

Annex 7. Stakeholder Engagement Plan

1. Introduction

Since its initial design, the project "Planting Climate Resilience in rural communities of the Northeast" has been implemented in partnership with several institutions and organizations, including the International Fund for Agricultural Development (IFAD), the Brazilian Development Bank (BNDES), the Ministry of Social Development (MDS) – actual Ministry of Citizenship, and the Ministry of the Environment (MMA). The project reflects the contributions of these organizations and incorporates their different socioenvironmental perspectives. The PCRП was also designed to allow active participation of indigenous, governmental and nongovernmental organizations in the implementation process. The stakeholder engagement plan expresses the option to collectively build the project. PCRП's design process already incorporates the views of the public directly and indirectly involved.

The eight states in Brazil's Northeast semiarid region (known as *sertão*) are home to the country's most impoverished population. For the last 25 years, this region has been the focus of IFAD-supported sustainable agricultural development projects. This consideration has implications for setting up the Stakeholder Engagement Plan, as IFAD has been articulating, consolidating and expanding its range of partnerships in the region for a long time. Although the states the project will target have not yet been chosen, the fact that IFAD has invested in building relationships with a wide range of partner institutions in the region will certainly facilitate interactions with social stakeholders and provide subsidies for consultations, pacts, and agreements. The trust that IFAD has built with these different social stakeholders over its 25 years of work experience in the region is a springboard that will benefit the design of this project and its network of interinstitutional relations.

Engaging multiple stakeholders (representatives of civil society and regional and national government agencies and institutions) not only ensures the effectiveness, sustainability, and resilience of proposed actions but also provides support for lasting structural and transformative impacts. The formation of advisory and consultative units in institutional arrangements with the participation of a range of social stakeholders is a fundamental step toward fulfilling the following objectives: (i) ensure greater complementarity between the actions and strengths of partner organizations, aligning strategies and promoting more effective collective efforts; (ii) strengthen analytic capacity and seek diverse perspective and approaches to problems affecting agricultural development and environmental sustainability and determine sound solutions; (iii) increase citizens' political influence, in order to encourage qualified interventions in councils, forums and other political and civic venues; (iv) enhance effectiveness of use of monetary and non-monetary resources (counterparts) for scaling-up local and regional initiatives.

The project's third component, Knowledge Management and Scaling-up, includes a greater number of social stakeholders as it provides strategies for consolidation of learning laboratories, exchanges and replication, with a focus on production / dissemination of communication materials. The effort to demonstrate and encourage reproduction of the project's successful experiences through the organization/registering/monitoring of strategies has potential to affect the various types of stakeholders: those directly involved in grassroots activities, those indirectly affected, and finally, those who may be interested in acquiring more knowledge about the project and its purposes and achievements.

Fast efficient production of communication materials that circulate in different media and assist inter-institutional processes is increasingly becoming a way to engage a more significant number of interested actors and enable new forms of engagement. Strategies that encourage the exchange of experiences between different Brazilian states and between countries (South-South cooperation initiatives) will reach more distant stakeholders, who will then become more aware of climate-related problems and can get more actively involved in initiatives proposed to address these problems. Especially among government agencies, private-sector segments and social organizations working in the semiarid region of the Northeast, it is of fundamental importance to disseminate results of biome-adapted social technology experiments. As the visibility of initiatives grows, both the stakeholders directly engaged in implementing actions and those indirectly affected will be encouraged to maximize mitigation / adaptation measures, thus increasing the environmental and social benefits generated.

For this reason, the project provides mechanisms to increase the effectiveness of disseminating information based on impact analysis to facilitate both the scaling-up process as well as engagement of civil society stakeholders and government organizations.

2. Brief summary of previous stakeholder engagement activities

In the second half of 2018, IFAD hired nine consultants with a range of expertise to join the BNDES team to help prepare the project proposal. The preparation process took into consideration situations observed from empirical reality, captured from field visits to communities in the region and through meetings and public consultations with potential stakeholders, both governmental and non-governmental organizations.

During field visits to the semiarid states of Bahia and Pernambuco in October 2018, the team witnessed experiences developed by family farmers, many of which focused on environmental sustainability, such as agroforestry systems. Most of these activities were developed with support and advice from nongovernmental organizations, such as Centro Sabiá and Caatinga (in the state of Pernambuco), which promote integrated processes in water management, agroecology, food security, and ecosystem conservation. In the

innovative dialogue with possible partner organizations, core environmental issues were introduced so they could reflect on the impact of their actions on climate-change adaptation and mitigation processes at the local and regional levels. It was also an essential step for the team of experts, an opportunity to identify gaps in the experiences presented and identify possible weaknesses and risks. During field missions, meetings were held not only with the beneficiaries of socio-environmental actions (construction of technologies for water collection and storage and agroecological practices) but also with potential stakeholders already implementing strategies for preserving ecosystems and natural resources. These engagements were crucial for outlining the project and establishing a network of contacts with stakeholders who could be potential project partners.

In late October 2018, the team held a series of meetings with federal government institutions in Brasília, such as the Secretariat of Family Agriculture and Agrarian Development (SEAD); the Ministry of Social Development (MDS); the Ministry of the Environment (MMA); the Secretariat of International Affairs (SAIN); the Ministry of Science, Technology, Innovation and Communications (MCTIC), and the General Coordination of Policies for Women, Youth, Peoples and Traditional Communities (CEGAT). These meetings were crucial to understanding the contributions these actors could make to each project component and its institutional arrangements, and as a basis for construction of a Stakeholder Plan that considers the complementarities in implementation strategies of government and nongovernment organizations.

