

# Session 1: Introduction to Stakeholder Engagement

4 November 2014



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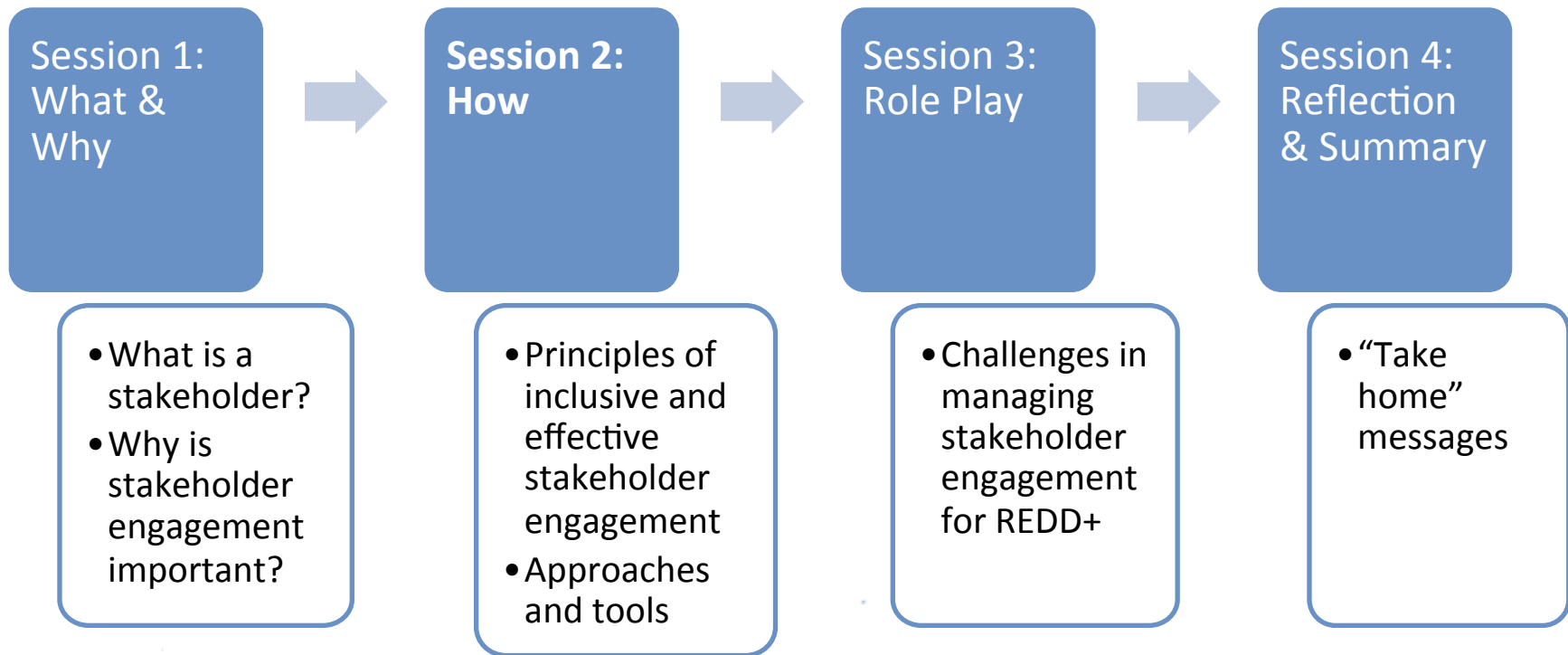
## Module Objectives and Session Flows

At the end of this module, participants will be able to

- Explain what a “stakeholder” is, and why stakeholder engagement is important for REDD+;
- Understand and apply different approaches and tools for inclusive and effective stakeholder engagement; and
- Reflect on challenges and ways to manage challenges in stakeholder engagement for REDD+.



# Session Flow



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# Session 1 Objectives

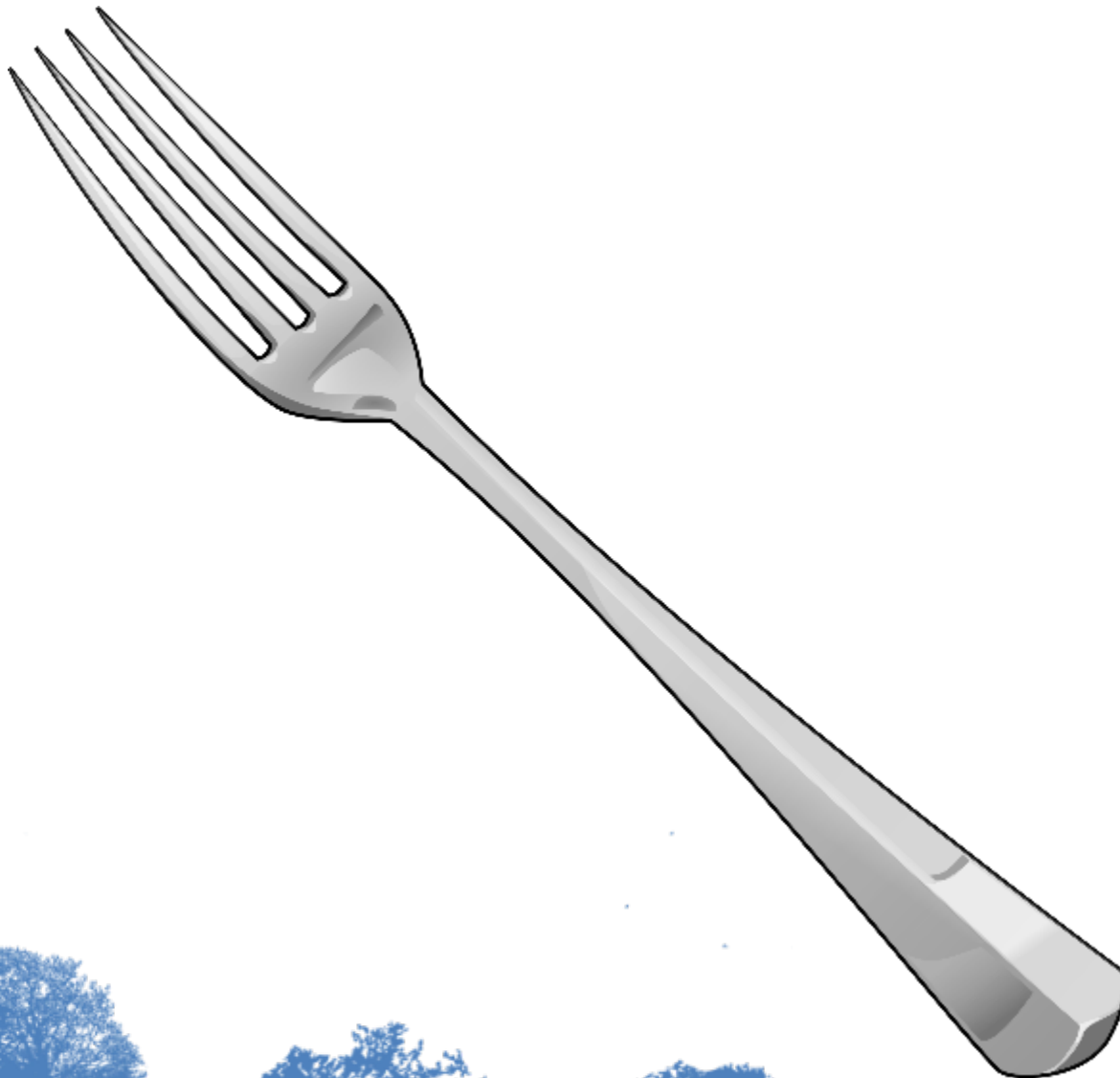
- Define what a “stakeholder” is
- Explain why stakeholder engagement is important in the context of REDD+

