

Stakeholder Participation Guide

PART II : Key Elements of effective Stakeholder Participation



Introductory Guide

Impact Assessment Methodologies

Greenhouse gas impacts



Renewable Energy



Buildings Efficiency



Transport Pricing



Agriculture



Forestry



Sustainable Development



Transformational Change



Non-State and Subnational Action

Process Guidance Documents



Stakeholder Participation



Technical Review

Overview of the methodology

Part I: Introduction, objectives and key concepts

Understand the purpose and applicability of the guide (Chapter 1)
Determine the objectives of stakeholder participation (Chapter 2)
Understand key concepts, elements and principles (Chapter 3)



Part II: Key elements of effective stakeholder participation

Develop a stakeholder participation plan (Chapter 4)
Identify and understand the stakeholders of the policy (Chapter 5)
Create multi-stakeholder bodies (Chapter 6)
Provide information to stakeholders throughout the policy design and implementation cycle (Chapter 7)
Design and conduct consultations throughout the policy design and implementation cycle (Chapter 8)
Establish a grievance redress mechanism (Chapter 9)



Part III: Reporting

Report how stakeholder participation was designed and conducted (Chapter 10)

Overview

Part II : Key elements of effective stakeholder participation

Planning Effective Stakeholder Participation (Chapter 4)

Identifying and Understanding Stakeholders (Chapter 5)

Establishing Multi-Stakeholders Bodies (Chapter 6)

Providing Information to Stakeholders (Chapter 7)

Designing and Conducting Consultations (Chapter 8)

Establishing Grievance Redress Mechanisms (Chapter 9)

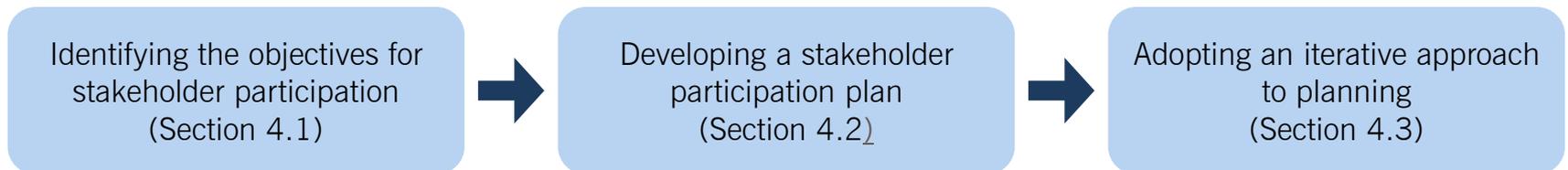


This button indicates a key recommendation

This is an interactive panel: navigate by clicking on a particular step

Chapter 4. Planning effective stakeholder participation

Planning stakeholder participation involves identification of activities, methods, timing, roles, responsibilities and resources to meet the defined objectives of stakeholder participation effectively and efficiently throughout the policy design and implementation cycle.



4.1 Identifying the objectives for stakeholder participation

- 1. Determine the objectives for stakeholder participation, such as**
 - Ensuring that the policy is informed by a well-represented understanding of stakeholder views, knowledge and interests
 - Fostering positive stakeholder relationships, including personal relationships
 - Enabling stakeholder learning, which can enhance the contributions of the stakeholders and enable stakeholders to assume and share responsibility for policies
- 2. Defining the scope of participation**
 - Important to determine the extent to which participation can influence design of a policy without compromising the policy goals
- 3. Make an initial identification of stakeholder groups and involve them at the start**
 - Establish processes for groups' representatives to inform decisions on planning
 - Adjust objectives and scope of the participation based on input received from stakeholders

- Commence stakeholder participation at the start of, and continue it throughout, the policy design and implementation cycle.
- Determine the objectives and scope for stakeholder participation before starting stakeholder participation activities.
- Make an initial identification of stakeholder groups at the start of planning and establish processes for representatives of these groups to inform decisions on planning.



Chapter 4

Chapter 5

Chapter 6

Chapter 7

Chapter 8

Chapter 9

4.2 Developing a stakeholder participation plan

REVIEW

PLANNING FOR EFFECTIVE STAKEHOLDER PARTICIPATION

WHEN	<ul style="list-style-type: none">• Begins at the start of the overall planning process for the policy• Continues actively on an iterative basis
HOW	<ul style="list-style-type: none">• Identifies methods and approaches that are gender-sensitive and socio-culturally appropriate, and that address barriers to participation• Uses or builds on consultation and participation structures and processes already in use• Links or integrates with related stakeholder participation processes for other policies• Includes measures to ensure that all participation is free of external manipulation
WHO	<ul style="list-style-type: none">• Ensures that a full range of stakeholders are identified and their differences and barriers to participation are understood, provided with all relevant information in a timely manner.

- Develop a stakeholder participation plan that specifies activities, methods, timing, roles, responsibilities, reporting and resources required to meet the identified objectives of stakeholder participation.
- Publish and disseminate the stakeholder participation plan to stakeholders.



Chapter 4

Chapter 5

Chapter 6

Chapter 7

Chapter 8

Chapter 9

What is a stakeholder participation plan?

Example of iterative stakeholder participation process

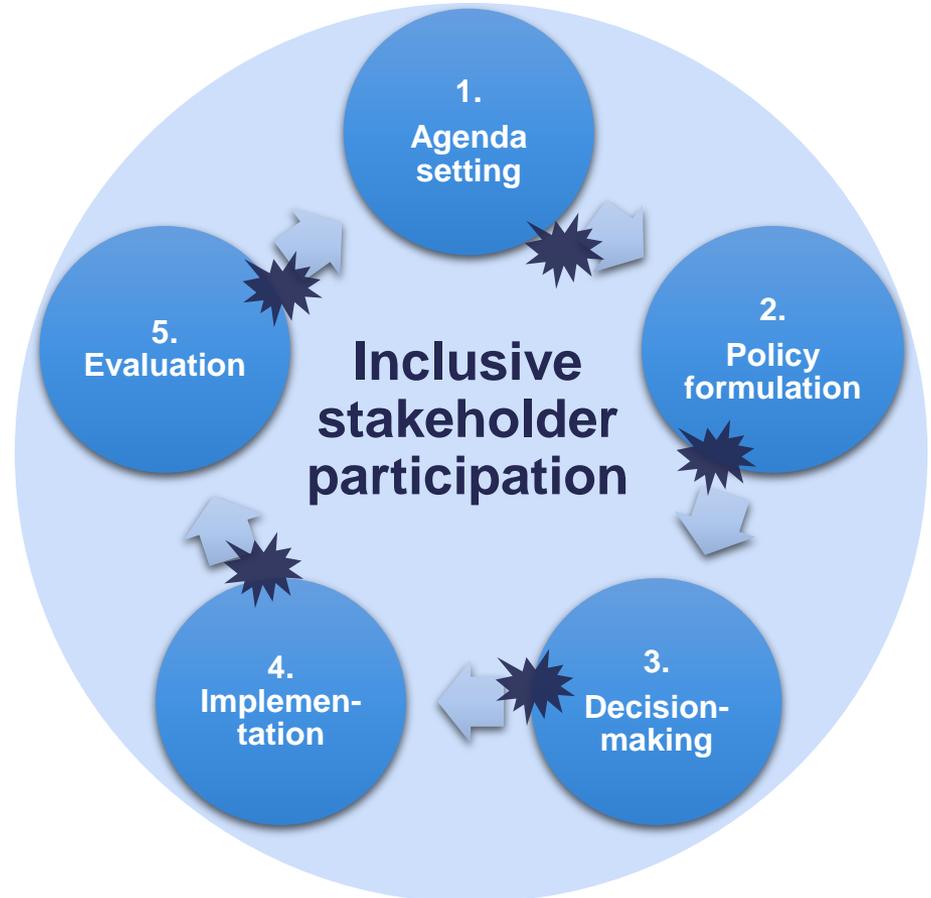
4.3 Adopting an iterative approach to planning throughout the policy design and implementation cycle

Iterative approach to planning

- increases the effectiveness of stakeholder participation
- enables adaptive management

Review and feedback

- identification of areas where improvement is needed
- effective ways to make improvements are sought



 Planning is revised after each phase of the policy design and implementation cycle

Revise and improve the stakeholder participation plan iteratively after each phase of its implementation.



Chapter 4

Chapter 5

Chapter 6

Chapter 7

Chapter 8

Chapter 9

Chapter 5. Identifying and understanding stakeholders

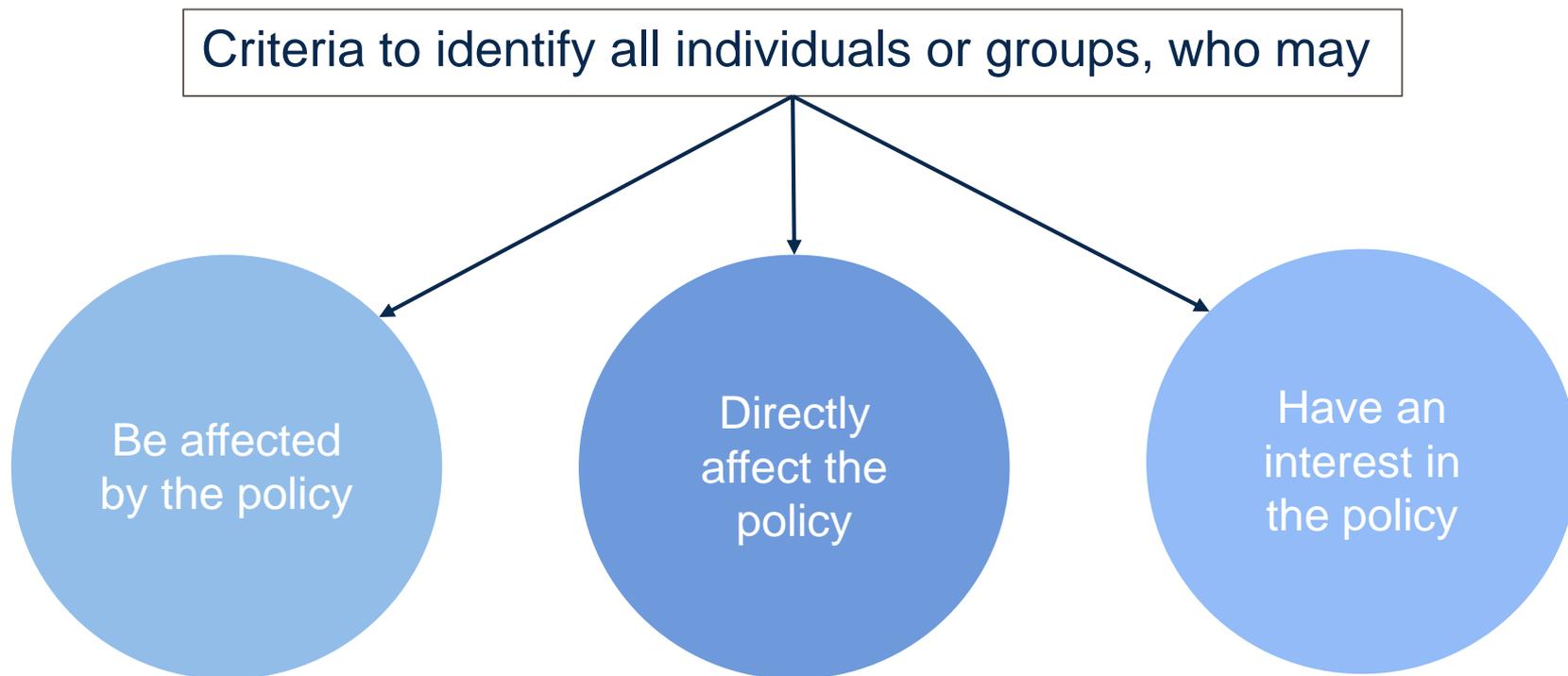
Identification of all types of stakeholders and understanding their differences. Stakeholder mapping helps to understand the relative influence, impact or other characteristics of different stakeholder groups and to prioritize them.



