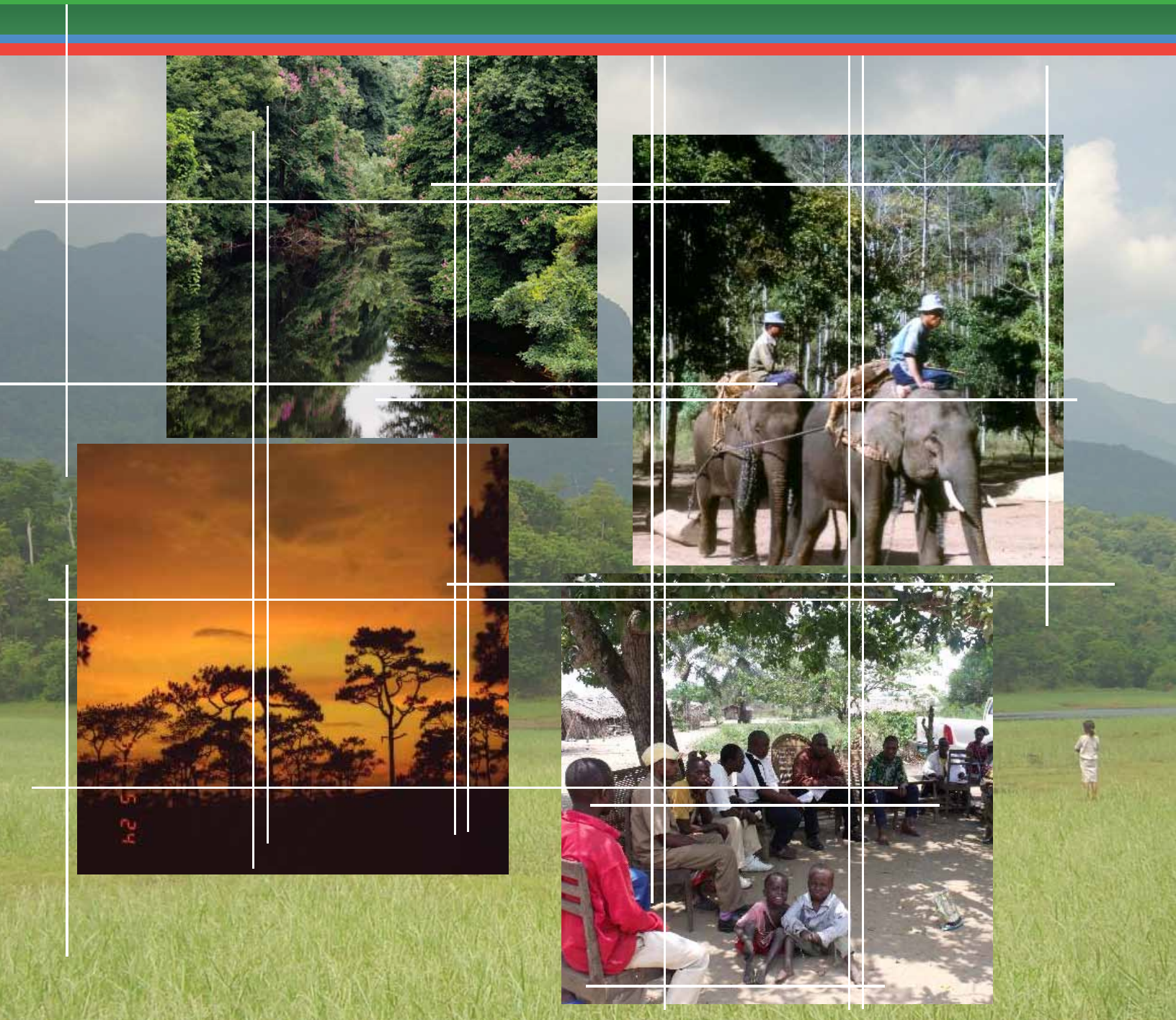


A DRAFT FRAMEWORK FOR SHARING APPROACHES FOR BETTER MULTI-STAKEHOLDER PARTICIPATION PRACTICES

Florence Daviet with input from Marian Mabel and Elspeth Halverson





The Forest Carbon Partnership Facility (FCPF) is a global partnership, housed within the World Bank's Carbon Finance Unit, which became operational in June 2008. The FCPF provides technical assistance and supports countries in their efforts to develop national strategies and systems for REDD+ in developing forest countries. The FCPF further assists countries to test approaches that can demonstrate that REDD+ can work, and provides them with performance-based payments for emission reductions programs. The support to countries for engaging in REDD+ activities is provided through two mechanisms within the FCPF, the Readiness Fund and the Carbon Fund.

UN-REDD

P R O G R A M M E

The UN-REDD Programme is the United Nations collaborative initiative on Reducing Emissions from Deforestation and forest Degradation (REDD+) in developing countries. The Programme was launched in 2008 and builds on the convening role and technical expertise of the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP).

The UN-REDD Programme supports nationally-led REDD+ processes and promotes the informed and meaningful involvement of all stakeholders, including Indigenous Peoples and other forest-dependent communities, in national and international REDD+ implementation.



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TABLE OF CONTENTS

1. Introduction	1
2. Context	2
2.1 International Agreements Related to Multi-Stakeholder Participation	2
2.2 REDD+ Processes and Stakeholder Engagement	3
3. Defining Common Terms for Stakeholder Participation	5
4. A Framework for Categorizing Stakeholder Participation Processes	8
4.1 Stage of the Policy Cycle	9
4.2 Stage of the Stakeholder Engagement Process	10
4.3 Types of Stakeholders being Engaged	11
5. Priority Topics for Information Sharing	12
5.1 Mapping and Categorizing Stakeholders	13
5.2 Identifying Effective Engagement Approaches for Different Objectives	16
5.3 Participation and Free Prior and Informed Consent	20
5.4 Managing Time and Expectations	22
5.5 Grievance or Recourse Mechanisms and Conflict Management	23
6. Next Steps	24
Appendix A: Stakeholder Engagement Guidance Document Literature Review, by author	28
Appendix B: Synopsis of Stakeholder Engagement Guidance Document Literature, by Level of Analysis	31



1. INTRODUCTION

Many countries are beginning to engage stakeholders in domestic REDD+ decision-making processes, often with support from bilateral, multilateral and non-governmental initiatives. As part of the 2010 work plan for the Interim REDD+ Partnership, the Partners identified the need to initiate a process to share lessons on stakeholder participation practices and prepare an enhanced communication platform. This activity was initiated as an initial step toward helping decision makers improve the effectiveness of such processes by learning from other partners' experiences and beginning to identify best practices.

This paper was commissioned at the end of 2010 to help achieve these objectives and provide a starting point for further activities in 2011. It includes:

- a) A preliminary set of common terms relating to stakeholder participation (Section 3);
- b) A framework for categorizing and describing different types of stakeholder engagement processes necessary to facilitate sharing of relevant experiences (Section 4);
- c) A discussion of the types of information that seem most relevant for practitioners to share (Section 5); and
- d) Next steps for developing a comprehensive and sustained approach to sharing information and experiences between and among partners, and identifying good practices (Section 6).

In addition, the information gathered in this process could help inform the development of systems to track how the stakeholder participation safeguard, as included in the Cancun REDD+ decision, is being addressed and respected.

Important Note from the Authors

This document is **not** intended to be a tool for how to engage stakeholders for a REDD+ decision-making process. It is also **not** an evaluation of the processes that have occurred so far. Examples provided are simply to indicate where such processes are occurring or may occur based on the information provided by various actors/authors. They have not been selected to represent either best or worst practices and largely reflect information gathered through a desktop review. Appendix A presents a list of some guidance documents and process evaluations, both general and REDD+-specific.

2. CONTEXT

2.1 International Agreements Related to Multi-Stakeholder Participation

Parties recognized the need to engage stakeholders in designing and implementing actions to reduce emissions from deforestation and forest degradation, to manage forests sustainably, and enhance carbon storage (REDD+) in the Bali Action Plan (BAP) in 2007 during the 13th Conference of the Parties (COP) to the United Nations Framework Convention on Climate Change (UNFCCC). Parties recognized “that the needs of local and indigenous communities should be addressed when action is taken to reduce emissions from deforestation and forest degradation in developing countries” (UNFCCC 2007, 8). Parties further invited “relevant organizations and stakeholders... to support efforts” including capacity building, identifying drivers of deforestation, and piloting actions to reduce emissions and to share outcomes of those efforts (UNFCCC 2007, 10).

Subsequent UNFCCC texts have further elaborated these points and also emphasized the need to provide support to enable effective stakeholder engagement. At COP 14, Parties agreed that the Subsidiary Body for Scientific and Technological Advice (SBSTA) should note the importance of “(r)ecognizing the need to promote the full and effective participation of indigenous people and local communities, taking into account national circumstances and noting relevant international agreements” (SBSTA 2008, 4). And at COP 16 in Cancun, Parties affirmed that several safeguards should be “promoted and supported,” including:

- (c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;
- (d) The full and effective participation of relevant stakeholders, in particular, indigenous peoples and local communities, in actions referred to in paragraphs 70 and 72 of this decision; (AWG-LCA 2010, 24)

In Cancun, Parties also affirmed that a system should be developed to track how all safeguards are addressed and respected over time (AWG-LCA 2010, pg 11).

The UNFCCC text on stakeholder participation is consistent with the language of several international conventions and declarations. For example, 178 governments pledged to open environmental decision making to public input and scrutiny in Principle 10 of the 1992 Rio Declaration on Environment and Development (UNEP 1992). Key elements of Principle 10 include provision of and access to information, public participation mechanisms, and justice.¹ In addition, Principle 22 highlights that “indigenous peoples and their communities and other local communities have a vital role in environmental management and development because of their knowledge and traditional practices.” It further notes that, “States should recognize and duly support their identity, culture and interests and enable their effective participation in the achievement of sustainable development” (UNEP 1992).

With respect to indigenous peoples in particular, there are several other international conventions and declarations that affirm indigenous peoples’ collective rights to the territories they depend on for their livelihoods, as well as their rights to determine their own development paths. These include, among others, the UN Declaration on the Rights of Indigenous Peoples, ILO 169, and jurisprudence in international courts.² Increasingly, there is an understanding that, in some circumstances, “effective participation” can only be achieved by seeking the free, prior and informed consent (FPIC) of potentially affected indigenous peoples.

2.2 REDD+ Processes and Stakeholder Engagement

The Cancun REDD+ text on stakeholder participation reflects a growing recognition among decision makers that developing and implementing REDD+ strategies is a complex undertaking and is likely to impact the rights of numerous groups. Stakeholder participation is vital for helping decision makers gather information needed to identify more effective solutions, mitigate risks with regard to potential conflicts, and ensure that the rights of impacted groups are upheld.

In addition, with regard to implementing REDD+ activities, stakeholder participation is a way to share the responsibilities and ownership for implementing and/or monitoring actions with other actors (Foti et al. 2008, 16). The benefits include reducing the cost of implementation and monitoring, strengthening the ability to monitor areas that are difficult to access, and further ensuring the monitoring and enforcement of regulations (Foti et al. 2008, 16). Achieving these objectives, however, requires robust stakeholder engagement processes.

Around the globe there is a growing body of actors starting to design and implement activities to engage stakeholders in REDD+ processes. As a result, practical knowledge about stakeholder participation in REDD+ is emerging. This knowledge is being generated by an array of actors operating at different scales, and reflects a diverse range of experiences and practices.

1 Note there is also binding treaty language on participation, access to information, and decision making in the Universal Declaration on Human Rights (1948), International Covenant on Economic, Social, and Cultural Rights (1966), International Covenant on Civil and Political Rights (1966), Convention on the Safeguarding of Intangible Cultural Heritage (2003), Convention on the Protection and Promotion of the Diversity of Cultural Expression (2005), Convention on the Rights of the Child (1989), and Convention on the Elimination of All Forms of Discrimination Against Women (2007), to name a few.

2 For the best examples of international court decisions, see Inter-American Court on Human Rights. Two of the most important ones are *Awas Tingni v. Nicaragua* and *Moiwana community v. Suriname*.

National level processes:

Some of the most widely discussed experiences with multi-stakeholder participation in REDD+ processes are emerging from programs managed by multi-lateral institutions such as the World Bank's Forest Carbon Partnership Facility (FCPF) and the United Nations Collaborative Program on REDD (UN-REDD Programme). These programs are supporting approximately 40 countries to develop plans and implement activities to get ready for REDD+ at the national level, including the development and implementation of multi-stakeholder participation processes to inform any related decision making processes.³ Both programs provide financial resources as well as technical guidance on effective participation and consultation processes. In addition, other countries, such as Brazil, are designing national level stakeholder engagement platforms independently.



