



Guidelines for Stakeholder Engagement

in Policies and Programmes for Sustainable Forest Management and REDD+

Myanmar, 2016



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ACRONYMS

ADB	Asian Development Bank
ASEAN	Association of Southeast Asian Nations
BANCA	Biodiversity and Nature Conservation Association
CHRO	Chin Human Rights Organization
COP	Conference of the Parties
CSOs	Civil Society Organizations
DP	Department of Planning, MNPF
DoF	Department of Finance, MNPF
DSW	Department of Social Welfare
DZGD	Dry Zone Greening Department, MONREC
EAOs	Ethnic Armed Organizations
ECD	Environmental Conservation Department, MONREC
EU	European Union
FAO	United Nations Food and Agriculture Organization
FCPF	Forest Carbon Partnership Facility
FD	Forest Department, MONREC
FLEGT	Forest Law Enforcement, Governance and Trade
FOW	Friends of Wildlife
FPIC	Free, Prior and Informed Consent
FREDA	Forest Resource Environment Development and Conservation Association
FREL	Forest Reference Emissions Level
FRI	Forest Research Institute, MONREC
FRL	Forest Reference Level
GAD	General Administrative Department, MOHA
GDP	Gross Domestic Product
GEN	Gender Equality Network
IUCN	International Union for Conservation of Nature
JICA	Japanese International Cooperation Agency
KPSN	Karen Peace Support Network
MERN	Myanmar Environment Rehabilitation-Conservation Network
METTA	Metta Development Foundation
MFPMF	Myanmar Forest Products Merchant Federation
MNPF	Ministry of National Planning and Finance
MOEE	Ministry of Electric and Energy
MOALI	Ministry of Agriculture, Livestock and Irrigation
MOHA	Ministry of Home Affairs
MONREC	Ministry of Natural Resources and Environmental Conservation
MOPF	Ministry of Planning and Finance
MRV	Measurement, Reporting and Verification
NCA	National Ceasefire Agreement
NFPD	Natural Forest and Plantation Division, MONREC
NGOs	Non-Governmental Organizations
NLD	National League for Democracy
NRPC	National Reconciliation and Peace Center
PD	Planning Department, MONREC
PMU	Programme Management Unit
POINT	The Promotion of Indigenous and Nature Together
RBF	Results-Based Framework

REDD+	Reducing Emissions from Deforestation and Forest Degradation; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries
SD	Survey Department, MONREC
SDGs	Sustainable Development Goals
TOR	Terms of Reference
TWGs	Technical Working Groups
UAGO	Union Attorney General's Office
UN	United Nations
UN DESA	United Nations Department of Economic and Social Affairs
UN DRIP	United Nations Declaration on the Rights of Indigenous Peoples
UN PBSO	United Nations Peacebuilding Support Office
UN RCU	United Nations Resident Coordinator's Unit
UN-REDD	United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries
UNDP	United Nations Development Programme
UNEP	United Nations Environmental Programme
UNFCCC	United Nations Framework Convention on Climate Change
WCS	Wildlife Conservation Society



I

INTRODUCTION

Myanmar has initiated measures to reduce emissions from deforestation and forest degradation with support from, among others, the UN-REDD Programme. These measures include the additional considerations of the conservation of, and enhancement of forest carbon stocks, and sustainable management of forests, which collectively constitute REDD+.

These Guidelines were conceived within Myanmar's REDD+ Readiness phase as an immediate input towards improving the quality and effectiveness of stakeholder engagement, and for use in the subsequent phases of implementation and result-based actions. Effective stakeholder engagement has been recognized as a crucial ingredient for achieving success in REDD+.¹ These Guidelines are thus intended to be a practical tool for use in the design and implementation of stakeholder engagement processes for REDD+.

In Myanmar, the overall leadership of the REDD+ Programme lies with the Government of Myanmar, while the operational responsibility of implementing REDD+ lies with the REDD+ Taskforce under the immediate supervision of the Ministry of Natural Resources and Environmental Conservation (MONREC). As such, these

Guidelines have been written primarily for the Taskforce, or others to whom they delegate responsibilities (such as the REDD+ Taskforce Office and Technical Working Groups, among others), for stakeholder engagement.

At the same time, it is hoped that other important REDD+ stakeholders, including policy makers, government officials, ethnic groups and civil society organizations (CSOs), will find the following content to be useful in their own efforts, including engaging with and supporting REDD+ success in Myanmar.

Given the potential diversity of users, the structure of this Guideline has been designed to accommodate non-practitioner users through the "Background" and "Why Stakeholder Engagement?" sections. The core of these Guidelines, for users with the responsibility to design and implement engagement processes, is contained in Section IV (Stakeholder Engagement Guidelines).

Throughout, the document adopts a concise style in order to be of greatest utility to practitioners. Users who wish to obtain additional detail may consult material referenced in footnotes or contained in the Annexes.

¹ *Participation and Consultation Standards, Guidelines and Country Experiences, BMZ, FCFP & UN-REDD Programme, 2013.*



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BACKGROUND

Myanmar is a large country with a rich history and possessing diverse natural resources that span 656,000 square kilometers. The country's estimated population is 61 million.² More than 70% of Myanmar's population is highly dependent on forest resources.³

The forests of Myanmar occupy a decreasing portion of the country, with forest area decreasing from 39,218,000 hectares in 1990 to 29,041,000 (or 44.2% of total land area) in 2015.⁴ The rate of deforestation of Myanmar's forests has been among the highest of Southeast Asian countries in the early years of the 21st century.⁵

Deforestation has been accompanied by even more alarming rates of forest degradation, with the composition of growing stock for Myanmar's top 10 species of wood decreasing dramatically from 48% of total growing stock in 1990 to 20% in 2000.⁶ The impact on biodiversity is significant: 282 plants, animals and other species are under threat in Myanmar.⁷

Much of Myanmar's deforestation and degradation are driven by concessions granted for plantations and other such large-scale projects.⁸ Economic activities that are based on natural resources, including agriculture, livestock, fishing, timber, mining, electricity, water, oil and gas, represented 39% of the country's Gross Domestic Product (GDP) in 2011.⁹ The people of Myanmar are thus highly dependent on their natural environment for survival. Despite the exploitation of these resources, per capita income was only US\$876 in 2012, one of the lowest levels within the Association of Southeast Asian Nations (ASEAN).¹⁰

The UNFCCC (UN Framework Convention on Climate Change), which was adopted in 1992, and

which Myanmar ratified in 1994, provides the framework for REDD+. The Conference of the Parties to the UNFCCC decided that REDD+ should be implemented in three phases of REDD+, these being readiness, implementation and results-based actions.¹¹ Myanmar is currently in the readiness phase. Myanmar became a UN-REDD partner country in 2011, and with UN-REDD support is building the capacities required to move into the implementation and results-based actions phases.

In 2013, through an intense and inclusive process of discussion, Myanmar produced its REDD+ Readiness Roadmap that is geared towards developing and implementing a national REDD+ programme. The main objective of this programme is to reduce greenhouse gas emissions (carbon dioxide) through avoided deforestation and the reduction of forest degradation as well as increased carbon sequestration through sustainable forest management, including forest conservation and afforestation. Considerable national developmental, social and economic effects are expected as co-benefits of this programme.

Any REDD+ results achieved should contribute to and complement many of the UN's 17 Sustainable Development Goals (SDGs), particularly goals 1 (no poverty), 5 (gender equality), and particularly 15 (sustainably manage forests, combat desertification, halt and reverse land degradation, halt biodiversity loss). Myanmar supported the adoption of the SDGs.

Still, the causes of deforestation and forest degradation remain formidable and cannot be underestimated. Challenges to the REDD+ agenda include vested business interests, long-standing ethnic conflict, corruption and weak regulatory

² Myanmar - *Unlocking the Potential*, ADB, 2014.

³ Myanmar REDD+ Readiness Roadmap, July 2013.

⁴ *Global Forest Resources Assessment 2015*, FAO, Rome, 2015.

⁵ *Achieving Environmental Sustainability in Myanmar*, ADB, 2015.

⁶ Myanmar Forestry Outlook Study, Khin Htun, FAO, Bangkok, 2009.

⁷ *Red List*, IUCN, 2013.

⁸ *The UN-REDD Programme is currently undertaking an assessment of the drivers of deforestation and forest degradation in Myanmar.*

⁹ Myanmar - *Unlocking the Potential*, ADB, 2014.

¹⁰ *Ibid*

¹¹ *Decision 1/CP.16, 16th Conference of Parties to the UNFCCC in Cancun, 2010.*

¹² *Achieving Environmental Sustainability in Myanmar*, ADB, 2015.

and enforcement mechanisms that do not adequately address “perverse incentives for environmental degradation.”¹²

Notwithstanding these challenges, significant opportunities to promote the REDD+ agenda in the near-term exist. For one, the REDD+ Readiness Roadmap has emphasized the opportunity for and importance of stakeholder engagement. These stakeholders include the private sector, ethnic nationalities,¹³ and forest-dependent communities, including equitably within these groups women, men and youth. Ethnic Armed Organizations (EAOs) are another important group of stakeholders to engage with,

given that EAOs are typically active in states that are rich in natural resources.¹⁴ Conflicts between the EAOs, who number in the dozens, and the military, have been ongoing for decades across several regions.¹⁵

Myanmar has also begun efforts to develop a partnership with the European Union (EU) via the EU Forest Law Enforcement, Governance and Trade (EU FLEGT) initiative. Improved forest law enforcement and governance is a key ingredient for reducing deforestation and forest degradation and as such there is a significant potential synergy between EU FLEGT and REDD+ efforts.

¹³ Myanmar officially recognizes 135 distinct ethnic groups in the Burma Citizenship Law of 1982.

¹⁴ <http://www.myanmar-responsiblebusiness.org/pdf/SWIA/Oil-Gas/11-Ethnic-Minorities-Indigenous-Peoples.pdf>

¹⁵ *Ethnic Armed Conflict and Territorial Administration in Myanmar*, The Asia Foundation, 2015



III

WHY STAKEHOLDER ENGAGEMENT?

Stakeholder engagement during all phases of REDD+ is critical to its effectiveness. Crucial for the legitimacy and successful implementation of REDD+ activities, and protected under international law, the rights of women and men include:

- Access to procedural rights,
- Access to, and distribution of information,
- Access to participation and capacity to participate,
- Systems for decision-making, legitimate representation bodies or platforms, and
- Access to justice and grievance mechanisms.¹⁶

It was agreed at the Conference of the Parties to the UNFCCC in Cancun in 2010 (COP16) that a set of seven safeguards should be promoted and supported when undertaking REDD+ activities, including the "full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities."¹⁷

1. WHO ARE THE STAKEHOLDERS?

For the purpose of these Guidelines, stakeholders are defined as "those groups that have a stake/interest/right in the forest and those that will be affected either negatively or positively by REDD+ activities."¹⁸

Consistent with global guidance, key stakeholders in Myanmar that should be engaged in the design and implementation of policies and measures for REDD+ include:

- Government agencies, notably the:
 - ⇒ Ministry of Natural Resources and Environmental Conservation (MONREC) and key divisions such as the Forest Department (FD) and the Forest Research Institute (FRI),
 - ⇒ Ministry of Agriculture, Livestock and Irrigation (MOALI)
 - ⇒ Ministry of Planning and Finance (MOPF);
- Formal and informal forest users, such as may be represented by:

- ⇒ The Promotion of Indigenous and Nature Together (POINT)
- ⇒ Myanmar Environment Rehabilitation-conservation Network (MERN)

- Private sector entities
- Indigenous peoples (referred to in Myanmar as "ethnic nationalities") that dwell in major forest areas, and;
- Other forest-dependent communities.

2. WHAT IS STAKEHOLDERS ENGAGEMENT?

Good practice defines stakeholder engagement as "(structured) processes that are used to ensure participation on a specific issue and are based on a set of principles, sometimes inspired by the rights-based approach to development. They aim to ensure participatory equity, accountability and transparency, and to develop partnerships and networks amongst different stakeholders."¹⁹ The rights-based approach includes, in particular, freedom of association, the right to participate in political processes and freedom of opinion, speech and expression. Fundamentally, therefore, an engagement is not merely an event but rather a process.

While participation may have the effect of protecting the rights of stakeholders, the relationship between rights-holders and duty-bearers (such as the government) is hardly one-way. Rather, participation permits rights-holders to also embrace responsibilities and obligations associated with the shared ownership of whatever flows from engagement processes. Engagement that secures high levels of participation are more likely to produce effective partnerships.