5.1 Importance of identifying and understanding stakeholders

WHY	WHAT FOR
Identify all parties with an interest and/or stake in the policy interested or with the right to participate	-
Build an understanding of the power and influence of the stakeholders and how they can influence the policy	Help harness support Avoid risks caused by lack of stakeholders' support
Promote inclusiveness and raise awareness among stakeholders about other stakeholders	Find a fair solution to all parties
Enhance understanding of the extent to which stakeholders may be impacted positively or negatively by the policy	Basis for revising the policy to reduce negative and enhance positive impacts
Understand the capacity of individuals and groups participating , and the incentives and obstacles to their participation	Adoption of appropriate methods to facilitate their participation

5.2 Criteria for stakeholder identification



Establish criteria for identifying stakeholders.



Chapter 4

Chapter 5

Chapter 6

Chapter 7

Chapter 8

Chapter 9

5.3 Methods for stakeholder identification

Experts	Ask staff, government agencies, non-governmental organizations, local people, interested groups, or academics with knowledge about the policy context
Self-selection	Make announcements at meetings, in newspapers, on local radio or other media to invite stakeholders to come forward
Other stakeholders	Ask stakeholders to suggest other stakeholders who with similar/different views and interests
Written records and population data	Use census and population data
Oral or written accounts of major events	Ask stakeholders to describe the major events in the relevant to the policy context and the people who were involved in these events
Checklists	Use or modify provided checklists

Establish a participatory process for identifying stakeholders.



Chapter 4
Chapter 7

Chapter 5
Chapter 8

Chapter 6
Chapter 9

Checklist for stakeholder identification
Checklist for deepening stakeholder identification

5.4 Understanding stakeholder profiles and characteristics

PROFILE

Knowledge of the issues related to the policy

Existing relationship with the design, implementation and/or assessment of the policy (e.g., close or distant; formal or informal, level of support or opposition)

How the policy affects them (e.g., positive or negative, direct or indirect)

Perceived power and ability to advance or hinder the design, implementation and/or assessment of the policy and/or the participation processes

Relationships with other stakeholders and interests

Expectations of the participation

Willingness to engage in the participation

Type of organization (e.g., civil society, government, consumer, producer, trader)

Socio-cultural context

Relationship to the geographical scale of the policy

Capacity to engage in the participation (e.g., language barriers, information technology literacy, disability)

Legitimacy, role in governance and representation mechanisms

Follow a transparent and participatory process for understanding the interests, power and influence of different stakeholder groups, their stake in the policy and the way and extent to which they may be affected, as well as their expectations of the participation process.



Chapter 4

Chapter 5

Chapter 6

Chapter 7

Chapter 8

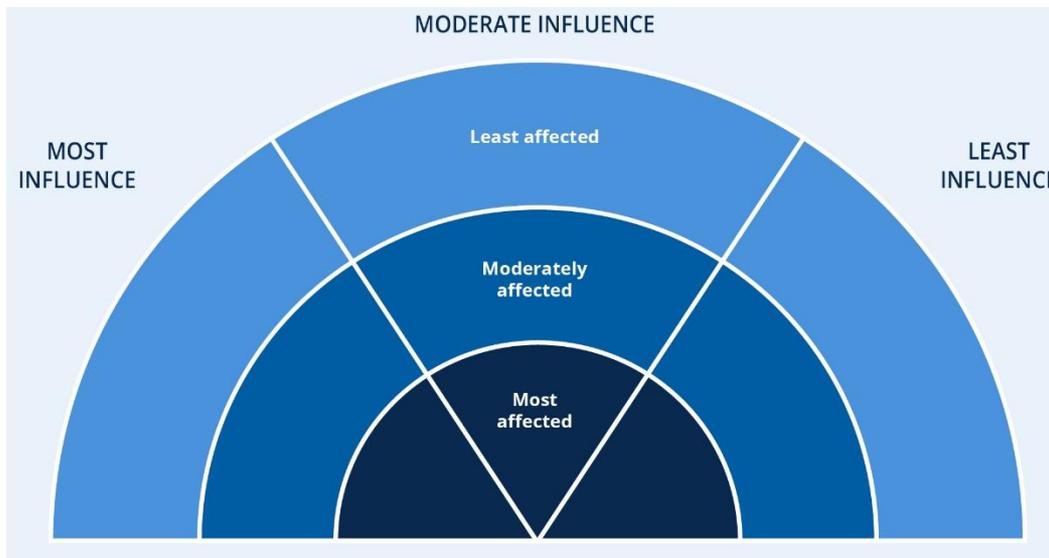
Chapter 9

5.5 Mapping to prioritize stakeholders

Purpose: Determining which groups and individual representatives are most important to engage with in relation to the purpose and scope of the participation

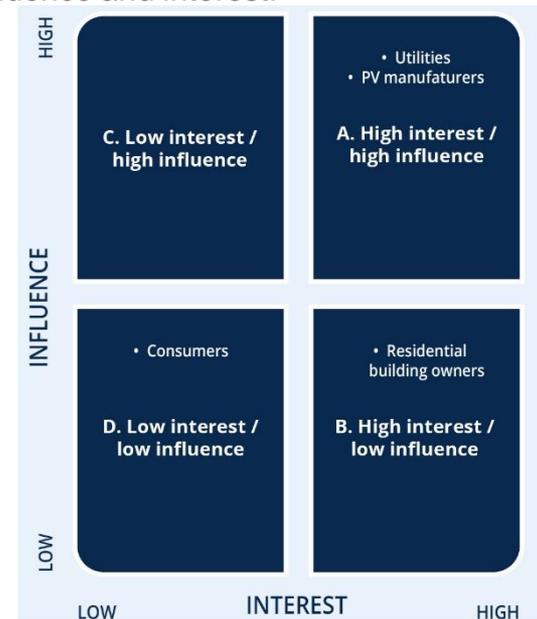
1. Rainbow diagram

To understand the extent to which stakeholder groups are affected and their influence on the policy.



2. Stakeholder matrix

To understand the relationships between the stakeholders and the policy based on influence and interest.



5.6 Identifying stakeholder representatives

Role:

Facilitating the participation of larger stakeholder groups, including disseminating information to and receiving information from the members of these groups.

Important to:

- Ensure that representatives are truly representing or advocating the views of their constituents and can be relied upon to faithfully
- Communicate information back to their constituents.
- Have representatives with sustained interest and time to engage in the participation process and to communicate with their stakeholder group,
- Have the capacity and resources to fulfil their role.

To validate legitimacy of representatives:

- Talking directly to a sample of the stakeholders to assess how well or perhaps how inconsistently stakeholder views are being represented.
- Validating that stakeholders have indeed transparently selected their own representatives.

Establish a participatory process for identifying legitimate representatives of stakeholder groups.



Chapter 4

Chapter 5

Chapter 6

Chapter 7

Chapter 8

Chapter 9

Insight

ICAT | INITIATIVE FOR
Climate Action
Transparency

5.7 Enhancing opportunities and reducing barriers

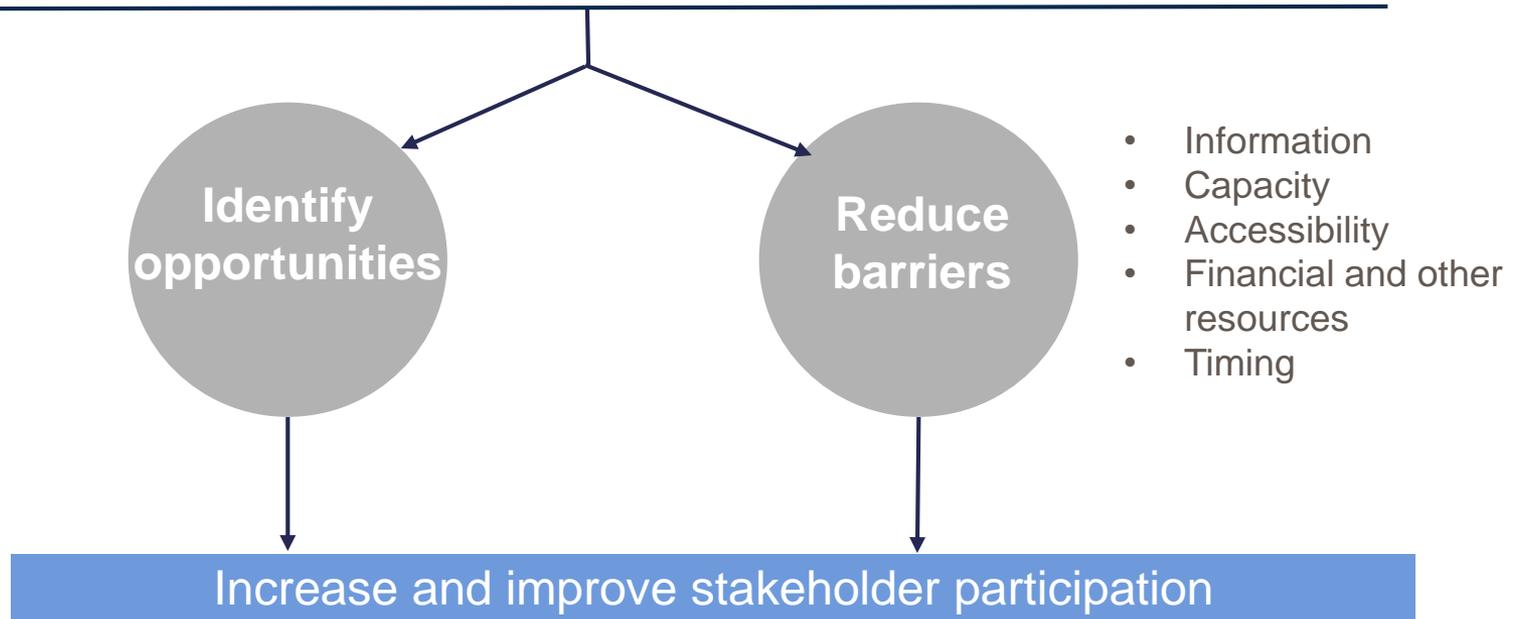
Initial **profiling** and ongoing adjustment of stakeholder groups

Tailored communication

Adjusted **capacity building**

Effective **methods** for conducting inclusive socio-culturally and gender-sensitive **consultations**

Resources needed to **facilitate** stakeholder groups participation



Identify the opportunities and barriers affecting the participation of different stakeholders, particularly for women, indigenous peoples, youth and other groups and involve these stakeholders in identifying appropriate methods and approaches to enable their effective participation.



