, the input can be categorised  
25 and summarised in a synthesis document that explains how the different types of input were addressed  
26 (e.g., whether they were relevant, whether the suggestions were adopted, or what changes were made in  
27 response to the input). This is particularly effective where users receive a significant amount of input.

28 It may not possible to adopt the recommendations of all input received in the consultation process; some  
29 suggestions may be contradictory, or may not be feasible. In such cases, provide a justification explaining  
30 why certain recommendations were adopted over others. It is important to ensure that, at a minimum,  
31 stakeholders see that their input was considered.

32 Make the input received and the explanation of how it was taken into account publicly available and  
33 disseminated it to the stakeholders that provided input. See Chapter 7 for more information on how to  
34 provide information effectively to various stakeholder groups.

35

## 1 9. ESTABLISHING GRIEVANCE REDRESS MECHANISMS

2 *A grievance is an issue, concern, problem or claim (perceived or actual) that an individual or group wants*  
 3 *to be addressed and resolved. Grievance redress mechanisms are the formal systems through which*  
 4 *diverse stakeholders can lodge any grievances that arise related to the design, implementation and/or*  
 5 *assessment of policies. These mechanisms can take a variety of forms, although they are typically*  
 6 *independent of entities that may be a subject of grievances. Grievance redress mechanisms are vital to*  
 7 *safeguard policies, secure adequate protection for human rights and ensure just transitions to greener*  
 8 *and low-carbon economies.*

### 9 Checklist of key recommendations

- Establish grievance redress mechanisms that are accessible to all stakeholders, and are socio-culturally appropriate, gender-sensitive and tailored to the local context
- Ensure the impartiality and independence of grievance redress mechanisms, employing a consistent, credible and objective approach in all investigations and decisions
- Secure the safety and rights of all stakeholders that use grievance redress mechanisms, where necessary ensuring anonymity and/or protection for complainants from potential reprisals
- Ensure that grievance redress mechanisms are responsive and process grievances in an efficient and timely manner
- Provide the necessary legal instruments to enable the grievance redress mechanisms to deliver a response, to set redress or to pass the grievance to a more powerful decision-making body such as in the justice system or government

### 10 9.1 Importance of grievance redress mechanisms

11 Policies involve and impact a range of stakeholders. Potential grievances could be very broad in scope.  
 12 For example a grievance might involve indigenous peoples and local communities that have been  
 13 negatively impacted by a hydropower or renewable energy project, or may be lodged by a company in  
 14 relation to the development of a new policy that affects their business.

15 It is important to make a distinction between “feedback” and “grievances”. A provider of feedback does  
 16 not expect a specific response or resolution. By contrast, for a grievance, the complainant seeks a direct  
 17 response or redress. Where feedback is not effectively dealt with, it may escalate into a grievance.  
 18 Grievance redress mechanisms are usually separate from the collation of feedback through the usual  
 19 stakeholder engagement processes.

20 Grievance redress mechanisms are not intended or expected to replace established legal channels for  
 21 prosecuting wrong-doing. Effective grievance and redress mechanisms serve as a “first line” of response  
 22 to stakeholder concerns, complementing relevant national legal and administrative processes. Effective  
 23 integration within the national legal system and clear guidelines for referral may be important for a  
 24 grievance redress mechanism to function effectively.

25  
 26

1 Effective grievance redress mechanisms help to:

- 2 • Ensure accountability by providing a channel through which stakeholders can hold actors  
3 accountable for their obligations and commitments
- 4 • Serve as an early warning system, helping to identify problems and close gaps in a timely and  
5 cost-effective manner, avoiding escalation into more entrenched or complex disputes
- 6 • Identify recurring problems or grievances that may escalate, helping to identify underlying  
7 systemic issues that need to be addressed
- 8 • Ensure respect for rights by providing a channel through which human rights abuses can be  
9 detected and redress obtained
- 10 • Tackle corruption by allowing a secure channel for victims and whistle-blowers to seek and  
11 achieve redress

## 12 9.2 Defining the type and scope of a grievance redress mechanism

13 Grievance redress mechanisms can take different forms and have differing functions depending upon the  
14 context in and purpose for which they are established. It is a *key recommendation* to provide the  
15 necessary legal instruments to enable the grievance redress mechanisms to deliver a response, to set  
16 redress or to pass the grievance to a more powerful decision-making body such as in the justice system  
17 or government. Grievance redress mechanisms can be judicial or non-judicial. Judicial grievance redress  
18 mechanisms have the advantage of having the “teeth” to sanction wrong-doing that a non-judicial  
19 grievance redress mechanism usually cannot offer. However, non-judicial grievance redress mechanisms  
20 can provide an important alternative to processing a grievance through the national legal channels,  
21 especially when those processes tend to be overly lengthy or ineffective.