Sub-national and project level experiences:

Experiences with stakeholder participation are also emerging at the sub-national level, often led by local governments, NGOs, and REDD+ project developers. In Brazil, for example, the state governments of Acre, Mato Grosso, and Amazonas have created permanent forums to engage multiple stakeholders, including federal level agencies, in the design of state led environmental services programs including REDD+. At an even more local scale, a growing number of REDD+ pilot projects around the world are generating unique lessons about engaging stakeholders on the ground. In Indonesia, for example, the District Government of Berau in the Province of East Kalimantan and The Nature Conservancy (TNC) are collaborating to engage local communities in REDD+ activities (TNC 2010).

Capacity building efforts:

In addition to processes to engage stakeholders around specific REDD+ programs or plans, there are numerous ongoing efforts to more generally build the capacity of stakeholders to participate in existing or future REDD+ programs. For example, Tebtebba,⁴ an international NGO, has launched multiple programs to build the capacity of indigenous peoples to effectively participate in global and national REDD+ processes. Tebtebba has also partnered with the UN-REDD Programme to develop practical guidelines for engaging indigenous peoples in REDD+ processes and to carry out further capacity building exercises. Another example is the program by The Center for People and Forests, RECOFTC. The Grassroots Capacity Building for REDD+ project aims to build local forest stakeholder capacity to effectively engage in REDD+ planning and implementation through sub-national and national training.⁵ These two groups are just the start of a long list of international, national, and most importantly local groups, associations, and NGOs in countries from Guyana to PNG that are working to expand the network of actors able to engage on REDD+ issues.

3 This includes all applicants to these programs. Note that the processes in each country are at very different phases, including some that are mostly dominant at this time.

4 See http://www.tebtebba.org/index.php?option=com_docman&task=cat_view&gid=18&Itemid=27

5 See <http://www.recoftc.org/site/resources/Grassroots-Capacity-Building-for-REDD-/>

Experiences outside of REDD+:

Practitioners, those who are running or have run stakeholder engagement processes, and participants in REDD+ processes have also noted that there are many lessons to be learned from previous stakeholder engagement experiences that are not specific to REDD+. For example in a publication by the Accra Caucus, a coalition of civil society groups, key lessons from Participatory Forest Management approaches in Tanzania were extracted as lessons for future REDD+ activities (Accra Caucus, 2010). Many have also noted that the experiences of countries that developed national level forest stakeholder engagement platforms under the Forest Law, Enforcement, Governance, and Trade (FLEGT) program may provide useful insights for REDD+ (Ozinga 2010).

3. DEFINING COMMON TERMS FOR STAKEHOLDER PARTICIPATION

Terminology used in discussing multi-stakeholder engagement processes is often used inconsistently. In some cases this creates confusion, misunderstanding, and frustration. In order to share information about stakeholder engagement processes, a common set of definitions used by REDD+ programs seeking to share information (e.g., the REDD+ Partnership) would facilitate the ability of actors from various countries and contexts to communicate clearly about what is occurring. The definitions below are some initial suggestions based on existing literature; however these would need to be considered more closely if adopted by programs.

In this document, a **stakeholder** is any individual, social, or economic group or institution that is effected by and/or can influence decisions. Stakeholders may or may not be formally organized. Some stakeholders are also **rights-holders**, who are stakeholders whose rights might be effected as the result of a decision being made. Rights-holders' rights may be recognized by national or international laws.

There are several documents that seek to break down the term stakeholder further, especially in relation to land use processes in order to identify those **directly impacted** from the **broader** public, for example:

- 1) Those who own land. This could be customary (de facto) rights-holders or official (de jure) title-holders.
- 2) Those who do not own land but who have rights of access or use, or lien, leasehold on land – where these again might be de facto or de jure rights
- 3) Those who do not have ownership or use/access rights, but may still be impacted. For example, those who are downstream water users. This could be determined factually (who lives nearby, downstream, etc,) as well as by background investigation.

Even further, such groups can be broken down by gender as well as age groups (e.g., children). The role and importance of further clarifying stakeholder groups is discussed later in this document, especially in relation to getting historically marginalized stakeholder groups engaged in decision making and implementation REDD+ processes.

The terms **participation** and **consultation**, which are the terms most commonly used to describe stakeholder engagement processes for REDD+, are also often used in different ways, obscuring real differences in the extent to which stakeholders are involved in decision making and implementation. In this document, participation refers broadly to the involvement of stakeholders in decision making or actions. There are two types of decision-making structures:

- a) Direct participation in decision making, which occurs when participating stakeholders are collectively engaged in making the decision. Each stakeholder exercises an influence equal to his or her vote or veto power.
- b) Indirect decision making occurs when a third party makes a decision on behalf of stakeholders. The third party could be an elected representative. However, there are many different levels of “representation,” and how the representative is selected may be central to whether or not the approach is seen as legitimate. A third party decision maker could be a judicial or administrative officer appointed by the government (Foti, 2008) or a person selected by stakeholders themselves, either in relation to the specific decision being made or selected as a result of an existing decision making platform.

In practice, a range of approaches for capturing stakeholder perspectives can be applied whether direct or indirect decision making structures are being used. These approaches can be used individually or in combination to achieve desired outcomes. Table 1 provides an overview of the spectrum of approaches captured in stakeholder participation literature, in order of increasing depth of engagement.

Table 1: A Spectrum of Participation

Type of Engagement	Description
Information Sharing	Mostly a one way flow of information, e.g., from government to public, or public to government. Objectives are to keep actors informed, provide transparency, and build legitimacy. This can be done through simple outreach approaches (e.g., website, fact sheets, press releases, presentations).
Consultation	Two-way flow of information and the exchange of views. Involves sharing information, garnering feedback and reactions, and in more formal consultation processes responding to stakeholders about how their recommendations were addressed (including if they were not, why not). Information exchanges may occur through meetings with individuals, public meetings, workshops, soliciting feedback on documents, etc.
Collaboration	Joint activities in which the initiator invites other groups to be involved, but retains decision making authority and control. Collaboration moves beyond collecting feedback to involving stakeholders in problem solving, policy design, and monitoring and evaluation. Approaches may include advisory committees, joint missions, and joint implementation activities.
Joint Decision Making	Collaboration where there is shared control over a decision made. Shared decision making is useful when the stakeholders’ knowledge, capacity, and experience are critical for achieving policy objectives.
Empowerment	Transfers control over decision making, resources, and activities from the initiator to other stakeholders. When stakeholders, acting autonomously and in their own interests, can carry out policy mandates without significant government involvement or oversight (e.g., local natural resource management zones).

Source: Foti, et al. (2008)

The types of approaches detailed in Table 4 provide some broad categories for thinking about stakeholder participation. Regardless of the approach adopted, there are several basic steps that form part of any stakeholder engagement process (Box 1). As REDD+ practitioners continue developing stakeholder participation plans, information sharing on how different countries are approaching these steps can be a useful way of discussing lessons learned and sharing best practices (see Section 4).

Box 1: Basic steps of a stakeholder engagement process

The following components are a general list of considerations often included in guidance documents on stakeholder engagement. This list is not meant to reflect specific guidance on the order in which components should be undertaken; in many cases there will be iterations and feedback loops required that are not reflected in this list.

Planning and preparation before the decision making process

- a. Determine the engagement objective and goal.
- b. Map the stakeholders who will need to be engaged, both in terms of broader categories; e.g. indigenous peoples, rural land owners, NGOs, government actors, private sector actors; and in terms of their relationship to the decision making process; e.g., those most likely to be impacted by specific activities, potential implementers of activities, etc.
- c. Map the existing platforms and networks through which stakeholders can be engaged.
- d. Define the type of engagement (e.g., information sharing) required to meet the objectives and which are appropriate for the group of stakeholders being considered (e.g., public awareness), including the context in which the engagement is being undertaken (e.g., legal obligations or social, cultural, political, and economic considerations; past processes that have occurred and their successes or difficulties; patterns of discrimination or marginalization that may impact the process).
- e. Identify the major themes that will be the focus of the engagement, considering the major issues or concerns that may arise or should be taken into account.
- f. Determine and draft effective methodologies for the type of engagement envisaged; e.g., radio announcements, fliers, plays, newspaper stories, etc. for information sharing.
- g. Step up clear guidelines, processes, and timelines for the engagement process and strategy that have been developed, recognizing that not all goes as planned and not everything can happen at once. Also recognizing that stakeholder need time to digest information and need documents in advance of meetings with sufficient time to read and understand them.
- h. Determine the human and financial resources required to implement the process.
- i. Establish mechanisms for grievance, conflict resolution, and redress.
- j. Discuss with key stakeholders throughout the planning process to ensure that the planning is well grounded and the result acceptable to different stakeholders who are being engaged.

Implementation of engagement activities as part of the decision-making process

- k. Discuss the process with stakeholders, ensuring they are comfortable, understand, and accept both their rights and responsibilities in the process, e.g., draft joint TORs. Make adjustments where necessary.
- l. Undertake activities planned as agreed with stakeholders during planning and preparation, including giving time to stakeholders for commenting on draft documents provided, etc.
- m. Disseminate decisions, reports, and findings to stakeholders.

Review of engagement activities during and after the decision making process

- n. Assess stakeholder engagement process performance; e.g., via independent evaluations.
- o. Adjust ongoing or new processes based on outcomes.

Source: Appendix A

4. A FRAMEWORK FOR CATEGORIZING STAKEHOLDER PARTICIPATION PROCESSES

The diverse experiences extracted from the REDD+ and non-REDD+ processes described above can contribute valuable information and lessons that will improve understanding of how to design and implement effective REDD+ stakeholder participation processes. However, not all experiences are comparable, and lessons learned may not always be relevant across different contexts. We have therefore developed a preliminary framework for categorizing stakeholder participation experiences, as a basis for sharing relevant lessons between practitioners, stakeholders, and other interested parties.

The framework identifies three elements of stakeholder participation that can help practitioners describe participation processes in a consistent manner and determine whether the contexts are sufficiently comparable for sharing lessons learned. The three elements are:

- a) Stage of the policy cycle;
- b) Stage of the stakeholder engagement process; and
- c) Type of stakeholders being engaged.

A fourth important element, which is difficult to capture in any framework and will impact the ability for certain lessons to be relevant in another country, is the general governance situation in a given country. It may be that the steps that need to be taken to build the trust of stakeholder in Guyana are not needed in Brazil or vice-versa, depending on historical practices and relationships between different actors. Even within a country, stakeholder engagement at a state level may be completely different than at the national level even where a, b and c identified above are similar. Nevertheless, comparing like scenarios in the domain of a, b, and c above, will hopefully stimulate discussion and ideas for other actors, even where their domestic context may be different.

4.1 Stage of the Policy Cycle

A typical policy cycle involves multiple stages and related decision points, and may occur at multiple levels (e.g. national and sub-national). Stakeholder engagement is likely to vary according to the stage of the policy cycle, the specific decision being made, and the level of action. For example, engaging stakeholders in the design of national plans and strategies will likely require different approaches than engaging stakeholders in the implementation of localized activities. Engaging actors who are actively deforesting, will also differ from engaging those who historically have worked to maintain forest cover. The number and type of stakeholders who need to be engaged is also likely to vary, depending on the relationship between the stakeholders and the decision being made (see Box 2).

Box 2: From the bottom up – identifying the key stakeholders

Thinking through the entire REDD+ policy cycle may help practitioners identify relevant stakeholders. As demonstrated in Figure 1, decisions are likely to become more specific over time in terms of scope and geographic scale, which is likely to have implications for the type of stakeholders who are relevant to engage. For example, a decision made by a multi-stakeholder national REDD+ working group on which options to test for reducing deforestation will eventually evolve into a decision on how to pilot a specific option within a community. Stakeholder engagement in the latter decision is likely to include a much smaller subsection of a national REDD+ working group, but many additional local stakeholders who will be involved in implementation or otherwise impacted.

Although it is intuitive that local stakeholders will need to be more deeply engaged as decisions become more specific, it is also vital to ensure that these key local stakeholders are included at earlier stages of decision making. If they are not, there is a risk that early strategic decisions could make it more difficult to address the concerns of stakeholders, and especially rights holders, during the design and implementation of activities on the ground. Ultimately, this may slow REDD+ implementation as decision makers must revisit previously decided issues.

Figure 1 presents a simplified example of a series of decisions that could be made within the scope of a national, or potentially a sub-national, REDD+ strategy. First, the diagram separates decisions relating to the “readiness” phase⁶ from those linked to the implementation of a REDD+ strategy. Second, the diagram identifies three distinct stages of the REDD+ policy cycle:

- a) Planning and strategy development (e.g., developing the national REDD+ strategy).
- b) Designing laws and programs needed to implement the plan or strategy (e.g., developing a law to specify benefit sharing arrangements between project developers and local communities in a payment for ecosystem services program).

