

## Stakeholder Engagement Plan

### COSTA RICA REDD+ RESULTS-BASED PAYMENTS FOR 2014 AND 2015

## **STAKEHOLDER ENGAGEMENT PLAN**

### INTRODUCTION

Costa Rica is committed to ensuring stakeholder consultation and information disclosure, following the legal provisions regarding these matters; transparency, access to information, grievance redress mechanisms, public institutions disclosure. Moreover, to respecting the rights and access to adequate consultation processes. The following sections describe in detail the different participation processes and stakeholder consultations, governance arrangements, communications plans and mechanisms that are in place that support the implementation of the National REDD+ Strategy and the project.

The Constitution in Costa Rica establishes a mandate to ensure full and effective participation of citizens in decision making processes, ensuring access to information and justice. As a result, and in the context of environmental legislation there are multiple mechanisms that enable citizen participation and include regional environmental councils, regional conservation councils (CORAC), and the National council on Conservation areas, the national commission for biodiversity management (CONAGEBIO), the Natural Resources Surveillance Committees (COVIRENAS) that include the participation of IPs, local Councils on Biological Corridors and the National Forestry Office (ONF) amongst others.

Incrementally since 1997, the PES design and implementation became highly participatory, involving national, regional and local stakeholders, relevant government agencies, the private sector, indigenous peoples and *campesino* organizations, NGOs, and universities. A complete [stakeholder mapping and analysis](#) was carried out in July 2013, identifying all groups that should be involved in planning, implementation and monitoring. Participation in the PES programme is voluntary, where a broad number of stakeholders that comply with the basic requirements are invited to participate. As a result, 17,776 PES agreements have been put in place since 1997 (until February 2018). Information on requirements and how the mechanism works is made available on [FONAFIFO's website](#).

The National REDD+ Strategy was consulted at the national level with a methodology that had three phases; information, pre-consultation and consultation; and was carried out recognizing the four “regional territorial blocks” (BTR), which group Indigenous Development Associations (ADIs acronym in Spanish) according to their sociocultural characteristics and geographic location, established to facilitate the institutional articulation between indigenous peoples and FONAFIFO;

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Atlántico, Central Pacific, Central and North and South Pacific. They work via definition of an ADI with the implementer role for REDD-plus. The ADIs facilitated the information and articulation process with indigenous communities at the local level serving as a coordination entity for several territories in each region. FONAFIFO delegated all the logistic and financial responsibilities to the ADIs during the participatory process.

Between 2013 and 2014, FONAFIFO along with Tropical Agricultural Research and Higher Education Center (CATIE) developed a program of cultural mediators<sup>1</sup> that spoke native indigenous languages, and which were selected by territorial authorities. This program included 150 cultural mediators that carried out the following activities: i) delivering information about the NRS and PES in culturally appropriate ways ii) gathering recommendations and proposals to be considered as part of the “pre-consultation” process.

During 2012-2015 and under the ‘pre-consultation’ process for REDD-plus in Costa Rica over 180 stakeholder engagement activities were carried out in the country, including townhall meetings, information and capacity building workshops, and analysis of proposals by the regional territorial groups, in order to review the PES modalities so they better responded to indigenous peoples, taking in account their customary views, and resulting in the special modality for PES for indigenous peoples, which has been in implementation since 2016.

In the pre-consultation process in 2010, IPs requested the development of a mechanism for consultation for REDD-plus including PES for indigenous peoples. The design of the special PES programme for indigenous peoples, was carried out under a broad participatory process and following FPIC principles for its design, provisions and special conditions in relation to the conventional PES. FONAFIFO established partnerships with a large number of regional and local indigenous organizations that were actively involved in special PES programme for indigenous peoples’ design, implementation and monitoring.

The PES programme encouraged inclusive participation at all levels of stakeholder engagement, decision-making, capacity building and training etc. While both women and men with titles could voluntarily enrol in the programme, and all community members were invited to participate in PES-sponsored meetings and trainings, access to the traditional PES scheme in Costa Rica is granted based on land-tenure rights. Given that 84.3% of land is owned by men, 15% of farms are owned by women, and most of them are small farmers (under 10ha), where only 8% receives technical assistance and training, before 2010 the PES reproduced existing discrimination against women, especially regarding participation in design and implementation or access to opportunities and benefits of the project. Similarly, PES in indigenous territories, generated risks of unequal distribution of benefits, negatively affecting women. Recognizing this, the PES

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<sup>1</sup> See Systematization of the Free, Prior and Informed Consent process for REDD+ in Costa Rica <http://ceniga.go.cr/wp-content/uploads/2020/02/Sistematization-of-Consultations-IPs-Costa-Rica-ENG.pdf>

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programme since 2010 included an objective to increase women beneficiaries of the program. During 2014, women participation increased by 49% compared to 1997, additional measures to enhance women's participation are described in the Gender Action Plan (Annex XIIIc).

The proposed RBPS project aims to expand the Payments for Ecosystem Services mechanism in Costa Rica thus enhancing participation of stakeholders and increasing their access to benefits associated with the PES program. This includes Indigenous Peoples participation via the newly developed IPs Modality. Hence this project builds on existing mechanisms, stakeholder engagement platforms and arrangements that have proven to be successful during the implementation of the PES program as well as during the preparation, design and early implementation of the National REDD+ Strategy. This document summarizes the main participation arrangements in the readiness preparation process, the existing arrangements to implement the national REDD+ strategy and summarizes additional key elements that will need to be considered to implement the proposed project according to UNDP's Social and Environmental Standards.