22 It is important to define the scope of a grievance redress mechanism and provide clear guidance to  
23 potential users on what they can expect from the mechanism, what issues the mechanism deals with, and  
24 what issues are outside its remit. Different types of grievance redress mechanisms include:

- 25 • Community-based grievance and dispute resolution mechanisms
- 26 • Operational level grievance mechanisms to handle grievances related to a specific project
- 27 • National human rights institutions that handle more serious allegations of abuse or  
28 mismanagement
- 29 • Anti-corruption hotlines, integrity units or anti-corruption agencies to deal with allegations of  
30 corruption, fraud or abuse of authority
- 31 • Mechanisms associated with international development and climate finance institutions, for  
32 example the Inspection Panel of the World Bank and the Green Climate Fund’s Independent  
33 Redress Mechanism and Independent Integrity Unit
- 34 • Sectoral and multi-stakeholder grievance mechanisms that address breaches in commonly  
35 agreed standards, for example under the Roundtable on Sustainable Palm Oil.

1 When a citizen or community wishes to file a grievance, it can be a complex and unwieldy process  
2 identifying which of a multiplicity of mechanisms is the appropriate channel to approach with their  
3 concern.

4 Effective national grievance redress mechanisms should be able to address a broad scope of concerns at  
5 the point of initial receipt and processing. In the case where grievances received fall outside the remit of  
6 the grievance redress mechanism, an effective referral system should be in place to ensure follow up is  
7 achieved via the appropriate channels or institutions. The onus should be on the grievance redress  
8 mechanism, not the complainant, to ensure the best avenue for redress.

9 Ensure that grievance redress mechanisms align with and are in conformity with the existing legal and  
10 institutional frameworks established in the given country.

### 11 9.3 Establishing accessible channels to submit grievances

12 It is a *key recommendation* to establish grievance redress mechanisms that are accessible to all  
13 stakeholders that are socio-culturally appropriate, gender-sensitive and tailored to the local context. Tailor  
14 the grievance redress mechanism to the needs and context of the potential users. For example, secure  
15 channels for verbal communication of grievances (which get transcribed and reported) may be most  
16 appropriate where literacy is low, whereas in other contexts written or online reporting schemes may have  
17 the greatest reach and accessibility.

18 When designing a grievance redress mechanism, find out what already exists and how people prefer to  
19 deal with grievances, and involve stakeholders in the process of creating a grievance redress  
20 mechanism. It will often be most appropriate, and possibly even more efficient and effective (depending  
21 on proven performance), to build upon or adapt existing mechanisms in the local or national context,  
22 rather than establishing new mechanisms. In most cases, a variety of channels will be required to ensure  
23 that all potential complainants are able to submit their grievances. Depending on the context, these  
24 channels can include but are not limited to:

- 25 • Dedicated email address or web page
- 26 • Verbal or written feedback at a drop-in centre
- 27 • Verbal communication at a meeting
- 28 • Physical feedback box at an office or in a public place
- 29 • Telephone hotline number
- 30 • Text message (e.g., SMS)
- 31 • Social media (e.g., twitter or Facebook).

32 Consider establishing specific approaches or channels to ensure access for different stakeholder groups.  
33 For example, community meetings may be the best fora to gather input from an affected community, but  
34 women or marginalised groups may not speak openly in this context so it may be appropriate to provide a  
35 distinct and safe space to collate their input.

36 It is a *key recommendation* to ensure the impartiality and independence of grievance redress  
37 mechanisms, employing a consistent, credible and objective approach in all investigations and decisions.  
38 Whichever channel or channels are established to process grievances, it is important to build trust in the

1 system by guaranteeing impartiality and independence in the process of receiving and handling  
2 grievances. Ensure that the grievance mechanism has no link to any of the potential bodies that might be  
3 subject of the grievance, or the impartiality and validity of the mechanism risks being compromised.