6 “Readiness” here is defined as all activities that need to be implemented before REDD strategies can be successfully implemented, monitored, and evaluated in the manner needed to meet the criteria required to generate emissions reductions that would qualify for what is currently framed as “Phase 3” in the Copenhagen version of the REDD+ text under LCA.

c) Implementing laws and programs (e.g., developing monitoring systems and enforcement capacity).

Depending on the country context, the lines between these categories may be blurred. Nevertheless, practitioners should use these categories to identify as closely as possible the policy stage and point at which stakeholders are being engaged, in order to facilitate lesson sharing or to identify relevant stakeholders. This information could then feed a policy feedback loop between different aspects of the policy cycle.

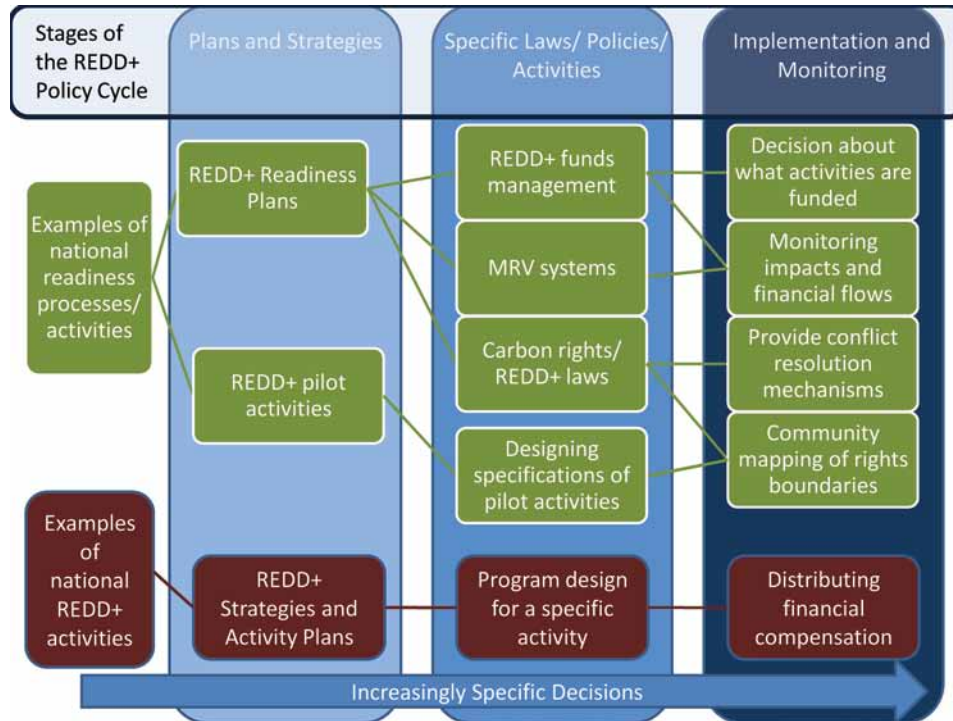


Figure 1: Types of REDD+ Decisions and Decision-Making Processes

4.2 Stage of the Stakeholder Engagement Process

Achieving inclusive and effective participation during any stage of the REDD+ policy cycle and for any given decision point will require an iterative stakeholder engagement process. Early objectives in most engagement processes include building the capacity of stakeholders to participate, identifying how rights holders and stakeholders may be impacted by various decisions, and recognizing where conflicts may occur. As stakeholders become more familiar with the details and options, the objectives of engagement may shift to gathering specific input to inform decision making. Final stages in the engagement process may include direct stakeholder participation in decisions made about the design, implementation, monitoring, and/or enforcement of activities (see Figure 2). After a decision is made, stakeholders will likely be participating in the implementation of activities, this may include the design of specific programs, implementation of programs, collecting information about the impacts of the activities, and feeding those experiences back into a broader policy process.



Figure 2: Stages in Stakeholder Engagement for Decision Making

Conceptualizing stakeholder engagement in terms of distinct stages is recommended in much of the literature about engaging stakeholders in policy processes, since the stage of the engagement process will influence the type of stakeholder engagement approach needed (e.g., see Dalton et al. 2002). For example, to broadly identify the stakeholders who will want to engage regarding a particular issue, decision makers may use approaches for sharing information that allow them to communicate with a very wide audience in order to raise interest and some understanding about the issue at hand (e.g., radio, workshops, pamphlets, theater). This is quite different from what needs to occur when a final decision is being made about the implementation of an activity, at which point information sharing is often not seen as an effective participation approach.⁷ If practitioners can identify which stage of the stakeholder engagement process they are describing when sharing lessons, this will help others understand when such information will be most applicable to their own processes.

4.3 TYPES OF STAKEHOLDERS BEING ENGAGED

REDD+ requires decision makers to consider the unique characteristics of various stakeholder groups and subgroups when selecting approaches for stakeholder engagement. Different stakeholder groups will have a different relationship with a given decision and decision maker, and each will present unique engagement challenges.

Many efforts have been made to map major categories of REDD+ stakeholders, which generally include individuals or groups that have an interest in forests, agriculture, and rural development. Broadly speaking, one approach for grouping stakeholders is the following:

- **Government or public sector:** central or federal, state/regional or provincial/ district, and municipal level institutions and dependencies.
- **Domestic civil society (not for profit):** NGOs, religious denominations, universities, research institutes, farmer organizations, indigenous peoples’ organizations, worker/trade unions, community organizations, and organizations that represent women, youth, and other vulnerable groups.
- **Private sector (for profit):** firms, associations, organizations, cooperatives, and individual proprietors, such as banking, transport, industry, marketing, professional and media services.
- **Rights-holders:** property owners, indigenous peoples and tribal groups, communities or individuals that hold traditional or formally recognized usufruct (and/or other) rights to land or resources that will be impacted by the decisions being made.

⁷ See for example concerns raised by the Accra Caucus with regards to decision-making processes related to the finalization of country R-PP documents to the FCPF in the section on Barriers to Effective Consultation (pg. 5).

- Impacted communities: Individuals and communities that are not rights owners, but may be directly impacted by land use decisions due to their proximity to the activities undertaken
- The external community such as international financial institutions, international or regional cooperation agencies, bilateral donors, international charity, NGO, and volunteer organizations.

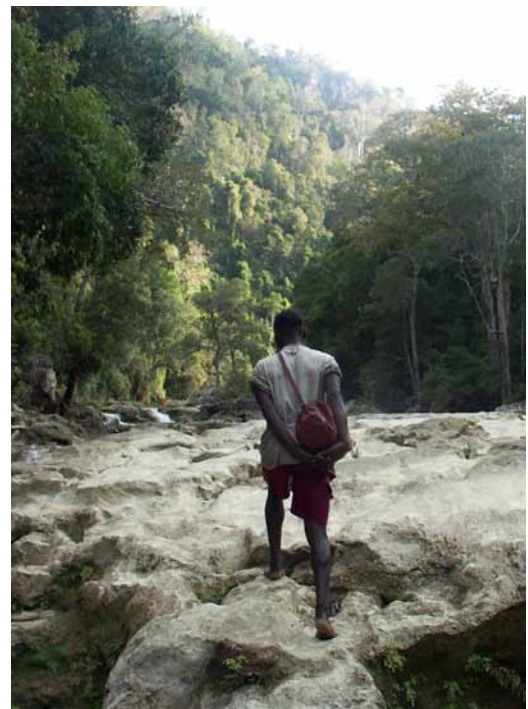
However as is seen in section 5 a) there are other ways to capture differences between stakeholders, including their current levels of capacity and ability to influence decision making processes compared to what will be needed to achieve a effective and equitable REDD+ outcome (see Table 3). Many who currently work with local communities also indicate that gender and age considerations may be other aspects of stakeholder mapping that are very important even within categories of stakeholders.

5. PRIORITY TOPICS FOR INFORMATION SHARING

Over the past year, efforts have been made to start documenting ongoing REDD+ stakeholder engagement processes. In order to understand the types of information about stakeholder engagement practices for REDD+ that are currently available, as well as priorities for further information sharing, several publicly available documents that describe, evaluate, and draw lessons about experiences with REDD+ stakeholder engagement were reviewed (see Appendix B for a synopsis of key documents). A limited number of interviews with practitioners and experts engaged in REDD+ stakeholder engagement processes were also conducted. Based on this preliminary research, it is evident that more in-depth information and lessons concerning certain key stakeholder engagement issues is needed. Some key challenges and areas for further development fueled by information sharing include:

- a) Mapping and Categorizing Stakeholders;
- b) Identifying Effective Engagement Approaches for Different Objectives;
- c) Participation and Free, Prior, and Informed Consent;
- d) Managing Time and Expectations; and
- e) Grievance Mechanisms and Conflict Resolution.

One additional consideration, which is not well explored in the context of this paper, but which may also require more consideration, is how to ensure that information provided about different scenarios with or without REDD+ be presented in clear manner to stakeholders. Too often, the information sharing is directed at getting stakeholders to agree, and thus there is a tendency to push the positive. However, experiences in the field in other processes (not specific to REDD+) have borne out the need for stakeholders to share in the risks of the endeavor.



5.1 Mapping and Categorizing Stakeholders

According to many practitioners, the identification of relevant stakeholders, especially remote communities, is one of the most complex and time consuming aspects of the stakeholder engagement process. One survey of 12 pilot forest carbon projects being undertaken by non-governmental actors found that mapping local stakeholders was among the most challenging aspects in designing and implementing the initiatives, given the large and often dispersed numbers of individual landowners and community members (Harvey et al. 2010, 73).

In a publication about community involvement in development projects, Herbertson et al. (2009) note that taking the time to map and categorize stakeholders is vital for implementing successful stakeholder engagement processes. It is necessary to identify and engage the decision makers in the community and understand the decision-making dynamics sufficiently in order to ensure that the voices of marginalized actors are captured and the traditional governance structures of the community respected. Without taking this time, decision makers risk lumping distinct sub-groups into one stakeholder category, which may result in marginalized groups being excluded, leaders speaking on behalf of people they do not represent, and facilitators of the process failing to consider underlying social tensions that could generate conflict and put the implementation of activities at risk (Herbertson et al., 2009).

Assessing and focusing capacity building activities on the needs of various stakeholders is another important reason to map and categorize stakeholders. Capacity building is an important component of participation and central to creating an effective and equitable process. For marginalized groups to be effectively engaged, significant capacity building activities may be required and different approaches needed.

Mapping and categorizing stakeholders is therefore vital to the success of the overall engagement process. The process helps decision makers assess how particular stakeholders might participate most effectively (e.g., through direct participation versus representation), how actors within a specific stakeholder group may differ, or how the array of relevant stakeholders may evolve throughout a process.

While many guidance documents broadly identify the likely stakeholders in a REDD+ process, there is still a need for more in-depth guidance on the nuances of stakeholder identification and categorization, for example with regards to the types of engagement approaches that would be most effective. It is important to recognize that not everyone will be easily categorized in only one group, and so in all cases it will be important to be aware of the complex relationships between individuals and groups and between different groups. Meanwhile, although these considerations are heavily context driven, lessons on how to undertake such activities and manage such complexities effectively should be given additional consideration as a part of emerging guidance for stakeholder processes.

Approaches for distinguishing between stakeholders: Two examples

The following tables show two distinct high-level approaches to stakeholder categorization that have been used in Readiness-Preparation Proposals (R-PPs) for the FCPF or National Program Documents (NPDs) for the UN-REDD Programme. Table 2 depicts an approach in which stakeholders are categorized by the functions they might perform throughout the REDD+ process. In contrast, the approach in Table 3 assesses the current influence level of stakeholders and the roles they should be able to assume at the end of the readiness process. Specifically, the creators of this approach note a need to “ensure that the specific stakeholders are in a suitable position of power and accountability before the REDD+ implementation phase begins. The consultation and participation plan is designed to provide the mechanisms to achieve this objective” (Ethiopia 2010, 28).

While neither table provides the level of detail needed to understand how, for example, marginalized actors would be identified and effectively engaged⁸ or whether there may be groups with “too much power,” they do provide useful examples of different stakeholder mapping approaches based on the objectives for which they are being mapped. Both are a starting point for thinking about what types of engagement processes might be useful given the role of the stakeholders and what needs to be achieved.