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### STAKEHOLDER CONSULTATION AND INFORMATION DISCLOSURE

An extensive stakeholder engagement process was carried out in Costa Rica during this first REDD+ readiness phase (2011-2019), with funds from the FCPF and an investment of approximately US\$ 840.000. Over 180 participatory stakeholder engagement activities were carried out in the country, including townhall meetings, information & capacity building workshops, and analysis of proposals by the regional territorial groups (BTR acronym in Spanish)<sup>2</sup>. As a result, Costa Rica has a broadly consulted National REDD+ Strategy and implementation plan; the RBPs project will support implementation of three of the main action lines of the strategy. During the implementation of the proposed RBPS project in Costa Rica, actions will be held to sustain and continue the ongoing participatory processes and stakeholder engagement platforms, in alignment with legal provisions for FPIC of indigenous peoples are respected as well as other legal provisions that enable stakeholder participation. One of the results of the readiness phase for the National Strategy includes a [stakeholder mapping exercise](#) that was elaborated in 2013 and is included in the ESMF for the National REDD+ Strategy.

Costa Rica regulated governance arrangements as well as the stakeholder engagement platforms for REDD+ initially during the readiness phase and later improved them for the implementation phase. Additional detail on the different stakeholder engagement platforms, boards and secretariats that were established in both cases is provided in sections 1.3 and 1.4 of this document.

### GOVERNANCE DURING THE READINESS PHASE

The Executive Decree N° 37352-MINAET defined governance for the Readiness phase of REDD+ as follows; FONAFIFO was the responsible party for REDD+ in Costa Rica, reporting to MINAE for the elaboration of the National REDD+ Strategy. In terms of representativity, the role of FONAFIFO begins with its executive Board<sup>3</sup> including five members that represent key stakeholders as follows; i) two representatives from the private sector named by the National Forest Office one must necessarily represent small and medium forestry associations and one from the industrial sector; and ii) three representatives of the public sector, one from the Ministry of the Environment and Energy, one from the Ministry of Agriculture and Cattle ranching and one from the National Banking System.

Within FONAFIFO, the decree established the **REDD+ Executive Secretariat** that has a technical component, a social component, and a crosscutting support component. The secretariat is

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<sup>2</sup> Results from the consultation process to fulfill FPIC for REDD+ in Costa Rica, 2019, by the REDD+ Secretariat in Costa Rica Link <http://ceniga.go.cr/wp-content/uploads/2020/02/Sistematization-of-Consultations-IPs-Costa-Rica-ENG.pdf>

<sup>3</sup> Article 48 of the regulation of Costa Rica's National Forestry law N7575;

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responsible to enable operational, logistical, programmatic, technical and financial conditions for the design and implementation of the Strategy.

The **REDD+ Steering Committee** was created to ensure governance of the National REDD+ Strategy. Formed by an official member and a deputy for each one of the main stakeholder groups or Relevant Interested Parties (PIR); Indigenous Peoples, Timber Producers, small and medium Forest Producers, Government, Academic sector and Civil Society. The role of this committee is to provide technical and political recommendations for the National REDD+ Strategy, serving as an advisory committee.

Finally, in order to promote interinstitutional coordination in the REDD+ Strategy, the decree established that public institutions shall name focal points to address REDD+. The aim was to have these focal points participating in the **interinstitutional commission**, where other stakeholders from the non-government sector that support the National REDD+ Strategy's implementation also participate.

The above-mentioned arrangements were operational during the REDD+ Readiness phase and supported the design and implementation of the Strategy. It is important to note that lessons learned from the process were considered in the elaboration of the new arrangements for the implementation phase.

### GOVERNANCE DURING THE REDD+ IMPLEMENTATION PHASE

Executive Decree Nº 40464-MINAE regulates the implementation of the National REDD+ Strategy, including the key institutional arrangements. Article 7 creates the **Executive REDD+ Secretariat** for the National REDD+ Strategy and its **Directive Council**. These arrangements are the result of the stakeholder mapping and engagement process carried out in Costa Rica for the National REDD+ Strategy

The **Executive REDD+ Secretariat** is composed by two public servants from the National Protected Areas System (SINAC) and two from the National Forest Finance Fund (FONAFIFO), one of them is designated for its coordination. The secretariat is expected to i) coordinate compliance of the different phases of the Strategy; ii) ensure compliance social and environmental safeguards for the National REDD+ Strategy; iii) establish and manage specific agreements with state entities as well as with private companies and other key stakeholders; iv) Present relevant reports as required; v) Prepare and present quarterly reports on progress of the National REDD+ Strategy to the Directive Council; vi) Convene different townhall meetings for the designation of members for the steering committee vii) supervise financial resource administration processes from the National REDD+ Strategy; viii) guarantee that grievances are addressed and responded and ix) any other actions required during the implementation of the Strategy.

The **REDD+ Directive Council** is formed by the Director of the SINAC, the director of FONAFIFO and the Viceminister of the Environment. The role of this council is oversight and political direction

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of the executive REDD+ secretariat, the negotiation of Emission Reductions and to ensure compliance of the National REDD+ Strategy.