4 It is a *key recommendation* to secure the safety and rights of all stakeholders that use grievance redress  
5 mechanisms, where necessary ensuring anonymity and/or protection for complainants from potential  
6 reprisals. Anonymous reporting needs to be an option to support the safety and security of complainants.  
7 Specific protections should be offered to complainants, especially in contexts where whistle-blower  
8 protection is weak or non-existent.

## 9 9.4 Publicising the grievance mechanism

10 Once the scope of the mechanism has been defined and the channels through which grievances will be  
11 received have been established, it is important to publicise the mechanism widely with all stakeholders  
12 and potential users, so they are made aware of channels available and what they can expect when  
13 submitting feedback or a grievance.

14 Define the best means of communication and outreach to build awareness of the mechanism in  
15 accordance with its context. It may be most appropriate to provide clear information on institutional  
16 websites, for example, and/or via information boards or community meetings at the level of project  
17 implementation (see Chapter 7 for guidance on effective methods for providing information to different  
18 stakeholder groups).

19 In publicising the mechanism, it is important to manage expectations of potential users by making explicit  
20 its scope, mandate and functions. Information that is important to provide includes:

- 21 • Who can submit grievances
- 22 • Where, how and when grievances can be submitted
- 23 • The scope of the grievance mechanism, including any limitations with the problems that can be  
24 dealt with and the criteria that will be used to assess whether grievances be accepted or rejected
- 25 • The timelines, steps and process for handling the grievance
- 26 • The types of responses and outcomes that can be expected
- 27 • The institutions that will be involved in handling the grievance
- 28 • The possibility of submitting a grievance anonymously
- 29 • The rights and protections provided for complainants
- 30 • How the information in a grievance case can be shared and used.

## 31 9.5 Handling grievances

32 It is a *key recommendation* to ensure that grievance redress mechanisms are responsive and process  
33 grievances in an efficient and timely manner. Responsive mechanisms provide information on expected  
34 timelines and actions to be undertaken when the grievance is lodged, and provide regular and systematic  
35 feedback to the complainant on the progress of their case until it is resolved. Receiving, processing and  
36 providing resolution to grievances should be a systematic process that follows clear guidelines and  
37 principles of objectivity, integrity, respect for the rights and confidentiality of all involved stakeholders. The

1 exact process to be followed will depend upon the details of the case in question, but the core steps  
2 involved in receiving and processing grievance are as follows:

### 3 Step 1: Record grievance and acknowledge receipt

4 Once a grievance is received through one of the established channels, log it within the grievance data  
5 management system. Send the complainant an acknowledgement in a timely way and information on the  
6 potential follow up actions and timeline. The Joint FCPF and UN-REDD Guidance for grievance redress  
7 mechanisms suggests that acknowledgement of a complaint should come within 3-5 days of receipt.  
8 Even where a grievance is minor or can be directly resolved, record the details within the centralised  
9 system for monitoring and evaluation purposes.

### 10 Step 2: Assess eligibility

11 To ensure consistency and objectivity, follow clearly established guidelines to assess the eligibility of the  
12 grievance. The criteria for eligibility should be publicly available. If the grievance is assessed to fall  
13 outside the scope of the mechanism, clearly communicate this to the complainant with the criteria behind  
14 the judgment. If the grievance is assessed to fall within the scope of the mechanism, then a detailed  
15 review and analysis will be required.

### 16 Step 3: Review and analysis

17 Conduct an independent, objective and impartial review of the information submitted. In many cases, a  
18 solution may be relatively straightforward to identify and implement by the entity that received the  
19 grievance. In more complex cases, further investigation and analysis may be required involving multiple  
20 stakeholders. When dealing with serious allegations, it may be necessary to collaborate with law  
21 enforcement bodies. Systematically record all actions and findings, and send the complainant regular  
22 communications on the progress of their claim.

### 23 Step 4: Developing a resolution

24 Flexibility is key to ensuring effective resolution to the broad scope of grievances that a mechanism is  
25 likely to process. An effective grievance redress mechanism incorporates a variety of grievance resolution  
26 approaches, and the complainant should have a say in which approach is adopted. For relatively  
27 straightforward or common grievances, it may be possible for the team handling the case to directly  
28 develop a response that deals with the issues raised. For more complex cases, further assessment and  
29 engagement with the complainant and other stakeholders may be required to jointly determine the best  
30 course of action. Finally, there will be cases where referral to another appropriate mechanism or body,  
31 such as a national Ombudsman or Human Rights Commission, is required to effectively handle the  
32 grievance in question.