Stakeholder engagement thus helps to generate a higher quality of participation by stakeholders on a specific issue than would otherwise occur. Ideally, a stakeholder engagement process is characterized by principles such as inclusion, sustainability, transparency, and accountability, which are discussed in more detail in section III.6. Among

¹⁶ REDD+ Implementation: A Manual for National Legal Practitioners, UNEP, 2015.

¹⁷ http://unfccc.int/meetings/cancun_nov_2010/items/6005.php

¹⁸ Guidelines on Stakeholder Engagement in REDD+ Readiness, UN-REDD Programme, 2012.

¹⁹ Multi-Stakeholder Engagement Processes, BDP, UNDP, 2006.

the significant benefits of stakeholder engagement are increased stakeholder awareness, confidence, trust, ownership and empowerment, as they relate to the specific engagement issue(s). Key results achieved from good quality engagement processes include increased effectiveness of policy implementation, stakeholder consensus, and reduced resistance to change.

There are five main types of stakeholder engagement processes – information sharing, consultation, collaboration, joint decision-making and empowerment - as described in Section IV under “Types of stakeholder engagement processes.” Each process type produces different results. Almost all processes can deliver a degree of transparency and awareness, for example. Some processes can produce higher-level results, such as national ownership and consensus. Depending on the objectives, stakeholder engagement may consist of a combination of these processes.

3. HOW DOES STAKEHOLDER ENGAGEMENT CREATE CHANGE?

Fundamental to stakeholder engagement is that stakeholders themselves change in the process of being engaged, even while generating the changes that will lead to reduced emissions from deforestation and forest degradation. This personal and group change is key to sustaining any agreements that come from engagement.

In addition to tangible inputs, such as concept notes, information sharing, logistics and so on, stakeholder engagement also benefits from – and produces – vital but less tangible elements, such as open-mindedness, respect, fairness, trust, and empathy. These more emotive dimensions of inter-personal and inter-group relations are crucial for more complex types of engagement processes, such as collaboration and joint decision-making, which often require compromise and consensus. Dialogue processes in conflict prevention processes illustrate these dimensions well. A peace negotiation, for example, which is a highly complex stakeholder

engagement process, starkly demonstrates the vital role of less tangible elements.

According to Otto Scharmer, dialogues have four modes.²⁰ For REDD+ Readiness, practitioners will need to recognize these modes in designing stakeholder engagement. The modes are:

- **Talking Nice:** people listen from within their own story, but without any self-reflection. They only hear that which confirms their own story and therefore only reproduce what is already known. It is about being polite and people not saying what they think.
- **Talking Tough:** people start listening to each other and to ideas (including their own ideas) objectively, from the outside. But people say what they think and focus on the differences, which often results in a conflict or a clash.
- **Reflective Dialogue:** people listen empathetically, viewing causes and effects as part of a continuum. They start surfacing their own paradigms and assumptions, and focus on unity.
- **Generative Dialogue:** people listen with an appreciation for the whole system, and begin to co-create solutions.

Designing and implementing effective stakeholder engagement must therefore accompany stakeholders on a journey through politeness, mistrust, fear, subjectivity and unawareness to arrive at a point where new possibilities are generated through co-creating solutions with others.

4. WHY IS STAKEHOLDER ENGAGEMENT IMPORTANT FOR REDD+?

As Myanmar moves to implement its Readiness Roadmap, there will be many challenges that could benefit from effective stakeholder engagement. For example, a lack of awareness about climate change and REDD+ may reduce the ability of stakeholders to understand why change is

²⁰ Multi-Stakeholder Partnerships (<http://www.mspguide.org/tool/4-types-conversations>)

necessary. Further resistance to change may come from concerns that traditional lifestyles are threatened, or that incomes may be reduced. Stakeholders may also lack trust in government and refuse to work with government agencies. At the same time, there are specific topics within the readiness phase that require stakeholder engagement.²¹ Among the more significant topics, which need stakeholder engagement prior to the implementation phase, are:

- Activities to support the design of a REDD+ national strategy and/or action plan, including:
 - ⇒ Identification and prioritization of drivers of deforestation and forest degradation
 - ⇒ Design of new forest management policies and programmes;
- Defining and designing a safeguard information system;
- Deciding on scope and scale for REDD+ implementation, and construction methodology of FRLs/FREs for REDD+; and
- Approaches to measurement of forest carbon stocks and changes as part of an MRV system under REDD+, among many others.

It is important to note that not all stakeholders will be involved to the same level in all of these topics. Part of a good stakeholder engagement process is to define, in an inclusive and transparent manner, and communicate clearly how different stakeholders will be engaged in different aspects of the REDD+ process. The piloting of activities to support the design of REDD+ strategies, for example, will typically engage a broader range of stakeholders while topics relating to the construction of FRLs/FREs/MRV would usually benefit from the engagement of more technical experts.

Stakeholder engagement leverages political changes

Political changes in Myanmar over the past several years sped up the country's democratic transition from military to civilian government and, with the election of a new government in 2015, signals new opportunities for reducing emissions from deforestation and forest degradation and the use of stakeholder engagement.

The new government, for its part, is set to strengthen sustainable management of the country's natural resources. Extractive resource policies and goals will be reviewed and adapted. Stakeholder consultation as well as social and environmental safeguards will be given more attention than in the past, according to proposed short-term goals of the new government. Specifically, REDD+ and FLEGT²² are mentioned as MONREC priorities.

In October of 2015, the government signed a National Ceasefire Agreement (NCA) with 8 of 15 EAOs.²³ This positive development, which opens opportunities for developing REDD+ in post-conflict zones, was deepened after the victory of the National League for Democracy (NLD) in November when several EAOs, particularly those that had not signed the NCA, expressed the desire to cooperate with the new government on issues relating to peace and development.²⁴

As the new government settles into office, there are additional positive signs of progress through, for example, a "Panglong-styled"²⁵ peace conference in August–September 2016,²⁶ the advancing of arrangements for monitoring ceasefires, and the restructuring of the Myanmar Peace Centre, now known as the National Reconciliation and Peace Center (NRPC).²⁷

²¹ Myanmar REDD+ Readiness Roadmap, 2013.

²² Forest Law Enforcement, Governance and Trade, FLEGT, is an initiative of the European Union aimed at supporting countries to reduce and eventually eliminate illegal logging.

²³ <http://www.rfa.org/english/news/myanmar/deal-10152015175051.html>

²⁴ <http://www.rfa.org/english/news/myanmar/pledge-11182015162522.html>

²⁵ The original Panglong Conference was convened in southern Shan State in 1947 by Aung San Suu Kyi's father, Gen. Aung San, and leaders from some of the country's ethnic minorities, in preparation for independence from Britain. It led to the signing of an agreement by the same name, which has been widely praised for the spirit of inclusiveness and cooperation that it fostered between the dominant Burman majority and ethnic minorities at the time (source: <http://www.burmaenac.org/?p=546>)

²⁶ <http://www.irrawaddy.com/burma/leaders-respond-to-suu-kyis-call-for-second-panglong-conference.html>

²⁷ "New name for peace centre," *The Global New Light of Myanmar*, May 17, page 1.

Stakeholder engagement reflects important global development principles

The world of development practice has, over the years, identified numerous principles that lend themselves to sustainable human development. Many of these principles are embedded in the practice of stakeholder engagement, making engagement an essential strategy for development efforts such as REDD+. Included among the principles that benefit REDD+ are:

- **National ownership:** Separate from the principle of governmental leadership, a principle that is well entrenched in UN/host country relations, is the principle that stakeholders need to also understand and be committed to development interventions.
- **Consensus:** Depending on the topic being engaged on, consensus is a vital principle to confirm the support of stakeholders for key decisions and directions.
- **Transparency and accountability:** Through proactive information sharing and open access policies to data and information, engagement effectively increases levels of transparency for those specific topics around which engagement is organized. The knowledge and awareness thus created is essential to increase the accountability of all stakeholders.
- **Inclusivity:** The principle of inclusion underpins participation, as it permits other principles (such as transparency, accountability, ownership and consensus) to be achieved. By being included through engagement, stakeholders are given concrete opportunities to contribute towards decisions that will affect them.
- **Equality:** Stakeholder engagement can give meaning and help promote, through fair inclusion, to equality. Equality is a key principle in development and has been pursued in recent years through combatting

socio-political and economic inequalities. Among the specific types of inequality that stakeholder engagement can help mitigate are gender inequality, ethnic inequality, regional inequality, and other inequalities, such as those associated with leadership, age, education and religion.

- **Sustainability:** While REDD+ is inherently concerned with the sustainability of natural resources, engagement adds the socio-political dimension by generating longer-lasting and more effective policy-making and implementation.
- **Rights and obligations:** Engagement can help secure the rights of all stakeholders, including women, men and youth.
- **FPIC:** “Free, Prior, and Informed Consent” is a key concept to support the full participation of forest-dependent rights-holders, particularly indigenous peoples (referred to as “ethnic nationalities” in Myanmar) and other forest-dependent communities, including equitably women, men and youth within them.

Stakeholder Engagement Reduces Inequalities

A well-designed and well-implemented stakeholder engagement can mitigate one of the most significant causes, and consequences, of underdevelopment: inequality. According to the UN’s Development Programme, “Inequalities are widening within countries, violent tensions are making some societies vulnerable to crisis and even collapse, and competition is intensifying around scarce natural resources.”²⁸

At a global level, the UN has promoted the rights of indigenous peoples through the Declaration on the Rights of Indigenous Peoples (UN-DRIP). The UN-REDD Programme recognizes that inequalities associated with women and indigenous peoples must be addressed in order to improve the quality of stakeholder engagement processes. To this end, the UN-REDD Programme has issued

²⁸ UNDP Strategic Plan 2014-2017

²⁹ *The Dynamics of Sixty Years of Ethnic Armed Conflict in Burma*, Lian H. Sakhong, Burma Centre for Ethnic Studies, 2012.

guidance on FPIC and on gender sensitivity and practical approaches for the participation of indigenous peoples.

In Myanmar, indigenous peoples or ethnic nationalities are associated with the forests. Much of the violent conflict in the country relates to ethnicity. Socio-political factors, inclusive of language differences, state formation conflict and post-independence political grievances have conspired against equality of ethnic participation.²⁹

For women, the equality challenge in Myanmar is particularly significant. Women participate unequally in socio-political processes, due in significant measure to an inferiority status with religious connotations and the institutionalization of that status within the society and its structures to the extent that “the problem is that the problem is not seen as a problem.”³⁰

These guidelines thus seek to offer concrete assistance to help overcome inequalities that might deter the effective participation of key groups within Myanmar, particularly women and ethnic nationalities, in stakeholder engagement processes.

Free, Prior and Informed Consent (FPIC) Considerations

Among stakeholders in Myanmar, ethnic nationalities and forest-dependent communities have a particularly important role to play in conserving forests. FPIC is about these stakeholders – including those often marginalized within them, such as women, youth, and the disabled – granting or withholding consent (in matters requiring consent) through processes that are free, prior and informed.

While there is no single mechanism for the implementation of FPIC, the UN-REDD Programme has developed guidelines for partner countries.³¹ In summary, these guidelines define the four principles of FPIC as follows: Some, but not all, REDD+ stakeholder engagement processes require stakeholder assent to decisions and policies that will affect them. The UN-REDD

Programme Global FPIC Guidelines present useful examples of activities that can be used to guide decisions on whether an activity will require FPIC. These examples may be viewed in Annex A. Examples of activities that would benefit from FPIC include:

- Relocating a community from their lands;
- Damage, occupation, confiscation and use of lands, territories and resources; and
- The approval of projects that affect their lands or territories and other resources, particularly in connection with the development, utilization or exploitation of mineral, water or other resources.

Free	refers to a consent given voluntarily and without “coercion, intimidation or manipulation.”
Prior	means at the “early stages of a development or investment plan, not only when the need arises to obtain approval from the community.”
Informed	refers mainly to the nature of the engagement and type of information that should be provided prior to seeking consent and as part of the ongoing consent process.
Consent	refers to the collective decision made by the rights-holders and reached through the customary decision-making processes of the affected peoples or communities.