The main role of the **REDD+ Steering Committee** (established in Article 18) is to ensure compliance of the National REDD+ Strategy during all its phases. The committee is composed by two representatives of Indigenous Peoples, two small forest producers (according to the National Forestry Law), two representatives from NGOs from the environmental sector, two representatives of timber transformation Industry, two from public universities that have Forestry Science carriers, one representative from the School of Agronomy Engineers and a representative from the Professional Forestry Associations in the country.

The committee will be coordinated by the REDD+ Secretariat providing necessary collaboration for its operation. Representatives will be chosen via independent townhall meetings that will be promoted, coordinated and supervised by the Secretariat. Except for the School of Agronomy Engineers. These meetings shall be called for with a 30 day's notice and shall be advertised in the national and regional level media. Representatives are chosen by election, winning over a simple majority of attendees. Once representatives have been designated, the Secretariat will call for the first meeting of the steering committee. The committee was established in May 30<sup>th</sup>, 2019 and since then has convened every 2 months, during the first meetings its own operations manual was agreed. The steering committee has the following functions; i) Ensure or monitor different stakeholder's compliance with the National REDD+ strategy as long as financing is available. May request information from public institutions that participate in the committee as considered necessary, as well as establish the grievance/complaint notes as relevant when relevant when there is non-compliance of the National REDD+ Strategy.

The Executive REDD+ Secretariat will be expanded to serve as technical committee of the project consisting of high-level technical representatives from the following institutions: i) The National Fund to Finance Forestry (FONAFIFO); ii) the National Meteorological Institute; iii) the National Center for Environmental Information (CENIGA) and iv) The National System of Conservation Areas (SINAC). This committee will be expanded to include the Climate Change Directorate (Dirección de Cambio Climático DCC in Spanish), to ensure coordination with the broader climate change related processes.

Meetings will be arranged when there is a need of technical inputs and coordination with the project's components and other initiatives related to REDD+ or other thematic areas relevant to this project. The aim is to provide technical support to the Project Board, Project National Director, Project Technical Experts and Project Manager for decision making. Technical experts and other stakeholders such as CSOs, academia, indigenous, local community and women groups, private sector and other partners will be invited to participate in an ad-hoc manner. Furthermore, key partners supporting projects and initiatives related to the national and subnational REDD+ processes, as well as those supporting the National REDD+ Strategy, will be invited to participate, to ensure adequate coordination as well as knowledge exchange on challenges and best practices.

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### INDIGENOUS PEOPLES AND LOCAL COMMUNITIES IN COSTA RICA

#### General context:

According to the 2011 Census held by the National Institute of Statistics and Census (INEC) in Costa Rica, 104,143 inhabitants define themselves as indigenous, equivalent to 2.4% of the country's total population where 49.5% are women and 50.3% men. Costa Rica has eight different ethnic groups: Cabécar, Bribrí, Brunca or Boruca, Guaymí or Ngäbe, Huétar, Guatuso or Maleku, Térraba or Teribe and Chorotega. The majority of the Indigenous population in Costa Rica is settled in 24 “indigenous territories” with a total area of 334,447 hectares, distributed across the country's different regions (see Figure 4). The official entities for the administration and governance of the Territories are the **Indigenous Development Associations (ADIs)**, created by the regulations of the Indigenous Law, have the legal representation of indigenous communities and act as their local government. It is relevant to note that 20 of the 24 indigenous reserves are located in the southeast of Costa Rica (provinces of Cartago, Limón and Puntarenas) see **Figure 1** below.

Figure 1. Map of Indigenous Territories of Costa Rica





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Source : National Census INEC 2011

It is important to mention that Indigenous territories are the only community owned private areas in Costa Rica. Moreover, according to national legislation their local governments are the ADI established for each indigenous reserve. The Indigenous Law recognizes the full legal capacity of indigenous communities to acquire rights and contract obligations. In addition, it declares ownership of the indigenous communities and exclusive for them the established reserves by executive decrees.<sup>4</sup> In addition to collective ownership, the legal framework guarantees the private ownership of the members of the indigenous groups within their collective territories. The Land and Colonization Law provides for the delivery of parcels to indigenous families on a free and proprietary basis, in order to meet their needs.<sup>5</sup> The National Commission on Indigenous Affairs (CONAI) is responsible for ensuring respect for the rights of indigenous minorities, stimulating State action in order to guarantee the Indigenous individual and collective ownership of their land.<sup>6</sup>

As a signatory to all the main international conventions on Indigenous peoples including the ILO, and the UN Declaration on Indigenous Peoples Rights, Costa Rica has legislation in place that acknowledges and recognizes their rights, and since then has made all possible efforts to ensure them. The country is committed to delivering FPIC, demonstrated by the regulation of the general mechanism for Indigenous People's consultation (Executive decree 40932 MP-MJP April 2018) regulates the obligation to consult Indigenous peoples in a free, prior, and informed manner, through adequate procedures and representative institutions.