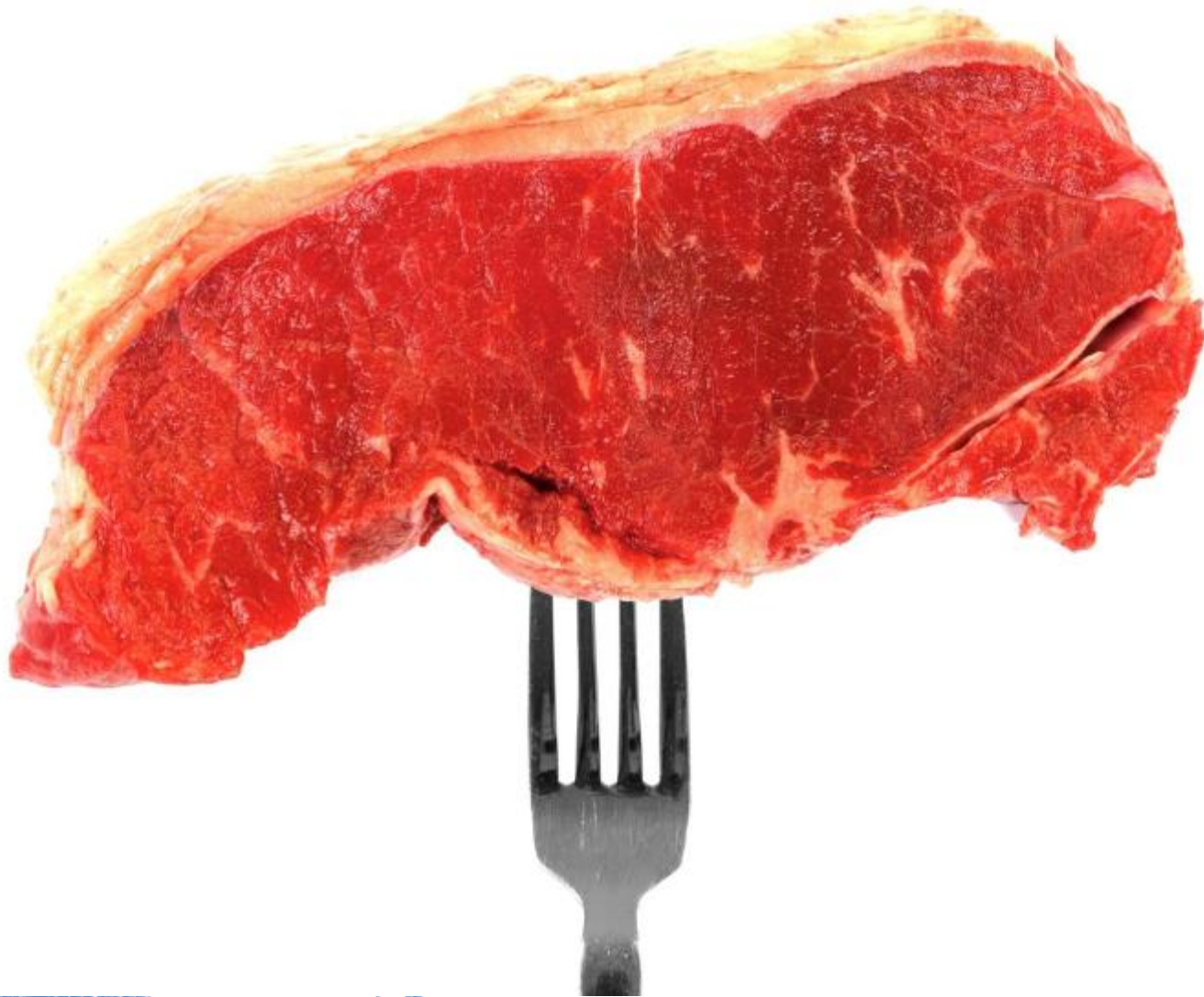


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# WHAT IS A STAKEHOLDER?