The process to determine activities that may require FPIC should be carried out with key stakeholders and respond to the country context. The table below summarizes the key design considerations if and when free, prior and informed consent is required for REDD+.³²

³⁰ *Raising the Curtain, Gender Equality Network, 2015.*

³¹ *Guidelines on Free, Prior and Informed Consent, UN REDD Programme, 2013.*

³² *Adapted from Guidelines on Free, Prior and Informed Consent, UN REDD Programme, 2013.*

If and when FPIC is required, the participation of ethnic nationalities and other forest-dependent communities in Myanmar therefore encourages more complex and ownership-based engagement processes. These processes should embody the four principles of FPIC presented above and be built on legitimate, self-determined representation and representative platforms, good faith consultation and participation process, and informed and authenticated decisions. Therefore, the steps elaborated in Section IV below form the foundation from which processes to seek consent, if and when required, can be designed and implemented.

The international community has prioritized the participation of indigenous peoples and forest-dependent communities in matters such as REDD+ and developed legal norms to buttress their special relationship with forests. UN-REDD Guidelines present a useful tool that can be used to determine whether an activity will require FPIC.

Stakeholder engagement as a means for conflict management

Through physical insecurity and extreme mistrust, violence significantly complicates efforts to improve forest governance. In the quest for peace, combatants have found it helpful to identify issues of mutual interest and use these as entry points to address both the issue and the conflict. In various peace processes, entry points have been provided by shared concerns around the economy (e.g. Kenya, 2008 & Zimbabwe, 2008), children (e.g. Sudan, 2013 & Uganda, 2007) and justice/reconciliation (e.g. Central African Republic, 2015 & Democratic Republic of the Congo, 2013).³³ Critically, the environment has found its way into several peace agreements (e.g. Philippines, 2012 and Uganda 2007), as illustrated in Figure 1.



KEY DESIGN CONSIDERATIONS FOR FREE, PRIOR AND INFORMED CONSENT:

- **Who** makes the decision? Did this person or institution receive a mandate from their constituency?
- **How** is the decision made? Does it respect the customary decision-making processes of the affected communities? Are men, women and youth engaged in the process? Is there agreement on an adequate timeline?
- **What** information is shared with the affected communities?
- **Do** affected communities **fully understand** the information shared and the implications of the activity proposed?
- **Who** can the communities approach for **clarification** if the information presented is not understood?
- **Are** there provisions for communities to **seek independent technical and/or legal advice**?
- **How** will decisions, whether consent is given or withheld, be **documented and disseminated**?
- **Is** there agreement as to **who** and **how** the terms of consent will be **monitored**?
- **Are** there **provisions or mechanisms** to address potential **grievances**?

8. The Parties agree that sustainable development is crucial in protecting and improving the quality of life of the Bangsamoro people. To this end, the Bangsamoro shall develop a comprehensive framework for sustainable development through the proper conservation, utilization and development of natural resources. For efficient coordination and assistance, the Bangsamoro legislative body shall create, by law, an intergovernmental body composed of representatives of the Bangsamoro and the Central Government, which shall ensure the harmonization of environmental and developmental plans, as well as formulate common environmental objectives.

Figure 1: Extract from Framework Agreement between the Government of the Philippines and the Moro Islamic Liberation Front,

If an issue of mutual concern is dealt with through a wholesome, full and effective multi-stakeholder process of engagement, that conflict – whether violent or not – stands a much better chance of being meaningfully addressed. Such processes, if characterized by the global development principles outlined in section III.6, build goodwill generally while generating specific opportunities (such as participatory governance arrangements) for a society to normalize its socio-political processes, thus deepening the prospects for lasting peace.

³³ These and other examples may be viewed at <http://peacemaker.un.org/>

In Myanmar, ethnic tensions have been sustained for years, with numerous armed groups challenging the military. As indicated earlier at section III.6, addressing ethnic conflict is a government priority and an opportunity to further the development process. The vital need for meaningful stakeholder engagement to underpin development, within enabling peace agreements, has been well argued by the Karen Peace Support Network (KPSN).³⁴

5. MYANMAR'S EXPERIENCE WITH STAKEHOLDER ENGAGEMENT

Myanmar is no stranger to stakeholder engagement. For a variety of purposes, including consultations to support foreign investors and peace dialogues in conflict areas, stakeholders have been engaged. International development partners,³⁵ NGOs and the private sector³⁶ often utilize stakeholder engagement techniques.

In recent years the government has itself engaged stakeholders to, for example, develop a national land use policy, a national strategic plan for the advancement of women and the REDD+ Readiness Roadmap itself. Key features of these

processes reflect good engagement practice and are captured in the box below.

Despite these practices, the policy framework to enable stakeholder engagement is generally weak and there are few or no requirements for stakeholder engagement, or standards for their implementation. Encouragingly, the new government has identified stakeholder engagement, including as it relates to REDD+, as an immediate area for improved governmental performance.

More generally, women, youth, ethnic nationalities and even some government stakeholders also struggle to participate meaningfully in stakeholder engagement. Among the challenges these stakeholders face are limited capacities, practical obstacles (such as distance and time), and mistrust. Social realities that give older males greater power, for example, are also part of the engagement reality in Myanmar.

Harnessing the potential of stakeholder engagement to the benefit of Myanmar's REDD+ Readiness Phase is a key objective of these Guidelines.

Features of Recent Engagement Experience in Myanmar

REDD+ Readiness Roadmap:

A stakeholder mapping process was conducted. A wide range of governmental and non-governmental stakeholders, including women and ethnic nationalities, were thus identified and engaged systematically, through an identified lead national institution (MOECA, subsequently restructured and renamed MONREC). Multi-stakeholder technical working groups were established and engagement occurred at regional as well as national levels.

Land Use Policy:

A CSO consultancy group was given a mandate to lead the engagement process, working closely with government. Stakeholders were mapped and 5 working groups established. Engagement occurred at state/regional and national levels. A grievance mechanism was established and deliberate efforts made to build trust and consensus.

³⁴ Critique of JICA's Blueprint for Development of Southeastern Burma/Myanmar, KPSN, 2014.

³⁵ <http://www.ifes.org/news/support-electoral-stakeholder-engagement-myanmar>

³⁶ Conducting Meaningful Stakeholder Consultation in Myanmar, Shift, NY, USA, 2013.



IV

NATIONAL STAKEHOLDER ENGAGEMENT GUIDELINES

This section provides guidance to REDD+ practitioners on how to actually conduct stakeholder engagement, with a special emphasis on assisting Myanmar to complete the REDD+ readiness phase. At the same time, this section will also be able to support the subsequent phases of implementation and results-based actions.

Users will undoubtedly need to design and implement stakeholder engagement efforts to suit the unique circumstances presented by each set of stakeholders and the purpose of engaging with them. These Guidelines are not intended to be an absolute standard that cannot be deviated from. It will therefore be presented in generic form, and encourage the exercise of flexibility and local wisdom by those entrusted with the engagement process.

In many countries, some stakeholder engagement activities - such as workshops - have become so commonplace that “workshop fatigue” has set in, and stakeholders have become wary – and weary - of investing time and effort in engaging. Poor quality engagement also has the effect of frustrating stakeholders, and can lead to accusations that such efforts are either exercises in pacification/distraction, or designed for political “photo opportunity” effect. Full and effective stakeholder engagement, on the other hand, invites optimism and deeper participation.

1. Types of stakeholder engagement processes

Every engagement process is unique. The stakeholders, relationships among them, their interests and influence, and the challenges and opportunities will differ from process to process. The design and conduct of the process will therefore also differ, depending on these differences (whether real or perceived). The ability to design and implement a truly effective engagement process calls for a capacity that is sometimes referred to as “process wisdom.”³⁷

There are thus several types of stakeholder engagement processes. In general, an engagement can vary between “more participation” and “less participation,” as per Figure 2. At the higher end of the scale is active engagement – “empowerment” and “joint decision-making,” for example. The lower end of the scale is characterized by passive engagement such as “information sharing” and “consultation.” Occupying the middle ground is “collaboration,” where joint activities occur without shared control. More detailed descriptions for each type of engagement can be viewed at Annex B.

Engagement can therefore be active or passive, and can give more authority to those engaged, or less. The choice of engagement type depends on


Degree of Participation	Types of Engagement	Description
<p style="text-align: center;">HIGH</p>  <p style="text-align: center;">LOW</p>	Empowerment	Transfers control over decision making, resources, and activities
	Joint decision making	Joint collaboration with shared control over
	Collaboration	Joint activities without decision making authority and control
	Consultation	Two-way flow of information
	Information sharing	One-way flow of information

Figure 2: Introduction to Stakeholder Engagement, REDD+ Academy Journal 11, 2015.

³⁷ Concept developed by Chris Spies of South Africa, peacebuilding practitioner and former UN Peace & Development Advisor.

what results are expected from the engagement. If, for example, stakeholders are not very well informed about climate change, the type of engagement used to address this lack of information will be very different from an engagement designed to generate joint decision-making on REDD+ result-based actions. The former will be shorter, and probably include a larger number of stakeholders. The latter will be longer, may even use elements of the former, and likely will include a smaller number of stakeholders.

2. Practical Guidance for Effective Stakeholder Engagement

The following sections identify eight steps typically associated with stakeholder engagement, and provide practical guidance for effective engagement for each step. These steps build on each other while being inter-related. They follow

an approximate chronological path that can be summarized as in Figure 3 below:

While these 8 steps provide a working framework for designing and implementing stakeholder engagement, the reality of engagement is that flexibility in response to actual situations is needed. Such flexibility may require steps to be repeated (e.g. if knowledge levels are too low) or redesigned (e.g. if mistrust levels are too high). Some engagement may conclude after step #8 (such as may apply for a local consultation, for example), while more complex engagement will require some steps to be repeated. An engagement to design a national REDD+ strategy, for example, will require multiple events, ongoing process evaluation and the treatment of dissent and grievances.



Figure 3: Designing and Implementing a Stakeholder Engagement Process

Stakeholder engagement processes can therefore also be conceptualized as policy processes where parallel sub-processes are simultaneously occurring and developing in iterative and incremental ways rather than in a simple linear progression.

Step 1: Identify Purpose and Type of Engagement

The first step in every engagement is to identify the goals, outcomes, objectives and other desired results the engagement is expected to produce. A non-exclusive listing of possible purposes of an engagement within Myanmar’s readiness phase is listed at Annex C. Once these results are clarified, it will become more obvious what type of engagement process is required, to permit the engagement design process to begin.

Guidance for implementing step 1:

1. **Articulate results:** Be as precise as possible about the results expected from the engagement, as per the samples in the following box. Ideally, indicate the ways in which this result can be objectively verified as having been accomplished.

Illustrative Engagement Results Based on Engagement Type	
Type of Engagement	Sample Engagement Results
Empowerment	Implement specific REDD+ actions on the ground
Joint Decision-Making	Prioritize scope and scale of REDD+ actions
Collaboration	Develop and design options for strategies and actions to tackle the drivers
Consultation	Identify the drivers of deforestation
Information Sharing	Raise awareness on the main causes of deforestation and forest degradation

2. **Identify engagement type(s):** Recalling Figure 2 above, situate the engagement at the appropriate level of participation, thus

identifying the type(s) of engagement required for the desired results to be achieved. Be aware that higher levels of engagement may require prior investments at other levels.

3. **Outline an engagement concept:** If possible at this stage, identify the preliminary details associated with the engagement process, including duration, milestones, resources and so on. For more complex processes, begin identifying the sequencing of steps, inclusive of investments in preparatory engagement. Identify how the engagement contributes to REDD+ readiness and, as applicable, indicate other steps and processes that will reinforce or synergize with the engagement being planned. Consider putting these preliminary details into a brief concept note to capture and communicate the rationale for the engagement.

Step 2: Identify Structures

Every engagement process requires a structure to operationalize the engagement. Myanmar’s REDD+ Taskforce plays a leadership role within any mechanism, which may include TWGs and others to whom some engagement responsibilities may be delegated. The eventual structure is not only a mechanism to implement administrative tasks, such as logistics and sending out letters, but also a potential vehicle for assuring higher levels of stakeholder inclusion in the design and implementation of the engagement.

Guidance for implementing step 2:

1. **Explore mechanisms for stakeholders to support the REDD+ Taskforce:** Depending on the desired results of the engagement, it may be helpful to involve stakeholders directly in the design and implementation of the engagement. There are different ways of designing these mechanisms (see Tips box to right). In general, the TORs for these structures allows stakeholders to co-create the engagement process with the lead agency, by:

- Reaching consensus on the purpose of the process, to guide work on the design, preparation, facilitation and follow-up phases of the process

- Keeping decision-makers and other constituencies informed at all stages of the engagement process.
- Advising on and creating the necessary conditions for trust in the process, including approving communication and media policies.
- Clarifying the rights and duties of stakeholders (see sample items at Annex D)
- Overseeing the entire process.