Two public hearings were also held during this preparatory phase. They were essential steps to restructure some aspects of the project (e.g., intervention strategies, guiding concepts, and the relationship between components) and also to mobilize potential stakeholders around the proposed project. A brief summary of results of both consultations follow:

(i) The first public hearing was held in Recife on 18 October 2018 with more than 100 participants from approximately 32 different organizations. The event focused on the discussion of themes underpinning the project's main purpose and strategies, so that people could contribute to project design and voice their main concerns and considerations. The organizations present were divided into six groups: (1) Adaptation measures; (2) Mitigation measures; (3) Agroforestry: climate resilient productive systems principles in the Semi-Arid; (4) Youth, traditional communities, and gender; (5) Technical assistance; and (6) Biosaline agriculture. Each group produced a series of propositions from its perspective and presented the issues in the plenary session, generating debates. Some points that crossed all groups were reported in the final summary, such as the importance of experimentation and of sharing among stakeholders involved to promote the agroecological principles. The topics of political

impact and "scaling up" successful experiences were also emphasized. The organizations present at this public hearing included:

Programa Água Doce (PAD) – PB, MG, BA, PE, RN, AL, CE; Cooperativa Agropecuária Familiar de Canudos, Uauá e Curaçá (COOPERCUC); Cáritas Regional CE; Departamento de Gestão Ambiental (DGA/UERN); ASA (Articulação Semiárido Brasileiro); MMA; Associação da Rede de Mulheres Produtoras do Pajeú; Adessu Baixa Verde; Programa de Aplicação de Tecnologia Apropriada às Comunidades (PATAC); Empresa de Planejamento e Assessoria Técnica Agropecuária (Emplanta) – PI ; Eslar – CE; Delegacia Federal do Desenvolvimento Agrário (DFDA) – PE ; Centro de Pesquisa e Assessoria – ESPLAR; Empresa Brasileira de Pesquisa Agropecuária (Embrapa); Centro Sabiá; Associação Águas do Nordeste (ANE); Serviço de Tecnologia Alternativa (SERTA); SASOP – Serviço de Assessoria a Organizações Populares Rurais (SASOP); Cooperativa de Trabalho e Prestação de Serviços Técnicos da Reforma Agrária da Paraíba Ltda. (COOPTERA); Caatinga; Casa da Mulher do Nordeste; Núcleo Sertão Agroecológico/UNIVASF; Instituto Comradio; Organização Terra Viva; SEMA-BA - Secretaria do Meio Ambiente; Agroflor; AACC-RN - Associação de Apoio às Comunidades do Campo do Rio Grande do Norte; IRPAA - Instituto Regional da Pequena Agropecuária Apropriada; SAF - Secretaria de Agricultura Familiar – Maranhão; IBAMA – Instituto Brasileiro do Meio Ambiente e dos Recursos Naturais Renováveis; ASPTA – Agricultura Familiar e Agroecologia; Núcleo Jurema – UFRPE/Universidade Federal Rural de Pernambuco; Rede Nacional de Colegiados Territoriais; Associação Cristã de Base (ACB); Projeto Pró-Rural (Banco Mundial); Federação de Trabalhadores e Trabalhadoras Rurais na Agricultura Familiar (FETRAF); Centro de Estudos do Trabalho e Assessoria ao trabalhador (CETRA); Universidade de Brasília (UNB); Emplanta - Empresa de Planejamento e Assessoria Técnica Agropecuária; Diaconia; Núcleo Jurema – Universidade Federal Rural de Pernambuco (UFRPE).

IFAD-supported projects in Brazil (PSA–Bahia, PDHC II–Federal, PROCASE–Paraíba, Paulo Freire–Ceará Project, Dom Távora–Sergipe Project, PVSA–Piauí)government agencies (MDA, MMA) and institutions involved in the project's proposed design were also present (BNDES / IFAD).

(ii) The second public hearing was with the specific segment that holds the central role in the project: indigenous peoples. The hearing was held on 9 May 2019 in Salvador, with a total of 110 people representing the following ethnicities in the states of Bahia: Pataxó, Tubanambá, Pataxó Hãhãhãe, Atikum, Kiriri, Kaimbé, Tapuia, Tumbalá, and Kantaruré. Indigenous rights organizations and institutions that were present included: Articulation of the Indigenous Peoples of Brazil (APIB); Articulation of Indigenous Peoples and Organizations of NE, MG and ES (Apoime); Indigenous Movement of Bahia (Miba); Indigenous Missionary

Council (Cimi); Bahia Indigenous Education Forum (Forumeiba); and the indigenous teachers association of the North and West of Bahia (Apinoba).

This hearing had two objectives: (i) give voice to the specific contributions of indigenous peoples to the project, respecting their specificities; (ii) identify possible risks in the implementation cycle, in terms of the particular needs of indigenous peoples. The hearing was based on the concept of FPIC ("free, prior and informed consent"), which constitutes an effort to "guarantee to an affected or traditional community (local communities within the project's area of influence) the right to give their consent or not to projects that may affect their lands, understood as those they habitually occupy or use". This project, focused on socioenvironmental sustainability measures to address climate change, understands that indigenous peoples of Brazil contribute significantly and play a crucial role in prevention of deforestation, ecosystem preservation, and efficient management of natural resources in the national territory. At the same time, there are risks in implementation of any project since indigenous villages are governed by other patterns of behavior, interpersonal and power relationships.