### Indigenous Peoples Governance arrangements in Costa Rica

As a result of the stakeholder mapping exercise during the REDD+ readiness phase, four Regional Territorial Blocks (BTR Acronym in Spanish) were established to facilitate the institutional articulation and participation between indigenous peoples and FONAFIFO; Atlántico, Central Pacific, Central and North and South Pacific. They work via definition of an indigenous development association (ADI acronym in Spanish) with the implementer role for REDD+, facilitating the information and articulation process with indigenous communities at the local level serving as an agglutinating entity for several territories in each region. FONAFIFO delegated in the ADIs all the logistic and financial responsibilities to during the participatory process. The Regional

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<sup>4</sup> Ley indígena Artículo 2º y Artículo 1º Se declaran reservas indígenas las s números 5904-G del 10 de abril de 1976, 6036-G del 12 de junio de 1976, 6037-G del 15 de junio de 1976, 7267-G y 7268- G del 20 de agosto de 1977, así como la Reserva Indígena Guaymí de Burica (Guaymí). Los límites fijados a las reservas, en los citados decretos, no podrán ser variados disminuyendo la cabida de aquéllas, sino mediante ley expresa y

<sup>5</sup> La Ley de Tierras y Colonización (ITCO INDER) Artículo 76.-A título gratuito y en propiedad, se entregarán a las familias indígenas parcelas que el Instituto señale como mínimo indispensable para satisfacer las necesidades de las mismas, y explotables por ese grupo, sin necesidad de trabajadores asalariados.

<sup>6</sup> Ley 5251 1973 Creación de Comisión Nacional de Asuntos Indígenas (CONAI) Artículo 4.



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Territorial Blocks (BTR) and are conformed as described below and will continue to operate during the implementation of the Strategy, hence the RBPs project;

1. **Atlantic (RIBCA):** Implementer (ADI) ADITICA. Territories: T. Bribri-Talamanca; T. Kekoldi-Talamanca; T. Cabecar-Talamanca; T. Telire-Talamanca; T. Tayni-Valle de la Estrella; T. Nairy Awari- Siquirres; T. Bajo Chirripo-Bataan; and T. Alto Chirripó.
2. **Central Pacific:** Implementer ADI UJARRÁS. Territories: T. China Kichá; and T. Ujarrás.
3. **Central & North:** Implementer ADI MATAMBÚ. Territories: T. Zapatón; T. Guatuso; T. Matambú; T. Quitirrisí. As well as some territories that still have to decide on who will be their ADI for the process: T. Curré; T. Boruca; T. Salitre; T. Cabagra.
4. **South Pacific (Regional Ngöbe):** Implementer ADI Coto Brus. Territories: T. Ngöbe-Península de Osa; T. Ngöbe- Conte Burica; T. Ngöbe- Coto Brus; T. Ngöbe-Abrojo Montezuma; and T. Ngöbe-Altos from San Antonio

The national consultation plan for Indigenous peoples developed at the national level was a result of the participatory process carried out in the context of REDD+, describes the organizational structure of indigenous peoples through different organizational levels as described below and illustrated in Figure 2 below;

- **First level:** formed by organizations at the local level (OTI Acronym in Spanish) or by the indigenous development association (ADIs) as the facilitating entities at the local level, The OTIs conform the Townhall for the BTR and each BTR designates a representative.
- **Second level:** Formed by the representatives of each BTR, according to geographical sociocultural characteristics and geographic location. This level defines four blocks for the following geographical areas; Atlantic, Central Pacific, south pacific and central sector. The role of the BTRs is to maintain coordination at the national and local levels.
- **Third level:** is the National Assembly formed by two representatives from each ADI, hence all members of all BTRs (48 leaders approximately).
- **Fourth level:** is the national Technical indigenous secretariat formed by one technical representative from each BTR, 4 representatives in total. Its role is to provide technical advice to all territorial blocks.
- **Fifth level:** the national Assembly (third level) delegates two representatives one official and a deputy who will represent indigenous peoples in the National level discussions; National REDD+ Executive Committee (during the readiness phase) and recently the REDD+ Steering committee.

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**Figure 2.** IPs organizational structures at the different levels (Level 1 with the ADIs, starts below and moves upwards to level 5)

As part of the National REDD+ Strategy and as a result of the [ESMF](#) carried out in the context of the Carbon Fund project in Costa Rica, an [Indigenous People's planning](#) framework was developed that responds to all needs regarding their participation, respect for rights, identifies key actions and measures to be implemented including cultural heritage. The Indigenous Peoples Planning Framework (IPPF) aims to avoid potential adverse effects or risks on indigenous communities and to maximize the benefits of the implementation of the Indigenous Peoples (IPs) Strategy; and where these cannot be avoided, reduced, mitigated or compensated for. In addition, provides guidelines to ensure that affected indigenous communities can be consulted in a culturally appropriate manner, through free, prior and informed consent, to obtain broad community support.

Costa Rica is committed to delivering FPIC, demonstrated by the regulation of the general mechanism for indigenous peoples consultation (Executive decree 40932 MP-MJP April 2018) regulates the obligation to consult Indigenous peoples in a free, prior, and informed manner, through adequate procedures and representative institutions, in the cases where there will be administrative measures, new legislation or private projects that may affect them. The general consultation mechanism for Indigenous Peoples (of compulsory application for central public administration) establishes a series of general procedures for consultation, defines who the responsible parties in the process are, amongst other. In accordance with this national regulation, Costa Rica carried out a consultation process for the [National REDD+ Strategy](#) with IPs in the

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country the results were included in the implementation plan. The results of the consultation process include provisions to improve the forestry law and to facilitate participation of IPs in the PES Program. Also, adds provisions regarding the application in IPs territories to benefit from the PES scheme, in a better way. These provisions include the need to submit minutes and the internal agreement of each community to access the PES Scheme, with participants list, and details of how the proceeds will be used, in addition the contract must be signed by the president of each community acting as the local government. Moreover, provisions allow for 2% of the area in the project to be used for subsistence agriculture; hence one of the outputs supported by the current project.