Chapter 4

Chapter 5

Chapter 6

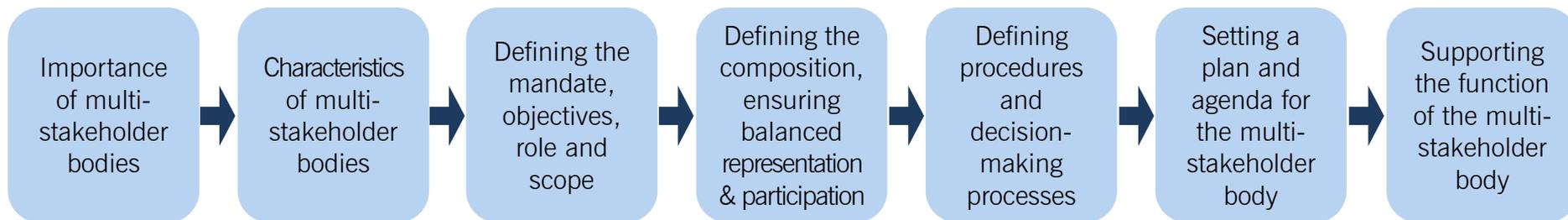
Chapter 7

Chapter 8

Chapter 9

Chapter 6. Establishing multi-stakeholder bodies

Multi-stakeholder bodies are an important element of effective stakeholder participation in the design, implementation and assessment of policies and contribute to successful implementation of the stakeholder participation plan.



6.1 Importance of multi-stakeholder bodies

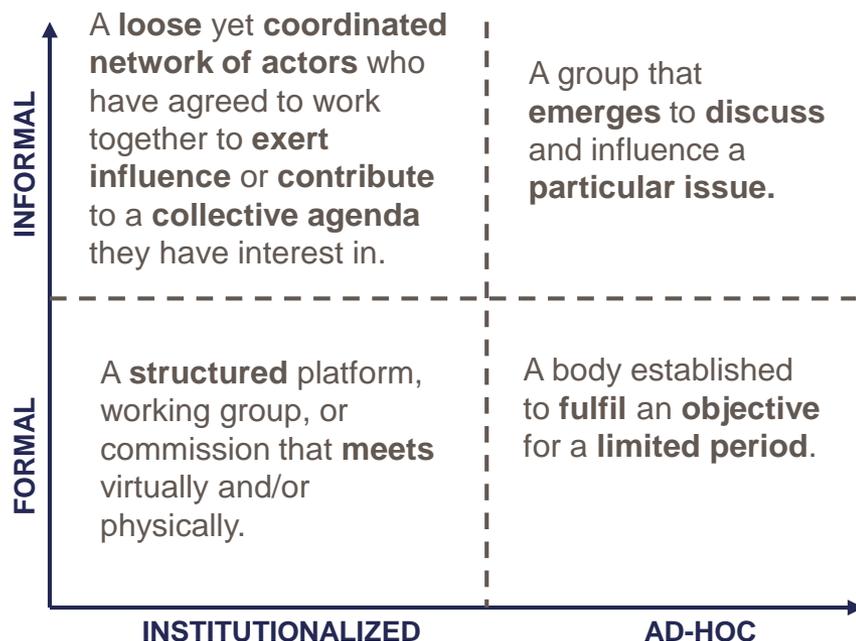
Multi-stakeholder bodies

Formal or informal regular gathering of people representing various constituencies, interests and stakes for the purpose of ensuring and enabling their participation, contribution and influence towards a goal or strategy. They provide a forum for dialogue and mutual learning to inform decision-making.

Can be useful to

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

6.2 Characteristics of multi-stakeholder bodies



Decision-making roles	<ul style="list-style-type: none"> • Providing expert advisory inputs • Making informed recommendations integrating diverse stakeholder perspectives • Making decisions on behalf of or in collaboration with government
Structure	<ul style="list-style-type: none"> • A single multi-stakeholder body • Different multi-stakeholder groups
Level	<ul style="list-style-type: none"> • National, subnational and local level considering the scope of the policy • In a project or program specific area
Composition	<ul style="list-style-type: none"> • A balanced representation of all stakeholder groups • Only members from specific groups

6.3 Mandate, objectives, role and scope for multi-stakeholder bodies

NEEDED TO DETERMINE	MEANS
A multi-stakeholder body and its mandate or authority to carry out its role	<ul style="list-style-type: none"> • Through an existing appropriate multi-stakeholder body • Consultations with stakeholders • Establishment of a temporary advisory body
Function as technical, advisory or a decision-making multi-stakeholder body ?	
The level of authority, autonomy and independence of the multi-stakeholder body from political and other influential parties. <ul style="list-style-type: none"> • Which entity creates the body and to which it reports ? • Will the body be attached to established institutional arrangements within the government or to an agency created by the government, or will it be created as a parallel independent structure or body that brings independent contributions ? 	
One or several multi-stakeholder bodies ?	
Ad hoc body created circumstantially to achieve some specific time-bound objective, or a body to function in longer term ?	
The mechanisms through which the body will influence the policy	

- Clearly define the mandate, objectives, role and scope of multi-stakeholder bodies.
- Identify and strengthen existing multi-stakeholder bodies, or establish new ones where needed, that meet the needs and criteria to support effective stakeholder participation in the design, implementation and/or assessment of the policy.

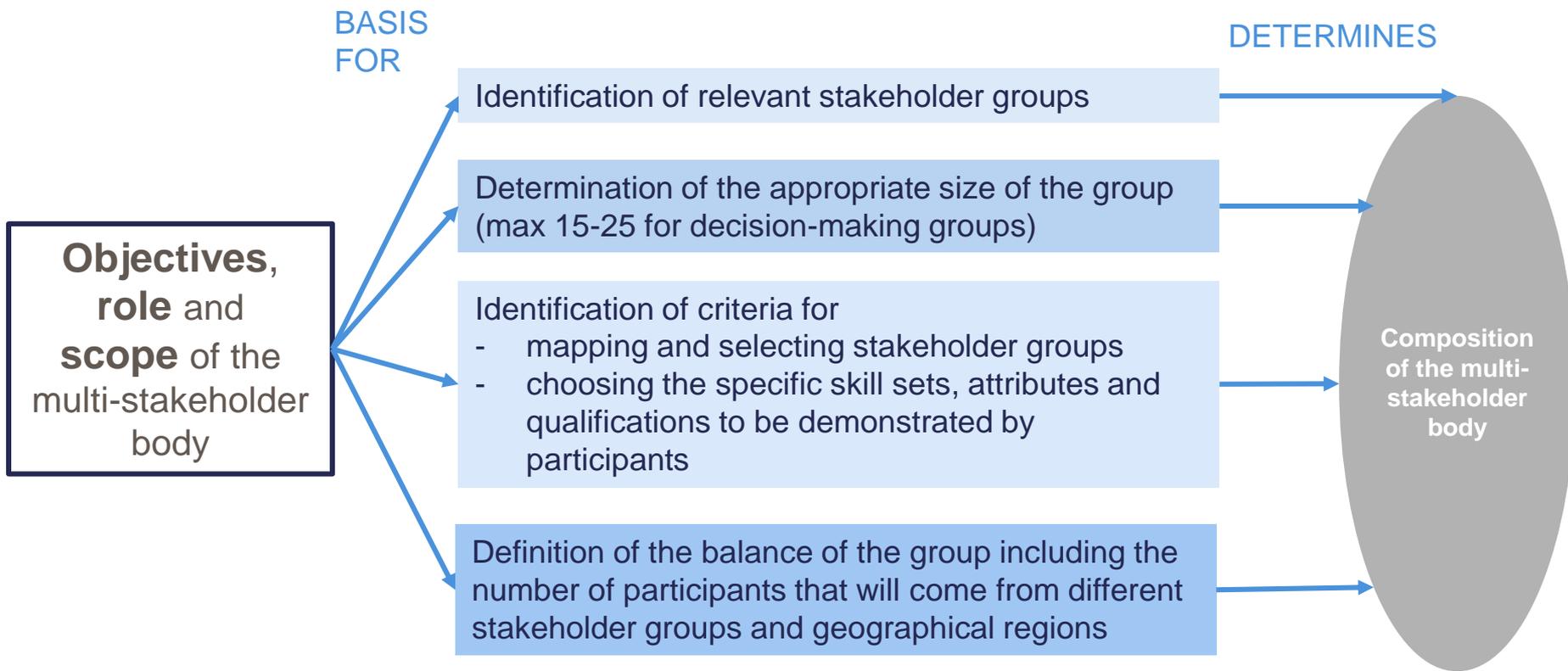


Chapter 4
Chapter 7

Chapter 5
Chapter 8

Chapter 6
Chapter 9

6.4 Composition of multi-stakeholder bodies



The method adopted for identifying the representatives is important as it affects their **legitimacy**, and the **legitimacy** of the **multi-stakeholder body**.

Clearly define the composition of multi-stakeholder bodies to enable equitable and balanced representation and participation of all stakeholder groups, with special attention to those that may be marginalized and those that may be directly affected.