Table 2: Potential Stakeholder Roles and Functions in REDD+ Processes⁹

Stakeholder Category/ Potential Functions	Directly impacted by potential REDD+ activities taken	Provide technical advice	Provide financial resources	Implementation partners	Monitoring partners
Government/ Public Sector	X	X	X	X	X
Civil Society	X	X		X	X
Local Communities/ Indigenous Peoples and Vulnerable Groups	X	X		X	X
Private Sector	X	X	X	X	X
General Public			X		X
External Community		X	X	X	X



8 For example, in some countries stakeholders have been marginalized for so long they may be afraid to speak up and give opinions and it may take some time and specific measure to make them feel comfortable enough to speak up, especially if they disagree with plans being presented.

9 Many thanks to Josep Gari (UNDP) for sharing his experience of thinking through different ways to categorize stakeholders in the DRC process.

Table 3: Sample of Ethiopia’s Draft Mapping of Stakeholder Influence and Desired Influence

Stakeholder	Current Influence	Desired status at end of RED strategy development
Forest dwellers	Highly effected by forestry decisions, low formal influence on high level policy decisions, but high informal influence on local forest management	As the most effected party they must aim to become the most influential stakeholder over REDD+ planning and implementation
Private forestry sector– wood enterprises (small scale)	Highly effected by forestry, but with the least influence over forestry decisions of all the key forestry stakeholders; currently many wood based enterprises operate informally, outside or on the fringes of the law, and are thus also not accountable	Must have its influence increased so that it is brought into a decision-making role in REDD+, and its accountability increased through more formalization and oversight. Formalization could ensure more control and efficient use of wood through better training etc., while helping to increase the tangible value of forest products for communities by paying fairer legal prices.
Non-forest dwellers (rural)	Highly effected (not as much as forest dwellers), because they often rely on forest and tree products; currently lower influence than forest dwellers on forestry decision making	Should not be forgotten as a stakeholder (not only focus on forest dwellers); it is suggested that after forest dwellers they should have the second highest influence
Civil society organizations – non government organizations etc.	Varies from organization to organization. Those that work closely with forest dependent stakeholders are often quite accountable to the forest communities, and some NGOs along with supporting development partners are influential on forestry decision making	Should increasingly play facilitation role to increase the voices of stakeholders 1 – 4, but in terms of their own influence it should not increase substantively. Some NGOs that will be involved in REDD+ support should become even more accountable to community members engaged in these pilots.
Ethiopian Wildlife Conservation Authority	One of the most highly influential government bodies on forestry, particularly related to protected areas; needs to improve its engagement with local level forest stakeholders although some promising examples of cooperation with local stakeholder engagement	Should increase engagement with local level forest stakeholders before REDD+ implementation and examine more partnership and benefit sharing opportunities with local stakeholders.

Source: Draft Ethiopia R-PP (2010, 27-32).

5.2 Identifying Effective Engagement Approaches for Different Objectives

There remains a great deal to be learned about which approaches for engaging stakeholders (from information sharing to empowerment) are most suitable given different objectives and contexts and how to implement these approaches in practice. As there are numerous examples of practitioners trying innovative approaches to manage various challenges (see Box 3 for example or “Lessons Learned” documents in Appendix B), capturing early lessons from ongoing processes about different approaches used, taking into account differences in context, objectives and stakeholders as identified in Section 4, and assessing their effectiveness in different cases, will be useful.

In many cases, as exemplified by the process thus far in the Democratic Republic of Congo (DRC), a multitude of approaches may need to be used to manage a large stakeholder process. In the DRC case (Box 3), a combination of information sharing and consultation is planned for a larger group of stakeholders, and joint decision making may be undertaken with representatives of various stakeholder groups. Although still only starting up, there have already been some challenges, which the organizers of the stakeholder engagement process have had to manage, such as identifying appropriate representatives to participate in the process.

Box 3: Using a Mix of Approaches: An Example from the Democratic Republic of Congo

In the Democratic Republic of Congo (DRC), as in many other REDD+ countries, there are some very practical considerations that influence how different stakeholders can be engaged in REDD+ policy processes, including:

- a) The size of the country and its forested areas;
- b) Accessibility of people in the forest areas; and
- c) Limited or no platforms, processes, and experiences for engaging with stakeholders.

In places where such conditions exist, especially the lack of existing platforms and networks to work with and through, it is more time consuming and difficult to engage stakeholders, even simply for capacity building purposes. Without trusted networks that can be used to ensure information is being shared broadly, it takes additional time to actually build those networks and ensure that they are functioning as needed, including identifying representatives able to speak for the groups in consultations or negotiations (Harvey et al. 2010). Such limitations become even more difficult to address in national or regional decision-making processes, where direct participation of local stakeholders is unfeasible. In the case of the DRC, both organizers and participants in the REDD+ processes have identified these issues as major challenges to address moving forward (Accra Caucus 2010; Gari 2010). In an attempt to address this issue, the DRC has developed a mix of participation approaches that combine elements of information sharing, consultation, and collaboration.

First, a project is under preparation to bring information about REDD+ to the local level. This project is expected to last one year and consists of a full week of events on REDD+ in each of the 144 territories of DRC. Each week will include education and training, information, and communication activities. Some consultations may also occur, though it is not clear on what subject exactly. This project also aims to foster the organization of local networks of REDD+ focal points, which will be able to do further capacity building and information sharing about REDD+ at the village level (Monteils, 2010).

Second, in order to ensure representation of civil society organizations within the REDD+ process, The Groupe de Travail Climat REDD (GCTR) was developed to participate in the National REDD Committee. This committee was created as part of a decree, approved by the Council of Ministers, and was subsequently signed by the Prime Minister. A National Coordination team, an Interministerial Committee as well as the National REDD Committee were put in place by the decree to manage REDD+ processes and activities, each with specific responsibilities described below.¹⁰ In order to meet the provision in article five of the Decree, which states that one-third of the members on the National REDD Committee should be representatives from civil society and indigenous peoples' organizations, the GCTR was created.

The functions of the National Committee are to define key policy, orientations, and actions on REDD; approve the REDD work plan and core activities/results; support resolutions of the Interministerial Committee and review activities of the national coordination body; ensure the follow up monitoring and evaluation of the REDD process; and set up a fund for the management and redistribution of allocations and resources coming from REDD. Although the National REDD Committee, and therefore the GCTR members, did not have decision-making power during the initial R-PP phase (Accra Caucus, 2010), it is hoped that this body will become an important part of the designing and implementing team. In theory, if the GCTR representatives are seen as credible representative and have a vote during the decision making processes, this could be an example of a collaborative or joint decision making approach with representatives from civil society and indigenous peoples. Ultimately the GCTR may evolve into just one of a number of representative platforms for civil society organizations (Monteils 2010).

In addition, the design of the REDD+ national strategy will build on stakeholder input gained through the Groupes de Coordination Thématique established to get feedback for each REDD+ option. This plan will offer additional opportunities for civil society to engage, though the exact process to do so is still being designed. Finally, the plan indicates another set of information sharing activities (e.g., REDD+ "university sessions") will be undertaken to raise overall stakeholder awareness of climate change and REDD+ processes, although these processes are aimed at the more easily accessible stakeholders.

The success of these approaches will become clearer over time and depend on a number of factors. For example, the ability of groups like the GCTR to be seen as legitimate by those it is representing outside of the capital, as well as the ability of the current National REDD team to effectively reach stakeholders outside the capital. Still, the DRC provides an example of how one country is seeking to address three challenges that are faced in numerous other countries.

Sources: DRC R-PP (2010); Interviews with Joseph Gari, and Pacifique Mukumba Isumbisho; Accra Caucus (2010) DRC Case Study

10 FCPF (2010a) DRC R-PP, page 16

While it will be useful to continue to track and learn from the DRC and other processes, to date most REDD+ stakeholder engagement processes are just getting underway, making it difficult to assess their effectiveness for achieving outcomes. Also, most processes have focused primarily on information **sharing** and some limited **consultation** (see Box 4), which provide only limited insights into the types of stakeholder engagement processes countries will likely require for moving forward. For example, many of the R-PPs and NPDs submitted have identified concrete roles for various types of stakeholders – both governmental and non-governmental – in the development and implementation of activities, including monitoring and enforcement. For these stakeholders to be sufficiently engaged to undertake these activities, it will likely be necessary for practitioners to consider other types of stakeholder engagement approaches. Looking beyond REDD+ to capture lessons from other processes would provide additional information and insights for those developing and implementing stakeholder engagement processes.



For example, it would be interesting to learn more about what stakeholder engagement approaches have been successfully used to include staff from other public sector offices to agree on what a policy needs to achieve, improve implementation capacity, and reduce conflicts associated with implementing activities. These objectives are listed in a number of the R-PPs and NPDs as the goals for developing national REDD+ management structures that include other public sector ministries, agencies, and institutions.¹¹ It is not clear however, beyond the capacity building activities often listed, how such actors should be engaged.

Given that a number of the readiness preparation proposals (R-PPs) and NPDs also mention the need to engage local communities and indigenous peoples in implementing, monitoring, and evaluating REDD+ activities,¹² approaches used to engage stakeholders in monitoring and evaluating other environmental activities could be useful.¹³

11 See for example the R-PPs of Argentina and Nepal, and the R-PP and NPDs of Vietnam, Argentina, and Nepal

12 See for example Ethiopia, Madagascar, Tanzania and Vietnam proposals

13 For example, lessons from stakeholder participation in biodiversity projects could be consider. See BBOP 2009.

Box 4: The role of stakeholders in drafting initial R-PPs and NPD

In the documents submitted to the FCPF and UN-REDD Programme to finance REDD+ readiness, countries are requested to describe their process for engaging stakeholders in drafting the documents and to articulate how stakeholder consultation will be conducted as part of the implementation of readiness activities. In the case of the UN REDD Program, countries are also required to have a workshop to validate the contents of the NPD with key stakeholders. While the documents submitted are draft strategies that will require further refinement, these documents are nonetheless defining how countries will move forward with REDD+ readiness and allocate resources from different multilateral, bilateral, and domestic sources.

A desktop review of the stakeholder engagement activities conducted in the process of developing the initial R-PPs and NPDs, as well as discussions with REDD+ country stakeholders, allowed the authors to identify the most common approaches that have been undertaken thus far in the readiness phase:¹⁴

- a) Information Sharing/Consultation/ Collaboration by the R-PP/NPD drafting team: The comprehensiveness of engagement with different stakeholders in drafting the initial R-PPs submitted has been highly variable. In some cases authors did reach out to other national government actors and select civil society actors and indigenous peoples' representatives when writing the documents, including their ideas, and sometimes even allowing stakeholders to write entire sections of the document (see Paraguay example below). In other cases, authors simply listed all actors who shared information with the authors, whether or not their input was utilized.
- b) Information Sharing/Consultation with some key stakeholder representatives: In addition to engaging actors in the drafting process, there were also additional outreach activities (e.g., workshops and meetings) in a number of countries. Depending on the country, the scope of the engagement ranged from information sharing to consultation. Where consultation took place, authors have specifically listed how comments were taken into account in the final document. In addition, the types of stakeholders engaged, and especially the geographic spread and quantity, differed significantly country by country. For example, in some cases local or sub-national governments were actively engaged, but in others not as explicitly. Some countries held extensive information sharing activities; e.g., Nepal conducted over 57 workshops at national, regional, and district levels, and in other cases countries held far fewer workshops, e.g., closer to 15 workshops. (FCPF, 2010b)
- c) Consultation with actors with specific expertise relative to REDD+: In many cases, authors of the R-PP differentiate between actors whose livelihoods will directly be impacted by REDD+ policies and programs, and those who have technical expertise that will be relevant for the design of readiness and REDD+ strategies (e.g., domestic and international actors with data about deforestation, expertise in accounting issues, community development expertise, etc.). The need to build capacity of directly impacted stakeholders, so that they can participate in decision-making processes, is often one of the objectives of the stakeholder consultation and participation plans put forward by countries. However, thus far established experts have been more comprehensively engaged in the initial phases of the R-PPs.

14 Note that the stakeholder consultation plans were not reviewed as the implementation of these activities is not yet documented.

5.3 Participation and Free Prior and Informed Consent

Indigenous peoples have been identified as key stakeholders for REDD+ processes in numerous countries. Not only do indigenous peoples inhabit many of the remaining tropical forest areas, they are often their most effective managers (Nelson and Chomitz, 2009). In addition to being stakeholders, they are also often rights-holders as a result of both domestic laws and international agreements. Where decisions may impact their rights, the objective of participation is to ensure that indigenous peoples' rights are respected. In this regard, free, prior, and informed consent (FPIC) processes are emerging as the best practice standard for engaging indigenous peoples. The FPIC principle implies that whatever the form of consent, it must be: (a) free of coercion; (b) obtained prior to the commencement of project activities; and (c) informed through access to all the information necessary to make the decision, including knowledge of legal rights and the implications of the project (Herbertson et al. 2009).