Under the scope of REDD+ Actions, there have been multiple spaces for the Indigenous sector to voluntarily participate in the definition of all necessary aspects to comply with International & national safeguards provisions as well as with international agreements ratified by the country.

The proposed RBPS project will build on the existing participation arrangements with indigenous peoples described above to ensure that they effectively participate in the adequate context and draw from lessons learned during the REDD+ process to ensure the process is delivered accordingly.

### Local Communities Governance arrangements

Regarding articulation with small farmers and rural communities, who represent an important area of Costa Rican families that own land under forestry or with potential to develop forestry. This sector is formed by four types of stakeholders;

- **The National Forestry Union (UNAFOR):** a third level organization conformed by five regional organizations and over 160 local organizations including producers, cooperatives, women's organizations, administrators of rural aqueducts, independent producers.
- **Regional references for the small-farmer sector and civil society;** this consultative group elected by participants of all workshops carried out during the information phase include approximately 31 people from all different regions in the country.
- **The National Forestry Office (ONF):** represents small medium and large forest producers and from the forestry/timberwood industry
- Other groups of farmers, producers and their representative organizations conformed by all different groups and organizations of potential beneficiaries on REDD+ or interested in REDD and that do not form part of any of the above-mentioned groups.

To ensure that small farmers and rural communities were able to participate adequately in the readiness process and the designation of their representatives the Indigenous and Small farmers coordinating association for community-based agroforestry (ACICAFOC, acronym in Spanish) was hired to carry out workshops with this specific group of stakeholders. This work was carried out jointly with the National Forestry Union (UNAFOR) who have representation in the five regions, and their affiliates. It is important to note, that REDD+ was the starting point to create UNAFOR

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in Costa Rica. During the implementation phase, articulation with this group of stakeholders continues and consultations are carried out with local organizations via UNAFOR's representatives.

The ONF represents the forestry/timberwood industry as well as small farmers, in terms of participating in decision making processes regarding REDD + in Costa Rica they have two different options. On one hand, ONF is represented in the Board of FONAFIFO with two members, hence can influence decision making processes of the responsible government institution in charge of REDD+. On the other hand, are members of the REDD+ Steering committee, where they have a say in accountability regarding how REDD+ is implemented.

The proposed RBPS project will build on these existing participation arrangements with local described above to ensure that they effectively participate in the adequate context and draw from lessons learned during the REDD+ process to ensure the process is delivered accordingly.

### Existing Stakeholder engagement platforms in Costa Rica

The proposed project aimed to support implementation of the National REDD+ Strategy and its scope will be presented to all relevant stakeholders in the context of existing stakeholder engagement platforms and governance arrangements once they meet. The latter includes the Citizen Consultative Council on Climate Change, Covirenas and FONAFIFO's Board (described below).

**The Citizen Consultative Council on Climate Change:** Citizen Consultative Council on Climate Change (5C) as a participatory platform for citizens framed under the National policy of Government openness. Established by decree 40616 Intends to strengthen accountability and transparency mechanisms and to make information available and accessible. The council aims to collaborate with the design and application of national policies on climate change, in particular the implementation of Costa Rica's NDC signed in Paris COP 21 in December 2015.

The council is formed by representatives from the following sectors:

1. Communities; Administrative Associations of communal Aqueducts and sewers- (ASADAS Acronym in Spanish) and Development organizations (3 representatives)
2. Biodiversity- Ecosystems (3 representatives).
3. Agriculture-forestry-fisheries (3 representatives).
4. Industry- Trade (3 representatives).
5. Infrastructure-Transport (3 representatives).
6. Indigenous-Women's-labour organizations (3 representatives).
7. Mobility and urban sustainability (3 representatives).

**Covirenas** are the civil society Natural resources surveillance committees; conformed by *AD Honorem* environmental inspectors who contribute to public servants in the application and compliance of environmental regulation and the protection of natural resources. They operate at

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the regional and local level. Given that they are community leaders, can serve the project's implementation by sharing and communicating information to key stakeholders on the ground to participate in the PES modalities that will be supported by the project.

For the implementation of PES modalities supported by the project **FONAFIFO's Board** will serve as the information disclosure platform given that most of the key stakeholders are members. Given that IPs are not represented in FONAFIFO's board, to ensure they are included, a specific commission will be created under the REDD+ Secretariat to ensure that information is disclosed to the indigenous people's assembly (third level) or via direct contact with the ADIs in each territory.

The proposed project builds on extensive stakeholder engagement and consultations that have been carried out to date on the REDD+ Strategy and aims to continue to strengthen the existing stakeholder engagement platforms (as described above) throughout project implementation. The latter includes engagement during the identification, assessment, and development of management measures for forthcoming project activities and plans. Meaningful, effective and informed stakeholder engagement and participation will continue to be undertaken using existing stakeholder engagement platforms and governance arrangements, that will seek to build and maintain over time a constructive relationship with stakeholders, with the purpose of avoiding or mitigating any potential risks in a timely manner.

### INFORMATION DISCLOSURE AND TRANSPARENCY

UNDP and FONAFIFO will develop and release updates on the project on a regular basis to provide interested stakeholders with information on project status. Updates may be via a range of media e.g. print, radio, social media, the SIS or formal reports. A publicized telephone number will be maintained throughout the project to serve as a point of contact for enquiries, concern, complaints and/or grievances in addition to the existing Grievance redress mechanisms for the National REDD+ Strategy (MIRI), the PES and for the Scheme. All material will be published in Spanish given it is the local language and English versions will be prepared as appropriate.