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*Groups that have a stake or interest or right in the forest and those that will be affected either negatively or positively by REDD+ activities*

These groups include

- Relevant government agencies
- Formal & informal forest users (women & men)
- Private sector entities
- Indigenous peoples (women & men)
- Forest-dependent communities (women & men)





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# Need for gender-sensitive stakeholder engagement

- Women & men's specific roles, rights & responsibilities, & knowledge of forests, shape their experiences differently
- Socio-economic, political & culture barriers can limit women, youth & other marginalized groups' ability to participate equally in consultations or in decision-making (e.g. lower literacy rates, ability to speak openly in meetings, etc.)

*“To ensure that national REDD+ systems and programmes are inclusive and resilient, specific attention must be paid to the specific roles, requirements and contributions of women and men at every stage of policy and programme development, from design through implementation and evaluation.”*

*UN-REDD Programme Guidelines of Free, Prior and Informed Consent, p.44*



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# OPPORTUNITIES & RISKS IN REDD+



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## ***REDD+ has potential to do a lot of good***

- Improve forest management, governance & enforcement
- Create space for authentic & equitable engagement & decision-making
- Increase food security through strengthened traditional livelihoods & generation of additional resources for indigenous peoples & forest dependent communities



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***But, fear that REDD+ could have some negative social and environmental consequences***

- Turn natural forests into plantations
- Inequitable benefit sharing
- Land speculation, land grabbing & land conflicts
- Elite capture of international funds
- Worsen existing inequalities (i.e. gender)

***For Indigenous Peoples & Forest Dependent Communities***

- Excluded from decision-making
- Cannot go into forest to collect forest products



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# WHY IS STAKEHOLDER ENGAGEMENT IMPORTANT IN REDD+?



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## Relevance

- Improve validity & relevance of REDD+ readiness & implementation

## Ownership

- Increase chance of acceptance for REDD+ strategy & implementation

## Accountability

- Improve forest governance

## Relationships

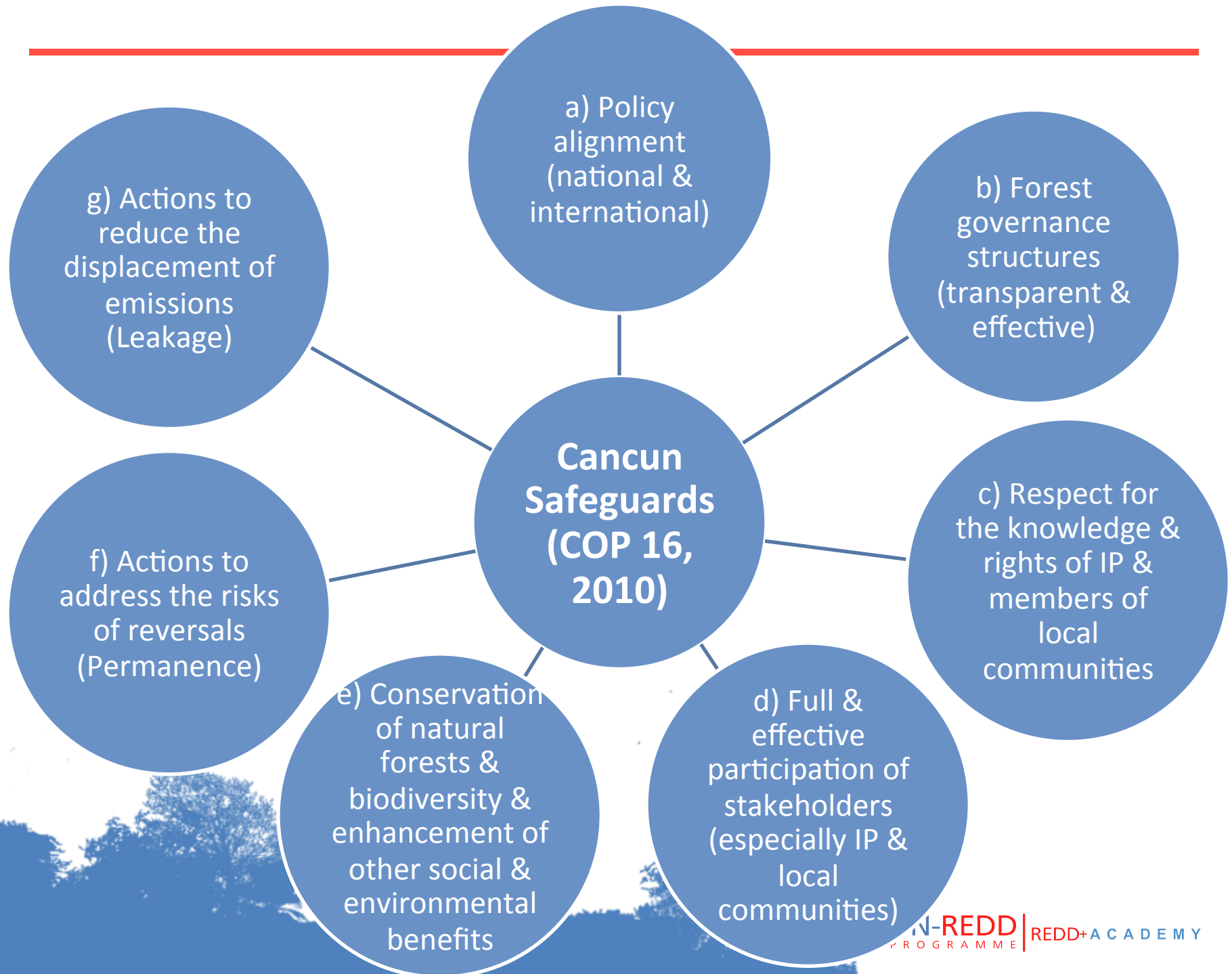
- Constructively avoid & manage conflicts
- Build new relationships