However, since FPIC practices have primarily evolved in the context of getting the consent for specific projects, such as the development of dams, mining projects, or roads, the application of FPIC in the context of REDD+ decision making processes such as national REDD+ plans is much less clear. Nor is it clear what the intersection is between different types of stakeholder engagement processes and consent. The authors of this paper do not claim to have a fully clarified articulation of how FPIC and stakeholder engagement processes overlap or are complimentary. This is a space however, where a number of experts and lawyers are seeking to clarify the issue for the many different layers of REDD+ decisions.

What can be seen is that based on the NPDs and R-PPs submitted to date, indigenous peoples mostly have been engaged using information sharing approaches and limited consultation processes around specific issues, such as how they should be consulted moving forward. Stakeholder engagement plans in the NPDs and R-PPs often articulate ambitions for deeper engagement in the future; however, they lack detail on the specific approaches that will be used during the decision making process and do not clearly define the point at which consent needs to be granted. In fact, most documents do not use the term consent, but only consultation, which creates confusion with regard to what is being discussed.

Also, while legally none of the stakeholder engagement approaches listed in Table 1 would ensure or could replace the right to give or withhold consent, it is possible that some of the approaches, such as joint decision making and empowerment during the design of REDD+ strategies, would be vital to helping indigenous peoples feel comfortable with participating in REDD+ implementation activities. For example, if indigenous peoples are given secure rights and responsibilities to implement REDD+ activities on their lands as part of a REDD+ strategy, they may be more willing to trust that REDD+ activities would not result in losing lands or rights. Similarly, using a joint decision making approach to develop and implement REDD+ strategies may help to assure indigenous communities that activities will benefit them.

Such approaches will need to be developed while still engaging at higher and earlier levels of policy making, as part of building trust. The stakeholder engagement process for REDD+ in Paraguay provides an example of how decision makers started the process of collaboration with indigenous peoples at an early stage in the drafting of the NPD for the UN-REDD Programme (see Box 5). However, this is an issue that will require increasing attention as readiness and REDD+ activities move from strategy development to implementation. Further consideration of this issue, and focused exchange of ideas and practices between countries and indigenous peoples, will serve to clarify and establish practices that respect the rights of forest-dependent indigenous peoples and other rights holders.

Box 5: Paraguay's Collaboration with Indigenous Peoples

In Paraguay, the decision to work in collaboration with indigenous peoples was made early. The development of the UN-REDD National Program in Paraguay has been guided by the *UN-REDD Programme Operational Guidance on the Engagement of indigenous peoples and Other Forest Dependent Communities*¹⁵, which underscores the importance of respecting indigenous peoples' rights, including ensuring their full participation and inclusion, and seeking their free, prior, and informed consent, per the provisions of the UN Declaration on the Rights of Indigenous Peoples (UNDRIP). As a result, the Secretariat for the Environment (SEAM), the National Forestry Institute (INFONA), with the support of the UN-REDD institutions -- FAO, UNDP, and UNEP -- have been working closely with the Coordinating Committee for indigenous peoples (CAPI) and other civil society organizations since late 2008 to develop a proposal for a national capacity building REDD+ program in Paraguay.

CAPI, the main coordinating body of Indigenous organizations in Paraguay, is composed of 14 organizations of indigenous peoples and one of the members of the National Technical Team working on the National Joint Program. Since October of 2009, CAPI has held four informative workshops on climate change, REDD+ and UN-REDD Programme concepts, principles and operational modalities, which provided key elements for the proposal. One of the key contributions of CAPI derived from this process is Chapter 3 of the National Program document, entitled "Guidelines of the Coordination for Self-Determination of the indigenous peoples (CAPI) for implementation of the National Joint Program in indigenous peoples' Territories". This is the first time that a UN-REDD National Program has included such a chapter. The chapter states 14 key points that will guide the implementation of the National Program in indigenous peoples' territories. For example, one of the guidelines states that, "no REDD+ activity will be initiated without the free, prior and informed consent of such peoples or community." Furthermore, output 3.2 of the National Program includes an activity for the development of a consultation protocol for free, prior, and informed consent for REDD+.

On June 25, 2010, following intensive working sessions between SEAM, INFONA, and CAPI, the National Technical Team pre-approved a preliminary draft of the UN-REDD National Program, which was subsequently approved by the UN-REDD Programme Policy Board in early November. The Paraguayan National Technical Team (SEAM, INFONA, and CAPI) has continued with the consultation and awareness raising process for the document among indigenous peoples' groups and representatives of government and civil society. Comments from these stakeholders, UN-REDD Programme staff, and other relevant actors will be incorporated into the proposal in early 2011, and the National Technical Team hopes to initiate its implementation in mid-2011.

15 This document can be accessed at <http://www.un-redd.org/Home/EngagementofIPs/tabid/1033/language/en-US/Default.aspx>

5.4 Managing Time and Expectations

Both practitioners and participants of REDD+ stakeholder engagement processes have noted that one of the biggest challenges relating to establishing comprehensive participation mechanisms for the implementation of REDD+ is managing time. For both governmental and non-governmental actors seeking to work together it takes time, human resources, and experience to:

- Develop effective approaches for engaging actors in a specific country context;
- Identify and reach stakeholders, to identify how best to engage them, and to build stakeholder capacity;
- Build trust and manage conflicts¹⁶, especially where there has been historical mistrust; and
- Make the best decisions about the most mutually advantageous way forward.

Box 6 provides an example of the time being envisaged for engaging stakeholders at the district level in Indonesia. The engagement process being built into the project is not for days or weeks, but years.

Box 6: Thinking long-term: stakeholder engagement in Berau

The community engagement work plan for starting up Indonesia's Berau Forest Carbon Program (BFCP) provides an example of the time required to start an effective engagement process. The work plan includes the engagement of 17 communities in targeted landscapes. Setting the foundations for long-term engagement will evolve over the first five years of the project. It is envisaged that there will be at least three years of engagement activities in each community, with periods of intense interaction in the first year, followed by intermittent engagement subsequently, as initial villages graduate from the need for assistance. Over the life of the program, staff of the project management unit will transfer community engagement skills to government counterparts and local NGOs as a means to develop enduring capacity that will be needed to support a low-carbon economy in Berau. (Berau Forest Carbon Program, Business Plan for the Community Engagement Component of the Berau District Model REDD Program, 2010, 7 and 24)

As many decision makers have pointed out, time is frequently in short supply and is often the reason provided for abbreviated stakeholder engagement processes. In many cases, time is lost when the organizers of the engagement process do not clearly explain the procedures to stakeholders and then follow them. This often results in mismatched expectations about the process and frustration on all sides. In such cases, stakeholders may feel that their time is being wasted and can make them subsequently less willing to engage constructively. Establishing a process with clear expectations, tasks, and timelines is therefore to the advantage of both implementers and participants in stakeholder engagement processes. Since operational concerns such as setting clear timelines have been identified as an ongoing

¹⁶ Effective engagement often requires a trained facilitator to run meetings where opinions and experience can be deeply divided. A facilitator who is viewed as neutral by all participants, has a deep understanding of the context, actors, and institutions involved in the process and issues at hand, and who can ensure that everyone has equal opportunity to participate is an essential element for a fair, representative, and participatory process of stakeholder engagement. (World Bank, 2007; Millennium Villages Handbook 2008; Sheedy, 2008)

challenge for REDD+, increased information sharing on how to handle logistics of stakeholder engagement will be beneficial for practitioners seeking to improve the quality of participatory processes. For example, practitioners could discuss how they:

- Communicated the objectives of the stakeholder engagement process, such as whether and how information collected would be used in a decision-making process;
- Ensured that logistics were reasonable for those participating, e.g., sufficient advance notice to read documents and plan meeting attendance;
- Ensured the participation of stakeholders not locally based;
- Provided timelines for the expansion of the stakeholder engagement processes and information about different processes occurring;
- Made stakeholder engagement activities compelling, fun, and giving stakeholders the opportunity to feel safe enough to express opinions;
- Ensured adequate facilitation for well-organized and well-run meetings;
- Reported back not only what occurred in a meeting, but how the information was ultimately used if input into a decision-making process was expected; and
- Provided a clear method for stakeholders to present their grievances.¹⁷

Although some of the documents on REDD+ stakeholder engagement start to discuss these issues, there is still much more to learn.

5.5 Grievance or Recourse Mechanisms and Conflict Management

The potential for conflict and grievances in REDD+ processes is significant since livelihoods and rights to resources and land are likely to be directly impacted by the interventions. Grievances have the potential to arise at all stages of the design and implementation of REDD+ activities, including during the stakeholder engagement process itself, if stakeholders feel their rights are not being respected. While including stakeholders in decision-making processes early on will mitigate some of the risks of conflict, it will not mitigate all risks. Since what start out as minor grievances can escalate into larger conflicts and even small activities can change power dynamics and create tension, the likelihood of future conflicts that cannot be predicted at the outset is high (Herbertson et al. 2009).

Therefore, effective stakeholder participation processes need dedicated institutions or mechanisms, often called a grievance mechanism, through which stakeholders are able to raise concerns, grievances, and legitimate complaints throughout the process of designing and implementing activities (RFN, 2010). Establishing a grievance and/or resource mechanism as soon as stakeholder identification begins, appropriate for the scale of the process being undertaken, can be helpful to provide ongoing mitigation of these risks, and will be especially important when implementing activities at the community level. Often such mechanisms include mediation and/or conflict resolution components. As noted by Herbertson et al. (2009, 25),

17 See Erikson 2010; FCPF 2009b; Foti et al 2008; Sheedy 2008; Harvey et al.,2010; UN-REDD 2009a; among others.

“[s]uch mechanisms will not replace stakeholder’s access to courts, but can be a less expensive and more expedient way to resolve grievances. By providing a procedure for communities to raise grievances and resolve them through dialogue . . . minor impacts do not create larger risks for the project.”

There are many different types of grievance mechanisms currently being applied that REDD+ decision makers could learn from at project, national, and the international levels.¹⁸ At the project level, there are even examples and guidance documents for how to develop alternative conflict management methods, such as arbitration and mediation approaches.¹⁹ However, there has been little analysis to date about how these may be applied in the REDD+ context.

Practitioners developing REDD+ stakeholder processes would potentially benefit from having their work informed by practitioners working on grievance mechanisms in different contexts to better understand the options and what is necessary in the various stages of REDD+ policy development and implementation.



6. NEXT STEPS

In order for the Interim REDD+ Partnership to achieve its objective of serving as a platform for sharing information and begin to identify best practices with regards to stakeholder engagement processes, the following next steps are recommended for consideration by the Partners.

Systematically collecting and categorizing information from different partners and actors

There will be an increasing body of information about stakeholder engagement processes in the coming years. For example, as decision makers move forward with their stakeholder consultation and participation plans in programs like the FCPF and UN-REDD, the evaluation of the effectiveness of the approaches followed will likely be part of mid-term or final reviews. If those reporting on such processes can use common terms and provide an independent, evidence-based assessment of what worked and what didn’t, their reports and evaluations will result in very useful information. In addition, there are

18 See for example the cases collected in RFN 2010.

19 See for example those developed by the FAO which aim for joint conflict resolution by transforming stakeholders into active and responsible decision-makers with regards to land tenure processes.

many other stakeholder engagement processes occurring outside these programs where interesting experiences and approaches have occurred (and are occurring) that may be relevant.

In order to simplify and encourage the collection of such data in a manner useful for information sharing the Interim REDD+ Partnership could:

a) Encourage partners to provide information about stakeholder engagement approaches in documents they are already submitted to various REDD+ programs (e.g., FCPF, UN-REDD, FIP) in a more systematic manner. Using the three parameters listed in Section 4 and being more specific about the type of engagement approach used, such as those described in Table 1, would be a starting point.

b) Identify where there may be a need to collect additional examples about stakeholder engagement practices in a more systematic manner to inform conversations, potentially from non-REDD+ processes (see above topics for example) and work with NGOs, international organizations, and/or in-country actors to generate examples that can be specifically useful for REDD+ processes and shared through the Interim REDD+ Partnership platform.

c) Encourage all partners, governmental and non-governmental, to have independent evaluations of their stakeholder engagement processes in order to further understanding about where such processes have been effective and can start to provide best practice guidance for other practitioners to consider. This will also help countries know whether they are using their resources effectively and how to build on past experiences to improve new processes being developed.

Box 7: The importance of evaluation processes for learning

Some of the pilots for developing stakeholder engagement processes for REDD+, such as the pilot FPIC program in Vietnam, have provided the resources to engage an independent evaluator to assess the quality of the process. The resulting independent evaluation document on the Vietnam pilot provides useful information that enhances information provided in the report written by the organizers describing what steps were taken and the lessons learned from their perspective. The evaluators interviewed the participants of the process after the fact, and therefore could express where stakeholders found the steps taken were effective and built trust, for example their understanding of the issues being discussed and the choices that needed to be made. The stakeholders also felt comfortable enough to clearly express where there were issues with the process, for example in relation to the amount of time they had for making a decision, and this too is captured in this document. Where future processes are undertaken in these or other communities, such considerations can be taken into account when adjusting the process to make it even more effective.