Several points raised by participants in the plenary were noteworthy and have been taken into account in the design process:

- (i) The importance of valuing specialized modes of production of indigenous peoples: Participants from different tribes spoke of their tradition to produce collectively in a given area. According to an Atikum leader, they "prioritize collective efforts and work because together they produce more." This issue needs to be taken into account in technical assistance services.
- (ii) Productive processes have been directed toward self-consumption, but there is interest in investing more in income-generating initiatives. Participants at this hearing stressed that the notion of environmental preservation is not a hostile position, which comes as a shock to income generation. These are strengths that can be added in work aimed at improving agricultural activities.
- (iii) Indigenous peoples emphasized the importance of "producing without pesticides" and their desire to learn more about ways to "generate income without pesticides."
- (iv) In the case of some peoples, such as Kiriri, there is a concern with monoculture planting (Eucalyptus, for example), which has driven the deforestation process in the area around the villages.
- (v) In terms of possible risks, some representatives warned of the need to consult the cacique about the project implementation process, due to his position of authority in the indigenous villages. The organizational forms of indigenous peoples should be respected, which entails careful consultation with the cacique and village management bodies such as the "Council" (composed of older people).

- (vi) Regarding the procedures indicated, the representatives pointed out the importance of conducting a "pre-diagnosis" in the areas to be affected in each community.

Bahia, the state in which the hearing was held, became a "sample" of the issues that affect multiple indigenous peoples in their various territories. The proposals raised were incorporated into project design and should inform other inquiries. The plan is to hold further meetings with indigenous peoples in the states that will be chosen to integrate the project during its implementation cycle, as detailed in the PIM. One of the purposes of these meetings will be to reach an agreement with such communities, based on the FPIC commitment. It shows a commitment on the part of the executing entities to engage in construction of a space that provides direct interaction with the various segments of the target audience. It is important that the demands of these different social groups be considered at the start of project implementation so that adjustments can be made promptly.

3. Identifying stakeholders

This project starts with categorization of "stakeholders" into two sub-groups: (i) stakeholders directly or indirectly affected by the project; and (ii) others (not affected by the project) that can be classified as "broader stakeholders."

In the first category, although it is important to define the roles of each social actor, the distinction between "directly affected actors" and "indirectly affected actors" will be outlined at the beginning of the proposed implementation process. A methodology will be built together with stakeholders who have been identified as possible partners to understand their level of affinity with the project proposal and to build consensus on their degree of participation in planned actions. Two councils will be established in the first year of project implementation, namely: (i) an advisory council; and (ii) a consultative council, in which some stakeholders will engage, according to their alignments, aspects of convergence, and degree of participation in suggesting strategies and actions. Selection of the stakeholders that will participate and in which council will be conducted during the first year of PCR's implementation cycle

Among all stakeholders, the role of the Semiarid Articulation (ASA) will be essential, especially in Component 2, due to its long experience in water management (water supply and storage). ASA, a coalition of more than 3,000 civil society organizations organized in forums and networks in 10 states, has played a key role in programs such as the One Million Cisterns Program, which seeks to implement appropriate technologies to collect, store and supply water for human consumption and food production. During proposal preparation phase (involving field visits and meetings with potential stakeholders), there was a rapprochement to the ASA, to get to know more about its experience with water management equipment and technologies as well as to enquire about the possibility of having its most robust engagement

in Component 2. Organizations working with agroecology in Brazil should also be involved, as they can make essential contributions in experimenting with new technologies in biome-adapted agricultural production. As directly affected stakeholders, the following organizations should be active participants of the councils: Agroforestry Movement of Syntactic Inclusion (MAIS); Advisory Service to Rural Population Organizations (SASOP); Service of Alternative Technology (SERTA); Regional Institute of Appropriate Small Farming (IRPAA); Family Agriculture and Agroecology (ASPTA); Center for study of work and Advice to the worker (CERTA); Caatinga; and Centro Sabiá.

Ministries at the federal and state levels will play an essential role in project advising (incorporated into the consultative councils). These include: the Ministry of Science, Technology, Innovation and Communications (MCTIC); the Ministry of the Environment (MMA); Department of Environmental Management (DGA / UERN); the Ministry of Social Development (MDS) – actual Ministry of Citizenship; and State Coordination of the Água Doce Program.

In the "broader stakeholders" category (stakeholders not likely to be directly involved but if they are aligned with the project guidelines, they can contribute to research on core activities), it is important underscore the role of research institutions and universities. Important stakeholders in this category include: Agroecological Sertão/UNIVASF; Centre of Studies, Research and Agroecological practices in the Semi-arid (NEPPAS/UFRPE); Centre of Agroecology and Peasantry (NAC / UFRPE); Centre Sertão Agroecológico / UNIVASF; International Policy Center for Inclusive Growth (IPC / UNDP); and National University of Brasília (UNB).

4. Approaches for groups undergoing more socially vulnerable experiences

The project follows a targeting strategy that first identifies and prioritizes the most vulnerable groups and then conducts specific activities with these beneficiaries to address and meet their demands and desires.

To incorporate women's needs, gender issues should be integrated into the baseline study, to be implemented in the project's first year, shortly after the beneficiary communities have been selected. A crosscutting treatment of gender is sought, both in the baseline study and in other tools and instruments used throughout the PCRPP implementation cycle. In the project's second year, when the Territorial Resilience Investment Plans (TRIPS) are implemented, a diagnosis to identify the specific circumstances experienced by rural women will be conducted in the context of each local community. This diagnosis will be essential for informing the project's following phases, since it will provide subsidies for family productive processes so that women can be protagonists in the creation and innovation of technologies leading to more resilient agricultural systems. From the project's second year on, a series of

activities (training, workshops, case studies, organizing, etc.) aimed at strengthening women in the community and territorial levels.