***Tips, Tools and Resources:
Engagement Mechanisms***

Oversight Committees are prominent spaces where key stakeholders have a direct role in approving the design and implementation details of the engagement.

Advisory Committees are less formal spaces for generating ideas, managing dilemmas and generally advising on the engagement plans.

Working Groups are technical spaces that permit specialized interests and capacities to inform the design and implementation of stakeholder engagement. As indicated at section III.5, Myanmar has used working groups to produce the REDD+ Readiness Roadmap (2013) as well as the National Land Use Policy (2016).

2. **Beware of overly burdensome structures:** While inclusion is to be desired, too many participants in oversight structures can reduce efficiencies and effectiveness. In determining the balance that leads to optimum participation in operational structures, firstly consider whether stakeholders wish to participate in these more demanding roles. Additionally, consider identifying the stakeholders that would add the highest value to the structure.
3. **Involve resource persons:** Consider including technical resource persons, including event facilitators, technical experts, and rapporteurs, for example, in the planning work of the lead agency and/or the oversight committee. These persons will already participate in the implementation of the engagement so it is ideal if they have the opportunity to also participate in the

planning. This will help ensure a seamless transition from planning to implementation. These resource persons may also bring critical skills and prior experiences that help improve the engagement processes.

Step 3: Plan The Engagement Process

The persons within the structures identified in the previous step must now plan the details of the engagement process, inclusive of discrete events. Preparing for an event typically consumes a lot of time and attention, even though it is only a moment within the longer engagement process. This planning function, which is the responsibility of the REDD+ Taskforce or its operational support office and any stakeholder participation mechanisms identified, includes all the work that is necessary to implement other steps (such as preparing stakeholders) and is an ongoing process. As a central function within a stakeholder engagement process, this planning step typically serves as the fulcrum around which other steps are performed.

Guidance for implementing step 3:

1. **Develop an Engagement Plan:** Using the outputs from the previous steps, develop the plan for the entire engagement process, which details what needs to be done, by whom and when. Describing the content of your plans through an engagement plan, or other equivalent tool, helps generate a shared understanding among stakeholders of the engagement process. A plan also better ensures accountability and provides a basis for budgeting.

A wisely developed plan is central to the engagement process as it articulates the operational details for implementation, including:

- **A context analysis:** The foundation of an engagement plan is an understanding of the context within which the engagement will take place. Even if unwritten, aim to understand local dynamics, potential risks, opportunities and other characteristics of the context that could help or threaten the engagement process. Key in this process is also to identify potential power relations between stakeholders as well as possible

barriers to participation (literacy, socio-economic and political constraints, etc.) that might be at play and could also jeopardize the meaningful participation of stakeholders. Doing so can help inform the engagement process and how it can be successfully designed and implemented to achieve its goals.



***Tips, Tools and Resources:
Engagement Plans***

Learning from local success: Groups in Myanmar have used community exchanges to share lessons and successes across regions.

Event Types: Workshops, trainings, retreats and dialogues are all possible types of engagement events. The different types of events, their typical purposes and general features, is available at Annex E.

Communications: Proactive communication with stakeholders, including the media, help build trust and prepare stakeholders for engagement. A generic communication structure and action plan design are presented in Annex F.

- **The type of events:** Different events serve different purposes, with each having its own features. The choice of events within stakeholder engagement processes includes meetings, consultations, symposia, workshops, and conferences. Users are encouraged to consider what type of event is most appropriate given the specifics of the engagement’s purpose, the stakeholders, including their existing capacities, available resources, etc. When organizing any event, it is important to explain clearly to stakeholders the nature, purpose and outcome of the event, particularly if their input will be used, and for any results to be clearly communicated back to them.
- **A workplan:** A workplan with an associated timeline gives operational backbone to an engagement plan. It indicates the duration

of the engagement process and key milestones, such as events. Creating a sense of key milestones and target dates adds to the accountability of the process, and provides specificity to the engagement process and its events.

- **Key strategies:** Identify those overarching strategies that will add particular value to the engagement process. These strategies might include:
 - ◇ A partnership strategy, which seeks to leverage the strengths of others in order to achieve mutually held goals. Potential partners should be identified as early as possible in the stakeholder mapping process. A partnership across the REDD+ readiness and the EU FLEGT process is one example of possible synergies that might increase the efficiency and effectiveness of engagement processes and events.
 - ◇ An engagement communication strategy, which should explicitly articulate the what/how/when/who of the engagement communications opportunities that will enhance the intended results of the engagement. A generic outline of an engagement communication strategy, with sample performance metrics, is available at Annex F.
 - ◇ A conflict prevention strategy, which seeks to maximize the linkages between peace and development through REDD+ activities. Such a strategy may aim to reduce conflicts generated by REDD+ activities or leverage REDD+ activities to address the deeper causes of conflicts, or both. An important contributor to an effective conflict prevention strategy is the context analysis described above, particularly as relates to the identification of the root causes and potential triggers of conflicts. Elements of effective conflict prevention strategies may include:

³⁸ *Civil Affairs Handbook, UN-DPKO, NY, USA, 2012.*

- * Involving peacebuilding practitioners in the design and implementation of the engagement
 - * Conducting an actor analysis to identify opinion and other leaders likely to oppose REDD+ activities, as well as potential champions for these activities
 - * Developing a plan to engage leaders, to strengthen champions while mitigating opposition
 - * Developing a conflict risk matrix to ensure that REDD+ activities are conflict sensitive and, at a minimum, do not exacerbate existing tensions further to the UN principle of “do no harm.”³⁸
- **Terms of references:** It often proves useful to hire or otherwise engage experts, whether technical experts, facilitators, or others, to assist the process at various points. These professional outsiders can significantly improve the quality of engagement, while increasing stakeholder confidence and participation. To guide their participation, even short terms of reference should be developed.
 - **A budget:** Without being overly rigid, a budget is a practical way of estimating the financial resources needed to bring a certain amount of stakeholders together in particular ways to produce specific outputs. A budget is a practical element of, and complement to, a concept note. When budgeting, be sure to cater for:
 - ◇ The hiring of experts, facilitators etc.
 - ◇ The rental of the venue
 - ◇ Transportation costs
 - ◇ Allowances
 - ◇ Contingencies
 - ◇ Office supplies, inclusive of copying costs
 - ◇ Social activities (such as a cocktail reception or a field trip)
 - **An Evaluation Framework:** Consider developing a simple framework that

describes how an objective assessment of the engagement would be done. This detail is an important tool for gauging success and can include:

- ◇ Event evaluation forms
- ◇ Attendance levels
- ◇ Stakeholder diversity

For larger, more complex stakeholder engagement processes, users may wish to consider developing results-based logical frameworks, which include indicators and targets. These overarching types of evaluations may apply well to the REDD+ readiness phase. An illustrative results-based framework for Myanmar’s readiness phase, and how these might be measured, is available at Annex G.



**Sample Partnership Strategy:
METTA (Loving Kindness Development
Foundation, Myanmar)**

METTA has been involved in community forestry since 2004, and has adopted a strategy of working in partnership with the main stakeholders. This strategy, applied in 5 states and 4 divisions, includes a focus on communities and processes of engagement.

Key elements of the METTA partnership strategy are a) the involvement of local authorities and other government agencies, as appropriate, b) the use of local project committees, to structure participation, c) stakeholder identification and context analysis, upon which to base actions and to ensure the participation of key stakeholders, d) assuring the needs of partners are met, and supporting the building of their capacities, and e) an annual review of engagement processes.

Among the key results achieved by METTA’s approach to partnerships are improved levels of trust by stakeholders in the engagement, increased levels of partner participation, and enhanced sustainability of efforts.

- 2. **Develop Concept Notes for Events:** It is good practice to develop concept or methodological notes for each event. Such notes typically

include the rationale for the event, the purpose and intended outcome of the event, a schedule of events, a method for identifying participants, and any follow up actions that may be needed after the event (e.g., communication of results etc.). These notes are expected to reflect the strategic considerations identified earlier in the Engagement Plan (such as may relate to partnerships and conflict prevention, for example).



Tips, Tools and Resources:
Concept Notes

Concept Notes: In Myanmar, groups have identified tangible ends and means (e.g. livelihoods, training) around which to build engagement event concepts. A sample annotated agenda from a 2-day REDD+ workshop event is contained at Annex H.

Concept notes often contain an annotated or detailed agenda. Such agendas capture the flow of the events with descriptions of how each agenda item will be implemented, who is responsible for what, the materials and equipment needed, and so on.

3. **Remember the Global Development Principles:** In developing and implementing the engagement plan, keep in mind the global development principles discussed earlier (section III.6). Particularly important principles to reflect in the Engagement Plan are ownership, transparency, accountability, inclusion, and gender equality.

Step 4: Identify Stakeholders

Based on the purpose and type of the engagement, stakeholders must now be identified. The process of identifying stakeholders is often referred to as “stakeholder mapping.” An example of a rapid stakeholder mapping, as was done in preparation for Myanmar’s REDD+ Readiness Roadmap, may be viewed in Annex I.

Guidance for implementing step 4:

1. **Be comprehensive and inclusive:** Aim initially to be as comprehensive and inclusive as possible. The stakeholder map can always

be fine-tuned during the process, to extract those that are less interested or influential and to add those who were missed.

2. **Categorize stakeholders:** Identify a tool for categorizing stakeholders, using criteria important for the success of the engagement (e.g. women, ethnic nationalities, community leaders). An interests/influence matrix, identified in the Readiness Roadmap, is one possible tool to use. One advantage of categorizing stakeholders is that it can help identify missing segments of the stakeholder population, particularly those often more marginalized and left out of such processes, such as ethnic nationalities, women, youth, disabled, elderly, etc. This approach also helps to identify key stakeholders with the power to make, or break, an engagement process.



Tips, Tools and Resources:

To help categorize stakeholders: Stakeholders have different levels of interest and influence. It is important to identify who has influence and to increase their interest in engaging. A tool for categorizing stakeholder interest and influence is at Annex J.

To include hard-to-reach groups: Consider proxy stakeholders *in lieu* of others who are unable to participate.

To balance representation: In Myanmar, older males often dominate stakeholder engagements, while civil society and women may be under-represented.

Map with partners: Qualified groups can help identify key ethnic and female stakeholders at the local, state and national levels.

3. **Pay attention to disadvantaged groups:** Take particular care to include disadvantaged groups (e.g. ethnic nationalities, women, youth) and to securing the participation of the private sector. Where practical barriers (such

as limited physical access or transportation/ communication difficulties) exist, consider identifying representative stakeholders who have the confidence of those important others who are unable to participate. If enlisting representatives, it is important to support the principle of self-selection and ensure authenticity of representatives.

4. **Beware of over-representation:** At the same time as one is creating a stakeholder map that is comprehensive and inclusive, avoid overloading the map with urban, elite, male, government, elderly, academic and other such stakeholders. These stakeholders typically are over-represented in stakeholder engagement efforts and can exercise a disproportionate influence on engagement outcomes.
5. **Ensure legitimacy of representatives:** Since not all stakeholders can be accommodated in every engagement, representatives are usually preferred as participants. However, for the engagement to succeed, representatives must enjoy the confidence of those whom they seek to represent. Too often in engagement processes, representatives are not elected, have not received a mandate to participate, or do not communicate effectively with those whom are being represented. When care is not taken, the phenomena of elite capture³⁹ – where a few persons use their power to usurp a process to their own advantage - can destroy an engagement.
6. **Consult with partners:** Wherever possible, build your stakeholder map with the help of others who may already know relevant regional and sectoral stakeholders, and thematic groups.
7. **Identify champions:** Identify stakeholders who are already championing the desired results of the engagement, and consider developing special partnerships with them. Champions can bring energy and integrity to an engagement process. However, be sure other stakeholders view the champions positively.

8. **Recognize inter-group histories:** When it comes to inter-stakeholder relations, it is useful to research and map the quality of those relations and the extent to which the stakeholders are able to work together. Typically, stakeholders have histories between themselves of cooperation vs. competition, trust vs. mistrust, and familiarity vs. unfamiliarity.
9. **Secure stakeholder commitment to engage:** If time permits, consider connecting with each stakeholder individually (whether in person, in writing or otherwise) to confirm interest in being involved. In this process, it is advisable that enough information be communicated to stakeholders, and within a format that is comprehensible and accessible to them, so that they can make an educated and informed decision on their involvement. At a minimum, do engage all key stakeholders directly to help secure their active participation. Additionally, consider whether stakeholders need to be mandated by their organization to take decisions and/or help with the implementation of work flowing from the engagement process.