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# REVISITING CANCUN SAFEGUARDS







# Issues at Stake: Cancun Safeguards

- Transparency & access to information
- Rule of law, access to justice, effective remedies
- Systems for feedback, oversight & accountability

**b) Forest governance structures (transparent & effective)**

- Rights to lands, territories & resources
- Involuntary resettlement
- Full, effective & gender equitable participation
- Legitimacy/accountability of representative bodies
- Free, Prior & Informed Consent (FPIC)
- Traditional knowledge & cultural heritage
- Grievance mechanisms

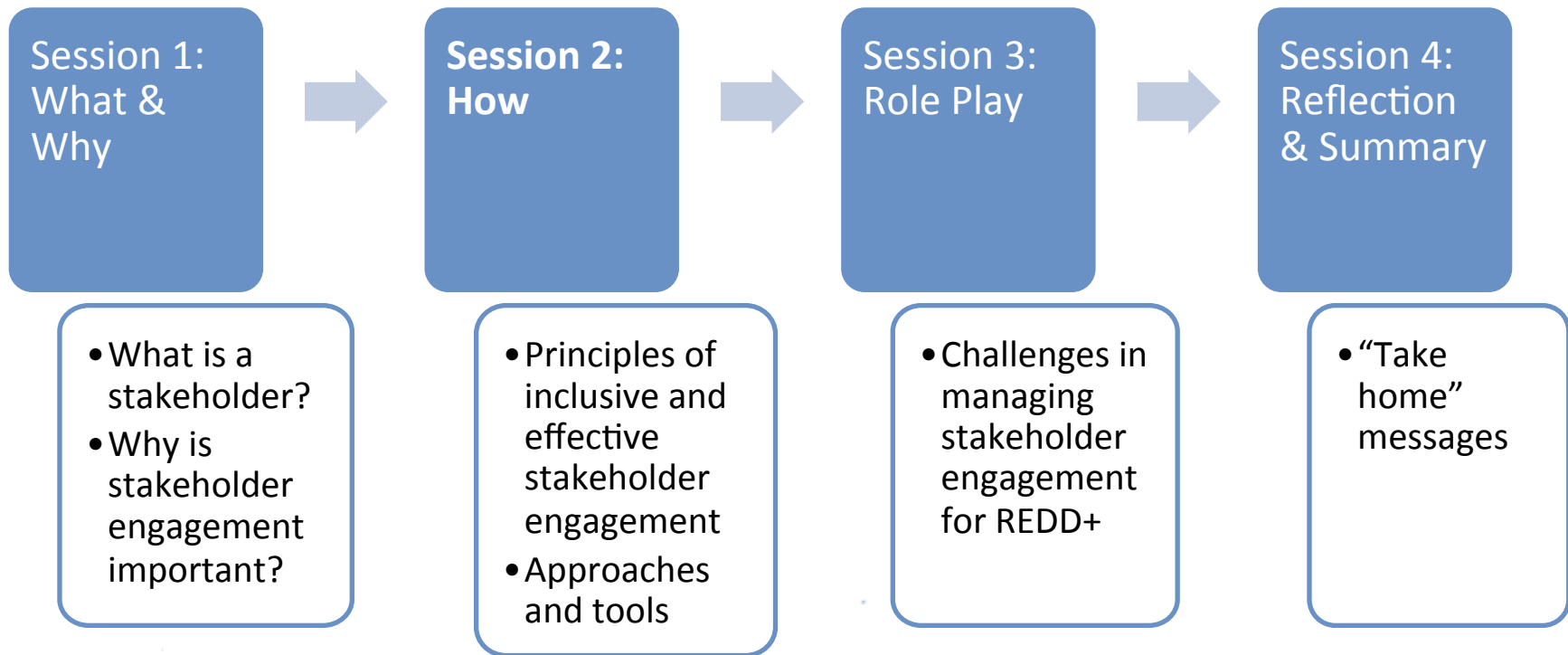
**c) Respect for the knowledge & rights of IP & members of local communities**

**d) Full & effective participation of stakeholders (especially IP & local communities)**

# Session 2: Approaches & Tools for Stakeholder Engagement



# Recap: Session Flow



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## Session 2 Objectives

- Understand the principles of consultation, participation & consent
- Use different approaches & tools for inclusive & effective stakeholder engagement
- Basic understanding of roles of grievance mechanisms
- Identify potential barriers, challenges in stakeholder engagement



# Principles of Consultation, Participation & Consent

## Full participation

- Representation
- Diversity of stakeholders, and gender balanced
- Capacity to participate
- Access to information & Transparency
- Access to grievance mechanisms

## Mutual understanding

- Manage different interests, opinions, needs
- Manage different power relations between stakeholders, & between gender
- Consensus building

## Shared responsibility

- Capacity to implement shared solutions, based on understanding of different roles men & women play
- Willingness to implement

## Inclusive Solutions

- Negotiated integration of different interests, opinions & needs
- Link to planning & decision-making processes

# Different Approaches to Consultation & Participation

Degree of Participation	Types of Engagement	Description
<b>HIGH</b>	Empowerment	Transfers control over decision making, resources & activities
	Joint decision making	Joint collaboration with shared control over a decision
	Collaboration	Joint activities without decision making authority and control
	Consultation	Two-way flow of information & exchange of views
<b>LOW</b>	Information sharing	One-way flow of information