One of the project's core targets is youth, which is evident in the strategies outlined in PCRCP, especially Activity 3.1.1. Raise awareness and build capacities of women, youth and traditional communities. The project emphasizes social communication actions and knowledge management, and rural youth is understood to be a critical actor in these initiatives, playing a crucial role as "young communicators" in registering, organizing, and providing outreach of activities and innovations.

Two strategic actions will be implemented in the project's first phase to diagnose and give visibility to the specific circumstances of the traditional peoples' needs (indigenous and quilombola communities) in the area covered by the PCRCP. After the beneficiaries are selected, consultation with traditional communities must be carried out to guarantee free, prior, and informed consent. The purpose of these consultations is to examine feedback on the project (suggestions and proposals) and survey the specific demands of traditional communities in PCRCP's geographical area, aiming at incorporating an ethnic-racial approach to the project. The second proposed action is a diagnosis of traditional communities to better understand their sociopolitical reality, relation with natural resources, socioenvironmental and cultural practices. This information should support the Technical Assistance (TA) teams in their direct action in such communities, assisting technicians in construction of approaches that take into account the specific circumstances of these social groups.

In the consultation process, it is crucial to ensure measures that facilitate indigenous peoples' participation, namely:

- (i) Choose accessible places for meetings, at local or municipal levels, to facilitate participation;
- (ii) Schedule the meetings at more appropriate times so women can attend, and create mechanisms that ensure child care;
- (iii) Provide meetings with a small number of participants, so that everybody has the opportunity to express their views and issues. In the case of larger groups, methods that encourage active participation should be used, such as splitting participants into smaller groups for brainstorming and then providing opportunity for all groups to present their main ideas in the plenary session.

The consultations will be valuable opportunities to fine-tune project design and operation, according to demands made by the indigenous and quilombola communities. Changes will not be structural, in the sense of altering the project's objectives and grand strategies, but considerations expressed by local communities must be taken into account. The diagnosis will generate information about the specific situation of traditional communities in the beneficiary area and provide a basis for directing intervention strategies according to their specific needs. In the process of selecting families to receive benefit of investments, the

issue of access to land must be considered, since it is a key issue for traditional communities. The technical team that will work in these communities should seek measures to support recognition of traditional communities' lands with the Palmares Foundation and to obtain the Rural Environmental Registry (CAR); thus, respecting the particular manner in which they handle land and natural resources.

There will be an emphasis on production of media materials that highlight the issues facing the most vulnerable groups. Progress reports (TPRs) and case studies are expected to incorporate a gender, race and ethnic perspective. The project will also undertake at least four case studies (Activity 3.1.2) to examine experiences of traditional communities with Territorial Resilience Investment Plans (TRIPs).

Throughout project execution, some actions (listed below, by activity number) will include the specific interests of traditional communities (quilombolas and indigenous peoples):

(a) ACTIVITY 1.1.1. Selection of Project Areas and development of Territorial resilience investment plans: Years 1–2

- Baseline: In the baseline planning process, an effort will be made to incorporate the specific issues experienced by particular stakeholders (such as traditional communities, young people, and women).
- Consultations with indigenous peoples and quilombola communities: These are among the first priority actions to be carried out by the project, so stakeholders can propose suggestions about the project's operation and a survey of specific demands and needs of traditional communities can be compiled.

(b) ACTIVITY 1.1.3. Implement Collective Resilient Investments: Years 2–6

- Diagnosis: At this stage, the specific needs and demands of traditional peoples and women (including their relation to natural resources) will be addressed. As previously mentioned, it will serve as a basis for methodological approaches explicitly targeting traditional peoples and will be incorporated into the training of the technical assistance team.
- Training the technical assistance team: Activity designed for the project's second year: prepare team for interventions in indigenous and quilombola communities and to deal with other target groups such as rural women.

(c) ACTIVITY 3.1.1. Raise awareness and build capacities of women, youth and traditional communities: Years 1–6

- Periodic training, workshops and meetings with rural women;
- Child-care services, in order to foster care and greater participation of women in scheduled activities;
- Registration and organization of initiatives to test adapted technologies led by women and young people;
- Workshops in social communication techniques and approaches and inter-regional and inter-state exchanges for young communicators.

(d) ACTIVITY 3.1.2. Drive scaling-up, unlock policy barriers and experiment with CRPS and resilience participatory monitoring model: Years 1–8

- Create and implement a methodological approach to support learning and experience sharing within Brazil and also at the international level, highlighting participation of women, youth and traditional communities as knowledge managers and disseminators of innovative practices.
- Produce thematic studies and publications, focusing on initiatives led by women, youth and traditional communities in construction of resilient and sustainable productive systems.
- Disseminate gender-focused proposals aimed at fostering greater resilience to climate change through various types of media.

(e) ACTIVITY 3.1.3. Plan, Monitor, Evaluate and Learn: Years 1–8

- Construct a monitoring system with data disaggregated data by gender and define progress indicators that incorporate the focus on racial and ethnic factors.
- Promote local meetings to evaluate project results encompassing at least four indicators and focusing on gender, race and ethnicity.
- Seminars with representatives of community leaders (40% should be women) at the beginning, middle and end of the project implementation cycle to assess impact.

5. Stakeholder engagement program

More details of the stakeholder engagement plan will be presented in sections 5.1–5.4 below.

5.1 Social control mechanisms during project implementation

Project mechanisms must be created to ensure not only the engagement of stakeholders in the proposed strategies and actions but also the promotion of forms of social regulation and monitoring of PCRPs' operational process. The first step for implementing social control processes is establishment of advisory bodies that incorporate multiple stakeholders at both the CPMU and State-level Implementation Management Units (SIUs) levels. In the federal context, an advisory committee will be set up with participation of representatives from governmental agencies and ministries to contribute to the effectiveness of actions and integration of the project with other initiatives, programs, and policies. At the SIU level, management councils will be created to help attainment of project objectives and strategies, and also to incorporate principles of transparency and equity, with participation of the beneficiaries, state secretaries and representatives from civil society partner organizations.