Step 5: Prepare Stakeholders

Some stakeholders are particularly disadvantaged when it comes to engagement. There can be several reasons for this, including a lack of familiarity with such processes, a lack of technical capacity, and a lack of interest or disrespect/ hostility from other stakeholders. Ethnic nationalities, women, forest dependent communities and the youth in Myanmar need special attention to overcome disadvantages.

There are thus many opportunities and needs for stakeholder preparation. Well-prepared stakeholders lead to increased participation and the improved likelihood of engagement success. Unfortunately, many engagement processes pay little attention to stakeholder preparation, resulting in the reduced success of engagement efforts.

Guidance for implementing step 5:

1. **Assess Capacities:** Here, users are encouraged to conduct a rapid scan to identify capacity deficits of stakeholders

³⁹ *Elite Capture and Corruption: Concept and Definitions*, National Council of Applied Economic Research, India, 2009.

(government, private sector and communities/ethnic nationalities/CSOs/NGOs) that would hinder effective participation. These may range from a lack of knowledge about the REDD+ process to weak administrative capacity of stakeholders and their groups. Capacity deficits may also include stakeholder mistrust of the engagement process and its lead agencies/actors. Users may wish to prioritise key capacity gaps identified, in order to maximize value for resources to be invested (particularly of time, personnel and money).

2. **Build capacity of stakeholders:** Depending on the capacity gaps identified, put in place mechanisms to produce materials, promote rapprochement between groups (or to build trust in the lead agency, for example) and to communicate proactively, and effectively, with target stakeholders. The value of stakeholder inclusion in these mechanisms cannot be over-emphasized as a technique for learning-by-doing, even while sharpening the focus and implementation of capacity building-initiatives.

Some capacity deficits can only be addressed in the longer-term (e.g. organizational and leadership strengthening). In such cases, multi-year capacity building programmes are needed. Capacity building is not limited to providing information, but also includes building institutions and processes, for instance ethnic nationalities and CSO platforms that allow stakeholders to discuss and self-organize in order to engage effectively with stakeholder engagement events and processes. Capacity building has the added advantage of positively affecting other development initiatives, such as relate to the economy, health, and democratic participation. In these cases, consider adopting approaches that increase efficiencies and effectiveness, such as the training of trainers and partnerships with national capacity-building bodies as well as existing platforms and representative institutions.

3. **Prioritise the needs of disadvantaged or otherwise under-represented groups:** Whether relating to capacity-building, inclusion or communications, for example, the

special status of key disadvantaged groups – particularly women and ethnic nationalities – justifies extra effort being made to satisfy their engagement preparation needs. Pay particular attention to the specific challenges that these groups face in terms of cultural and socio-economic barriers, levels of literacy, remoteness/location, timing, limited funding, weak communications infrastructure, and language barriers.

4. **Information and proactive communication:** Stakeholders will be better prepared for meaningful engagement if they understand early what the engagement is all about, why they should participate, and how and when they can engage. Consider the use of multiple means of communicating with stakeholders, as a single mechanism (e.g., e-mail) is unlikely to work satisfactorily for everyone. Communicate clearly, simply and as early as possible.



***Tips, Tools and Resources:
Building Stakeholder Capacity***

Boosting stakeholder capacity ahead of an engagement adds considerable value to the process, particularly if there are histories of mistrust. Groups in Myanmar have used the following tools to good effect:

- Use “**circles of trust**” to expand the range of stakeholders who trust someone already in the process (see Annex K)
- Host multi-stakeholder **preparatory meetings**
- Organize **social events** around important mutually valued celebrations (e.g. Earth Day)
- Facilitate **bilateral meetings** to discuss specific incidents and experiences that might hinder effective working relations
- Accept all invitations to **discuss stakeholder concerns**
- Design **joint capacity building** sessions
- Adopt **training of trainers** approaches that not only focus on building stakeholder capacity but also on “the building of a capacity to build capacity,” for greater sustainability.

Information is crucial in preparing stakeholders for engagement. Quality information and communication materials can help fill informational gaps. Since producing these materials often requires labour, time, specialized skills and funding, they should be included in the planning and budgeting steps.

In addition to the generic guidance above, there are stakeholder-specific routes that might lead to their improved preparation and increased participation. This is particularly valuable for disadvantaged groups such as women and ethnic nationalities. Stakeholders in Myanmar identified common obstacles and possible solutions to stakeholder participation as per the table at right.

Generic global advice is available to support the enhanced participation of women, indigenous peoples and the private sector, as per the following illustrations:

*For Men and Women:*⁴⁰

- Identify men and women’s barriers to participation, including cultural, social and economic barriers, as well as knowledge and capacity gaps around REDD+. Design meetings (e.g., time, location, group arrangement, child care arrangements) to encourage men and particularly women’s equitable involvement.
- Mobilize gender expertise and create partnerships promote involvement of women’s and gender focused CSOs, groups, networks, etc., who can bring their expertise to support gender sensitive stakeholder engagement processes.
- Monitor and report on gender mainstreaming through the collection of sex disaggregated data and use of gender indicators.
- Establish targets to promote gender equality and women’s participation. (In line with the target endorsed by the UN Economic and Social Council, it is widely held that women, at a minimum, should at least make up 30% of any decision-making body, committee, consultation, workshop, etc.).⁴¹

*For Indigenous Peoples/Ethnic Nationalities:*⁴²

- Undertake necessary actions to build mutual trust and respect for the rights of indigenous peoples/ethnic nationalities
- Provide long-term institutional support for their representatives and institutions
- Harmonize and simplify guidelines for participation so as to enable indigenous peoples/ethnic nationalities to exert real influence in decision-making

Local Ideas to Improve Participation	
Key REDD+ stakeholders met on May 19, 2016 and identified the following common obstacles and potential solutions to the participation in engagement processes of women and youth, the private sector, sub-national government, ethnic nationalities and self-administered areas. More detail on this meeting is available at Annexes N & O.	
Common Obstacles to Engagement	Possible Solutions
<ul style="list-style-type: none"> • Low capacity for engagement (technical and non-technical) • Low levels of trust • Limited enabling regulatory framework for engagements • How to organize for the participation of stakeholders who are diverse (e.g. private sector) • Convincing stakeholders there is a benefit to engaging • Social barriers (language, gender etc.) • Costs • Political will 	<ul style="list-style-type: none"> • Improve communications • Strengthen relations among stakeholders (trust-building, cease-fires etc.) • Use qualified facilitators • Revise/strengthen existing regulatory framework for engaging stakeholders (including customary rights, engagement policies etc.) • Education/awareness raising/capacity-building

⁴⁰ *Guidance Note on Gender Sensitive REDD+, UN-REDD Programme, 2013.*

⁴¹ *Beijing Declaration and Platform for Action, Fourth World Conference on Women, United Nations (1995), available at <http://www.un.org/womenwatch/daw/beijing/pdf/BDPfA%20E.pdf>*

⁴² *Practical Approaches to Ensuring the Full and Effective Participation of Indigenous Peoples in REDD+, BMZ, GIZ, FCPF & UN-REDD Programme, 2014.*

- Bridge the gap between information overloads and information deficits
- Document the role of indigenous peoples/ ethnic nationalities in conserving their forests through local wisdom, traditional knowledge and practices

*For the Private Sector:*⁴³

- Deepen partnerships between government and private sector as relates to the regulatory framework
- Support the development and use of tools and systems to reduce deforestation
- Make the distinction between multinational/ large national companies and small-scale producers
- Lobby and advocate for their buy-in

Step 6: Manage Public Events

As mentioned earlier, there may be several events within an engagement process. Within an engagement process to promote national consensus on a national REDD+ strategy, for example, there may be a workshop to build the technical capacity of stakeholders, a national awareness raising engagement for ethnic nationalities, and several consensus-building meetings for select stakeholder representatives representing core constituencies (such as ethnic nationalities, women, private sector and MONREC).

The key tool for guiding the conduct of events is the concept or methodological note described in step 3 (“Plan the Engagement Process”). Within the concept note, the annotated agenda guides the actual flow within the event. This agenda will present a format that addresses the specifics of the engagement purpose and stakeholder needs, such as the use of small discussion groups to facilitate the more active participation of women and youth.

Guidance for implementing step 6:

1. **Secure Expertise:** In accordance with the concept note for the event, the recruitment of external assistance, such as technical experts,

resource persons, facilitators and rapporteurs, may be needed. In addition to technical skills, assess the extent to which these external persons are sensitive to the dynamics of stakeholder engagement processes as well as the likelihood that they will increase stakeholder confidence in the process. For more complex events, such as where levels of trust are low or where decisions need to be made, an external and expert facilitator can add considerable value.



Tips, Tools and Resources

Facilitation: Facilitators that are independent, sensitive to conflict and experienced have aided stakeholder engagement considerably, including in Myanmar - where facilitators have helped improve stakeholder participation and increase the success of engagement. Facilitators can assist in designing processes as well as in implementing events.

Further information on the role, skills and functions of facilitators may be found at:

- <http://www.recoftc.org/training-manuals-and-guides/art-building-facilitation-capacities>
- <http://www.fao.org/docrep/008/a0032e/a0032e00.htm>

Trust-Building: In Myanmar, groups have used a variety of techniques to increase levels of trust in activities, including:

- Asking trusted local organizations, such as religious groups, to play a lead role in events
- Using independent facilitators and trusted experts
- Apologizing for any mistakes made in the process
- Not discouraging expression of tensions and being empathetic by, for example, rephrasing concerns expressed to signal understanding

Increasing participation: Local groups in Myanmar have successfully used such techniques as:

- Involving strong women leaders to encourage other women
- Allowing alternative options, so long as those who support it agree to implement it
- Inviting key sub-national government officials to events
- Adapting meeting times and locations to suit participants
- Using visual tools (such as movie clips) as aids to discussions

⁴³ *Working with the Private Sector on REDD+, European Forest Institute, 2014.*

2. **Use Event Planning Tools:** Event planning tools, such as checklists, cater to the logistical and administrative needs of events and often assign specific roles and responsibilities to individuals under the supervision of an events coordinator. These arrangements better assure that all steps required for the successful implementation of an event, from the distribution of invitations to transportation arrangements, are in place to support the participation of stakeholders. Event planning is often handled by dedicated staff or persons hired to perform this function.
 3. **Involve the media:** As appropriate and within the parameters established by the communication strategy:
 - Orient the media on the event beforehand, including on the desired results of both the event and the larger engagement process
 - Invite the media to attend key moments in the event
 - Prepare and issue a press release
 - Organize, with their permission and full understanding, for key stakeholders/organizers to be interviewed
 4. **Location, Timing and Language:** Issues relating to location and timing can have a significant bearing on the level of stakeholder participation in engagement events. To mitigate challenges relating to location and timing, consider the following approaches:
 - Involve key stakeholders in deciding on questions of location and timing
 - Prioritize the preferences and address participation constraints of traditionally under-represented and marginalized groups, such as women, youth, ethnic nationalities, etc., where applicable
 - Be aware of competing events and activities, such as national holidays, religious festivals and important political or policy events.
- Communicate proactively to stakeholders on the options and considerations
 - Ensure sensitivity to language needs, particularly with participants from ethnic nationalities. Provide translation facilities where needed, and account for these needs in agenda planning/time planning of sessions.
 - Provide options to those still unable to participate, such as:
 - ◇ “You can send an alternate.”
 - ◇ “We will send you the report, and promptly.”
 - ◇ “Please join the meeting debrief/evaluation.”
 - ◇ “Can we brief you on the outcome, and help you replicate the event with your constituency?”



Sample Ground Rules to Promote Consensus

1. We will respect each other.
2. We agree to not interrupt each other.
3. We agree to call each other by our first names.
4. We agree to not blame, attack, or engage in insults and will ask questions of each other for the purposes of gaining clarity and understanding.
5. We recognize that each of us is entitled to our own perspective and opinions.
6. We will not dwell on things that did not work in the past, but instead will focus on the future we would like to create.
7. We agree to refrain from unproductive arguing, venting, or narration.
8. Where appropriate, we will generate and encourage options.
9. We will speak up if something is not working for us in the engagement process.
10. We will request a break when we need to.

(Adapted from www.mediate.com/articles/melamed7.cfm)

5. **Proactively Manage Dissent:** Everything that precedes engagement events, from mapping to capacity building, from inclusion to

transparency, is geared towards mitigating dissent. The reality of stakeholder engagement, however, is that not everyone will agree with everything all the time. While stakeholder engagement should be designed to increase stakeholder comfort, even consensus, there is no guarantee this will occur every time since the nature of stakeholder engagement is more socio-political.