### 33 Step 5: Communicating the proposed response

34 Whichever course of action is deemed most suitable to the case in question, communicate the proposed  
35 response back to the user in a timely and accessible manner. The Joint FCPF and UN-REDD Guidance  
36 for grievance redress mechanisms proposes that response should normally occur within 14-21 days.  
37 Make the rationale for the response clear and explain the complainant's options for how to proceed.  
38 Options might include: accepting the proposed response, appealing the proposed response, or seeking  
39 further action via an alternative avenues for redress.

## 1 Step 6: Closing the case

2 Once agreement has been reached with the complainant on the proposed course of action to address the  
3 feedback or grievance, implement the response and close the case. Collect evidence on the corrective  
4 actions (e.g., photos or documents, a record of resolution, an agreement with the complainant, a  
5 confirmation from the complainant).

## 6 Step 7: Handling Appeals

7 Ensure that an appeals process is in place in case users are unsatisfied with the decision of the  
8 grievance redress mechanism. The appeals process should involve an independent panel that can  
9 objectively verify the outcome of a case. Inform users about their rights to appeal, as well as any  
10 alternative national legal or administrative channels that may be available to address their case.

## 11 9.6 Monitoring cases and grievance redress mechanism effectiveness

12 Maintain careful records within a computerised data management system of all grievances received, as  
13 well as the actions taken to respond to them. Carefully maintaining records for future analysis has two  
14 chief purposes:

- 15 • To monitor the grievances that are received, in order to identify common issues and potential  
16 trends that may imply systematic capacity issues or gaps that need to be addressed on a wider  
17 scale, for example by altering policy design
- 18 • To evaluate the overall performance of the grievance mechanism and compliance with the  
19 principles of fairness, impartiality, accessibility and responsiveness. This will ensure that  
20 weaknesses in the system are identified and will allow adjustments to be made to the processes  
21 and procedures, as necessary

22 Establish an oversight body with advisory authority to monitor performance and provide strategic advice  
23 about the grievance mechanism. This can be an independent entity or a multi-stakeholder body that  
24 includes government and representatives of relevant stakeholder groups.

25 Transparency is a key element of any effective review and evaluation process. While there will likely be  
26 case-specific information that is sensitive and should not be shared publicly, it is important to make  
27 aggregate information (for example on the types of grievances received and the approaches employed to  
28 resolve them) publicly available in order to demonstrate the effectiveness of the system. This can help to  
29 build trust or, where necessary, signal cause for reform (e.g., through improved public outreach).

## 30 9.7 Supporting the functioning of grievance redress mechanisms

31 Identify and ensure availability of ongoing resources, financial and otherwise, that are needed for the  
32 functioning of grievance redress mechanisms. This involves resources for receiving and processing  
33 grievances, as well as for providing redress as appropriate.

## 34 Further references

35 For guidance on the effective review of grievances from communities affected by development projects  
36 undertaken by climate finance institutions, see the following reference:

- 1       • CAO's *A Guide to Designing and Implementing Grievance Mechanisms for Development*  
2           *Projects*<sup>42</sup>

3 For guidance on grievance redress related to REDD+ initiatives and actions in forest-rich countries, see  
4 the following reference:

- 5       • Joint FCPF/UN-REDD Programme *Guidance Note for REDD+ Countries: Establishing and*  
6           *Strengthening Grievance Redress Mechanisms*<sup>43</sup>

7 For guidance on non-judicial grievance mechanisms, see the following reference:

- 8       • SOMO's *The Patchwork of Non-Judicial Grievance Mechanisms*<sup>44</sup>

9 For guidance on grievance mechanisms to address corruption, see the following reference:

- 10      • Transparency International's *Complaints Mechanisms Reference Guide for Good Practice*<sup>45</sup>

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<sup>42</sup> Available at: <http://www.cao-ombudsman.org/howwework/advisor/documents/implemgrieveng.pdf>

<sup>43</sup> Available at: [https://www.forestcarbonpartnership.org/sites/fcp/files/2015/September/FCPF\\_UN\\_REDDWebReady.pdf](https://www.forestcarbonpartnership.org/sites/fcp/files/2015/September/FCPF_UN_REDDWebReady.pdf)