During this phase, it is fundamental to have clarity about the objectives and approaches of these two bodies; otherwise it would be a challenge to implement an effective social control action plan. In the two bodies, stakeholders' roles vary depending on their profiles, capacities, and skills. They will play a significant role in the proposed institutional arrangements, so their functions must be predefined with respect to other internal units, to foster possibilities for relations between organizational structures. Selection criteria for appointing stakeholders to advisory councils must be established in such a way that the most vulnerable groups (such as indigenous peoples) are represented.

These two bodies will ensure the systematic scheduling of evaluation and monitoring meetings on the project's strategies and actions carried out over the six years of PCRPs implementation, and they will also be committed to and engaged in the mid-term evaluation. This process will be conducted by external evaluators, but its inputs must support a process of critical analysis of the practices lived by the stakeholders engaged in these advisory bodies.

In these assessments, stakeholders will also make periodic evaluations based on potential social and environmental risks. The evaluations will be based on risks identified in the SECAP and will incorporate proposals on strategies to overcome the risks.

5.2 Grievance and Redress Mechanisms (GRM)

IFADs Grievance Redress Mechanism can be accessed when necessary to manage project-related grievances that cannot be resolved by the project's Executing Entity. This title will develop IFADs Complaints Procedure for alleged non-compliance with its social and environmental policies and mandatory aspects of its Social, Environmental and Climate Assessment Procedures (SECAP).

IFAD-funded projects and programmes are designed in a participatory manner, taking into account the concerns of all stakeholders. IFAD requires that projects are carried out in compliance with its policies, standards and safeguards. Moreover, IFAD's Strategic Framework calls for ensuring that projects and programmes promote the sustainable use of natural resources, build resilience to climate change and are based upon ownership by rural women and men themselves in order to achieve sustainability.

The objective of the IFAD Complaints Procedure is to ensure that appropriate mechanisms are in place to allow individuals and communities to contact IFAD directly and file a complaint if they believe they are or might be adversely affected by an IFAD-funded project/programme not complying with IFAD's Social and Environmental Policies and mandatory aspects of SECAP.

Complaints must concern environmental, social and climate issues only and should not be accusations of fraudulent or corrupt activities in relation to project implementation – these are dealt with by IFAD's Office of Audit and Oversight.

Principles of engagement

The channels of engagement adhere to the process of communication with the different stakeholders, which rely on:

- Quality of service: handling the requests and complaints from respondents with proper quality of service.
- Free and Impartial service: respect for the diversity of different publics, with the commitment to exercise activities impartially, without favour of any order, free of prejudice and any fraud, corruption or practice of actions harmful to national and international public administrations.
- Right to Information: guaranteed right to access information, in transparent, clear and accessible language, in accordance with the law.
- Channel of dialogue: maintain an open channel of dialogue with the news media, social networks, and various other social sectors.
- Good faith and willingness to resolve the conflict, grievance, complaint or dispute should be considered as an essential pre-requisite to the process;
- A mediator may be mutually agreed to assist with resolving the conflict and/or grievance;
- The decision/resolution arrived through mutual agreement should be considered as final;

- Such decision would be signed by both parties and witnessed and communicated as the final and binding decision – at whichever level a decision or resolution of conflict or grievance is agreed.

Eligibility criteria

To file a complaint for alleged non-compliance with IFAD's social and environmental policies and mandatory aspects of its SECAP, IFAD will consider only complaints meeting the following criteria:

- The complainants claim that IFAD has failed to apply its social and environmental policies and/or the mandatory provisions set out in SECAP.
- The complainants claim that they have been or will be adversely affected by IFAD's failure to apply these policies.
- Complaints must be put forward by at least two people who are both nationals of the country concerned and/or living in the project area. Complaints from foreign locations or anonymous complaints will not be taken into account.
- Complaints must concern projects/programmes currently under design or implementation. Complaints concerning closed projects, or those that are more than 95 per cent disbursed, will not be considered.

The process

The complainants should first bring the matter to the attention of the government or non-governmental organisation responsible for planning or executing the project or programme (the Executing Entity), or to any governmental body with the responsibility for overseeing the Executing Entity. If the Executing Entity does not adequately respond, then the matter may be brought to the attention of IFAD. The issue may be brought straight to IFAD if the complainants feel they might be subject to retaliation if they went to the Executing Entity directly.

The Regional Division will examine the complaint and, if necessary, will contact the Executing Entity, or the governmental body with the responsibility for overseeing the Executing Entity, to decide if the complaints are justified. If the complainants request that their identities be protected, IFAD will not disclose this information to the Executing Entity or anyone else in government.

If the complaint is not justified, the Regional Division will inform the complainants in writing.

If the Regional Division finds the complaint is justified and there is proof of actual or likely harm through IFAD's failure to follow its policies and procedures, IFAD will take action. This may consist of making changes to the project/programme, or requiring that the EE observes its obligations under the Financing Agreement. IFAD's response will focus bringing the project/programme into compliance and no monetary damages will be available or paid in response to such complaints. The complainants will be informed of the outcome of the issue by the Regional Division.

In all cases, if the complainants disagree with IFAD's response, they may submit a request to SECAPcomplaints@ifad.org and request that an impartial review be carried out by the Office of the Vice-President.

The Office of the Vice-President will decide on the steps to be taken to examine such complaints, including, if necessary, contracting external experts to review the matter. The complainants will be informed of the results of the review.