To proactively manage stakeholder dissent and disagreement in stakeholder engagement processes, consider the following options:

- Utilize facilitators with more expertise in the field of conflict transformation, who are also familiar with techniques for transforming conflict into win-win solutions
- Establish generic ground rules (or a code of conduct) at the start of the process, such as illustrated in the sample box above. Related to this is the establishment of specific rights and obligations that will help the engagement to achieve its objectives (see samples at Annex D). Ideally, these items will be consensually agreed to by stakeholders and not unilaterally imposed by event organizers or facilitators



The Parking Lot

Every engagement has a purpose. Sometimes, however, issues arise that are beyond the established purpose of the process.

The Parking Lot is a publicly visible place (perhaps a flipchart sheet on a wall) where issues are captured for future attention, such as inclusion in the meeting report or transmission to appropriate authorities.

The Parking Lot acknowledges the needs of stakeholders without exceeding or distracting the purpose of the engagement process.

- Identify dissent early through “process groups” (volunteer participants) who agree to assess the event as it unfolds and help identify needed changes

- To control the floor, and in addition to ground rules, consider using “talking tokens” or other techniques to establish order when it comes to taking the floor
- Take time-outs if warranted, perhaps via an early tea break, to facilitate off-camera resolutions
- Use the “parking lot” technique (per the adjacent box) to recognize issues that either are not on the agenda or which cannot be resolved during the event

- If it is likely that there may be conflict at an event (due to poor prior relationships between participating stakeholders, for example), consider holding a preparatory event before the planned event to help mitigate the conflict causes.

6. **Monitor and Evaluate:** There are numerous opportunities to monitor and evaluate the quality of an event. Consider the following approaches:

- Check the turnout level among different stakeholder groups as an initial indicator of stakeholder participation
- “Process groups,” as per the earlier mention above, can help monitor in real time how participants are experiencing an event
- Assess the extent to which participants are actually participating through, for example, the extent they are taking or making external phone calls or the degree to which disadvantaged groups, such as women, youth, ethnic nationalities, etc., are contributing to discussions and speaking during events
- For capacity-building events, use before-and-after questionnaires to assess the extent to which capacities have increased
- Administer end-of-event evaluation questionnaires to check levels of stakeholder satisfaction with the process and its outputs/outcomes

- Review the event against the results-based framework agreed within the Engagement Plan
 - Collect sex disaggregated data on event invitees and participants, as well as among those who actively participate and raise their voice in events, in comparison to those who do not
7. **Capture Outputs:** A key challenge in the actual implementation of an event is the timely capturing of notes, especially as relates to key points arising, conclusions, agreements and next steps. If a rapporteur is available, be sure to determine report formats and delivery deadlines for reports. As a general rule, participants appreciate the speedy production and delivery of outputs. Let them know when they can expect to receive written outputs, and endeavour not to disappoint.
- Newspaper clippings and links to online engagement mentions
3. **Keep Stakeholders Engaged:** It is unfortunate that many engagement processes experience a loss of momentum once key events, such as a national consultation, are held. Keeping stakeholders engaged may be achieved by:
- Providing updates on the implementation of agreed engagement next steps,
 - Inviting further participation as other engagement opportunities develop, and
 - Developing and sharing newsletters and other communication material that update on REDD+ at large.

Step 7: Communicate Results

Good stakeholder engagement includes clear, prompt and meaningful communications with stakeholders. To do otherwise is to invite cynicism, mistrust, and disappointment, thus compromising stakeholder participation in future engagement. Within the parameters already established by the communication strategy within the Engagement Plan (step 3 above), the following items may be considered for implementation. Language and literacy needs are important to consider when communicating results.

Guidance for implementing step 7:

1. **Share Outputs:** Consider promptly circulating the following:
 - Drafts or final versions of reports
 - Agreed “next steps”
 - Evaluation results on events and the process more generally
2. **Circulate media reports:** Positive media attention can improve stakeholder enthusiasm, and enhance participation. Consider sharing with stakeholders:
 - Upcoming items on TV/radio (interviews, panel discussions etc.)

Step 8: Assess Process

Those responsible for implementing an engagement should be sure to review for successes and challenges. Documenting the experience is an important contributor to improvements the next time around. Given that REDD+ in Myanmar is still in the initial (readiness) phase, such an investment in evaluation could yield significant benefits over the longer-term.

Guidance for implementing step 8:

1. **Capture Event Evaluations:** Particularly if a series of the same type of event is held, compile and aggregate the evaluations from those events.
2. **Evaluate against results-based framework (RBF):** The RBF will contain objective indicators for the process and its specific results, and ways of measuring these. The Lead Agency is responsible for ensuring that evaluation findings are collected, analyzed and reported on. A sample RBF-friendly evaluation questionnaire may be viewed at Annex L. In addition, consider:
 - Ensuring that evaluation findings are disaggregated by important criteria (e.g. age, gender, ethnicity)



Tips, Tools and Resources: Evaluation

Questionnaires: In Myanmar, groups have used pre- and post-event questionnaires to measure shifts in capacities and perceptions, and to assess the quality of events.

Quiz Contest: Where the engagement involves information sharing and awareness raising, consider using a quiz as a fun way to test comprehension and recollection. See a sample generic REDD+ quiz at Annex M.

- Comparing findings with those from other REDD+ programme countries
- Sharing findings with others within the global/regional REDD+ structure
- Sharing findings with stakeholders (even in summary form)

3. **Taskforce/Organizers Retreat:** Those responsible for implementing stakeholder engagement, such as the Taskforce or the TWGs, may wish to hold a review retreat to examine evaluations and generate lessons learned. This may include a review of systems used to perform the work.
4. **Review Compliance with these Guidelines:** Since these guidelines are intended to increase the quality of stakeholder engagement in Myanmar as relates to REDD+ readiness, the Taskforce will need to consider ways and means of encouraging its usage in practice. The quality of that usage can be integrated into the structures established (per step 2), and monitoring and evaluation (per step 6), including on-site and rapid assessments by members of the engagement TWG and others to whom such responsibilities are delegated. In addition to assuring compliance, review processes can be used to refine these guidelines over time.



V

HOW THIS GUIDE WAS PRODUCED

Further to the national REDD+ Readiness Roadmap, the Stakeholder Engagement Guidelines was conceived within the enabling framework of global REDD+ guidance and good practice. In Myanmar, a Technical Working Group is focused exclusively on stakeholder engagement and safeguards. With this Working Group, the UN REDD Programme Management Unit (PMU) in Nay Pyi Taw initiated the processes leading to the drafting and finalization of these Guidelines.

Drafting by an international consultant commenced in the first quarter of 2016 and benefited from the technical support of the PMU, as well as UN REDD Programme staff at the regional and global levels.

In May of 2016, a process of consultations with stakeholders was undertaken. This process sought to access local experiences, and the wisdom thus generated, in order to localize the Guidelines. The stakeholders thus consulted were further invited to make inputs to the penultimate draft of the Guidelines. The list of all stakeholders met may be viewed at Annex N.

A key element of these local consultations was a ½-day multi-stakeholder meeting held in Nay Pyi Taw and attended in the main by members of the three Technical Working Groups and staff of the MONREC. After a presentation on the draft Guidelines, participants identified obstacles to the participation of 5 key stakeholder groupings (women and youth, private sector, forest-dependent communities, sub-national government and self-administered areas) as well as recommendations for overcoming those obstacles. The outputs from this meeting may be viewed at Annex O. Participants also discussed the management of dissent within engagement processes and the evolving national realities relating to peace, particularly as related to forested areas.

Finally, these Guidelines benefitted from a wealth of local, regional and global documents, reports and articles. A full bibliography may be viewed at Annex P.

Annex A: Appraisal Checklist for FPIC

Checklist for Appraising Whether an Activity will require FPIC		Yes/No
1	Will the activity involve the relocation/resettlement/removal of an indigenous population from their lands?	
2	Will the activity adopt or implement any legislative or administrative measures that will affect the rights, lands, territories and/or resources of indigenous peoples / forest-dependent community (e.g. in connection with the development, utilization or exploration of mineral, water or other resources)?	
3	Will the activity involve logging on the lands/territories of indigenous peoples / forest-dependent community?	
4	Will the activity involve mining and oil and/or gas operations (extraction of subsurface resources) on the lands/territories of indigenous peoples / forest-dependent community?	
5	Will the activity involve logging on the lands/territories of peoples/forest-dependent community?	
6	Will the activity involve the development of agro-industrial plantations on the lands/territories of indigenous peoples / forest-dependent community?	
7	Will the activity involve any decisions that will affect the status of indigenous peoples' / forest-dependent community's rights to their lands/territories or resources?	
8	Will the activity involve the accessing of traditional knowledge, innovations and practices of indigenous peoples and local communities?	
9	Will the activity involve making commercial use of natural and/or cultural resources on lands subjects to traditional ownership and/or under customary use by indigenous peoples / forest-dependent community?	
10	Will the activity involve decisions regarding benefit-sharing arrangements, when benefits are derives from the lands/territories/resources of indigenous peoples / forest-dependent community?	
11	Will the activity have an impact on the continuance of the relationship of the indigenous peoples / forest-dependent community with their land or their culture?	

Source: *Guidelines on Free, Prior and Informed Consent, UN REDD Programme, 2013.*

Annex B: Detailed Descriptions of Types of Engagement

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 many 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)

Extracted from "A Draft Framework for Sharing Approaches for Better Multi-Stakeholder Participation Practices" (UN-REDD/FCPF, 2011)

Annex C: Possible Purposes for Stakeholder Engagement in Myanmar

(From “Myanmar REDD+ Readiness Roadmap”, 2013)

- Decisions on land tenure regulations or forest land use rights;
- Design of new forest management policies and programmes;
- Design of benefit sharing or revenue distribution mechanisms, where those benefits or resources are derived from forest lands;
- Trials and research activities to support the design of REDD+ strategies;
- Measurement and monitoring activities to support the design of FRLs/FREs for REDD+, and;
- Measurement of forest carbon stocks as part of an MRV system under REDD+.

(From “Guidelines on Stakeholder Engagement in REDD+ Readiness”, UN-REDD/FCPF, 2012)

- Current status of national forests;
- Institutional, policy and regulatory frameworks;
- Main causes and drivers of deforestation and forest degradation;
- Past and present policies to halt deforestation and forest degradation, where they have succeeded and where they have not;
- Rights and needs of indigenous peoples and other forest-dependent communities; Type and pattern of land use by indigenous peoples; Land rights (user and property rights, traditional, customary), and land tenure systems; Rights to carbon;
- Inclusive participation in the design and implementation of REDD+ strategy and development of procedures and enablers throughout the REDD+ cycle;
- Proposed REDD+ strategy; Design of benefit-sharing systems for equitable and effective distribution of REDD+ revenues;
- Economic, social and environmental impacts and risks of REDD+ and the mitigation and prevention of risks;
- Design of monitoring systems to keep track of forests and forest emissions as well as environmental and social co-benefits;
- Issues of forest governance and mechanisms to ensure full compliance with social and environmental safeguards, including during REDD+ strategy development;
- Opportunity costs of land use; Groups likely to gain or lose from REDD+ activities; Role of the private sector.