<sup>44</sup> Available at: <http://grievancemechanisms.org/attachments/ThePatchworkofNonJudicialGrievanceMechanisms.pdf>

<sup>45</sup> Available at: [https://consultations.worldbank.org/Data/hub/files/ti\\_document\\_-\\_guide\\_complaint\\_mechanisms\\_final.pdf](https://consultations.worldbank.org/Data/hub/files/ti_document_-_guide_complaint_mechanisms_final.pdf)

## PART III: REPORTING

### 10. REPORTING ON STAKEHOLDER PARTICIPATION

*Reporting on stakeholder participation in the design, implementation and/or assessment of a policy demonstrates transparency, provides stakeholders with assurance that an agreed and/or published stakeholder participation plan has been followed and explains and justifies any changes made to the stakeholder participation plan as a result of adaptive management.*

*Reporting on stakeholder participation combined with reporting on the impacts of the policy can help to build support for the policy, for example among the public, specific stakeholder groups and donors. This chapter presents a list of information that is recommended to be included in an assessment report.*

*Many donors and other sources of finance, including international and domestic public and private funding, have reporting and disclosure requirements for stakeholder participation.*

*Refer to Chapter 7 for more information on providing information to stakeholders. In addition, the ICAT Renewable Energy Guidance, Buildings Efficiency Guidance, Transport Pricing Guidance, Agriculture Guidance, Forest Guidance, Sustainable Development Guidance, and Transformational Change Guidance documents provide users with guidance on reporting the impacts of policies.*

#### Checklist of key recommendations

- Report information about how the stakeholder participation process has been designed and conducted (including the information listed in Section 10.1)

#### 10.1 Recommended information to report

It is a *key recommendation* to report information about how the stakeholder participation process has been designed and conducted (including the information listed below).

#### Chapter 4: Planning effective stakeholder participation

- The objective(s) for effective stakeholder participation
- The stakeholder participation plan, including activities, methods, timing, roles, responsibilities, reporting and resources
- Information on implementation of the stakeholder participation plan including progress, challenges and justifications for changes made to improve the plan

#### Chapter 5: Identifying and understanding stakeholders

- The methods used, process followed and results of stakeholder identification and mapping
- The process followed and results of identification of legitimate representatives of stakeholder groups for processes where participation is limited

## 1 Chapter 6: Establishing multi-stakeholder bodies

- 2 • The mandate, objectives, role, scope, composition, procedures and decision-making processes of  
3 multi-stakeholder bodies that support the design, implementation and/or assessment of the policy
- 4 • Information on effective functioning of the relevant multi-stakeholder bodies including, for  
5 example, meetings held, participation, outputs and decisions, and any changes to composition or  
6 procedures

## 7 Chapter 7: Providing information to stakeholders

- 8 • The methods of dissemination and an overview of information provided to different stakeholder  
9 groups
- 10 • An evaluation by stakeholders of the extent to which information provided to them about the  
11 policy has been timely, relevant, comprehensive, accessed and understood

## 12 Chapter 8: Designing and conducting consultations

- 13 • The objectives for, methods for and participation in consultations, including ongoing feedback  
14 mechanisms
- 15 • A summary of inputs received from stakeholders and how these inputs were taken into account

## 16 Chapter 9: Establishing grievance redress mechanisms

- 17 • A summary of relevant grievance redress mechanisms including their scope, roles and  
18 responsibilities, timelines and process for handling grievances and the types of responses and  
19 outcomes that can be expected
- 20 • Information on the types and number of grievances received and approaches employed to  
21 resolve them, and a description of any adjustments made to the mechanism based on an  
22 evaluation of performance

## 23 Additional information to report (if relevant)

- 24 • The type of technical review undertaken (first-, second-, or third-party), the qualifications of the  
25 reviewers and the review conclusions. More guidance on reporting information related to  
26 technical review is provided in Chapter 9 of the *Technical Review Guidance*

## 27 10.2 Technical review

28 Technical review can strengthen the credibility of reporting, building confidence in the reports so that they  
29 are more effective in generating support from different actors. The technical review process emphasises  
30 learning and continual improvement and can help users identify areas for improving future stakeholder  
31 participation processes. Technical review can also provide confidence that stakeholder participation has  
32 been conducted according to ICAT key recommendations.