**LOW**

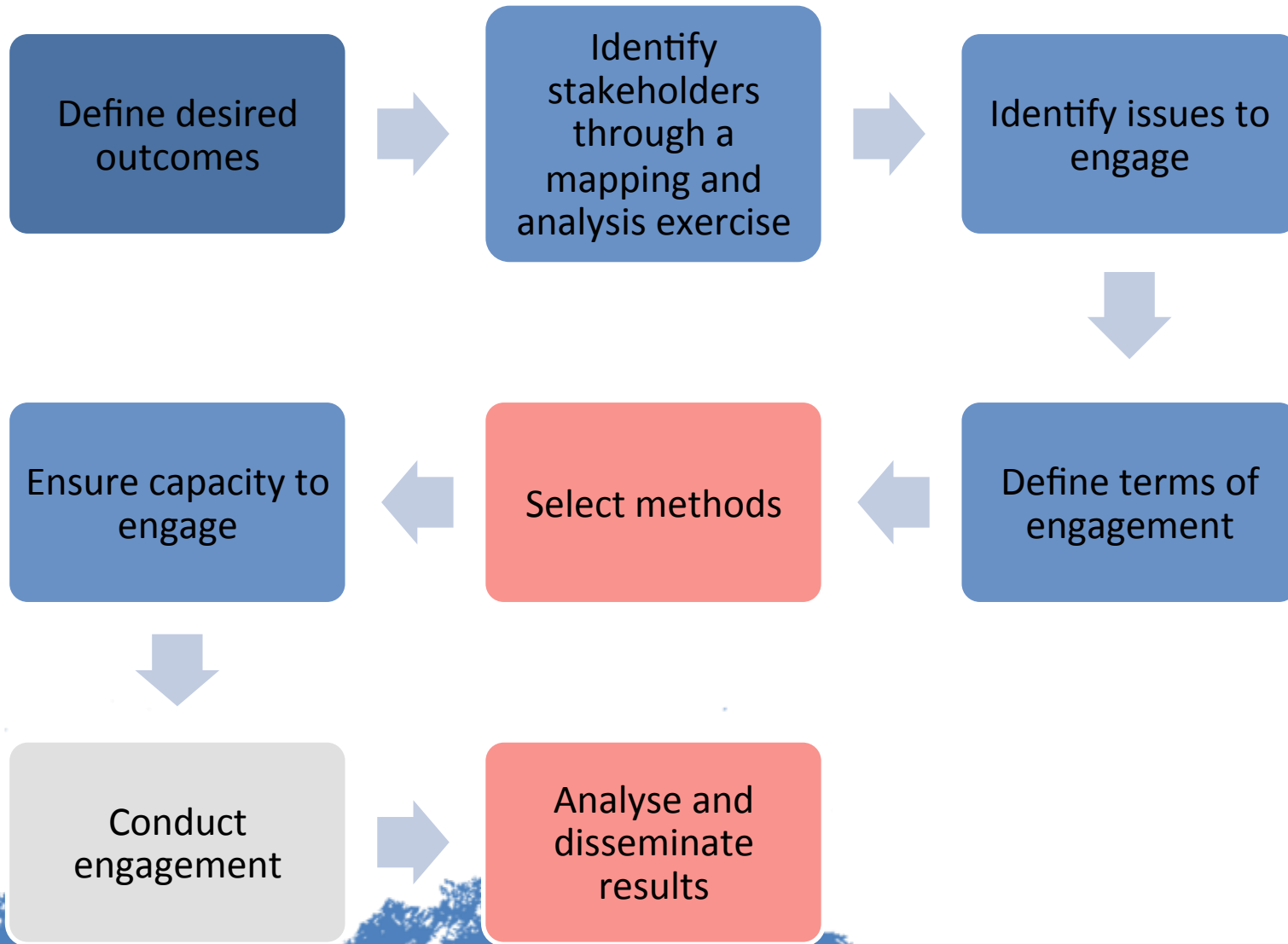
Stakeholder Mapping and Analysis

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## Communication vs Consultation

- Awareness raising & sharing information is NOT “consultation” but part of “communication”
- YET, communication is critical to an effective consultative process
- Communication strategy should clearly
  - Identify desired outcomes
  - Identify different target audiences & dissemination channels
  - Identify key messages and adapt to different target audiences
  - Adopt different types of tools; printed, audio-visual, performing arts

# General Steps for Consultation & Participation



*Adapted from Joint FCPF & UN-REDD Programme Guidelines on Stakeholder Engagement in REDD+ Readiness*



**Why?**

Build capacity

Collect input & ideas

Make a decision

Inform stakeholders

Consult stakeholders

Collaborate with stakeholders

**What?**

Fact sheets  
Brochures  
Local media  
Drafting  
Direct communication  
Exhibitions

