Session 1: Introduction to Stakeholder Engagement

4 November 2014
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

Session 1: What & Why
- What is a stakeholder?
- Why is stakeholder engagement important?

Session 2: How
- Principles of inclusive and effective stakeholder engagement
- Approaches and tools

Session 3: Role Play
- Challenges in managing stakeholder engagement for REDD+

Session 4: Reflection & Summary
- “Take home” messages
Session 1 Objectives

• Define what a “stakeholder” is
• Explain why stakeholder engagement is important in the context of REDD+
WHAT IS A STAKEHOLDER?
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)
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
OPPORTUNITIES & RISKS IN REDD+
**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
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 to forest products
WHY IS STAKEHOLDER ENGAGEMENT IMPORTANT IN REDD+?
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
REVISITING CANCUN SAFEGUARDS
Cancun Safeguards (COP 16, 2010)

- a) Policy alignment (national & international)
- b) Forest governance structures (transparent & effective)
- c) Respect for the knowledge & rights of IP & members of local communities
- d) Full & effective participation of stakeholders (especially IP & local communities)
- e) Conservation of natural forests & biodiversity & enhancement of other social & environmental benefits
- f) Actions to address the risks of reversals (Permanence)
- g) Actions to reduce the displacement of emissions (Leakage)
Issues at Stake: Cancun Safeguards

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

b) Forest governance structures (transparent & effective)
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

Session 1: What & Why
- What is a stakeholder?
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Session 2: How
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Session 3: Role Play
- Challenges in managing stakeholder engagement for REDD+

Session 4: Reflection & Summary
- “Take home” messages
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

<table>
<thead>
<tr>
<th>Degree of Participation</th>
<th>Types of Engagement</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>HIGH</td>
<td>Empowerment</td>
<td>Transfers control over decision making, resources &amp; activities</td>
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<tr>
<td></td>
<td>Joint decision making</td>
<td>Joint collaboration with shared control over a decision</td>
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<tr>
<td></td>
<td>Collaboration</td>
<td>Joint activities without decision making authority and control</td>
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<tr>
<td></td>
<td>Consultation</td>
<td>Two-way flow of information &amp; exchange of views</td>
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<tr>
<td></td>
<td>Information sharing</td>
<td>One-way flow of information</td>
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</tbody>
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### Stakeholder Mapping and Analysis
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

- Define desired outcomes
- Identify stakeholders through a mapping and analysis exercise
- Identify issues to engage
- Define terms of engagement
- Select methods
- Ensure capacity to engage
- Conduct engagement
- Analyse and disseminate results

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

1. Build capacity
2. Collect inputs & ideas
3. Make a decision

Inform stakeholders
- Fact sheets
- Brochures
- Local radio
- Drama
- Direct mail
- Exhibits

Consult stakeholders
- Focus group
- Surveys
- Interviews
- Public comment
- Meetings

Collaborate with stakeholders
- Workshops
- Advisory committees
- Panels
- Round tables

Agree on specific issues
- Participatory decision making
- Negotiation
- Mediation

Awareness of program

Feedback on proposed policies and/or strategies

Actively involved in strategy development

Reflects views, priorities and interests of stakeholders

Strategy development process is transparent
Stakeholder Engagement and Response

PROACTIVE

- Stakeholder Engagement
- Screening for Impacts
- SESA
- Management Plans

REACTIVE

- Grievance Mechanisms

UN-REDD | REDD+ ACADEMY
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.
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
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.
GROUP WORK

REFER TO HANDOUTS
Instructions

1. Participants will be assigned to design consultation and participation processes 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
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

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.
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.
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?
“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.
THANK YOU