Chapter 4	Chapter 5	Chapter 6
Chapter 7	Chapter 8	Chapter 9

6.5 Procedures and decision-making processes

Procedures for the functioning of the multi-stakeholder body should be designed and agreed by the members.

- **Venues, frequency and timing** of meetings
- Procedures through which **notes** and **outcomes** of meetings will be captured, consolidated, stored and communicated through appropriate channels.
- Procedures to ensure that **every member speaks** and that the contribution of everyone is registered and considered.
- The **governance structure** of the multi-stakeholder body and **appointment of key positions** such as chairperson and secretariat, preferably through elections or self-selection.
- A procedure for **decision-making** for the **objectives** and **mandate** of the multi-stakeholder body.
- **Conflict management mechanisms** to handle disputes, conflict of interest and conflicts related to the body.



Clearly define the procedures and decision-making processes of multi-stakeholder bodies.

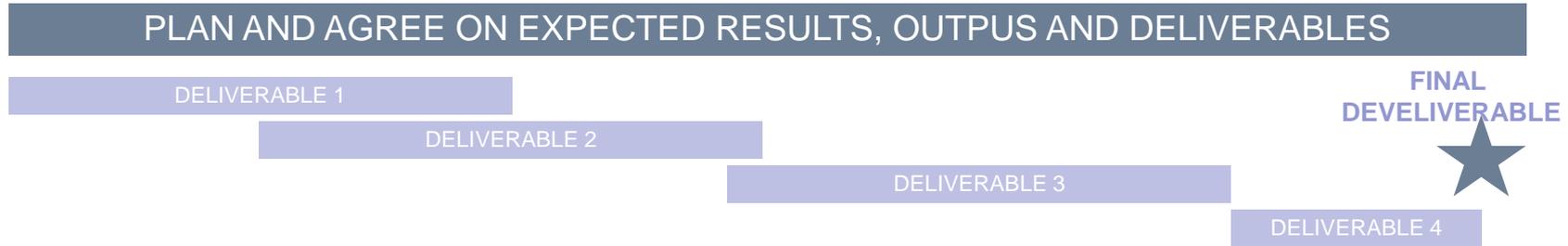


Chapter 4	Chapter 5	Chapter 6
Chapter 7	Chapter 8	Chapter 9

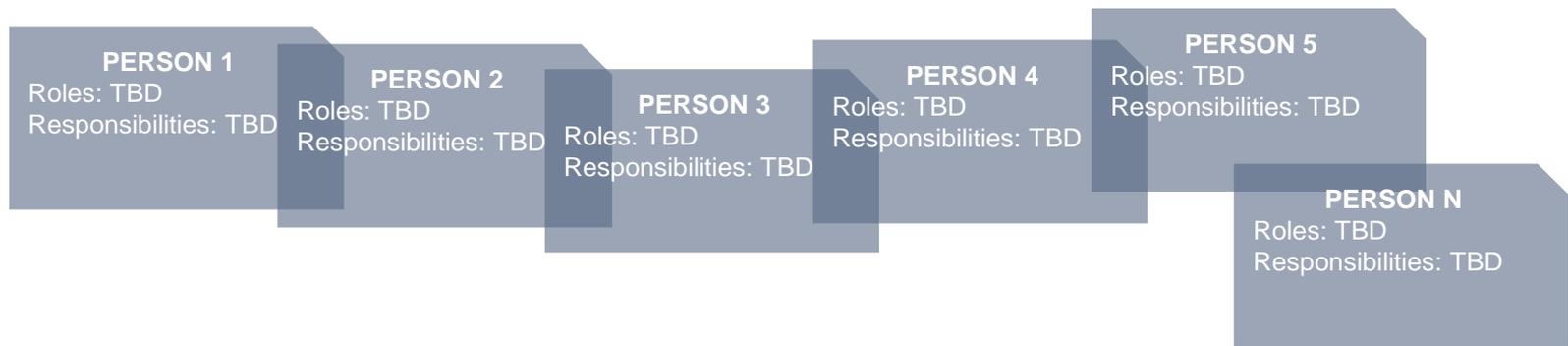
6.6 Plan and agenda for the multi-stakeholder body

DELIVERABLES

- Milestones
- Plan to achieve



ROLES AND RESPONSIBILITIES



MEETINGS

- Frequency
- Purpose
- Tasks



Chapter 4
Chapter 7

Chapter 5
Chapter 8

Chapter 6
Chapter 9

6.7 Supporting the multi-stakeholder body

ENSURING THE GOOD FUNCTIONING OF THE MULTI-STAKEHOLDER BODY



WELL-ESTABLISHED PROCEDURES

- Transparency measures
- Facilitation
- Documenting and reporting



WELL-ESTABLISHED MECHANISMS

- Outreach pathways
- Communication mechanisms



AVAILABLE RESOURCES

- Financial
- Logistic



Chapter 4

Chapter 5

Chapter 6

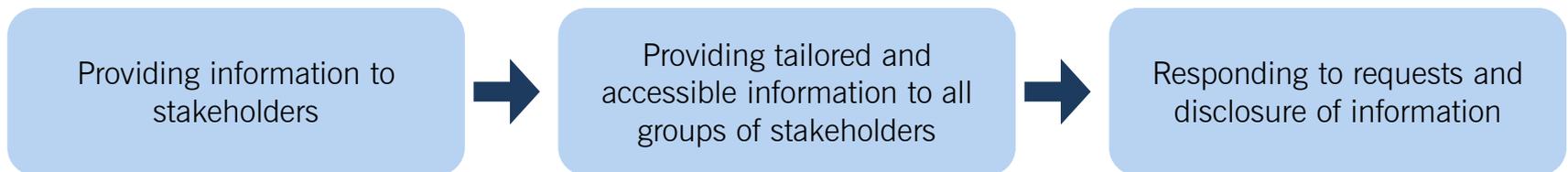
Chapter 7

Chapter 8

Chapter 9

Chapter 7. Providing information to stakeholders

Providing information involves active dissemination to stakeholders and public disclosure of information.



7.1&2 Providing information to stakeholders

ABOUT

- **How** stakeholders and their rights may be **affected** by a policy ?
- What are the stakeholders' **roles** in designing, implementing and assessing policies ?
- Which **options** and **mechanisms** influence policies ?
- What are the expected **impacts** of a policy ?

WHAT

TIMELY INFORMATION

shared in advanced for effective participation and consistently throughout the policy design and implementation cycle, thanks to established mechanisms for ongoing communication.

RELEVANT INFORMATION

Objective, unbiased and impartial, with an explanation of any uncertainties and different views.

COMPREHENSIVE

Disseminate information to stakeholders and ensure that the information is timely, relevant and comprehensive, including information about potential and actual impacts as well as opportunities to participate.



Chapter 4

Chapter 5

Chapter 6

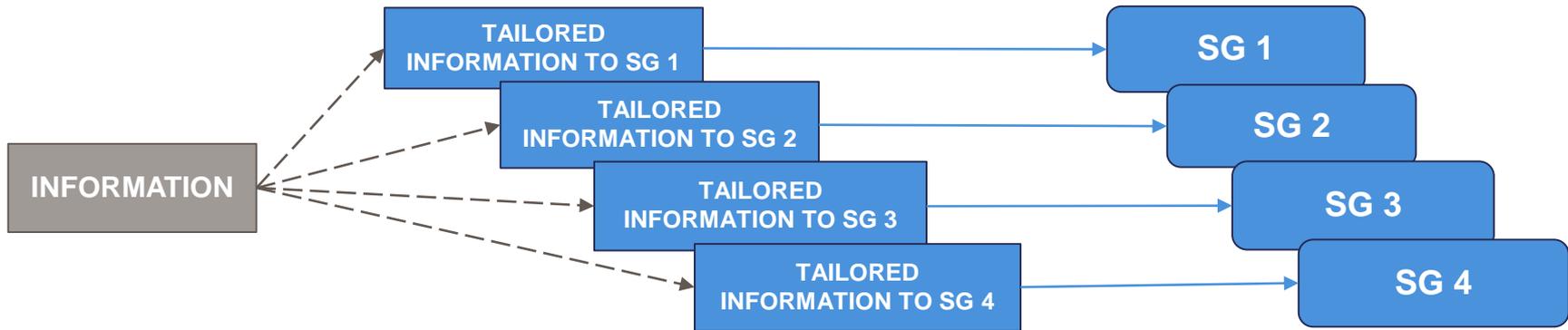
Chapter 7

Chapter 8

Chapter 9

Comprehensive
information

7.3 Providing tailored and accessible information to each stakeholder group



TAILORED INFORMATION

- Appropriated form for each group
- Tailored language and terminology
- Accurate adaptations

ACTIVELY DISSEMINATED TO STAKEHOLDER GROUPS

- Communication mechanisms
- Dissemination strategies adapted for sensitive information
- Tailored dissemination strategies to stakeholders

Tailor the content as well as the format and the way that information is provided to ensure that it is understandable and accessible for each stakeholder group, based on consultations with them.



Chapter 4

Chapter 5

Chapter 6

Chapter 7

Chapter 8

Chapter 9

7.4&5 Responding to questions and requests and disclosure of information

FEEDBACK MECHANISMS

- Accessible and effective mechanisms for questions and answers
- Established procedures
- Awareness raising about such feedback loops

DISCLOSURE OF INFORMATION

- Information to be disclosed unless legitimate reason not to
- Active dissemination of information
- Strategy for passive dissemination of information

Publicly disclose information about policies, unless there is a legitimate reason to keep some information confidential, following an established policy on disclosure of information.



Chapter 4

Chapter 5

Chapter 6

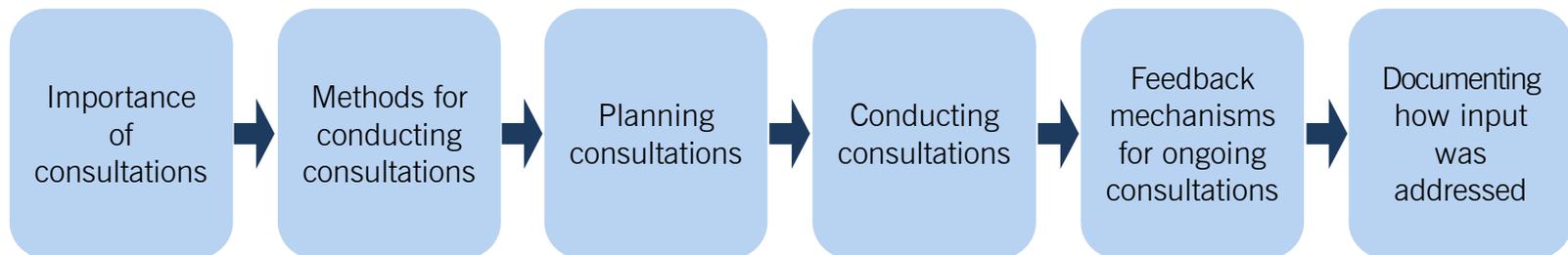
Chapter 7

Chapter 8

Chapter 9

Chapter 8. Designing and conducting consultations

Consultations enable exchange of information between stakeholders, providing information and capacity building to stakeholders and stakeholders to share input reflecting their needs and interests related to the policy.