**How?**

Focus groups  
Surveys  
Interviews  
Public comment  
Meetings

Workshops  
Advisory committees  
Panels  
Round tables

Participatory decision making  
Negotiation  
Mediation

Awareness of program

Feedback on proposed policies and/or strategies

Actively involved in strategy development

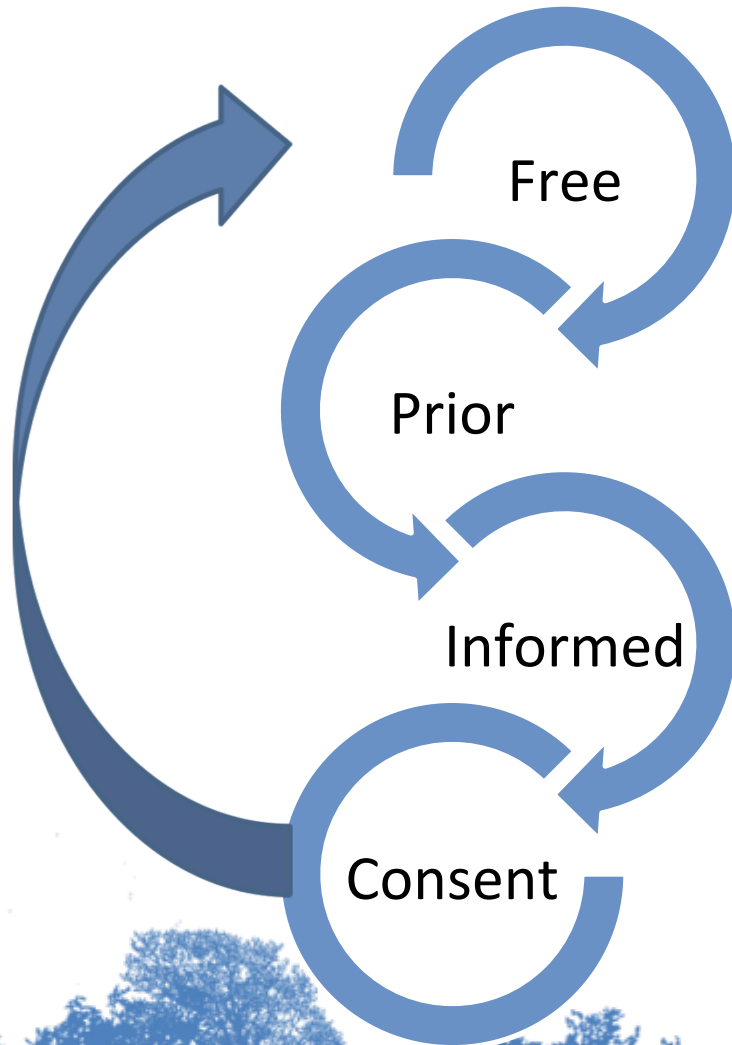
Reflects views, priorities & interests of stakeholders

**What outcomes?**

Strategy development process is transparent

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# What is FPIC?



- From coercion, intimidation or manipulation
- Before any authorization or commencement of activities, with time for consideration
- All relevant information to make a decision
- A collective “Yes” or “No” through a decision-making process of choice



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# When Is FPIC Required?

States must consult and cooperate in good faith with the IPs concerned through their own representative institutions in order to obtain their FPIC for:

- Relocating an indigenous population from their lands;
- Taking “cultural, intellectual, religious and spiritual property;”
- Causing “damages, takings, occupation, confiscation and uses of their lands, territories and resources;”
- “Adopting and implementing legislative or administrative measures;”
- Approving “any project affecting their lands or territories and other resources, particularly in connection with the development, utilization or exploitation of mineral, water or other resources.”

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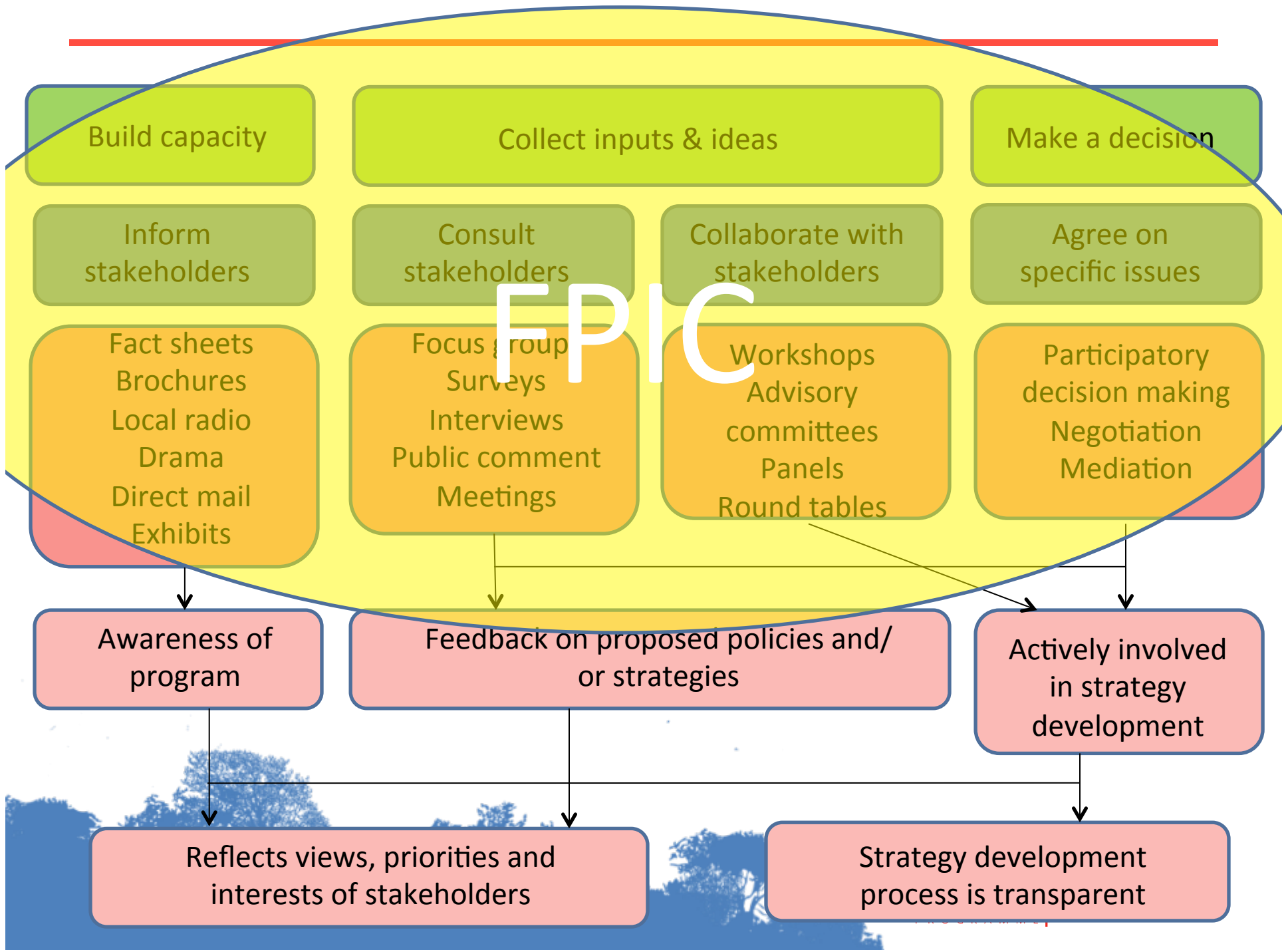
## But what about Forest Dependent Communities (FDC)?