Without prejudice to the disclosure requirements of all FPIC process required by the RBP project, stakeholders will have access to relevant project information in order to understand potential project-related opportunities and risks and to engage in project design and implementation that will be disseminated via the existing web platform of the different institutions such as FONAFIFO. Following information disclosure and transparency guidelines in Costa Rica, information about the project will be made available. This will include Stakeholder engagement plans and summary reports of stakeholder consultations, Social and environmental screening reports (SESP) with project documentation (30 days prior to approval), Draft social and environmental assessments, including any draft management plans (30 days prior to finalization), Final social and

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environmental assessments and associated management plans, any required social and environmental monitoring reports, amongst other relevant documents.

The REDD+ Secretariat has developed a communications strategy to ensure information on the National REDD+ Strategy is disclosed and readily available for stakeholders. This tool is part of Costa Rica's National REDD+ Strategy, nonetheless, has not been implemented to date due to lack of resources. Taking this into account, and given that the RBPs project will support the implementation of three of the PES modalities, including the indigenous peoples PES, where relevant, the project will promote effective communications actions on the modalities in alignment with the communications strategy for the ENREDD+. The project will build on the existing communications strategy including specific project needs regarding communications with stakeholders. The Communication Strategy will be linked with the project Stakeholder Engagement Plan (indicative outline in Appendix A) and indigenous peoples Plan.

Information is to be disclosed in a timely manner, in an accessible place, and in a form and language understandable to affected persons and other stakeholders. These elements of effective disclosure are briefly elaborated below:

Timely disclosure: information on potential project-related social and environmental impacts and mitigation/management measures will be provided in advance of decision-making whenever possible. In all cases, draft and final screenings, assessments and management plans must be disclosed and consulted on prior to implementation of activities that may give rise to potential adverse social and environmental impacts.

Accessible information: Appropriate means of dissemination will be considered in consultation with stakeholders. This could include posting on websites, public meetings, local councils, townhall meetings or organizations, newsprint, television and radio reporting, flyers, local displays, direct mail.

Appropriate form and language: Information needs to be in a form and language that is readily understandable and tailored to the target stakeholder group.

Learning and knowledge-sharing: Results from the project will be disseminated within and beyond the project intervention zone through existing information-sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation through lessons learned. The project will identify, analyse and share lessons learned that might be beneficial in the design and implementation of similar future projects. There will also be a two-way flow of information between this project and other projects/programmes of a similar focus.

Communications and Visibility Requirements: The project will comply with UNDP's, the Ministry of Environment and Energy and GCF Branding Guidelines. Amongst other requirements, these guidelines describe when and how the UNDP and the logos of donors to UNDP projects are used.

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In order to accord proper acknowledgement to the GCF for providing funding, a GCF logo will appear on all relevant project publications, including, among others, project hardware and equipment purchased with GCF funds. Any citation on publications stemming from the project will also accord proper acknowledgment to the GCF.

### GRIEVANCE REDRESS MECHANISM

According to the UNDP SES, Moderate Risk projects require the availability of a project-level grievance mechanism (GRM). Where needed, UNDP and MINAE will strengthen the Implementing Partners' capacities to address project-related grievances. As this project is implemented via DIM modality, the UNDP SRM and SECU serves as the project-level grievance and redress mechanism, and it is available to project stakeholders as a supplemental means of redress for concerns that have not been resolved through standard project management procedures as described further in this section.

During the design and implementation of any project, a person or group of people may perceive or experience potential harm, directly or indirectly due to the project activities. The grievances that may arise can be related to social issues such as eligibility criteria and entitlements, disruption of services, temporary or permanent loss of livelihoods, impacts overall to human rights, and other social and cultural issues. Grievances may also be related to environmental issues such as excessive dust generation, damages to infrastructure due to construction related vibrations or transportation of raw material, noise, traffic congestions, decrease in quality or quantity of private/ public surface/ ground water resources during irrigation rehabilitation, damage to home gardens and agricultural lands, etc.

Should such a situation arise, there must be a mechanism through which affected parties can resolve such issues with the project personnel in an efficient, unbiased, transparent, timely and cost-effective manner. To achieve this objective, a GRM is required for this project.

The project GRM, will be operate via the GRM that has been established for the National REDD+ Strategy in FONAFIFO and coordinate with UNDP's GRM to ensure there is a diversity of channels for stakeholders to submit grievances when needed. In Costa Rica, general grievances to projects and programs implemented by the government, included the PES are processed and managed through the Office of the Comptroller (*Contraloría* in Spanish) in FONAFIFO.

Since 1997, and improving through time FONAFIFO has received, processed and responded to grievances related to the implementation of their programs including the Payment for Environmental Services Program (PES). Since 2010 all grievances related to the (PES) are recorded, monitored (including their resolution), and managed. This system is functioning since then, although there was a gap in 2013 due to lack of resources for personnel. Since 2014 the Comptroller Office in FONAFIFO is fully equipped to receive and process grievances. Grievances are received via phone, [special form in the webpage](#), and in-person visits to FONAFIFO's office.



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Since 2014 there is full disclosure of the grievances received including number of grievances, status (in process, resolved), and subject of each grievance. For example, in 2014, the system recorded 6 grievances, 100% were resolved, and they were related to: Delays on PES payments, excess paperwork and requirements in pre-application, awkward location for of the San José Oriental Regional Office, and uncomfortable conditions in the regional office of Pococí.