8.1 Importance of consultations

Importance of consultations

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

Can be useful to

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



Chapter 4

Chapter 5

Chapter 6

Chapter 7

Chapter 8

Chapter 9

8.2 Methods for conducting consultations

CONSULTATION METHODS, some including facilitation		
Public meetings	Workshops	Focus group discussions
In-depth interviews	Stakeholder assessments	Expert elicitation
Written consultations	Surveys	Electronic discussions

Identify and use socially and culturally appropriate and gender-sensitive consultation methods that enable effective consultation of different stakeholder groups, including those that may be marginalized.



Chapter 4
Chapter 7

Chapter 5
Chapter 8

Chapter 6
Chapter 9

Details on methods

Role of a facilitator

ICAT

INITIATIVE FOR
Climate Action
Transparency

8.3 Planning consultations

STEP 1

Set **clear objectives** for consultations

STEP 2

Identify **appropriate stakeholder groups** for the consultations

STEP 3

Adapt consultation methods for the identified stakeholder groups.

STEP 4

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

STEP 5

Use **several complementary** consultation methods

STEP 6

Share and **validate** the plans for consultation.

STEP 7

Assess **effectiveness** of past consultations and revise plans for future consultations

Conduct consultations with diverse stakeholder groups to support the 7 design, implementation and/or assessment of the policy.



Chapter 4

Chapter 5

Chapter 6

Step 3

Step 4

Chapter 7

Chapter 8

Chapter 9

8.4 Conducting consultations

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

CONSULTATION PROCESS

- Consultations at **mutually agreed locations** and through **representatives** who are designated by the stakeholder groups in accordance with their own procedures.
- **Inclusive engagement** with stakeholders difficult to reach or with limited access.
- Solicitation of experts or facilitator to manage **group dynamics**.
- **Gender** and **inter-generationally** sensitive consultations.
- **Analysis, reporting** and **discussion** of findings from consultations with representatives of the stakeholder groups concerned.
- Description of **how** consultations' **outcomes** will be **incorporated** into policy-making.
- Timely feedback and **public disclosure** of the outcomes.



Chapter 4

Chapter 5

Chapter 6

Chapter 7

Chapter 8

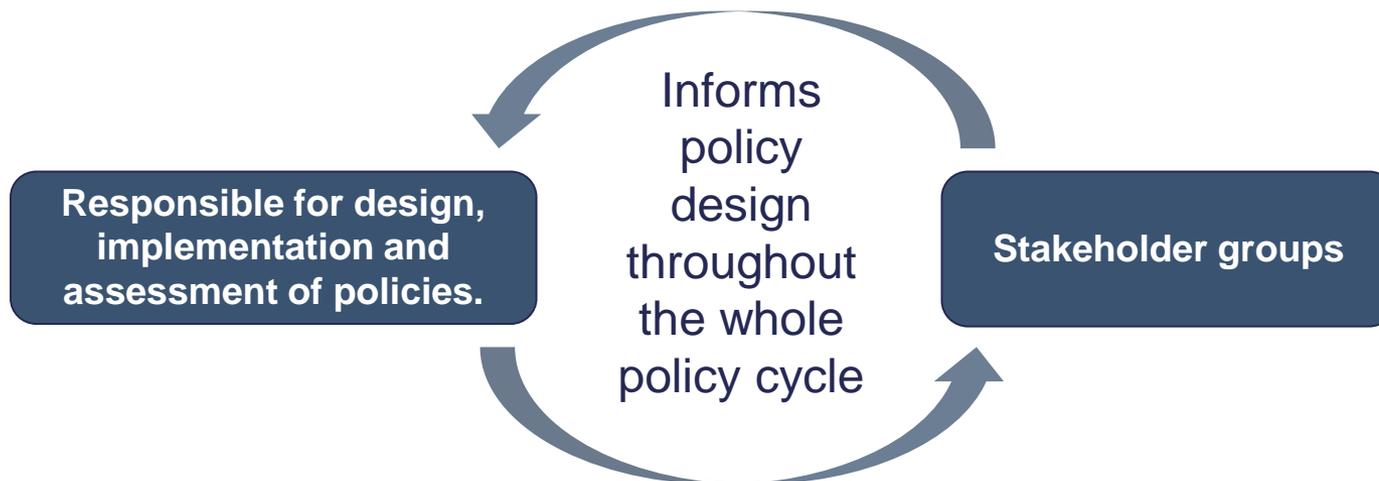
Chapter 9

8.5 Feedback mechanisms

Feedback mechanisms

Enable ongoing consultations throughout the whole policy design and implementation cycle and allow to inform how stakeholders' influence decision making.

- Expression of opinions, concerns, suggestions and advice without need for a specific resolution
- Channels include dedicated email address or web page, verbal or written feedback, verbal communication, telephone hotline number, text message, social media



Chapter 4

Chapter 5

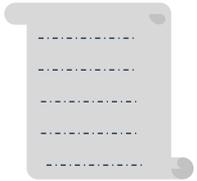
Chapter 6

Chapter 7

Chapter 8

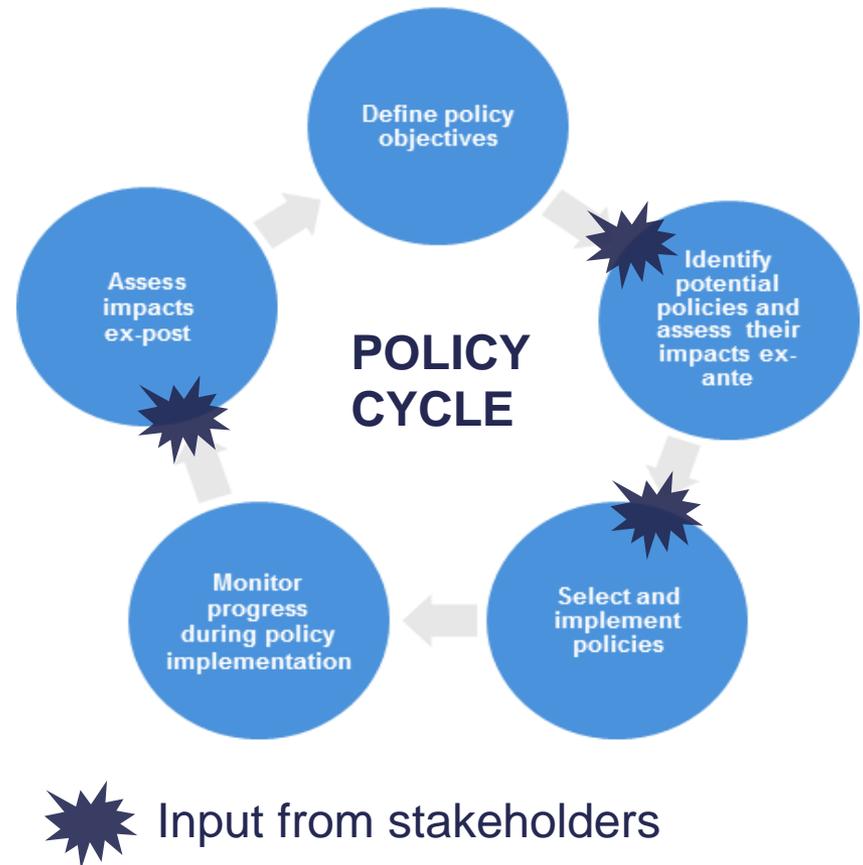
Chapter 9

8.6 Documenting how input was addressed



Production of a **synthesis document** to be made **publicly available** and **actively disseminated** amongst stakeholder groups, including:

- Source of comments
- Issues categorized
- How were the different types of inputs addressed
 - Relevance
 - Changes made to the policy
 - Stage of policy cycle



Share with stakeholders a synopsis of the input received during consultations and how the input was taken into account.



Chapter 4

Chapter 5

Chapter 6

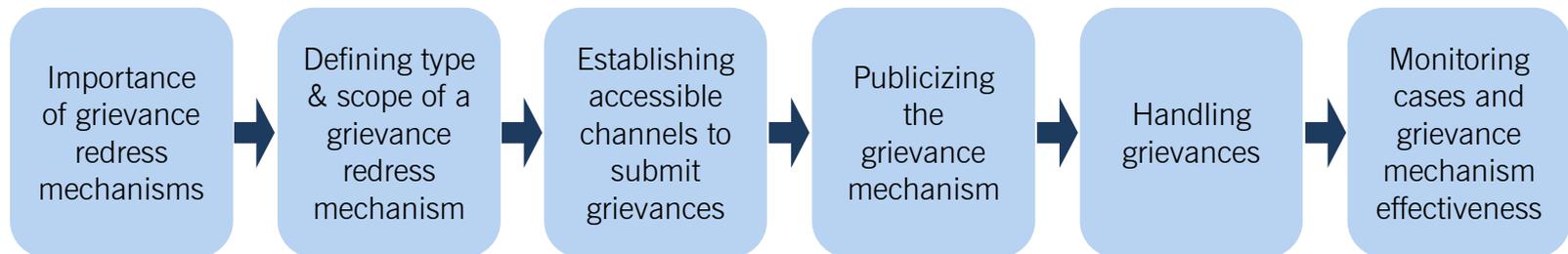
Chapter 7

Chapter 8

Chapter 9

Chapter 9. Establishing grievance redress mechanisms

Grievance redress mechanisms are the formal systems through which diverse stakeholders can lodge any grievances that arise related to the design, implementation and/or assessment of policies.



9.1 Importance of grievance redress mechanisms

Importance of grievance redress mechanisms

Effective grievance and redress mechanisms serve as a “first line” of response to stakeholder concerns, complementing relevant national legal and administrative processes. Effective integration within the national legal system and clear guidelines for referral may be important for a grievance redress mechanism to function effectively.

For a grievance, the complainant indeed seeks a direct response or redress.