- Consent should be sought if REDD+ activities affect FDC's substantive rights and interests.
- States requested to evaluate the circumstances and nature of FDC affected.

*“...the Guidelines soberly recognize that, in many circumstances, REDD+ activities may impact forest-dependent communities, often similarly as indigenous peoples, and that the circumstances of certain forest-dependent communities may rise to a threshold such that it should be seen as a requirement of States to secure FPIC when an activity may affect the communities' rights and interests.”*  
(Emphasis added)

*UN-REDD Programme Guidelines of Free, Prior and Informed Consent, pp 11 – 12*





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# Stakeholder Engagement and Response

PROACTIVE

REACTIVE



Stakeholder Engagement  
Screening for Impacts  
SESA  
Management Plans

Grievance Mechanisms



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## What is a Grievance Mechanism?

- Equally accessible, fair, collaborative, expeditious and effective in resolving concerns through dialogue, joint fact-finding, negotiation, and problem-solving.
- First line of response to stakeholder concerns that have not been prevented by proactive stakeholder engagement.
- Complement, rather than replace, formal legal channels.
- Does not address complaints that allege corruption, coercion, or major and systematic violations of rights and / or policies.

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## Some Barriers to Consultation, Participation & Consent

- Lack of “enabling conditions”
  - Trust and respect
  - Unclear legal and regulatory frameworks
- Unclear representation
- Limited capacity & knowledge to participate
- Cost involved
- Time required
- Traditional hierarchical cultures
- Gender inequalities
- Socio-economic, political & cultural constraints





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## Successful REDD+ Implementation

*The **quality** and **degree** to which the principles of consultation, participation and consent are applied can be what **determines** the likelihood of a **successful REDD+ implementation with enhanced and gender equitable benefits** to the affected peoples and communities*



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# GROUP WORK

REFER TO HANDOUTS



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# Instructions

1. Participants will be assigned to design consultation and participation processes for for 4 different stakeholder groups:
  - a) Forest dependent communities at the village level
  - b) Non-Governmental organisations working at the district level
  - c) Private sector entities at the national level
  - d) Government institutions at the national level



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# Instructions

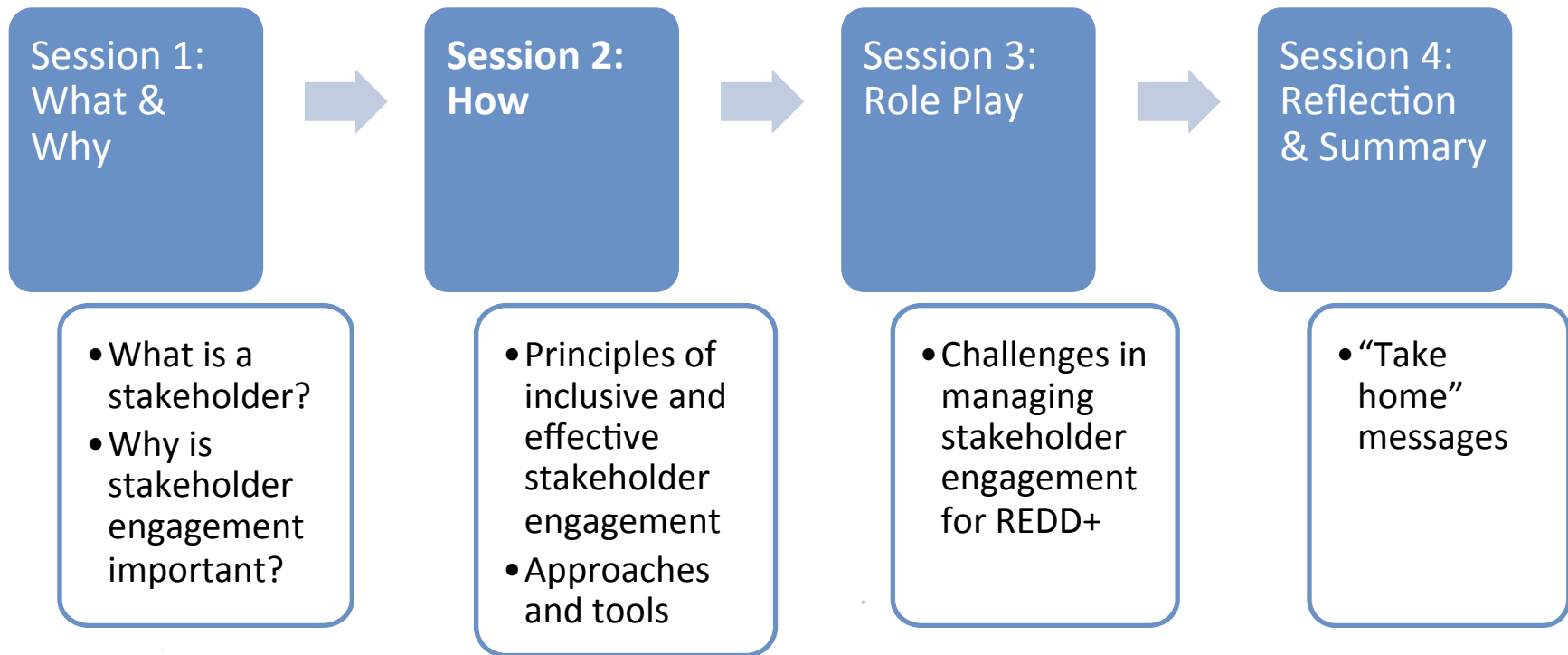
1. State the assumptions you have made for your designated stakeholder group.
2. State any existing or key issues you anticipate from the designated stakeholder group.
3. Identify potential barriers and challenges in implementing the consultation and participation process for designated stakeholder group. Ensure the process designed addresses these potential barriers and challenges.
4. Remember the principles of consultation, participation and consent. Determine how you would turn these into practical actions.
5. What could be the role of a grievance mechanism with regards to your stakeholder group (if relevant)? How would you expect such a mechanism to be designed given the specific needs of your group?