Costa Rica's Grievance Mechanism for the National REDD + Strategy (*Mecanismo de información, retroalimentación e incorformidades, MIRI* in Spanish) was developed as part of the requisites to complete the REDD+ readiness process supported by the Forest Carbon Partnership Facility. It is described in full as part of the Environmental Social Management Framework for the National REDD+ Strategy<sup>7</sup>, and summarized in this document.

The grievance mechanism (MIRI) aims to facilitate a communication channel between the Government, through the Comptroller of Services as a neutral entity and functionally independent of the entities in which they are located, and the Relevant Stakeholders (PIRS). It allows stakeholders actors to clarify their information queries, express their disagreements and generate contributions that give feedback to the implementation of the National REDD+ Strategy, through a wide range of means that they are made available, so that particularities of the different groups are addressed and the greatest possible inclusion is guaranteed.

The MIRI has been designed in accordance with Costa Rica's current legal and institutional framework. The Regulatory Law of the National System of Comptroller of Services No. 9158, aims to regulate the creation, organization and operation of the system of comptrollers, as a mechanism to guarantee the rights of the users of the services. The system is integrated by the Ministry of National Planning and Economic Policy (MIDEPLAN) as the governing body, the Technical Secretariat, the Comptroller of Registered Services and the users of the services. In addition, said Law requires the creation of a Comptroller of Services in each public institution.

In accordance with Executive Decree No. 40464-MINAE, the Executive Secretariat of the National REDD + Strategy is formed by SINAC and FONAFIFO. However, the Comptroller of Services in FONAFIFO, has generated considerable experiences and capacities in its ability to ensure the quality of services, user satisfaction and the rational use of public resources. In the case of REDD+ actions that are not under the competence of FONAFIFO, operational arrangements will be established between the institutions to transfer specific consultations and nonconformities, to their corresponding Comptroller of Services, as stated in the national regulation.

For the purposes of the MIRI, any social actor whether a natural, legal, state or private person; individual or community; national or foreign; or any that constitutes a Relevant Stakeholder in the REDD+ Strategy (according to the definition of relevant stakeholders), will be entitled to carry out procedures through the MIRI. Any interested stakeholder may require information, submit

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<sup>7</sup> Available at: <http://ceniga.go.cr/wp-content/uploads/2020/02/MGAS-Versi%C3%B3nFinal.pdf>

## Stakeholder Engagement Plan

suggestions, grievances or claims on non-compliance in relation to the REDD+ Strategy and its Implementation Plan.

Among the fundamental principles that apply in the MIRI we can mention: equity, legitimacy, transparency, respect for rights, right to response, guaranteeing access to information, reliability of the mechanism, transparent and impartial processes, as well as respecting property rights and access to all interested social stakeholders, information must be culturally appropriate as required.

The "MIRI Operation and Operation Guide" aims to establish the operational scope, mechanisms and procedures for the final implementation of the MIRI through the current access systems and those to be developed as the REDD+ process advances. Likewise, it allows to clearly identify the functions and responsibilities of the different actors involved, in such a way that their consistency is guaranteed with the regulatory framework applicable to the Comptroller of Services and at the same time provides conditions of transparency and efficiency in the attention of the issues that are submitted to the system, in accordance with the principles that have been defined.

### Available channels to receive consultations and grievances:

Any legitimate stakeholder can access the MIRI to file their disagreement or consultation by the following available channels:

Telephone: 2545-3512.

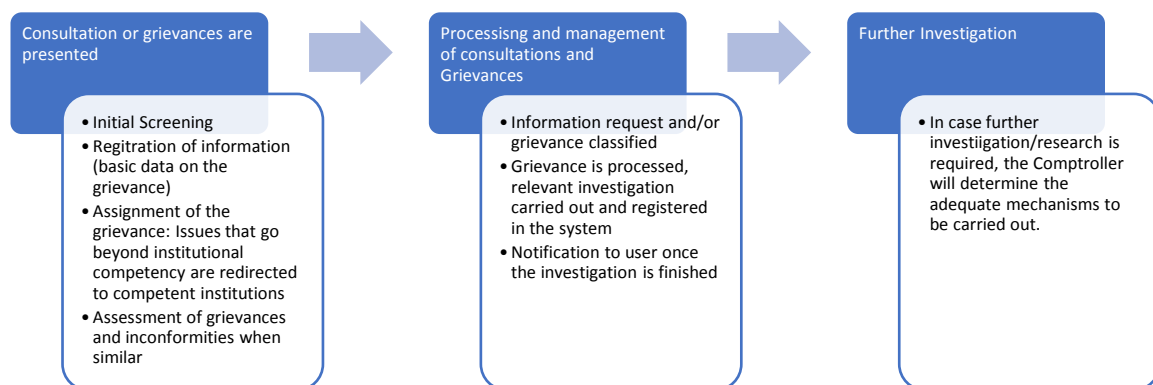
Email: to be defined.