IFAD will include in its Annual Report a list of received complaints and a summary of actions taken to address them.

How to submit a complaint

A complaint relating to non-compliance with IFAD's Social and Environmental Policies and mandatory aspects of its SECAP can be submitted in any of the following ways:

- Download the complaints form (Word) available [here](#) and as appendix 3 of this document.
- Send an email to SECAPcomplaints@ifad.org or mail to:

IFAD
SECAP Complaints (PMD)
Via Paolo di Dono 44
00142 Rome, Italy

Complaints must include the following information:

- Name, address, telephone number and other contact information
- Whether the complainants wish to keep their identity confidential, and if so, why
- Name, location, and nature of the IFAD project/programme (if known)
- How the Complainants believe they have been, or are likely to be, adversely affected by the IFAD-supported project or programme

The project-level Grievance Redress Mechanism

The project will establish one or more grievance mechanisms at field level to file complaints. Contact information and information on the process to file a complaint will be disclosed in all meetings, workshops and other related events throughout the life of the project. The project will include in the capacity building program information on the GRM and will organize consultations to determine the most suitable way for beneficiaries and stakeholders to communicate their concerns and ideas.

The Grievance Redress Mechanism and guidelines will be developed for the project taking into account IFADs corporate Complaints Procedure to receive and facilitate resolution of concerns and complaints with respect to alleged non-compliance of its environmental and social policies and the mandatory aspects of its Social, Environmental and Climate Assessment Procedures.

The project will also be responsible for documenting and reporting as part of the safeguards performance monitoring on any grievances received and how they were addressed.

How to submit a complaint at project level

Complaints can be raised either orally or in writing, directly to the State level implementing unit (SIU); the SIU will be responsible for creating and notifying of a digital and physical address to which complaints can be addressed.

Complaints must include the following information:

- Name, address, telephone number and other contact information
- Whether the complainants wish to keep their identity confidential, and if so, why
 - All necessary provisions will be taken to keep complainants' identities confidential in the complaints procedure when so requested.
- Name, location, and nature of the IFAD project/programme (if known)
- How the Complainants believe they have been, or are likely to be, adversely affected by the IFAD-supported project or programme

The process at local level

Submitted complaints will be sent to the Project Manager and M&E officer to assess whether the complaint is eligible. Project Manager will inform and incorporate the relevant Senior Safeguards specialist, social and/or environmental, as required.

Eligible complaints will be addressed by the SIU. The PM and relevant Senior Safeguards Specialist, with support from the M&E Officer will be responsible for recording the grievance and how it has been addressed if a resolution was agreed.

If the situation is too complex, or the complainer does not accept the resolution, the complaint must be sent to a higher level, until a solution or acceptance is reached:

- 1st level: At this level, received complaints will be registered, investigated and solved by the SIU.
- 2nd level: If the complaint has not been solved and could not be solved in level 1, the SIU must report it to the CPMU. Received complaints will be registered, investigated and solved by the CPMU.
- 3rd level: If the complaint has not been solved and could not be solved in level 2, the complaint must be submitted to IFAD following the procedure stipulated above.

Notwithstanding the above, all complaints may be directly submitted to BNDES (2nd level) where applicable stipulations in the Brazilian norms and in the BNDES ombudsman's office will prevail. The GCF independent Redress Mechanism and the Secretariat's indigenous peoples focal point will be available for assistance at any stage, including before a claim has been made.¹

For every complaint received, a written proof will be sent within ten (10) working days to IFAD and the EE; afterwards, a resolution proposal will be made within thirty (30) working days.

In compliance with the resolution, the person in charge of dealing with the complaint, may interact with the complainant, or may call for interviews and meetings, to better understand the reasons.

All complaint received, its response and resolutions, must be duly registered.

¹ Information available at: <https://irm.greenclimate.fund/home>

Resolution

Upon acceptance of a solution by the complainer, a document with the agreement should be signed.

Other considerations

Certain measures will most definitely favor the efficiency of the Grievance Redress Process within the context of PCR. The first of these measures is the creation of mechanisms and procedures that promote Stakeholder groups' engagement in the Project's strategic actions, such as the implementation of management bodies that incorporate multiple stakeholders at both the CPMU and State-level Implementing Units (SIUs) levels. At the SIU level, consultative councils will be created to ensure that PCR's objectives and strategies are met, with a deep commitment to principles of transparency and equity, through the full participation of the beneficiaries, state secretaries and representatives from civil society partner organizations. In order to guarantee that the most vulnerable stakeholder groups will be well represented in these representative spaces and bodies, rigorous selection criteria will be strictly followed. Their active participation will also be stimulated through the following measures: (i) Inputs of stakeholders will be considered in the construction of Baseline studies during the first year of the Project's implementation cycle; (ii) A crosscutting approach to gender, race and ethnic aspects will be incorporated in Territorial Resilience Investment Plans, as well as in other strategies and methodological instruments, with the guidance and orientation of Youth, Gender and Traditional Communities Specialists; (iii) Consultations with traditional communities will take place so as to guarantee free, prior, and informed consent; and (iii) periodic evaluations will be prioritized, based on a review of potential social and environmental risks and strategy-planning for overcoming such obstacles.