Annex D: Sample Rights and Duties of Stakeholders in Engagement Processes

Examples of rights:

- To receive relevant information in a timely and comprehensive manner
- To speak, sharing opinions and statements openly without fear of penalisation
- To ask questions and have informational needs satisfied

Examples of duties of stakeholders:

- To attend TWG meetings, training events, workshops and other activities according to agreed schedules and workplans
- To report back to line ministries, organizations or constituencies about the content of discussions, proposals or recommendations of the TWG
- Communicate effectively with their line ministries, organizations or constituencies in order to represent faithfully the points of view of those they represent
- Review documents and presentations and providing comments and input to them in time
- Provide inputs, guidance and assistance to consultants and other personnel related to the process (in our case REDD+ programme)

Annex E: Sample Types of Events

Type of Events	Typical Purposes	General Features
Meeting	Information sharing Consultation Collaboration Joint decision making Empowerment	Smaller # of participants Max time less than ½ day Can be a series More personal
Symposium	Information sharing	Larger # of participants At least 1 day Can be academic Less personal
Conference	Information sharing Consultation Collaboration	Larger # of participants At least 1 day Diverse components Less personal
Workshop	Information sharing Consultation Collaboration Joint decision making Empowerment	Medium # of participants At least ½ day Diverse components More personal
Retreat	Information sharing Consultation Collaboration Joint decision making Empowerment	Medium # of participants At least 1.5 days Diverse components More personal
Dialogue	Collaboration Joint decision making	Smaller # of participants At least ½ day Can be a series More personal
Training	Information sharing	Medium # of participants At least 1 day Less personal Can be scaled up more readily

Annex F: Generic Communications Guidance

A typical communications strategy contains the following elements:

- Introduction/background
- Audiences
- Key Messages
- Key focus areas/objectives
- Communication delivery mechanisms
- Communication roles
- Action Plan

The action plan articulates the work associated with the communications strategy. This action plan can be structured in various ways to support stakeholder engagement, including as illustrated below:

Intended Engagement Result: e.g. Increased stakeholder confidence in REDD+ processes					
Action	Audience	Lead	Deliverable	Timeline	Key Performance Metrics
E.g. produce and distribute newsletter, posters, and brochures, participate in local radio/TV interviews	E.g. Gov't, NGOs, women, forest-user communities	E.g. Comm officer, TWG Chairs	E.g. 4 posters, 20 interviews		E.g. number of persons reached by posters, increased awareness levels

Annex G: Sample Results Framework for REDD+ Stakeholder Engagement

The following are examples of key desired results within the REDD+ Readiness Phase and ways in which they might be measured. Indicators may relate to the processes used and/or the content of those processes, and may reflect qualitative or quantitative ways of measurement.

Desired Results	Sample Indicators	How to measure
<p>Increased awareness levels of key stakeholder groups regarding REDD+</p> <p>⇒ Public opinion surveys to set baseline and measure overall progress</p>	<p>⇒ # of persons trained to deliver REDD+ content</p> <p>⇒ # of persons engaged by trainers</p> <p>⇒ # of persons reached via media ads + events coverage</p>	<p>Count persons trained who passed final test to gauge competence</p> <p>Count persons engaged, measure increase of awareness</p> <p>Media surveys</p>
<p>High quality of REDD+ stakeholder engagement events</p>	<p>⇒ % of invitees that attend events</p> <p>⇒ % of participants who assess the event positively</p> <p>⇒ increased levels of awareness</p> <p>⇒ Degree of participation of disadvantaged stakeholders</p>	<p>Registration data</p> <p>Post-event evaluation form</p> <p>Pre- and post-event capacity assessment form</p> <p>Count % of disadvantaged stakeholders who attend, post-event evaluation form</p>
<p>Increased stakeholder confidence in REDD+ processes</p> <p>Research project to set baseline and measure overall progress</p>	<p>⇒ # of TWG group meetings held per year</p> <p>⇒ % of TWG members attending meetings on average</p> <p>⇒ Extent to which TWG members engage their constituencies</p> <p>⇒ Extent of transparency by REDD+ Taskforce</p> <p>⇒ Extent of pro-active communications with stakeholders by Taskforce</p>	<p>Taskforce Office data</p> <p>Taskforce Office data</p> <p>REDD+ external review</p> <p>REDD+ external review</p> <p>REDD+ external review</p>

Annex H: Sample 2-day Workshop Annotated Agenda

Time	Item	Objective of session	Description of how session would be conducted <i>(who responsible, implementation details of the session, equipment/items needed, etc.)</i>	
DAY 1	AM Session 1 (1.5 hrs) including Coffee Break	Opening and Introductions	<p>Understand how well the agenda matches their expectations, get to know each other and agree on principles of participation.</p> <p>Can participants design the opening?</p> <p>Use opening circle? Ice-breaker? Each participant/facilitator introduce themselves, say where they are from, why they wanted to attend</p> <p>Review of agenda, ethos for participation, feedback from pre-event forms. Establish baselines for awareness levels.</p>	
	AM Session 2 (2 hrs)	Communication and Dialogue	<p>Work to identify the best ways for GFC to send messages to and receive messages from communities, how to engage continuously, i.e. map communication and how best to have a continuous "dialogue".</p> <p>Group work/using spectrograph as icebreaker, stickies for writing /drawing ideas, grouping similar ideas, prioritizing best ways. Spectrograph to demonstrate that there are different views, opinions different ways</p> <p>A Report from the Session 2 by volunteers (homework?) Record working groups -- photos, report from session Appreciation of different views/opinions</p> <p>(contribute to achieving Objective 3)</p>	
	LUNCH			
	PM Session 3 (1 hour)	Forests and Climate Change	<p>Understanding the link between forests and climate change. Establish that Climate Change is a shared concern, underscoring the role of forests in lessening climate change.</p>	<p>Short video on CC.</p> <p>Group work on observations in community. How do you use the forests? Can the way it is used contribute to CC? What is the value of forests?</p> <p>Use posters strategically.</p>
PM Session 4 (2 hours) with Coffee Break	International REDD+ arrangements	<p>Clarify global arrangements to lessen change in climate - UNFCCC/ role of governments/ Guyana LCDS in context of REDD+ not yet internationally accepted.</p> <p>Understand the urgency to address CC and the countries/ UNFCCC steps taken to move ahead with developing REDD+.</p>	<p>REDD+ basics (elements of REDD+ poster), very short video</p> <p>Group work Role playing (to simulate Norway/ Guyana agreement) What did you discover? Were there any surprises? Did you see similarities/differences with Norway agreement</p> <p>(include in invitation package Frequently asked questions LCDS, Norway agreement, pages from CC training manual from Iwokrama, pages from FTCL training manual, summary land use policy, others?) (contribute to achieving Objective 2)</p>	

DAY 2	Time	Item	Objective of session	Description of how session would be conducted <i>(who responsible, implementation details of the session, equipment/items needed, etc.)</i>
	(30 min.)	Evaluation	Evaluate work for the day (sessions 1-4)	Forms handed out -work in pairs, groups, or homework. What worked, what was useful, what could have been done better, what was learnt, where more information is needed.
	AM Session 5 (30 min.)	Review Day 1	Confirm grasp of the themes presented on Day 1, lessons learnt and adapt day as possible to these.	Groups consolidate evaluation and present: What was clear, what needs clarification, more information, what was good, what needs improvement, and where did learning happen.
	AM Session 6 (2 hours) including Coffee break	REDD+ implementation agreement	Increased knowledge of aspects of REDD+ (that it will take place in 3 phases), confirm stage Guyana is at, what roles community/NGO/ Private sector expected to play	REDD+ readiness, roles of UN REDD and World Bank (FCPF) Share what Guyana has done so far to be REDD+ ready Group work on what was learnt - song, dance, poem skit 5min
	Session 7 (2 hours)	REDD+ benefits/risks		Group work: Identify, benefits, risks especially feedback from women and youths. What are the concerns and recommendations to address concerns
	LUNCH			
	PM Session 7 (30 min) cont'd			Reports from Group (as a letter written to GFC? another form? Video?)
	PM Session 8 (1 hour)	Other REDD+ supporting activities	Identify other activities contributing to REDD+ readiness	Video - CSM meeting? Presentation on EU FLEGT, SFM, IFM Reflection on Session 8
	PM Session 9 (1 hr)	Evaluation and Closure	Assess impact of workshop. Have participants leave upbeat	Evaluation of Day 2, overall workshop via Group exercise – baskets, closing the circle

Annex I: Example of a Rapid Stakeholder Mapping Exercise

Level	Government institutions and agencies	NGOs	Civil Society	Private Sector Associations	Knowledge Institutions	Development Partners
National	<ul style="list-style-type: none"> • Parliament • MOECAF (Ministry of Environmental Conservation and Forestry) <ul style="list-style-type: none"> ○ Forestry Department ○ DZGD (Dry Zone) ○ Department of Environment (new) ○ Myanmar Timber Enterprise ○ Department of Planning & Statistics • MOAI (Ministry of Agriculture and Irrigation) <ul style="list-style-type: none"> ○ Agricultural Services ○ Land settlement and 	<ul style="list-style-type: none"> • WCS • FREDA • ECCDI/FORM • MERN • BANCA • REAM • SPECTRUM • CARE International • Social Vision Services • Pyo Pin Project • AEGD • Other NGOs (TBC) NGO Networks 	<ul style="list-style-type: none"> • Myanmar Women Association • Myanmar Maternal and Child Welfare Association • Veteran Association • Ethnic Group Associations • Media Society • Writers' Association • Social Welfare Association • Religious associations 	<ul style="list-style-type: none"> • Forest Joint Venture(FJV) • UNFCCI (Chambers of Industry) • Timber Merchant Association • Tourism Association • Agro-products Associations • Rice merchants Associations • Forest-products Associations • Bamboo and Rattan Association 	<ul style="list-style-type: none"> • University of Forestry (MOECAF) • Forest Research Institute (MOECAF) • University of Agriculture (MOAI) • CFDDC (Forestry Development Training Centre) • Myanmar Forestry School • Myanmar Timber Enterprise Training School • Mandalay University • Yangon University • DAR (Department of 	<ul style="list-style-type: none"> Multilateral <ul style="list-style-type: none"> • UNDP • FAO • UNEP • UN-REDD • UNHABITAT • ITTO • INBAR (International Bamboo and Rattan Association) Bilateral <ul style="list-style-type: none"> • NORAD • JICA • KOICA • KFS

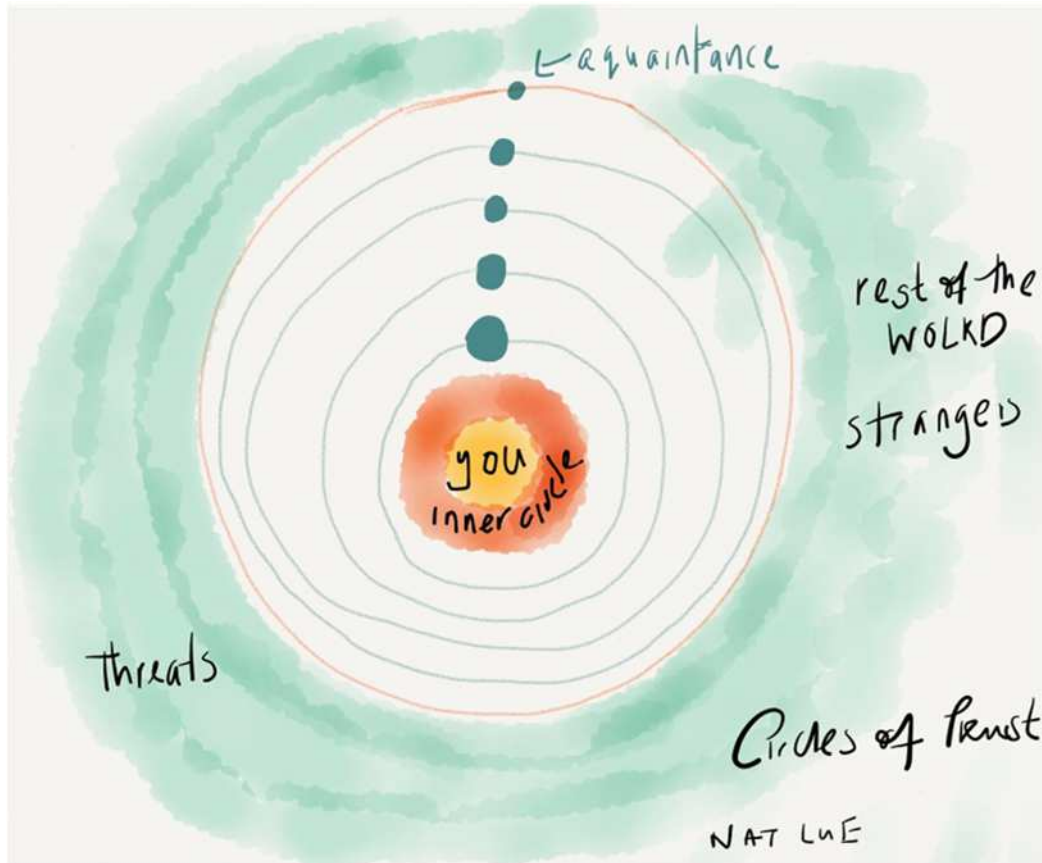
Figure 4: Snapshot of National Stakeholders mapped in 2012 by Myanmar's Stakeholder Consultations and Safeguards TWG

Annex J: Sample Tool for Stakeholder Mapping

Interest Influence	Low	High
High		
Low		

Annex K: Circles of Trust

In a “circle of trust” approach to identifying stakeholders, a core group of stakeholders already in a relationship of trust with each other will identify other stakeholders they trust sufficiently. These can be members of one’s “inner circle” per the following diagram, or others close to the inner circle.