Can be useful to

- Ensure **accountability** by providing a channel through which stakeholders can hold actors accountable for their obligations and commitments
- Serve as an **early warning system**, helping to identify problems and **avoiding escalation** into more entrenched or complex disputes
- Identify **recurring problems** and underlying **systemic issues** that need to be addressed
- Ensure **respect for rights** by providing a channel through which abuses can be detected and redress obtained
- **Tackle corruption** by allowing a secure channel for victims and whistle-blowers



Chapter 4

Chapter 5

Chapter 6

Chapter 7

Chapter 8

Chapter 9

9.2 Type and scope of a grievance redress mechanism

TYPE

Judicial : Can sanction wrong-doing

Non-judicial : Cannot sanction wrong-doing but can provide an important alternative to processing a grievance through the national legal channels

SCOPE

Clearly define what issues can the mechanism deal with and what issues are outside its remit.

- Community-based grievance and dispute resolution mechanisms
- Operational level grievance mechanisms to handle grievances related to a specific project
- National human rights institutions that handle more serious allegations of abuse or mismanagement
- Anti-corruption hotlines, integrity units or anti-corruption agencies to deal with allegations of corruption, fraud or abuse of authority
- Mechanisms associated with international development and climate finance institutions
- Sectoral and multi-stakeholder grievance mechanisms that address breaches in commonly agreed standards,

Provide the necessary legal instruments to enable the grievance redress mechanisms to deliver a response, to set redress or to pass the grievance to a more powerful decision-making body such as in the justice system or government.



Chapter 4

Chapter 5

Chapter 6

Chapter 7

Chapter 8

Chapter 9

9.3 Establishing channels to submit grievances

Mechanisms characteristics

- Tailored according to stakeholder groups needs, preferences and context
- Accessible to all, with specific channels
- Socio-culturally appropriate, gender sensitive
- Building upon or adapt existing mechanisms in the local or national context
- Impartial, independent
- Safe (consider anonymity)

Channels

Include, but not restricted to:

- Dedicated email address or web page
- Verbal or written feedback at a drop-in centre
- Verbal communication at a meeting
- Physical feedback box at an office or in a public place
- Telephone hotline number
- Text message
- Social media

- Establish grievance redress mechanisms that are accessible to all stakeholders that are socio-culturally appropriate, gender-sensitive and tailored to the local context.
- Ensure the impartiality and independence of grievance redress mechanisms, employing a consistent, credible and objective approach in all investigations and decisions.
- Secure the safety and rights of all stakeholders that use grievance redress mechanisms, where necessary ensuring anonymity and/or protection for complainants from potential reprisals.



Chapter 4

Chapter 5

Chapter 6

Chapter 7

Chapter 8

Chapter 9

9.4 Publicising the grievance mechanism

It is important to **publicize the mechanism** widely with **all stakeholders** and **potential users** by the **best identified means of communication**, so they are made aware of channels available and of what they can expect when submitting feedback or a grievance.

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



9.5 Handling grievances



Ensure that grievance redress mechanisms are responsive and process grievances in an efficient and timely manner.



Chapter 4

Chapter 5

Chapter 6

Chapter 7

Chapter 8

Chapter 9

9.6 Monitoring cases and effectiveness

Maintain carefully and in a **transparent** way **records** within a computerized data management system of **all grievances** received and establish an **oversight body** with **advisory authority** to monitor performance and provide strategic advice about the grievance mechanism.

- To monitor the grievances that are received, in order to identify common issues and potential trends that may imply systematic capacity issues or gaps that need to be addressed on a wider scale.
- To evaluate the overall performance of the grievance mechanism and compliance with the principles of fairness, impartiality, accessibility and responsiveness.



Chapter 4

Chapter 5

Chapter 6

Chapter 7

Chapter 8

Chapter 9

Case study using this Methodology

- An Assessment of Stakeholder Participation in Malawi's National Climate Change Management Policy, and Implementation, Monitoring and Evaluation Strategy for the National Climate Change Management Policy

Thank You

Contacts:

Joanna Durbin, CI/CCBA
jdurbin@conservation.org

Sinclair Vincent, Verra
svincent@verra.org

www.climateactiontransparency.org



4.2 Information described in a participation plan

The **objectives** of stakeholder participation, incorporating stakeholder expectations for their participation.

The process for **identifying, mapping** and **understanding stakeholders** (for example understanding their interest in and influence on the policy), and **capacity building** or other approaches needed to **enable effective participation** of different stakeholder groups, including any that are marginalized.

The **timing** and **methods** by which stakeholders will **participate throughout the policy design and implementation cycle**, including explaining the different approaches that will be employed to enable effective participation of all stakeholder groups.

The **type** and **timing of information** to be communicated to different stakeholders, setting out how communication with stakeholders is to be handled throughout the policy design and implementation cycle. Dedicated approaches and different levels of resources may be needed for communication with different stakeholder groups so that they can obtain the information they need regarding the issues that potentially affect them in a timely manner.

The **measures** that will be used to **remove barriers** to participation for stakeholder groups, including for any identified as marginalized.

How the **input** of different stakeholder groups will be captured.

Governance arrangements for stakeholder participation, including decision-making, oversight, implementation, monitoring and evaluation of the stakeholder participation process, and links with governance arrangements for the policy.

Mechanisms for **feedback** and for **grievance redress**.

Processes to **evaluate effectiveness** of **stakeholder participation** and improve the stakeholder participation plan after each phase of its implementation.

Reporting, disclosure and **dissemination** of stakeholder participation activities.

Financial and other resources required and available for implementation of all elements of the stakeholder participation plan, including resources that will be needed for ongoing costs such as for the functioning of multi-stakeholder bodies, and for feedback and grievance redress mechanisms.

Insights from Malawi

- Representation groups are key to the level of engagement
- In this case, not all relevant stakeholder groups had been involved in the design phase of the policy
- Stronger coordination among organisations, sectors and stakeholder groups is needed
- The case study revealed initial shortcomings in stakeholder engagement that can contribute to improving the policy

See Chapter 3 in: An Assessment of Stakeholder Participation in Malawi's National Climate Change Management Policy, and Implementation, Monitoring and Evaluation Strategy for the National Climate Change Management Policy (Glynn, Richard, Banda 2019)

4.2 Example of iterative stakeholder participation process



5.3 Illustrative checklist for stakeholder identification

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

5.3 Checklist of questions to deepen stakeholder identification

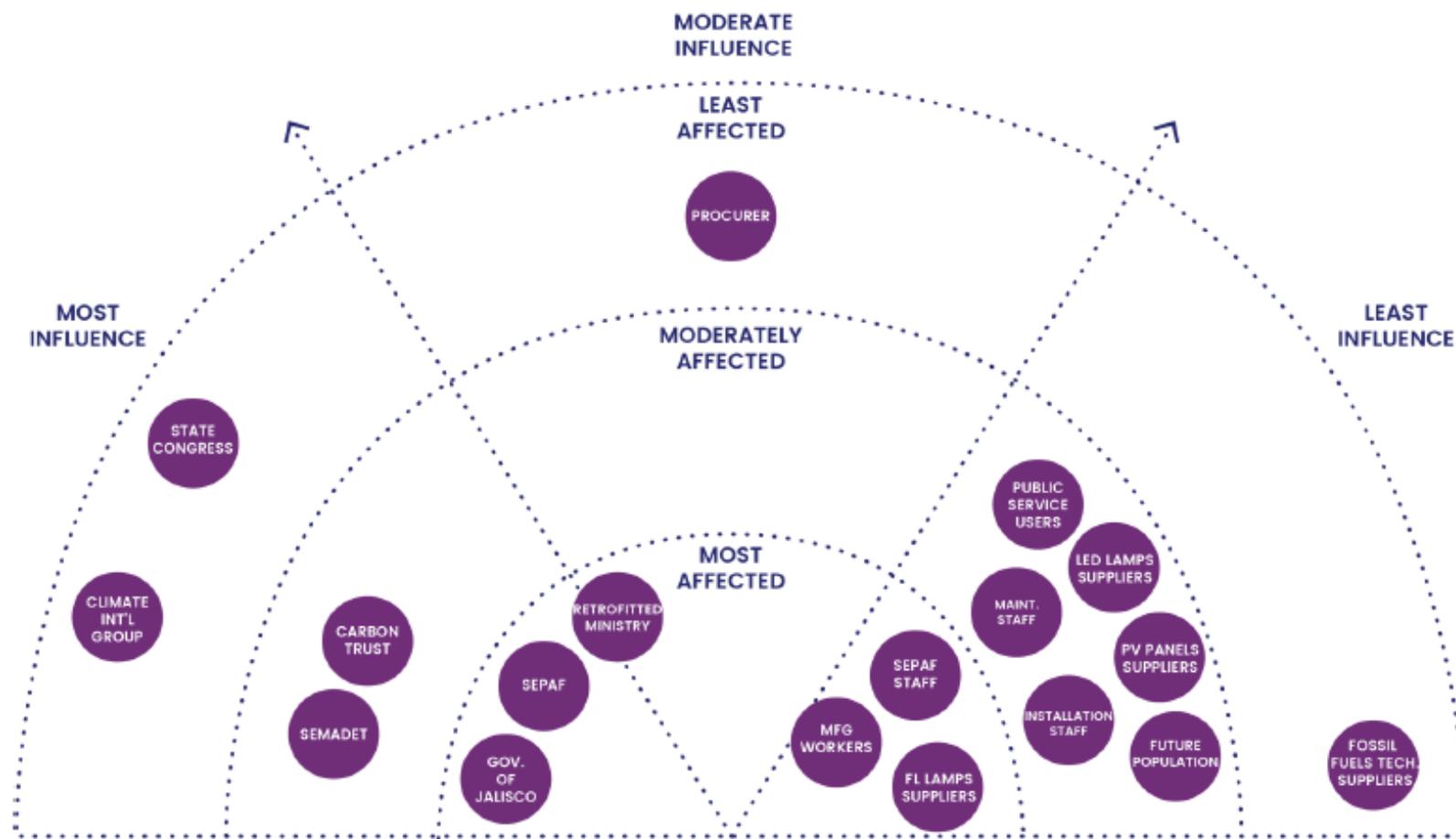
1. Are there specific communities, groups or individuals who may be affected by the policy or impact assessment? For example: Are there indigenous communities or nomads, or traditional resource users with customary rights in the national context? Are there recent arrivals? Non-residents? Absentee landlords?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

5.5 The stakeholder matrix

To complete a stakeholder matrix:

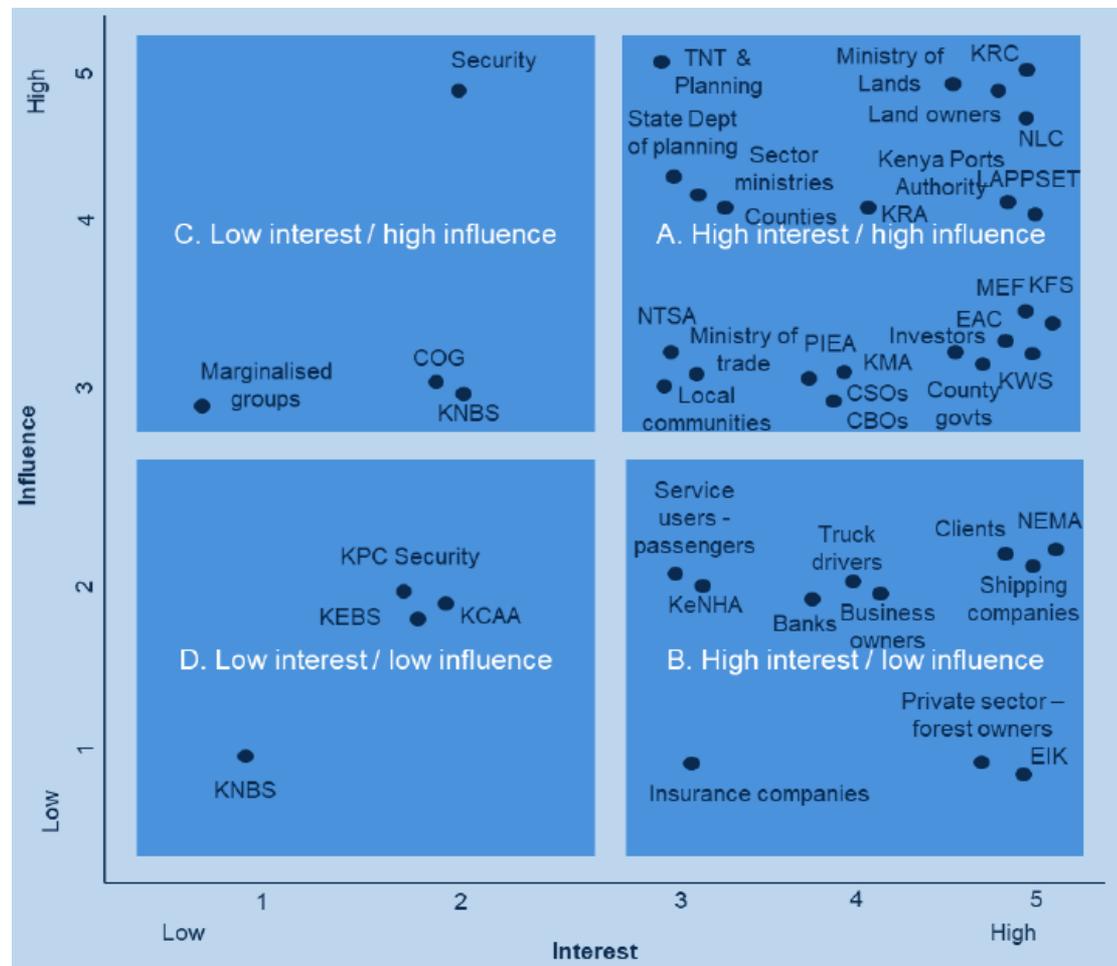
1. Make a list of stakeholder groups
2. Draw a set of two-by-two quadrants with one criterion increasing on the x-axis and the second criterion increasing on the y-axis
3. Write the name of each stakeholder group on an index card or post-it note
4. Rank the stakeholders on a scale of one to five, according to the two criteria on the matrix, such as 'interest in the policy outcomes' or 'influence on the policy'.
5. Consider the following:
 - Are there any unexpected placements?
 - Which stakeholders have the most and least opportunities to participate?
 - Are there stakeholders for whom additional efforts should be made to ensure engagement?

5.5 Identifying and mapping stakeholders for a sustainable development assessment in Mexico

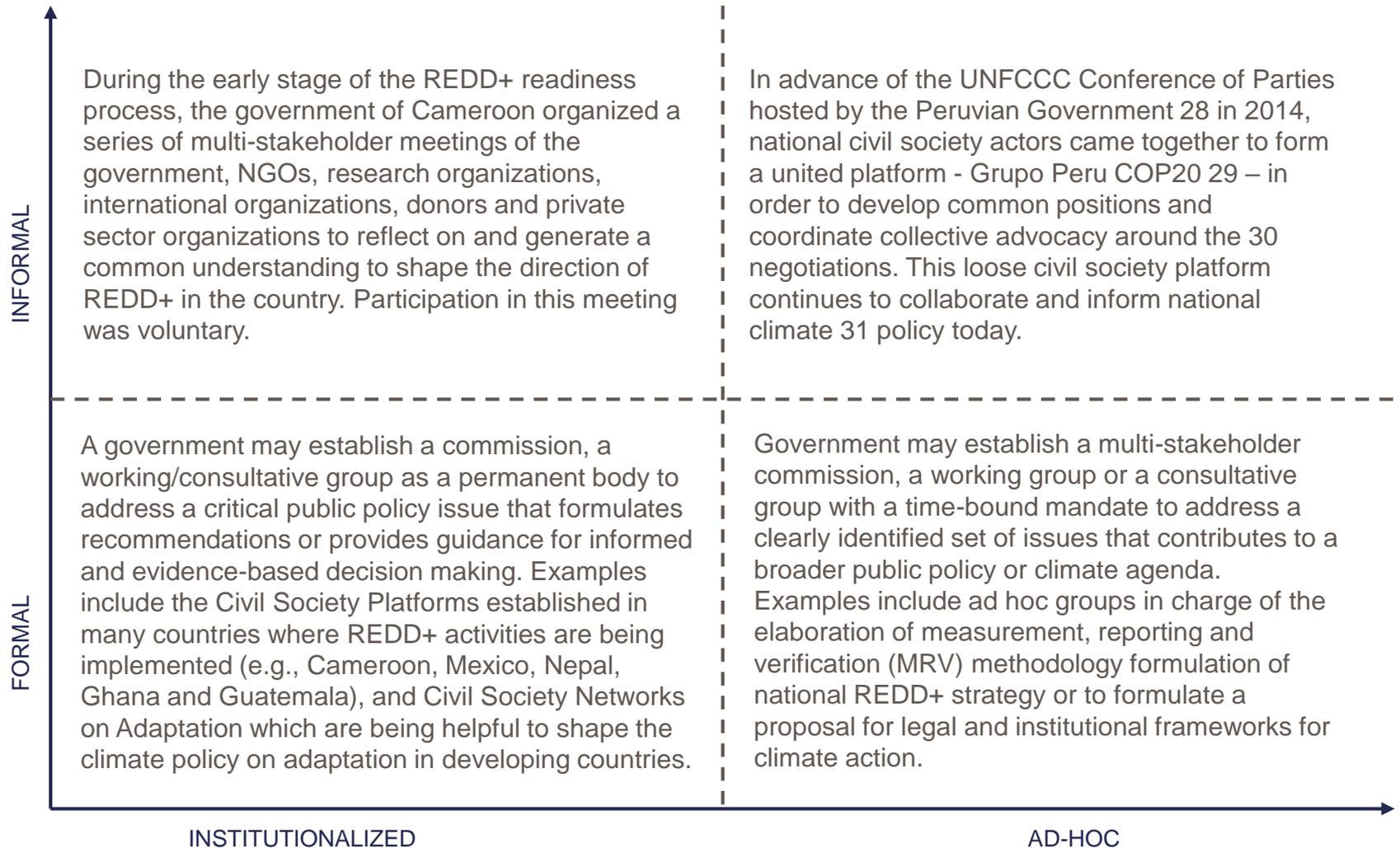


5.5 Participatory identification and mapping of stakeholders in Kenya

Stakeholders	Interest	Influence
Kenya Ports Authority	5	4
County governments	5	3
Local communities	3	3
Kenya Revenue Authority (KRA)	4	4
Kenya Railways Corporation (KRC)	5	5
National Transport & Safety Authority (NTSC)	3	3
National Land Commission (NLC)	5	5
Kenya Wildlife Service (KWS)	5	3
Kenya Forest Service (KFS)	5	3
Ministry of Environment & Forestry (MEF)	5	3
National Environment Management Authority (NEMA)	5	2
Environmental Institute of Kenya (EIK)	5	1
Private sector (forest owners)	5	1
Kenya National Highways Authority (KeNHA)	3	2
The National Treasury (TNT) & Planning	3	5
Investors	5	3
Civil society & community-based organisations (CBOs and CSOs)	4	3



6.2 Examples of multi-stakeholder bodies



7.1&2 Comprehensive information includes, but is not limited to:

- Processes for design, implementation and assessment of the policy
- Description of the policy including:
 - title of the policy, type of policy, description of specific interventions, status of the policy, date of implementation, date of completion (if relevant), implementing entity or entities, objectives and intended impacts or benefits of the policy, level of the policy, geographic coverage, sectors targeted, other related policies, additional information that may be relevant to describe the policy such as activities, timeline and budget
- Key questions or issues to be addressed by the policy, including studies undertaken to inform the design, implementation and assessment of the policy
- GHG, sustainable development and transformational impacts that are expected to be (1) relevant and (2) significantly affected by the policy (either positively or negatively) if known, including impacts for different stakeholder groups
- Changes or adaptations to plans, processes and impacts throughout the policy design and implementation cycle
- Governance structures and procedures for decision making and oversight related to the policy, and reports on implementation of these procedures
- Mechanisms to participate in policy design, implementation and/or assessment
- Mechanisms to ask questions and request information, and how to access them
- Grievance and redress mechanisms and how to access and use them
- Plans for stakeholder participation and opportunities to participate
- How stakeholder input will be used, and later how it was used
- Relations to other existing or planned policies

Public meetings

An open, accessible method of consulting with the public. Depending on the scale of the issue under consultation, they can take place at any level (e.g., national, subnational, local). They may be located and designed to facilitate consultations with specific stakeholder groups, for example with those that may be directly affected and/or marginalized (e.g. village congregations, town hall meetings, work place meetings). Ensure they are accessible and adequate notice is given to enable interested stakeholders to participate. Meeting size affects participation. Groups of fewer than twenty people provide greater opportunities for everyone to speak. Breaking out into smaller groups and using participatory methods (e.g., asking participants to provide input on cards, then grouping the cards into issues and getting their input on ranking the issues) can help to capture all viewpoints.