20 The report is available at http://vietnam-redd.org/Upload/CMS/Content/REDD%20projects/UN-REDD%20VN/Viet%20Nam_FPIC%20Final%20Evaluation%20Report.pdf

21 The report is available at http://vietnam-redd.org/Upload/CMS/Content/REDD%20projects/UN-REDD%20VN/Viet%20Nam_FPIC%20Final%20Evaluation%20Report.pdf

While recommendation (b) is potentially time consuming and will require partners putting forward resources to collect this information, collecting a broader sampling of information (especially on areas where less information is currently available) across all five dimensions discussed above (e.g., mapping and categorizing stakeholders, engagement approaches, managing expectations, and grievance mechanisms) will be helpful in informing future practices.

In addition, as a result of this exercise, partners may be in a better position to assess the types of information needed in a system to track whether the participation safeguards in the Cancun REDD+ decision are being addressed and respected as part of developing and implementing REDD+ actions. This information could be helpful for guiding SBSTA, REDD+ readiness programs and countries looking to develop guidance or the actual systems.

Sharing information and ideas: Developing a community of practice

Where documents and presentations are available, one practical approach to sharing information will be to post the categorized information on a purpose-built website, such as the REDD+ Partnership website. However, in order to have more in-depth sharing of the information, practitioners of stakeholder engagement processes and participants of the ongoing REDD+ processes could be brought together around different themes. For example, a meeting or session might focus on engaging different public sector actors; another might focus on approaches for reaching indigenous peoples and local communities residing far from the capital cities. Inviting a broad set of actors who have organized and participated in such processes would be helpful in getting a full set of perspectives and experiences.

The Interim REDD+ Partnership could undertake several steps to help develop such a community:

- Work with the REDD+ Partnership secretariat or other partners (countries, NGOs, etc.) to organize such meetings and bring practitioners together around a set of themes.
- Develop a list of REDD+ stakeholder engagement practitioners for each of the REDD+ countries to allow partners or practitioners interested in convening these types of discussions, or wishing to directly contact other practitioners, to be able to undertake such activities outside of the REDD+ Partnership umbrella.



Developing a Compendium of Successful Approaches

Different country contexts and cultures preclude a “blueprint” template for stakeholder engagement. However, the REDD+ Partnership secretariat could build a compendium of approaches that have been recognized as successful in a given context to help generate new ideas. Sections of the compendium could be generated as a result of the meetings with practitioners and stakeholders around specific issues or after processes have been independently evaluated and found to be effective. Inclusion of successful processes that have occurred in the past around forest management and land use issues would be very helpful. Over time it may be possible to identify and standardize common practices for different type of REDD+ decision-making processes.



APPENDIX A: STAKEHOLDER ENGAGEMENT GUIDANCE DOCUMENT LITERATURE REVIEW, BY AUTHOR

A desk review of stakeholder engagement literature was conducted, reviewing more than 30 documents that provide guidance on stakeholder engagement in decision-making processes. Eleven (11) of the documents reviewed are general guidance documents on stakeholder engagement; an additional 18 documents are specific to stakeholder engagement in REDD+ processes. Documents are further loosely categorized by their level of analysis: (1) Guidelines documents, which present key principles, core concepts, guidelines, standards, or handbooks presenting specific steps on stakeholder engagement; (2) Process documents, which review stakeholder engagement processes and practice, with guidance on implementation; and (3) Lessons Learned, which includes analysis that goes beyond process to include case studies and/or identification of lessons learned. Information in parentheses following citation indicates (1) category of guidance document (General or REDD+ -Specific), and (2) the level of analysis (Guidelines, Process, or Lessons Learned).

Literature Review: Stakeholder Engagement Guidance Documents

AccountAbility (2005). "Stakeholder Engagement Standard: Exposure Draft" September 2005. <http://www.accountability.org/images/content/0/4/047/SES%20Exposure%20Draft%20-%20FullPDF.pdf> (General, Guidelines)

Accra Caucus (2010). "Realizing rights, protecting forests: An Alternative Vision for Reducing Deforestation: Case Studies from the Accra Caucus" Accra Caucus on Forests and Climate Change. June 2010. http://www.careclimatechange.org/files/reports/Accra_Report_English.pdf (REDD+, Lessons Learned)

Bleaney, A., and Saint-Laurent, C. (2009) "Review of practices on NGO/CSO Participation and Recommended Measures for NGO Representation at Meetings of the CIF trust Fund Committees" IUCN Forest Conservation Programme. IUCN. January 2009 http://siteresources.worldbank.org/INTCC/Resources/Review_of_Practices_NGO-CSO_Particiaption_Final.pdf (General, Guidelines)

Business and Biodiversity Offsets Programme (BBOP). 2009. *Biodiversity Offsets and Stakeholder Participation: A BBOP Resource Paper*. BBOP, Washington, D.C. www.forest-trends.org/biodiversityoffsetprogram/guidelines/participation.pdf.

CCBA (2008). "Climate, Community and Biodiversity: Project Design Standards. Second Edition." Climate, Community and Biodiversity Alliance (CCBA). December 2008. http://www.climate-standards.org/standards/pdf/ccb_standards_second_edition_december_2008.pdf (General, Guidelines)

CCBA (2010). "Climate, Community and Biodiversity: REDD+ Social and Environmental Standards. Version 1". Climate, Community and Biodiversity Alliance (CCBA), June 2010. <http://www.climate-standards.org/redd+/> (REDD+, Guidelines)

ClientEarth (2010). "Guidelines to support modalities for Stakeholder Participation" July 23, 2010. <http://www.clientearth.org/legal-briefing-stakeholder-participation-in-redd-plus> (REDD+, Guidelines)

Costenbader, J. (Ed.) (2009) "Legal Frameworks for REDD: Design and Implementation at the National Level" IUCN Environmental Policy and Law Paper No.77. IUCN. 2009. http://www.iucn.org/unfccc/events/2010_cancun/publications/?uPubsID=3943 (REDD+, Process)

Erikson, J. (2009). "IUCN's role as facilitator in Cameroon's multi-stakeholder consultations for a Voluntary Partnership Agreement" IUCN Forest Conservation Programme. April 2009. http://cmsdata.iucn.org/downloads/cameroon_msd.pdf (REDD+, Process)

FCPF (2009a). Forest Carbon Partnership Facility (FCPF) Readiness Mechanism: National Consultation and Participation for REDD. Note FMT 2009-2. World Bank. May 6, 2009. http://www.forestcarbon-partnership.org/fcp/sites/forestcarbonpartnership.org/files/Documents/PDF/FCPF_FMT_Note_2009-2_Consult_Particip_Guidance_05-06-09_0.pdf (REDD+, Guidelines)

FCPF (2009b). "Reducing Emissions from Deforestation and Forest Degradation: Forest Carbon Partnership Facility. Consultation and Participation in R-Plan Formulation & Implementation" (Power-point). Participants Committee Meeting (FCPF PC2), World Bank. Gamboa, Panama March 11-13 2009. (REDD+, Guidelines)

Foti, J., with L.deSilva, H.McGray, L.Shaffer, J.Talbot, J.Werksman. (2008) "Voice and Choice: Opening the Door to Environmental Democracy" World Resources Institute. 2008. <http://www.wri.org/publication/voice-and-choice> (REDD+, Lessons Learned)

Governors' Climate and Forests (GCF) (2010). "Draft Guidance Document: Stakeholder Involvement Policy for the Governor's Climate and Forests Task Force" Governors' Climate and Forests (GCF) Stakeholder Involvement Ad-Hoc Group. August 18, 2010. http://www.gcftaskforce.org/documents/Draft-GCF_Stakeholder_Involvement_Policy.pdf (REDD+, Guidelines)

Groupe URD (2009). "The Participation Handbook for Humanitarian Field Workers" 2009. <http://www.alnap.org/resources/guides/participation.aspx> (General, Guidelines)

Harvey, C.A., Zerbock, O., Papageorgiou, S., and Parra A. (2010) "What is needed to make REDD+ work on the ground? Lessons Learned from pilot forest carbon initiatives". Conservation International. http://www.reddmexico.org/index.php?option=com_content&view=category&layout=blog&id=57&Itemid=120 (REDD+, Lessons Learned)

Herbertson, K., Ballesteros, A., Goodland, R., Munilla, I. (2009). "Breaking Ground: Engaging Communities in Extractive and Infrastructure Projects". World Resources Institute. 2009 http://pdf.wri.org/breaking_ground_engaging_communities.pdf (REDD+, Process)

Holdar and Zakharchenko, Eds. (2002) "Citizen Participation Handbook: People's Voice Project" International Centre for Policy Studies. Ukraine. August 2002. www.icps.kiev.ua/projects/eng/peoples_voice (General, Guidelines)

IFC/MIGA. 2008. "A Guide to Designing and Implementing Grievance Mechanisms for Developing Projects". Advisory Note. International Finance Corporation and Multilateral Investment Guarantee Agency, Compliance Advisor/Ombudsman (CAO). 2008. http://baseswiki.org/w/images/en/1/17/CAO_Guidance_on_Grievance_Mechanisms.pdf (General, Guidelines)

IMAFLOA, ed. (2010). "REDD+ Social and Environmental Principles and Criteria: For development and implementation of programs and projects in the Brazilian Amazon" Multi-stakeholder collaboration. July 2010. http://www.fasamazonas.org/pt/useruploads/files/social_and_environmental_pc_for_redd+_in_brazil_final_version.pdf

Kissenger, G. (2010) "Lessons Learned: Engaging Civil Society in REDD+ Programme (2009-2010)" Report prepared for World Wildlife Fund Forest Carbon Initiative. July 2010. http://www.reddmexico.org/index.php?option=com_content&view=article&id=369&Itemid=254 (REDD+, Lessons Learned)

Konecky and Palm, Eds. (2008) "Millennium Villages Handbook: A Practitioners' Guide to the Millennium Villages Approach" Earth Institute at Columbia University, New York. June 18, 2008. http://www.millenniumvillages.org/docs/MVP_Handbook_complete_18jun08.pdf (General, Process)

Rainforest Foundation Norway (RFN). 2010. Building accountability in REDD+ through independent grievance and redress mechanisms. Oslo, Norway, December 2010. <http://www.regnskog.no/Languages/English/12765.cms> (REDD+, Process)

REDD+ Partnership (2010). "Interim REDD+ Partnership: Modalities of Stakeholder Participation" Tianjin, October 9, 2010. <http://reddpluspartnership.org/23477-072817a5ccf72c2071aa1da88ca5a294e.pdf> (REDD+, Guidelines)

Richards, M. and Panfil, S. (2010) "Manual for Social Impact Assessment of Land-Based Carbon Projects. Version 1.0" Forest Trends, Climate, Community & Biodiversity Alliance. June 1, 2010. <http://www.forestcarbonportal.com/resource/manual-social-impact-assessment-land-based-carbon-projects> (REDD+, Process)

Secretariat of the Convention on Biological Diversity (2004). Akwé: Kon Voluntary Guidelines for the Conduct of Cultural, Environmental and Social Impact Assessment regarding Developments Proposed to Take Place on, or which are Likely to Impact on, Sacred Sites and on Lands and Waters Traditionally Occupied or Used by Indigenous and Local Communities Montreal, 25p. (CBD Guidelines Series). <http://www.cbd.int/doc/publications/akwe-brochure-en.pdf> (General, Guidelines)

Sheedy, A. (2008) "Handbook on Citizen Engagement: Beyond Consultation". Canadian Policy Research Networks, Réseaux Canadiens de Recherche en Politiques Publiques. March 2008. http://www.sasnet.org/documents/Resources/Handbook%20on%20Citizen%20Engagement_Beyond%20Consultation.pdf (General, Guidelines)

Tan, Nguyen Quang, Truong, Luong Thi, K'Tip, Nguyen Thi Hai Van (2010). "Evaluation and Verification of the Free, Prior, Informed Consent Process under the UN-REDD Programme, Lam Dong Province, Vietnam. RECOFT. Hanoi, July 2010.