These new others can then be asked to identify additional trusted stakeholders, to expand the scale and range of trusted stakeholders. Stakeholders thus mapped can then be reviewed to ensure ethnic, gender and other balance.

(Graphic source: <http://www.baqqagereclaim.co.uk/the-circle-of-trust-do-you-know-whos-in-yours-why/>)

Annex L: Sample RBM-Friendly Event Evaluation Questionnaire

The organizers of this meeting would appreciate your feedback on the following items. Your views will help us improve future events. There is no need to indicate your name.

Biographical Information:

Age: _____

Gender: _____

A. ARRANGEMENTS, FACILITIES AND LOGISTICS

No	Question		Comments
1	Was the time of the meeting convenient?	Yes/No	
2	Was the date of the meeting convenient?	Yes/No	
3	Was the location of the meeting convenient? <i>If not, please suggest a better future location.</i>	Yes/No	
4	Were you able to get to the meeting location easily?	Yes/No	
5	How long did it take you to get to the meeting location? <i>(in hours or minutes)</i>		
6	Was the registration form easy to fill out? <i>If not, please say what should be changed.</i>	Yes/No	
7	How satisfied were you with the timeliness with which you received the invitation to this meeting? (circle one option). <i>For any dissatisfaction, please explain the cause.</i>		Not satisfied Somewhat satisfied Satisfied Very satisfied

B. QUALITY OF THE FIRST DAY

For the following questions, please circle one of the options - Strongly Agree (SA), Agree (A), Neutral (N), Disagree (D), Strongly Disagree (SD). Add any comments you wish in the space provided.

No	Question		Comments
8	The quality of the materials used today was very good.	SA/A/N/D/SD	
9	I was able to understand the information being shared.	SA/A/N/D/SD	
10	The materials shared will be useful to me.	SA/A/N/D/SD	
11	The methods used promoted participation.	SA/A/N/D/SD	
12	Information was provided clearly.	SA/A/N/D/SD	
13	The discussions helped me to learn.	SA/A/N/D/SD	

Annex M: Sample REDD+ Quiz (With Answers)

- 1. What does REDD stand for?**
 - a. Recovery from Environmental Disaster and Degradation
 - b. Reducing Emissions from Deforestation and Degradation (Correct answer)
 - c. Really Exciting Development Done
 - d. None of the above

- 2. What does the “+” in “REDD+” stand for?**
 - a. A second phase of REDD programmes
 - b. To allow us to add new ideas later
 - c. Protecting forests, improved use of forests and planting trees (Correct answer)
 - d. None of the above

- 3. The REDD+ Secretariat is located in:**
 - a. Office of the President
 - b. Ministry of Natural Resources
 - c. [insert correct location] (Correct answer)
 - d. Norway

- 4. Who are the stakeholders in the REDD+ process?**
 - a. Indigenous communities
 - b. Loggers
 - c. Consumers of wood products
 - d. Government
 - e. All of the above (Correct answer)

- 5. World leaders came together in 1992 and created the UN Framework Convention on Climate Change (UNFCCC). Did [insert country] sign up to this convention? YES /NO (Correct answer: yes)**

- 6. What is the main aim of the UNFCCC?**
 - a. To keep greenhouse gases at a level that would prevent the actions by humans leading to dangerous interference with the global climate system (correct answer)
 - b. To provide aid to poor countries suffering from climate change
 - c. To educate the world about the dangers of climate change
 - d. To provide a space for world leaders to discuss climate change issues

- 7. Under the UNFCCC, the Kyoto protocol was developed. Countries that still had standing forests were concerned about the protocol because:**
 - a. The main world polluters did not sign the protocol
 - b. The protocol was signed in Japan, a country that featured in the World Wars
 - c. Avoided deforestation was not seen as an eligible activity for mitigating climate change (correct answer)
 - d. The document was too long and complicated

- 8. What services do forests provide to humans?**
 - a. Forests store carbon, helping to reduce global warming and carbon dioxide levels in the atmosphere
 - b. Forests produce oxygen, which mammals need in order to breathe
 - c. Forests provide herbal medicines
 - d. All of the above (Correct answer)

- 9. Which agencies lead [insert country] policies and programmes that relate to REDD+?**
 - a. [insert 4 choices specific to country]

- 10. How do we measure the extent to which the forest in [insert country] is giving off carbon?**
- Loggers report the number of trees they cut down annually
 - Forest rangers monitor any deforestation
 - There is a Monitoring, Reporting and Verification System (MRVS) in place to do this (Correct answer)
 - We are not measuring this
- 11. What REDD+ actions are being developed in [insert country]?**
- Benefit sharing
 - MRV
 - Legal frameworks
 - All of the above
- 12. Benefits from REDD+ are:**
- New job opportunities
 - Investment in low carbon technologies
 - Land titles
 - All of the above (Correct answer)
- 13. What is measured under REDD+?**
- Carbon (Correct Answer)
 - Water
 - Nitrogen
 - How much money Guyana has to pay
- 14. The MRV system would measure**
- How much we like forests
 - How much we can get from the forest
 - How much carbon emissions were reduced (Correct answer)
 - How much we do not like forests
- 15. Mitigation strategies are**
- Strategies used to stop logging in the forest
 - Strategies used to reduce standing forests
 - Strategies used to sell logs
 - Strategies used to increase forest cover (Correct answer)
- 16. EU FLEGT is**
- Another name for REDD+
 - Another name for LCDS
 - An initiative that [insert country] developed
 - An initiative that the EU developed to respond to illegal logging (Correct answer)
- 17. The FCPF stands for**
- Forest Climate Partnership Fund
 - Forest and Climate Partner Facility
 - Free Carbon Payment Fund
 - Forest Carbon Partnership Facility (Correct answer)
- 18. [insert country] received support from the REDD+ Programme to prepare a REDD+ strategy True or false?**

Annex N: Persons Consulted in the Drafting of these Guidelines

Bilateral Meetings May 12-17, 2016

Name	Title	Organization
Flora Mawi	Project Coordinator	Chin Human Rights Organization (CHRO)
Michael William Howard	Researcher	Chin Human Rights Organization (CHRO)
Naw Ei Ei Min	Director	POINT
Hla Dwai	Researcher	POINT
Laing Hong	Researcher	POINT
Aung Thant Zin	Chief Executive Officer	MERN
Alex Diment	Senior Technical Advisor	WCS
Peter Barwick	Peace and Development Advisor	UN RCU
U Than Nwai	Chairman	FREDA
U San Lwin	Vice Chairman	FREDA
U Tin Own	EC member	FREDA
Mayzin Thaw	Volunteer	Youth Network
Saw Yi Thitsar	Volunteer	Youth Circle
Saw Lay Taw	Volunteer	Youth Circle
U Shwe Thein	Executive Director	LCG
U Khin Maung Lat	National Agriculture and Forestry Sector Coordinator	METTA
Dr. Sein Win	President	MFPMP
U Kyaw Thu	Chairman	MFPMP(Rattan and Bamboo)
U Maung Maung Thein Htik	Private Sector	MFPMP
Dr. Kay Thi Myint Thein	Senior Coordinator	Gender Equality Network (GEN)
Sa Tin Min Aung	Program Officer	RECOFTC
Daw Khin Moe Kyi	Training Coordinator	RECOFTC
Hugh Speechly	FLEGT Facilitator	European Union (EU)
Tint Swe	Director, Training and Research Development Division	MONREC
Ngwe Thee	Assistant Director, Planning and Statistic Division, Chair of FD's SE&S Course Unit for REDD+	MONREC
Than Naing Win	Assistant Director, Planning and Statistic Division	MONREC
Toe Toe Aung	Assistant Director, Watershed Management Division	MONREC

**Consultation meeting on stakeholder engagement guidelines for REDD+ Programme
May 19, 2016**

No.	Name	Title	Organization/Ministry
1	Pen Wai Hlyaw	Project Assistant	Friend of Wildlife (FOW)
2	Dr. Yu Ya Aye	Staff Officer	Forest Research Institute (FRI)
3	U Billy Ne Win	Assistant Research Officer	Forest Research Institute
4	Daw Thein Thein Htwe	Staff Officer	Department of Social Welfare (DSW)
5	Min Min Oo	Staff Officer	Natural Forest and Plantation Division (NFPD)
6	Daw Aye Min Thin	Staff Officer	Planning Department (PD)
7	Daw Wint Wint Tun	Deputy Director	Department of Finance (DoF)
8	U Khin Maung Zaw	Staff Officer	Environment Conservation Department (ECD)
9	U Ngwe Thee	Assistant Director	Forest Department (FD)
10	Daw Su Su Hlaing	Deputy Director	Ministry of Electric and Energy (MoEE)
11	U Myint Khaing	Assistant Director	Survey Department (SD)
12	U Aung Myo Sett	Staff Officer	General Administrative Department (GAD)
13	Daw Chan Myae Nyein	Assistant Director	Ministry of Planning and Finance (MoPF)
14	Daw Aye Win	Director	Union Attorney General's Office
15	Wei Phyo Oo	Staff Officer	Dry Zone Greening Department (DZGD)
16	Dr. Thaug Naing Oo	Director	Forest Research Institute
17	U Yar Zar Myo Htet	Assistant Director	Ministry of Agriculture, Livestock and Irrigation (MoALI)
18	U Thaw Phyo Shwe	Program Officer	Biodiversity and Nature Conservation Association (BANCA)
19	U Kyaw Lwin	Deputy Director	Department of Planning (DP)

Annex O: Participation Obstacles and Possible Solutions (Outputs from Stakeholder Meeting of May 19)

GROUP	OBSTACLES	POSSIBLE SOLUTIONS
Forest-Dependent Communities	<ul style="list-style-type: none"> • Lack of information / Awareness/ Skill/Awareness campaign • Inefficient guidelines or instruction for the mechanism (policy, CFI) • Poverty • Conflict Area • Lack of engagement mechanism to engage in stakeholder engagement process • Cultural Constraints/Language barrier)/Diversified ethnic groups • Trust among stakeholders 	<ul style="list-style-type: none"> • Develop communication strategy and mobilize communication staff and CSO; Capacity development; Information sharing; Consistency of knowledge sharing; • Review; Gap analysis; Enact the law, guidelines; Revise • Livelihood improvement; Poverty Reduction; Not to rely on natural resources • Support political dialogue • Develop all-inclusiveness policy (related to communication strategy); mechanism; (Establishment of communication platform- at township level or village tract level, etc.) Not selected representatives but need to be an elected representative for local communities • Information sharing with traditionally appropriate materials and location; (local) language (e.g social media such as FB); role of facilitator to persuade the stakeholders to open their opinion and expectations • Trust building; First to know interests of stakeholders and analyzing the interests of each stakeholder to find the ways for building trust
Women and Youth	<ul style="list-style-type: none"> • Marginalize from decision making • Limited education and knowledge • Lack of incentive for women/youth • Limited communication and information sharing 	<ul style="list-style-type: none"> • Need to change people perception • Encourage the social Network team • Provide more public talks and education
Private Sector	<ul style="list-style-type: none"> • Lack of awareness • Lack of communication channel • Identify specific role (Ownership/ Interest) • Lack/weak rules, regulation/ enabling condition for engagement of private Sector 	<ul style="list-style-type: none"> • Rising awareness for all private sectors • Communication channel to be set up (Representation of private sector network) • To identify specific role and responsibility of private sector • To create/strengthen enabling conditions (Policy, Law, Regulation, Procedure, Practices)

GROUP	OBSTACLES	POSSIBLE SOLUTIONS
Sub-National Government	<ul style="list-style-type: none"> • Knowledge and skill and language barriers (although interested in program) • Several duties in their remote area • Difficulties in transportation, communication and security) • REDD+ knowledge & awareness • Policy development especially land use • Financial source (not available) • Gap information among in line ministries • Need to extend decentralization • Authorization (Union to Regional) • Capacity building (HRD) 	<ul style="list-style-type: none"> • Upgrade decentralization (administrative structure/ infrastructure) • Upgrade capacity building
Self-Administered Areas	<ul style="list-style-type: none"> • Right of customary Land Use • Language and Customs • Conflict Areas or Post-conflict area • Accessibility • Will of politicians (Union, Region and State) 	<ul style="list-style-type: none"> • Ensure to include Customary Land use right in Union Level Law • Interpreter, Communication materials in local language • First priority – to obtain Cease Fire Agreement in conflict areas • Create stable situation post – conflict area • Corporations of regions / state government and sub-administrated areas’ government • To understand the customary Land use rights and ensure to allow the right

(Generated at consultation meeting held on May 19, 2016)

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