In-depth interviews

Face-to-face or virtual interviews with individual stakeholders that can be used to get a sense of stakeholders' perspectives. They can be structured (formal, and closely following a written interview guide), semi-structured (partially directed by an interview guide, but open and conversational to allow interviewees to introduce other topics of interest), or unstructured (organized around a few general questions or topics, but informal and open-ended). Structured interviews are likely to yield information that can be compared and generalized, while less structured ones can explore an issue in depth and permit related issues to be introduced into the discussion. Interviews with key informants possessing particular knowledge of an issue can be especially useful.

Written consultations

Typically involve using a consultation web page or printed sheet to introduce the policy and to solicit written input. A draft document, broad topics, or open-ended questions can be used to solicit comments, with more freedom to submit personalized responses than a survey). The call for written comments can be made to specific stakeholders or to the public. Define a deadline for receiving comments, ensuring that this allows sufficient time for stakeholders to be made aware of the invitation for comments and to provide the comments. Identify appropriate methods to solicit comments (e.g., email, letter or phone) and for submission of comments (e.g., online, email, mail or hand delivery to an office or a box in a public place). Provide an explanation to stakeholders about how their input will be shared and used. For example, a synthesis of the comments and responses can be posted bi-weekly on the internet or a summary can be published at the end of the consultation. Publication of comments during the consultation enables further reactions from stakeholders. Social media can also be used. Online consultation enables open public consultation but has limitations as it only reaches those who are literate and have internet access, and therefore may not reach marginalized stakeholders.

Workshops

Gathering a group of stakeholders to gain their feedback in a structured format. They enable different stakeholders to discuss and exchange views on specific topics, often adopting a face-to-face format which allows for brainstorming and testing ideas. A series of workshops can be more effective than a single workshop. Different workshop types can be adopted (e.g., open space discussions which lack an initial agenda and emphasize self-organization, write shops where groups of stakeholders develop written documents together and round table discussions). Facilitation is important, and a skilled neutral individual can help to ensure that group rules are clear, views are taken seriously, and no one participant dominates.

Stakeholder assessments

Systematic consultation with stakeholders to help identify and design climate policy, signal any potential constraints to their participation, and obtain feedback on reactions to an intervention during implementation. This assessment is an investigation of the perceptions of a systematic sample of beneficiaries and other stakeholders to ensure that their concerns are heard and incorporated into policy formulation.

Surveys

A sequence of focused, predetermined questions in a fixed order, often using closed questions with predetermined, limited options for responses. Surveys can be useful to identify problems or objectives, narrow the focus or clarify the objectives of the policy, plan strategies for implementation, and monitor or evaluate participation. Surveys can be conducted through interviews or by requesting written responses either online or on paper.

Focus group discussions

Semi-structured discussions with a small group, generally from similar backgrounds (generally 5–12 participants plus 1–2 skilled facilitators). Open discussions explore people's attitudes, concerns and preferences toward a specific issue, with the range of viewpoints collated at the end. Community members not used to formal meetings may feel more comfortable expressing themselves in a focus group discussion (e.g., women, ethnic minorities, or disadvantaged castes; the disabled; or poor individuals and households). Focus groups generally last about two hours and the discussions among participants are guided by a skilled facilitator.

Expert elicitation

A protocol for consulting with experts including a process for helping experts understand the elicitation process, avoiding biases, and producing independent and reliable judgments. Expert elicitation can help to avoid bias when expert judgments are needed for assessments. Refer to the 2006 *IPCC Guidelines for National Greenhouse Gas Inventories* Chapter 2 Approaches to Data Collection for an expert elicitation protocol.

Electronic discussions

Enable stakeholders to provide input in response to input from other stakeholders through an electronic medium. E-discussions can be moderated discussions on specific topics (e.g., comments on a draft document). They can be held through an electronic mailing list (e.g., a list-serve), on a website where comments from other stakeholders are posted (e.g., in response to a blog or other information posted on the web) or via social media (e.g., Twitter or Facebook). The advantages of these discussions include lower costs and the ability to reach larger audiences. The disadvantage is that access to the internet may be limited for some stakeholders. Thus, electronic means are best used as a tool complementing other consultation methods, such as face-to-face interviews or other events. To be a successful complement to other consultation tools, ensure that online deliberations are competently and constructively moderated.



8.2 Role of a facilitator

Meeting or workshop facilitator role

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

Characteristics of a good facilitator

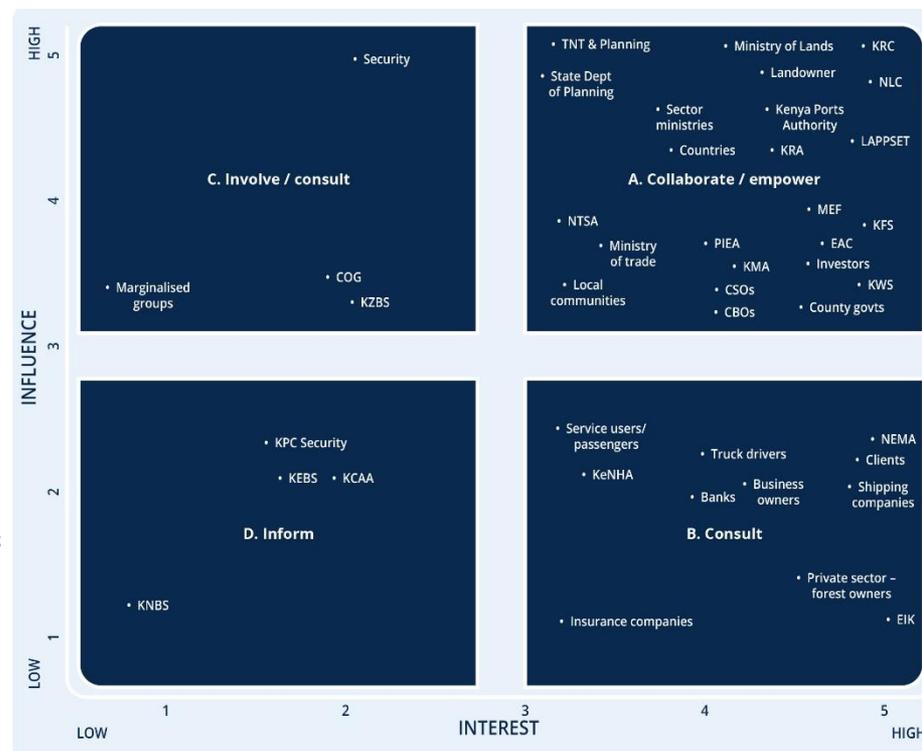
- Familiarity with the subject
- Understanding of the whole (stakeholder participation) process
- Neutral to the topic of discussion
- Good reputation and trust with all participating stakeholders including the target stakeholders and the entity sponsoring consultations, often including both civil society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

8.3 Planning consultations – step 3

Adapt consultation methods for the identified stakeholder groups.

Select the most appropriate consultation methods (e.g., written consultations, in-person events or internet-based methods) considering the scale and impact of the respective initiative (e.g., a large-scale initiative with a broad impact requires input from a wider range of stakeholders than a more technical policy measure), the appropriate level of interaction for the stakeholders and for the topic, factors affecting accessibility (e.g., language and disability) and timing requirements. The type of consultation should be proportionate to the scale and impact of the respective initiative. A large-scale initiative with a broad impact will require input from a wider range of stakeholders. A more technical policy will merit a more targeted approach. Stakeholder mapping (see Chapter 5 for guidance on stakeholder mapping) that helps users understand stakeholders based on level of influence and interest can help users to determine the most appropriate methods for consultations.

Example of stakeholder mapping for a policy in Kenya



8.3 Planning consultations – step 4

Before policy implementation

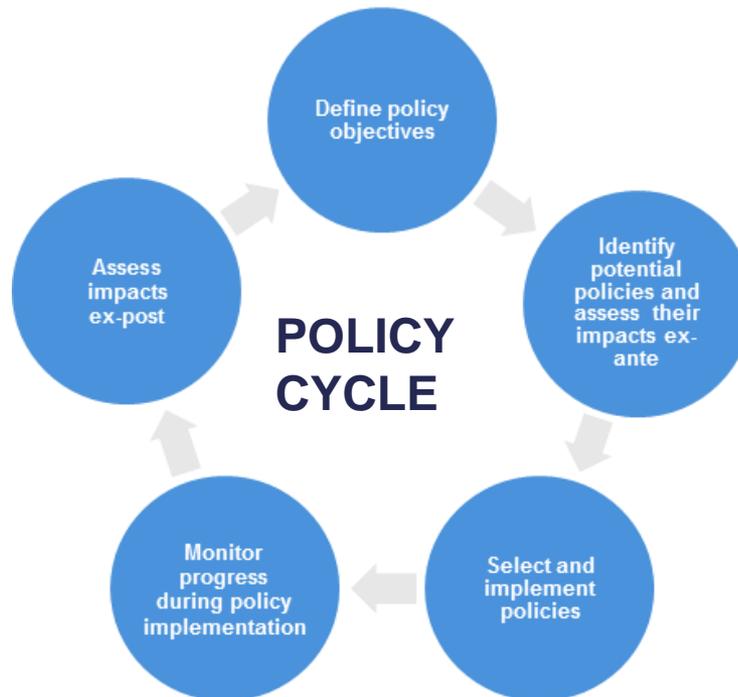
to establish the need and/or opportunity for the policy, to research possible policy responses and to identify workable solutions by reviewing a range of policy options, including consultations on:

- Issues and problems that a policy could address and setting objectives
- Possible policy responses and associated challenges and opportunities
- Potential policy options and the detail of proposals, for example with respect to feasibility, effectiveness and/or potential impacts

After policy implementation

to evaluate efficiency, effectiveness and equity with respect to achieving policy objectives and to provide feedback for improvements to policy design and implementation, including consultations on:

- Methods for, and the findings of, monitoring (i.e., the assessed impacts of the policy) and technical review, including on ways for stakeholders to participate
- Ways that findings from monitoring and technical review can feed back to improve design, implementation and assessment of the policy
- Lessons learned about the process followed for the design, implementation and assessment of the policy, including on stakeholder participation



During policy implementation

to develop plans for implementation of the policy and to optimize stakeholder participation in implementation, including consultations on:

- Plans for implementation with respect to efficiency, effectiveness and equity in meeting policy objectives, on ways that stakeholders can participate in implementation and on policy outcomes, results and impacts including ways to address negative and enhance positive outcomes