# Session 3: Role Play

*Source: Patti Moore, Xuemei Zhang, and Ronnakorn Tiriraganon (2011). Natural Resource Governance Trainers' Manual. IUCN, RECOFTC, SNV, Bangkok, Thailand.*

# Recap: Session Flow



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## Session 3 Objectives

- Explain how the principles of consultation, participation and consent can be used to guide the implementation of multi-stakeholder engagement.



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## Role play instructions

1. Nominate 2 participants to represent the Water Authority.
2. Nominate 4 participants to be panelists in the hearing process. Nominate a Chairperson among the 4 panelists.
3. Divide remaining participants into 5 stakeholder groups:
  - a) Water suppliers
  - b) Urban consumers
  - c) Timber firms
  - d) Communities with irrigated land
  - e) Upland communities
4. Nominate 1 representative from each stakeholder groups who will give statements during the hearing.



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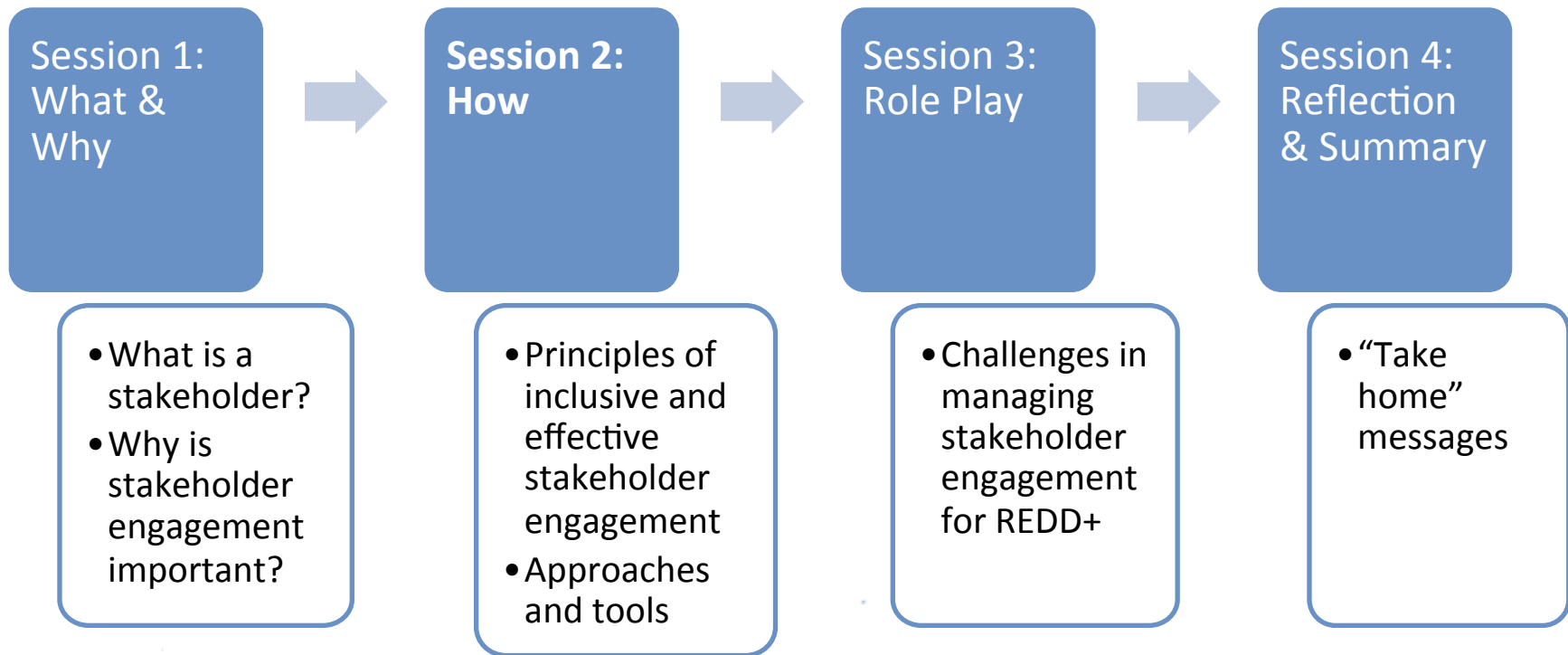
## Role play instructions

1. Each group will have 45 minutes to develop its position on whether or not to accept each of the proposed amendments to the Water Act.
2. Representatives will have 5 minutes during the hearing to give their statements.
3. After all the groups have presented their statements, there will be an open 30-minute debate before the 4 panelists vote on each provision in the draft amendment.

# Session 4: Reflection



# Recap: Session Flow



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## Questions

- How did your stakeholder group feel during the public hearing and why?
- How did the representatives of the Water Authority handle the situation when it was revealed that two stakeholder groups had met with the Water Authority prior to the public hearing?
- What principles of consultation, participation and consent were most involved in this situation?
- What does this tell us about consultation, participation and consent in practice?
- What are the “take home” lessons for you that can be applied in your own situation?

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## “Take home” messages

- Stakeholder Engagement is important to ensure the **equity, relevance** and **ownership** of REDD+ readiness and implementation; **accountability** to improve forest governance; and building **relationships** to constructively avoid and management conflicts.
- The **quality** and **degree** to which the principles of consultation, participation and consent are applied can be what **determines** the likelihood of a **successful** REDD+ implementation with **enhanced and gender equitable benefits** to the affected peoples and communities.



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THANK YOU