The Nature Conservancy (TNC) (2010). "Berau Forest Carbon Program: Business Plan for the Community Engagement Component of the Berau District Model REDD Program. Final Report" Berau Forest Carbon Program – Community Involvement Component. The Nature Conservancy. March 2010. (REDD+, Process)

UNECE (2000). "Public Participation in Making Local Environmental Decisions: The Aarhus Convention Newcastle Workshop, Good Practice Handbook". Sustainable Development Unit, Department of the Environment, Transport and the Regions. UNECE. UK. July 2000 <http://www.unece.org/env/pp/ecases/handbook.pdf> (General, Process)

UN-REDD Programme. (2009a) "Operational Guidance: Engagement of Indigenous Peoples and Other Forest Dependent Communities" Working document. April 20, 2009. <http://www.un-redd.org/Home/EngagementofIPs/tabid/1033/language/en-US/Default.aspx> (REDD+, Guidelines)

UN-REDD Programme (2009b) "Engaging Civil Society in REDD – Best Practice in the Democratic Republic of Congo" UN-REDD Programme, November 2009. <http://europeandcis.undp.org/environment/sthelenashow/59787F57-F203-1EE9-B7DD3AC2958A8CA8> (REDD+, Process)

World Bank (2007). "Consultations with Civil Society - A Sourcebook" NGO and Civil Society Unit, Social Development Department. World Bank. 2007 <http://siteresources.worldbank.org/INTRANETSOCIALDEVELOPMENT/873204-1111663470099/20489462/ConsultationsSourcebook.pdf> (General, Process)

(2010) "REDD+ Social and Environmental Principles and Criteria: For development and implementation of programs and projects in the Brazilian Amazon" Multi-stakeholder collaboration. July 2010. http://www.fas-amazonas.org/pt/useruploads/files/social_and_environmental_pc_for_redd+_in_brazil_final_version.pdf (REDD+, Guidelines)

APPENDIX B: SYNOPSIS OF STAKEHOLDER ENGAGEMENT GUIDANCE DOCUMENT LITERATURE, BY LEVEL OF ANALYSIS

GENERAL GUIDANCE ON STAKEHOLDER ENGAGEMENT

GUIDELINES/HANDBOOKS

Includes documents presenting key principles, core concepts, guidelines, or standards, or handbooks on stakeholder engagement

- AccountAbility (2005). "Stakeholder Engagement Standard: Exposure Draft" September 2005. <http://www.accountability.org/images/content/0/4/047/SES%20Exposure%20Draft%20-%20FullPDF.pdf>

Guidance on stakeholder engagement for business, civil society organizations, and the public sector. Presents an open-source framework for improving the quality of design, implementation, assessment, communication, and assurance of stakeholder engagement for functional engagement, issue-based engagement, and organization-wide engagement.

- Bleaney, A., and Saint-Laurent, C. (2009) "Review of practices on NGO/CSO Participation and Recommended Measures for NGO Representation at Meetings of the CIF trust Fund Committees" IUCN Forest Conservation Programme. IUCN. January 2009. http://siteresources.worldbank.org/INTCC/Resources/Review_of_Practices_NGO-CSO_Particiaption_Final.pdf

IUCN review of current rules, practices and procedures examining how various international entities/ financing mechanisms, global programs and other funds allow for NGO/CSO participation in their Boards and the modalities for arranging participation. Attention also to key services and characteristics

of NGO/CSO participation and to measures to ensure transparency and efficiency of Board Meetings and balanced stakeholder representation. Processes for civil society organizations to self select representatives and the lessons learned are also reviewed. Aimed at international organizations and NGOs. (Reviews CGIAR, GEF, IFAD, EDRB, IDB, CED, RSB, GFD, UNFF, ENA-FLEG, FIP/GFP)

- CCBA (2008). "Climate, Community and Biodiversity: Project Design Standards. Second Edition." Climate, Community and Biodiversity Alliance (CCBA). December 2008. http://www.climate-standards.org/standards/pdf/ccb_standards_second_edition_december_2008.pdf

CCBA project design standards provide rules/guidance to encourage effective and integrated land-based projects designed to deliver GHG reductions and net positive multiple benefits to local communities and biodiversity. Require that REDD programs promote full participation of dispersed communities and formal villages in all aspects of REDD-supported activities. Aimed at project developers and other stakeholders (NGOs, agencies, communities), project investors and offset buyers, and governments.

(Note: CCBA Standards used by TNC in the Berau Forest Carbon Program Business Plan for Community Engagement Component (see below))

- Groupe URD (2009). "The Participation Handbook for Humanitarian Field Workers" 2009. <http://www.alnap.org/resources/guides/participation.aspx>

Contains detailed practical advice on participation of affected people in responses to humanitarian crisis, aimed at local and international organizations. Addresses developing a participatory approach, implementing a participatory approach, and list of tools and additional resources. Based on Global Study on Consultation and Participation of Disaster-affected Population (Groupe URD 2002-2004). Addressed to field-level response teams.

- Holdar and Zakharchenko, Eds. (2002) "Citizen Participation Handbook: People's Voice Project" International Centre for Policy Studies. Ukraine. August 2002. www.icps.kiev.ua/projects/eng/peoples_voice

Strategies, experience, methodologies for citizen participation in municipal government level decision-making, to increase influence of civil society in reforming local governments in Central and Eastern European countries. Provides strategic guidelines for engagement methodologies, including: citizen advisory groups, city strategic planning, coalition building, community organizing, participatory (action) research, participatory budgeting, public education, public hearings, report cards, social monitoring.

- IFC/MIGA. 2008. "A Guide to Designing and Implementing Grievance Mechanisms for Developing Projects". Advisory Note. International Finance Corporation and Multilateral Investment Guarantee Agency, Compliance Advisor/Ombudsman (CAO). 2008. http://baseswiki.org/w/images/en/1/17/CAO_Guidance_on_Grievance_Mechanisms.pdf

The advisory note offers practical guidance to assist in the design and implementation of effective project-level grievance mechanisms. It consolidates knowledge/lessons regarding grievance resolution from practical experience, studies, interviews, and a review of the literature. The Note is intended as a companion to IFC/MIGA performance standards and accompanying Guidance Notes. Directed at people/companies/ institutions interested in initiating a grievance resolution program.

- Secretariat of the Convention on Biological Diversity (2004). Akwé: Kon Voluntary Guidelines for the Conduct of Cultural, Environmental and Social Impact Assessment regarding Developments Proposed to Take Place on, or which are Likely to Impact on, Sacred Sites and on Lands and Waters Traditionally Occupied or Used by Indigenous and Local Communities Montreal, 25p. (CBD Guidelines Series). <http://www.cbd.int/doc/publications/akwe-brochure-en.pdf>

Voluntary guidelines aim to provide a collaborative framework for full involvement of indigenous and local communities in the assessment of cultural, environmental, and indigenous/community social concerns and interests, with respect to proposed developments on or impacting sacred sites, land or water traditionally used by indigenous and local communities. Includes guidance on how to incorporate traditional knowledge, innovations, and practice as part of the impact-assessment process and promote the use of appropriate technologies. Aimed at Parties to the Convention on Biological Diversity, Governments, and international financial and development agencies.

- Sheedy, A. (2008) "Handbook on Citizen Engagement: Beyond Consultation". Canadian Policy Research Networks, Réseaux Canadiens de Recherche en Politiques Publiques. March 2008. http://www.sasanet.org/documents/Resourcess/Handbook%20on%20Citizen%20Engagement_Beyond%20Consultation.pdf

Offers a starting point (not prescriptive manual) to citizen engagement in Canadian governing/governance, addresses concept, rationale, goals, challenges, and practical steps for citizen engagement, with tools and reference guides. Aimed at government officials – public servants and politicians.

PROCESS DOCUMENTS

Includes documents reviewing stakeholder engagement processes and practice, with guidance on implementation.

- Konecky and Palm, Eds. (2008) "Millennium Villages Handbook: A Practitioners' Guide to the Millennium Villages Approach" Earth Institute at Columbia University, New York. June 18, 2008. http://www.millenniumvillages.org/docs/MVP_Handbook_complete_18jun08.pdf

Focus on community-based, project-cycle capacity building and investment to realize national MDGs at local levels, and promote human security in impoverished rural areas. Handbook presents: (1) overview of steps to launch Millennium Village program, working with stakeholders, adapting to country/local context, and principals and guidelines on participatory approach, local governance, capacity development; (2) sector-specific overview and guidance, including cross-sectoral synergies and tradeoffs; and (3) additional resources and tools. Intended for governments, NGOs, others initiating planning and evaluation processes.

- UNECE (2000). "Public Participation in Making Local Environmental Decisions: The Aarhus Convention Newcastle Workshop, Good Practice Handbook". Sustainable Development Unit, Department of the Environment, Transport and the Regions. UNECE. UK. July 2000 <http://www.unece.org/env/pp/ecases/handbook.pdf>

Handbook presenting practical issues and good practice for public participation in public decision-making that affects the environment. Addresses preparation and challenges of participation, participation in decision-making, planning and programmes, and techniques. Written for government stakeholders, local authorities, NGOs.

- World Bank (2007). "Consultations with Civil Society - A Sourcebook" NGO and Civil Society Unit, Social Development Department. World Bank. 2007 <http://siteresources.worldbank.org/INTRANETSOCIALDEVELOPMENT/873204-1111663470099/20489462/ConsultationsSourcebook.pdf>

An interactive, hyperlinked working document. Intended as a reference document and practical guide to organizing consultations, for World Bank staff seeking information and "know how" on the use and organization of consultations for enhanced development effectiveness. Addresses consultation design, developing a profile of civil society, opportunities and constraints, organizing a consultation, consultative process and follow-up, and case studies. Written for World Bank staff, but appropriate for others.

REDD-SPECIFIC GUIDANCE ON STAKEHOLDER ENGAGEMENT

GUIDELINES/HANDBOOKS

Includes documents presenting key principles, core concepts, guidelines, or standards, or handbooks on stakeholder engagement

- "REDD+ Social and Environmental Principles and Criteria: For development and implementation of programs and projects in the Brazilian Amazon" Multi-stakeholder collaboration. July 2010. http://www.fas-amazonas.org/pt/useruploads/files/social_and_environmental_pc_for_redd+_in_brazil_final_version.pdf

Multi-stakeholder designed, and publicly vetted 8 principles and 27 criteria of social and environmental safeguards for REDD+ programs and projects in Brazil, to minimize socio-environmental risks to Indigenous Peoples, small land owners, and local communities. Intended as a guide for the development and application of forest carbon projects, REDD+ national government programs, to orient the application of national and international financial resources, and for the evaluation and independent validation of REDD+ projects in Brazil. (Note: For discussion of the Principles and Criteria, see Developing Safeguards for REDD+: The Importance of a Collaborative Approach (p13): http://ukinbrazil.fco.gov.uk/resources/en/pdf/pdf1/PostBR_everythingconnected)

- CCBA (2010). "Climate, Community and Biodiversity: REDD+ Social and Environmental Standards. Version 1". Climate, Community and Biodiversity Alliance (CCBA), June 2010. <http://www.climate-standards.org/redd+/>

CCCBA is a partnership of international NGOs and research institutes. These CCB Standards aim to support the design and implementation of government-led REDD+ programs that recognize the rights of Indigenous Peoples and local communities, and generate significant social and environmental benefits. Standards components include principles, criteria, and indicators that

define the issues of concern and required levels of social and environmental performance. For use by governments, NGOs, financing agencies, and other stakeholders.

- ClientEarth (2010). "Guidelines to support modalities for Stakeholder Participation" July 23, 2010. <http://www.clientearth.org/legal-briefing-stakeholder-participation-in-redd-plus>

Recommended guidelines to REDD+ Partnership for country-level decision-makers on stakeholder participation under REDD+ Partnership to ensure efficient, effective, and equitable participation. Presents brief guidelines for (1) balanced stakeholder participation; (2) stakeholder invitations and submissions, and (3) stakeholder recognition, participation and interventions. Aimed at REDD+ Partnership members, National-level decision-makers.

- FCPF (2009a). Forest Carbon Partnership Facility (FCPF) Readiness Mechanism: National Consultation and Participation for REDD. Note FMT 2009-2. World Bank. May 6, 2009. http://www.forestcarbonpartnership.org/fcp/sites/forestcarbonpartnership.org/files/Documents/PDF/FCPF_FMT_Note_2009-2_Consult_Particip_Guidance_05-06-09_0.pdf

Technical guidance note on how to prepare an effective multi-stakeholder Consultation and Participation Plan for the FCPF REDD Readiness Mechanism. Presents: (1) goals; (2) key objectives and principles for effective consultations and participation; (3) issues and elements of capacity building; and (4) practical steps to design, carry out, and learn from consultation. Aimed at policy makers and practitioners.

- FCPF (2009b). "Reducing Emissions from Deforestation and Forest Degradation: Forest Carbon Partnership Facility. Consultation and Participation in R-Plan Formulation & Implementation" (Powerpoint). Participants Committee Meeting (FCPF PC2), World Bank. Gamboa, Panama March 11-13 2009.