All Professionals that act on local and regional levels within the scope of PCR must be aware of the principles contained in the SECAP and IPPF – Indigenous Peoples Planning Framework and how they influence their intervention strategies. For instance, all technical assistance professionals that act directly in the field should be aware of project ESMP and specifically that a consultation process should be undertaken to solicit and obtain indigenous peoples' free, prior and informed consent (FPIC) before any action is taken in indigenous peoples' communities and /or if there exists the possibility that proposed interventions might directly affect indigenous peoples' communities and their rights. The principles of this IPPF, which is in line with the Green Climate Fund's Indigenous People Policy and the IFAD Policy of Engagement with Indigenous People, should be clearly laid out in Training sessions in the first 6 months of PCR's implementation cycle. Measures such as these represent forms of assuring good performance standards within the Project, in such a way that complaints and grievances, although they are inherent to any social process, are dealt with in due time and do not necessarily need to be taken forward within formal mechanisms and procedures. In consideration of the power dynamics that tend to place indigenous communities in a situation of disadvantage in relation to other social groups and institutions, as well as the history of violence, which has plagued indigenous and other traditional communities (ex: "Fundos de pasto"; quilombolas), especially in the face of social and environmental conflicts concerning

the use of land and natural resources in many of these territories, when a claim is presented by IPs, the complainants' identities should be kept confidential at all costs in these procedures.

In evaluation and monitoring sessions, that will take place every 6 months, focus groups will be formed so as to facilitate the expression of opinions by specific segments (ex: women x men; youth x elders) about different aspects of the Project's implementation process (activities planned, environmental and social risks, etc.) The evaluation and monitoring of Project strategies and actions should take place on an ongoing basis, as risks and impacts arise, and should be free from any sort of interference, coercion or intimidation on the part of Project team members or other third parties. Creating designated spaces for evaluation processes that allows for the voices of disadvantaged groups to be heard is a necessary measure for safeguarding their possible concerns, in such a way that they do not necessarily become formal complaints and grievances. In the case of rural women, for instance, who tend to suffer from situations of violence or other forms of violations in the family units or in community instances, such focus groups are an efficient strategy for creating a safe space in which such issues can be raised and dealt with in a proper manner. Gender specialists, who act on all levels of the Project, will also be important mediators of such complex situations, guaranteeing at all times the upmost confidentiality and protection of possible victims.

It is important to clarify that accessing a grievance mechanism should represent the last resort, given that constant dialogue between these most vulnerable social groups and Professionals trained to consider such demands and mediate conflicts, such as the Youth, Gender and traditional communities Specialists, will be cultivated through the Stakeholder Engagement strategy. This strategy can be seen to be an act of prevention – so that concerns can be channeled and expressed in due time and don't necessarily need to move on to the next level, becoming full-fledged grievances.

Once an identified problem turns into a formal grievance and is taken to the Project-level mechanism, it is important that vulnerable stakeholders understand that their legal rights will be protected under a national judicial process. Also, it should be made clear to them that, if they are not satisfied with the resolution that has been provided by the Project-level local mechanisms, another option involving mediation through conflict resolution exists. This possibility should be widely disseminated in all explanations given about the GRM and its forms and stages of operation during the process of fortifying Stakeholders and their engagement in the Project as a whole, as well as once any complaints are registered. In the case of indigenous people, this option may be considered to be more culturally appropriate, given their different conceptions of adequate processes for mediating conflicts and finding collective solutions within the context of PCRPs' interventions. The mediator to be chosen in such cases should be a person who has credibility in the context of indigenous communities and who displays understanding of their cultural specificities. Strict criteria concerning the profile and experience of this professional should be reviewed and validated by Consultative Councils at the SIU level, as well as other governing instances.