33

34 Technical review can be conducted by first-, second- or third-parties. However, when reviewing the  
35 effectiveness of the stakeholder participation process, consider conducting a participatory review with

1 stakeholders. Engaging stakeholders in the technical review process can be more effective in establishing  
2 the credibility of reports related to stakeholder participation. A multi-stakeholder review process also  
3 provides an opportunity to enhance transparency, share information and build capacity among  
4 stakeholders. Refer to the ICAT *Technical Review Guidance* Chapter 6 for more information on involving  
5 stakeholders in the technical review process.

1 **ABBREVIATIONS AND ACRONYMS**

2 **GHG** greenhouse gas

3 **ICAT** Initiative for Climate Action Transparency

4 **MRV** measurement, reporting and verification

5 **NGO** non-governmental organisation

6 **REDD+** reducing emissions from deforestation and from forest degradation, conservation of forest  
7 carbon stocks, sustainable management of forest and enhancement of forest carbon  
8 stocks

9 **UNFCCC** United Nations Framework Convention on Climate Change

10

1	<b>GLOSSARY</b>	
2	<b>Assessment report</b>	A report, completed by the user, that documents the assessment
3		process and the GHG, sustainable development and/or
4		transformational impacts of the policy or action
5	<b>Consultations</b>	Processes that enable exchange of information between
6		stakeholders (including between government and other
7		stakeholders), including providing information and capacity
8		building to stakeholders and enabling diverse stakeholders to
9		provide input reflecting their needs and interests related to the
10		subject of the consultation
11	<b>Customary rights</b>	Established, traditional patterns of norms that can be observed
12		within a particular socio-cultural setting, such as patterns of long-
13		standing land and resource usage in accordance with customary
14		laws, values, customs and traditions, including seasonal or
15		cyclical use, rather than formal legal title to land and resources
16		issued by the state
17	<b>Effective stakeholder participation</b>	Processes in which stakeholders have meaningful influence on
18		decisions, involving those who are potentially affected by or
19		interested in a decision and who have a right to be involved in
20		the decision-making process. The processes recognise and
21		communicate the needs and interests of all stakeholders, involve
22		stakeholders in defining how they participate, provide
23		stakeholders with the information and capacity to participate, and
24		communicate to stakeholders how their input affected the
25		decisions.
26	<b>Ex-ante assessment</b>	The process of assessing expected future impacts of policies
27		and actions
28	<b>Ex-post assessment</b>	The process of assessing historical impacts of a policy or action
29	<b>Expert elicitation</b>	A protocol for consulting with experts including a process for
30		helping experts understand the elicitation process, avoiding
31		biases, and producing independent and reliable judgments
32	<b>Feedback</b>	Information provided back to stakeholders (including to the
33		government) in response or reaction to previous information from
34		that person or entity
35	<b>Grievance</b>	An issue, concern, problem or claim (perceived or actual) that an
36		individual or group wants to be addressed and resolved
37	<b>Impact assessment</b>	The assessment of GHG, sustainable development or
38		transformational impacts resulting from a policy or action, either
39		ex-ante or ex-post

1	<b>Marginalised people or groups</b>	People or groups that have relatively little or no influence over
2		decision-making processes
3	<b>Multi-stakeholder body</b>	A formal or informal regular gathering of people representing
4		various constituencies, interests and stakes for the purpose of
5		ensuring and enabling their participation, contribution and
6		influence towards a goal or strategy
7	<b>Participation</b>	Processes that enable stakeholders to understand and influence
8		decisions and processes that may interest or affect them
9	<b>Policy or action</b>	An intervention taken or mandated by a government, institution,
10		or other entity, which may include laws, regulations, and
11		standards; taxes, charges, subsidies, and incentives; information
12		instruments; voluntary agreements; implementation of new
13		technologies, processes, or practices; and public or private
14		sector financing and investment, among others
15	<b>Redress</b>	A remedy or compensation for a wrong, loss or grievance
16	<b>Stakeholders</b>	People, organisations, communities or individuals who are
17		affected by and/or who have influence or power over the policy
18	<b>Stakeholder participation plan</b>	A plan that specifies activities, methods, timing, roles,
19		responsibilities, reporting and resources required to meet the
20		identified objectives of stakeholder participation

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