FCPF presentation on consultation and participation in R-PP formulation and implementation. Addresses (1) objectives; organization of consultation/participation/outreach process; (3) elements of consultation plan and check list; and (4) principles. Aimed at policy makers and practitioners.

- Governors' Climate and Forests Task Force (2010). "Draft Guidance Document: Stakeholder Involvement Policy for the Governor's Climate and Forests Task Force" Governors' Climate and Forests (GCF) Stakeholder Involvement Ad-Hoc Group. August 18, 2010. http://www.gcftaskforce.org/documents/Draft-GCF_Stakeholder_Involvement_Policy.pdf

GCF guidance document presents principles, objectives, outcomes, roles and responsibilities, and processes for GCF-member stakeholder involvement policy. GTC is a multi-jurisdictional effort between 14 states and provinces (Indonesia, Brazil, U.S., Mexico, and Nigeria), that is promoting technical cooperation, building capacity, and developing policy recommendations for REDD+. The guidance document aims to facilitate the formalization and enhancement of stakeholder participation in GCF activities, and is directed to GCF bodies and participants.

- REDD+ Partnership (2010). "Interim REDD+ Partnership: Modalities of Stakeholder Participation" Tianjin, October 9, 2010. <http://reddpluspartnership.org/23477-072817a5ccf72c2071aa1da88ca5a294e.pdf>

One-page guidance document on stakeholder participation in meetings and processes of the REDD+ Partnership.

- UN-REDD Programme. (2009a) "Operational Guidance: Engagement of Indigenous Peoples and Other Forest Dependent Communities" Working document. April 20, 2009. <http://www.un-redd.org/Home/EngagementofIPs/tabid/1033/language/en-US/Default.aspx>

Guidance on design, implementation, monitoring, evaluation of UNEP UN-REDD Programme with respect to the inclusion of Indigenous Peoples and other forest dependent communities. Includes (1) background/context on inclusion of IP in UN principles, policies, legal framework; (2) operational guidelines for design/implementation of UN-REDD programme activities at global /national scale; (3) best practice advice on how to consult with IP and other forest dwellers. Intended for UN staff, country teams, national government, CSO counterparts, as well as project/ local level participants.

PROCESS DOCUMENTS

Includes documents reviewing stakeholder engagement processes and practice beyond REDD+, with guidance on implementation.

- Costenbader, J. (Ed.) (2009) "Legal Frameworks for REDD: Design and Implementation at the National Level" IUCN Environmental Policy and Law Paper No.77. IUCN. 2009. http://www.iucn.org/unfccc/events/2010_cancun/publications/?uPubslD=3943

Identifies and analyzes critical issues in the formulation and implementation of national and sub-national legal frameworks for REDD activities. Based on national case studies (Brazil, Cameroon, Guyana and Papua New Guinea) chosen for their varying geographies, forest cover and deforestation rates, and stages of REDD preparations. Includes chapter on participation, balancing of rights and interests, and prior, informed consent. Aimed at national level policy makers; academia.

- FCPF (2010), "Harvesting Knowledge on REDD+: Early Lessons from the FCPF Initiative and Beyond", FMT Working Paper #1, October 30, 2010. <http://www.forestcarbonpartnership.org/fcp/sites/forestcarbonpartnership.org/files/Documents/PDF/Oct2010/PA3%202b%20FCPF%20Harvesting%20Knowledge%202010-30-10.pdf>

- Erikson, J. (2009). "IUCN's role as facilitator in Cameroon's multi-stakeholder consultations for a Voluntary Partnership Agreement" IUCN Forest Conservation Programme. April 2009. http://cmsdata.iucn.org/downloads/cameroon_msd.pdf

External evaluation of IUCN's role as facilitator of civil society and private sector involvement in Cameroon's VPA negotiations on legal timber with the EU, in order to inform the replication and improvement of its role as facilitator in other countries. Reviews process, with recommendations. Aimed at IUCN/international NGOs working at national-level negotiation and engagement processes.

- Herbertson, K., Ballesteros, A., Goodland, R., Munilla, I. (2009). "Breaking Ground: Engaging Communities in Extractive and Infrastructure Projects". World Resources Institute. 2009 http://pdf.wri.org/breaking_ground_engaging_communities.pdf

Presents seven principles for effective community engagement for extractive and infrastructure projects, intended to provide a framework for identifying solutions to core engagement challenges, and to serve as a resource to empower local communities to provide more meaningful input into project design and implementation. Addressed to companies and governments developing projects, and to civil society organizations supporting communities.

- Richards, M. and Panfil, S. (2010) "Manual for Social Impact Assessment of Land-Based Carbon Projects. Version 1.0" Forest Trends, Climate, Community & Biodiversity Alliance. June 1, 2010. <http://www.forestcarbonportal.com/resource/manual-social-impact-assessment-land-based-carbon-projects>

The manual is designed to be used by carbon project proponents aiming for validation under the CCB Standards, or other multiple-benefit carbon standards. Part I provides core guidance for project proponents. Part II provides a toolbox of methods and support materials.

- UN-REDD Programme (2009b) "Engaging Civil Society in REDD – Best Practice in the Democratic Republic of Congo" UN-REDD Programme, November 2009. <http://europeandcis.undp.org/environment/sthelenas/show/59787F57-F203-1EE9-B7DD3AC2958A8CA8>

Presents the national stakeholder engagement process in FCPF grant for DRC REDD National Programme readiness, including best practice, challenges, and lessons learned.

- The Nature Conservancy (TNC) (2010). "Berau Forest Carbon Program: Business Plan for the Community Engagement Component of the Berau District Model REDD Program. Final Report" Berau Forest Carbon Program – Community Involvement Component. The Nature Conservancy. March 2010.

The business plan provides a five-year involvement of partners in the community engagement component of the TNC program. As a REDD readiness initiative, the purpose of the community involvement component is to establish and test key elements of a comprehensive district model that sustainably and constructively engages communities in REDD. Adheres to CCBA Standards (December 2008) for Project Design. Aimed at village/district level program implementation.

LESSONS LEARNED

Documents include analysis that goes beyond process to include case studies and/or identification of lessons learned.

- Accra Caucus (2010). "Realizing rights, protecting forests: An Alternative Vision for Reducing Deforestation: Case Studies from the Accra Caucus" Accra Caucus on Forests and Climate Change. June 2010. http://www.careclimatechange.org/files/reports/Accra_Report_English.pdf

Case studies on IP participation in REDD. Highlights problems linked to implementation of REDD and suggests ways that policies to reduce deforestation can work on the ground. Focus on stakeholder participation, secured and equitable land rights, and community based forest management. Case studies in Indonesia, Ecuador, DRC, Brazil, Cameroon, PNG, Tanzania, Nepal. Aimed at national-level opinion-makers and REDD+ decision- and policy-makers.

- Foti, J., with L.deSilva, H.McGray, L.Shaffer, J.Talbot, J.Werksman. (2008) "Voice and Choice: Opening the Door to Environmental Democracy", World Resources Institute. 2008. <http://www.wri.org/publication/voice-and-choice> (Public Sector)

Assesses progress that governments have made in providing access to environmental decision-making, evaluates continuing challenges and lessons learned, and presents ways forward. Brings together research, practical experience, and academic literature on public participation to further understand the link between the quality of public participation and the impact of environmental decisions. Aimed at members of government/public sector, civil society, business, and intergovernmental organizations.

- Harvey, C.A., Zerbock, O., Papageorgiou, S., and Parra A. (2010) "What is needed to make REDD+ work on the ground? Lessons Learned from pilot forest carbon initiatives". Conservation International. http://www.reddmexico.org/index.php?option=com_content&view=category&layout=blog&id=57&Itemid=120

Project level analysis of 12 pilot forest carbon initiatives (5 REDD+ : Peru, Madagascar, Guatemala, Mexico, Brazil; 7 reforestation: Colombia, Ecuador, Brazil, Philippines, Madagascar, China) - in initial stages of design and/or implementation to identify challenges in design/start-up of REDD+ implementation, from project manager's perspective. Five issues critical for success: on-the-ground partnerships and capacity; rigorous technical and scientific analysis; financial resources; stakeholder engagement in project design and implementation; active governmental support to field activities. Focus on project implementation. Recommendations for policy makers and for forest carbon initiative developers

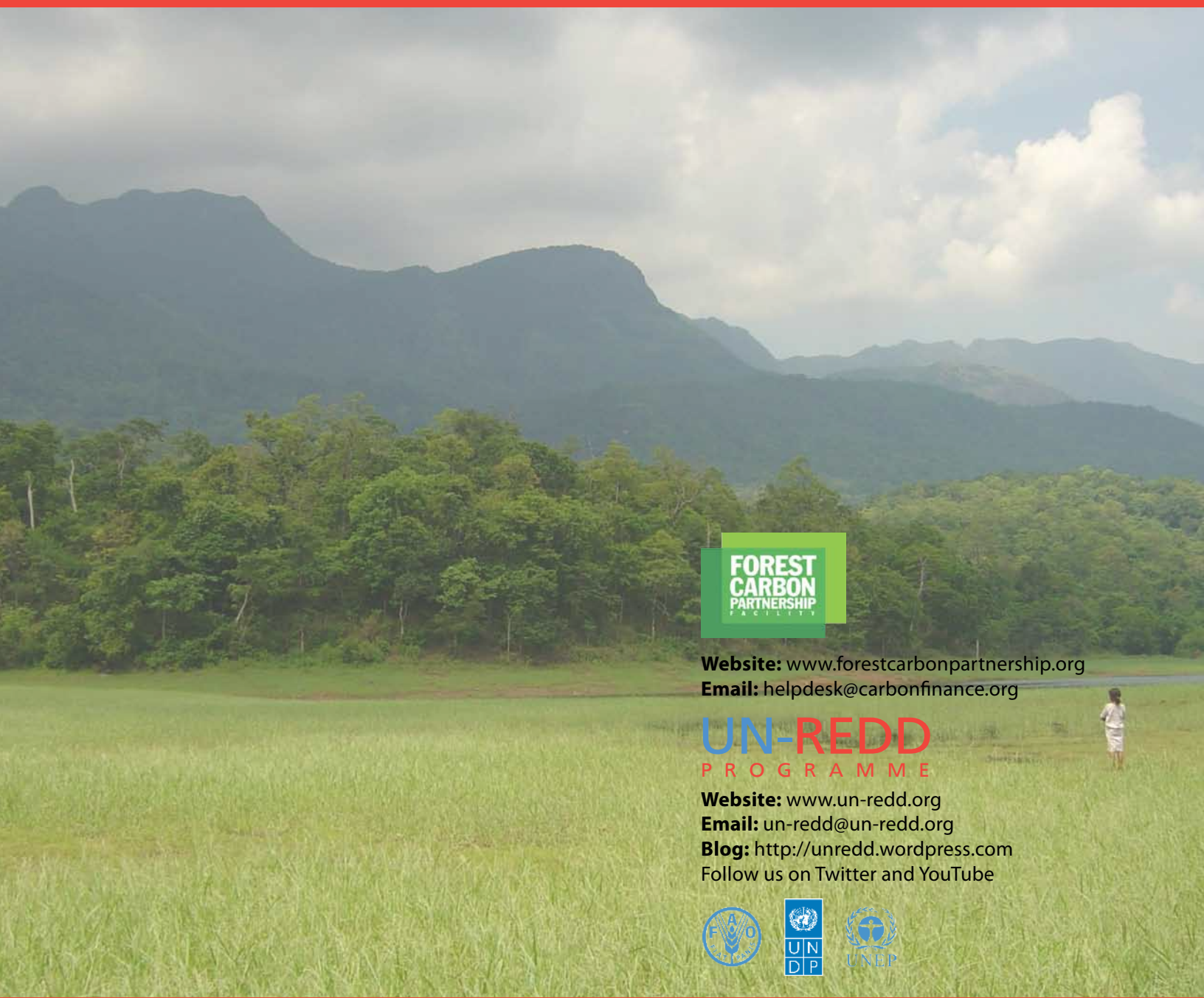
- Kissenger, G. (2010) "Lessons Learned: Engaging Civil Society in REDD+ Programme (2009-2010)" Report prepared for World Wildlife Fund Forest Carbon Initiative. July 2010. http://www.reddmexico.org/index.php?option=com_content&view=article&id=369&Itemid=254

Report synthesizes achievements, challenges, lessons learned from WWF FCI's Engaging Civil Society In REDD+ program, from a project management perspective.

- Tan, Nguyen Quang, Truong, Luong Thi, K'Tip, Nguyen Thi Hai Van (2010). "Evaluation and Verification of the Free, Prior, Informed Consent Process under the UN-REDD Program, Lam Dong Province, Vietnam. RECOFT. Hanoi, July 2010.

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