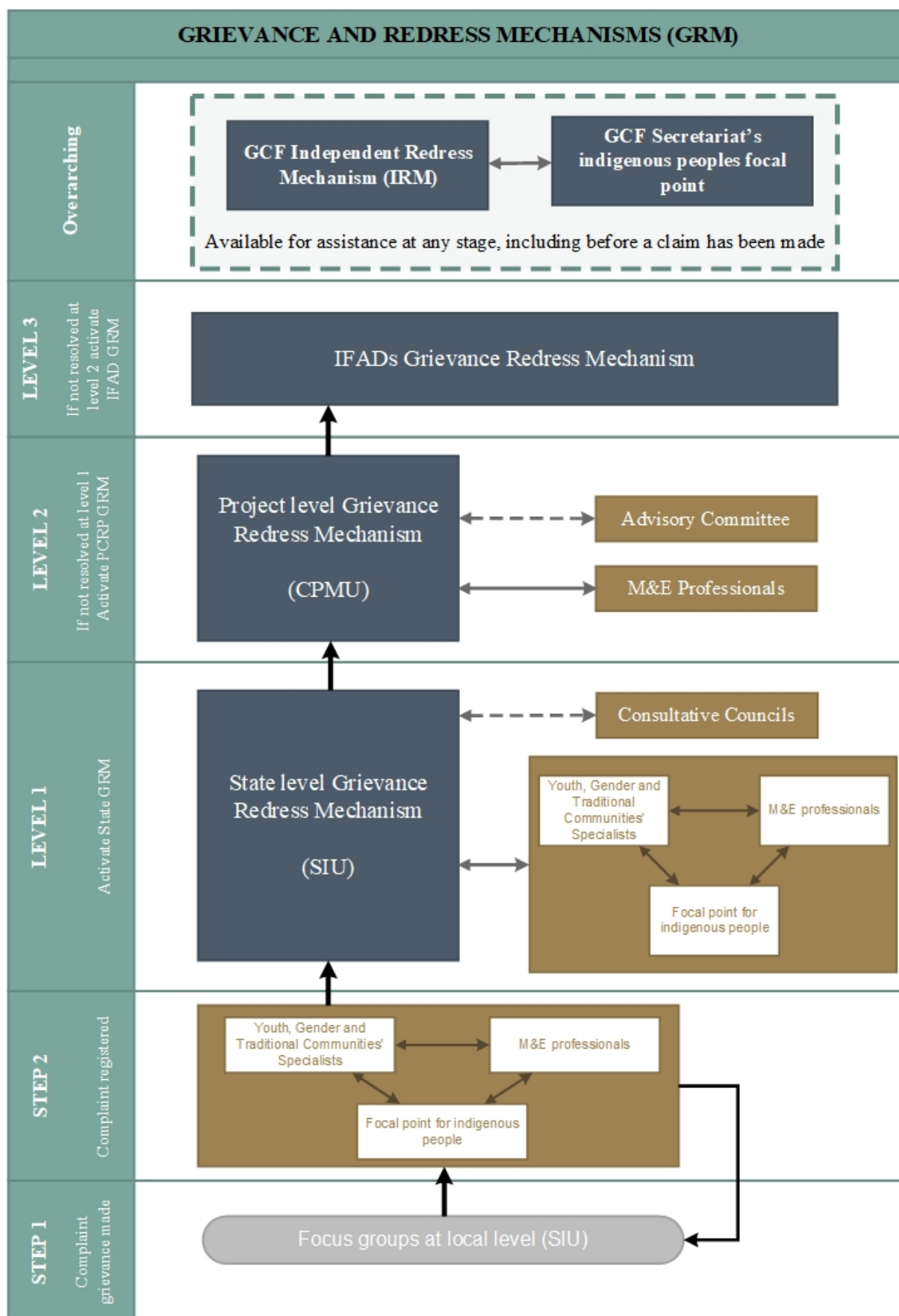


Figure 1 Grievance Mechanisms and process

5.3 Action Plan: planned activities and budget

Activities in this Action Plan that directly involve stakeholders include:

1. Consultations with traditional communities on PCRPP's strategies and actions to ensure free, prior and informed consent and to gather suggestions and proposals;
2. Analysis with stakeholders considered socially vulnerable (women and traditional communities) to understand their specific circumstances and concerns related to socioenvironmental practices and traditions;
3. Periodic meetings with stakeholders to evaluate project actions, open communication on any complaints about the operation, and suggest modifications and adaptations;
4. Regular meetings of advisory bodies involving several stakeholders: advisory committee and consultative council;
5. Territorial meetings with stakeholders acting at local and regional levels in the scope of the project to evaluate the M&E processes of the strategies and actions;
6. Design and conduct baseline study; results will be shared with stakeholders in periodic meetings;
7. Impact evaluations: review studies presented to key stakeholders;
8. Sharing exchanges and other South-South events in Brazil and abroad directly involving the most vulnerable stakeholders (representatives of traditional communities, women, and young people).
9. Workshops, training, and exchanges that foster learning about sustainable and resilient practices, for young people, women, and traditional communities;
10. Train TA team on ethnicity/race/gender perspectives to integrate into the approaches and methodologies applied in traditional communities;
11. Organize and register case studies on initiatives carried out by the most vulnerable stakeholders (women and traditional communities).

Costs of these activities are already included in the PCRPP budget.

5.4 Timeline

(*Note: the number of “x” refers to the activity's frequency)

ACTIVITY	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8
Consulting traditional communities for FPIC	x							
Implement baseline study and share results with stakeholders	x	x	x					
Analyze most vulnerable stakeholders' socio-environmental practices and traditions	x							
Training technical assistance teams on the specific factors of vulnerable stakeholders		x	x	x				
Promote meetings of Advisory and Consultative bodies	xxx	xxx	xxx	xxx	xxx	Xxx	xxx	Xxx
Promote evaluation meetings with stakeholders (some focus on GRM)	xx	xx	xx	xx	xx	xx	xx	Xx
Promote territorial M&E meetings with stakeholders	x	x	x	x	x	x	x	x
Share impact evaluation with critical stakeholders				x			x	
Implement educational activities on sustainable and resilient practices with youth, women, and traditional communities		xxxxxx	xxxxxx xx	xxxxxx xx	xxxxxx xx	xxxxxx xx	xxxxxx xx	
South-South events including most vulnerable stakeholders				x	x	x	x	
Organize / register case studies of initiatives carried out by vulnerable stakeholders				x	x	x		

APPENDIX I

PUBLIC CONSULTATION PARTICIPATION LIST

18 October 2018


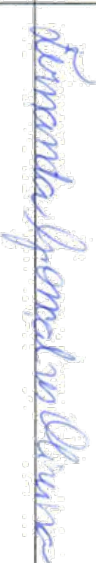
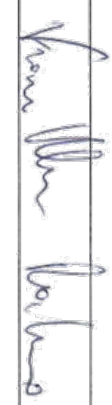




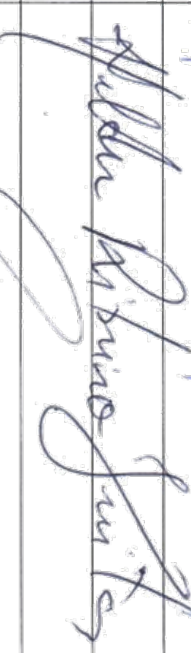


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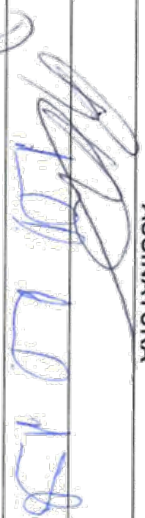

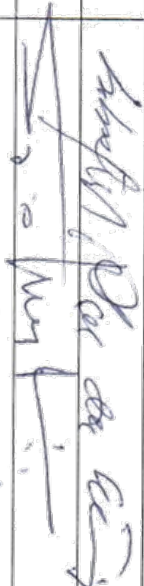






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