Website: [www.fonafifo.go.cr](http://www.fonafifo.go.cr)

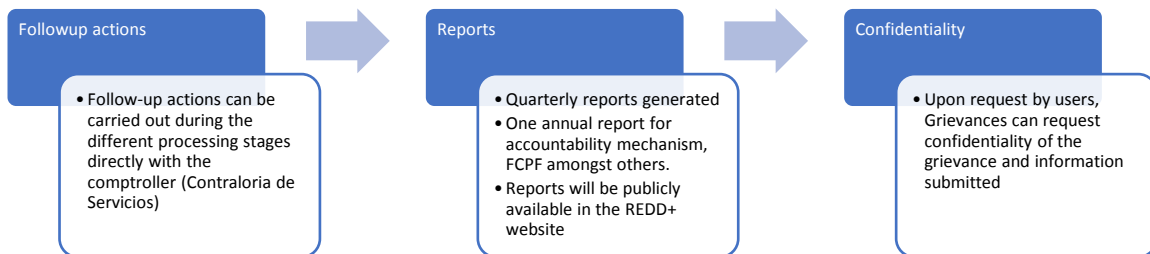
Suggestions box: Located in the Regional Offices of FONAFIFO.

Headquarters: San Vicente de Moravia, Lincoln Mall square 200 meters west, 100 meters south and 200 west, adjacent to the National Symphony.

The following scheme in **Error! Reference source not found.** shows the process from when the PIRs present their management before the comptroller until it is closed permanently.



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**Figure 7.** General flowchart for Costa Rica's grievance mechanism

The Grievance Redress Mechanism has been designed to:

- Be a legitimate process that allows for trust to be built between stakeholder groups and assures stakeholders that their concerns will be assessed in a fair and transparent manner;
- Allow simple and streamlined access to the Grievance Redress Mechanism for all stakeholders and provide adequate assistance for those that may have faced barriers in the past to be able to raise their concerns;
- Provide clear and known procedures for each stage of the Grievance Redress Mechanism process, and provides clarity on the types of outcomes available to individuals and groups;
- Ensure equitable treatment to all concerned and aggrieved individuals and groups through a consistent, formal approach that, is fair, informed and respectful to a concern, complaints and/or grievances;
- To provide a transparent approach, by keeping any aggrieved individual/group informed of the progress of their complaint, the information that was used when assessing their complaint and information about the mechanisms that will be used to address it; and
- Enable continuous learning and improvements to the Grievance Redress Mechanism. Through continued assessment, the learnings may reduce potential complaints and grievances.

The GRM will be gender- and age-inclusive and responsive and address potential access barriers to women, the elderly, the disabled, youth and other potentially marginalized groups as appropriate to the Project. The GRM will not impede access to judicial or administrative remedies as may be relevant or applicable and will be readily accessible to all stakeholders at no cost and without retribution.

Information about the Grievance Redress Mechanism and how to make a complaint and/or grievance must be communicated during the stakeholder engagement process and placed at prominent places for the information of the key stakeholders.

All complaints and/or grievances regarding social and environmental issues can be received either orally (to the field staff), by phone, in complaints box or in writing to the UNDP or FONAFIFO. A key part of the grievance redress mechanism is the requirement to maintain a register of complaints and/or grievances received FONAFIFO's Comptroller Office has been registering all claims associated with the implementation of the PES scheme, generating yearly reports

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moreover, there is an archive with all the relevant information. A review of the information gathered will be carried out to ensure the following information is recorded when implementing the RBPs project:

- a. time, date and nature of enquiry, concern, complaints and/or grievances;
- b. type of communication (e.g. telephone, letter, personal contact);
- c. name, contact address and contact number;
- d. response and review undertaken as a result of the enquiry, concern, complaints and/or grievances; and
- e. actions taken and name of the person taking action.

Throughout the implementation of the project, the Grievance Redress mechanism in Costa Rica (MIRI) will periodically review its effectiveness, lessons learned from implementation and recommendations to improve overtime. Moreover, the documentation of grievances will provide information to the SIS serving as an indicator on how safeguards are addressed and respected during the implementation of the project.

### UNDP SRM and SECU

UNDP's Stakeholder Response Mechanism will be available to Project stakeholders as a supplemental means of redress for concerns that have not been resolved through standard Project management procedures. The SRM should be used in the context of UNDP projects when: the Implementing Partner's actions or activities are the focus of the grievance or dispute; neither the Implementing Partner's own processes and mechanisms or the project's standard practices for responding to issues arising in the course of project design and implementation have succeeded in resolving the issue(s) of concern<sup>8</sup>.

Hence, in addition to the project-level and national grievance redress mechanisms, complainants have the option to access UNDP's Accountability Mechanism, with both compliance and grievance functions. The Social and Environmental Compliance Unit (SECU) investigates allegations that UNDP's Standards, screening procedure or other UNDP social and environmental commitments are not being implemented adequately, and that harm may result to people or the environment. The Social and Environmental Compliance Unit is housed in the Office of Audit and Investigations and is managed by a Lead Compliance Officer. A compliance review is available to any community or individual with concerns about the impacts of a UNDP programme or project. The Social and Environmental Compliance Unit is mandated to independently and impartially investigate valid requests from locally impacted people, and to report its findings and recommendations publicly.

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<sup>8</sup> For more information on the relationship between the project level GRM and UNDP's corporate SRM, please see the [SRM Guidance](#). For more information on the relationship between UNDP's SRM and SECU, please see our Accountability Mechanism's [website](#).

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The Stakeholder Response Mechanism (SRM) offers locally affected people an opportunity to work with other stakeholders to resolve concerns, complaints and/or grievances about the social and environmental impacts of a UNDP project. Stakeholder Response Mechanism is intended to supplement the proactive stakeholder engagement that is required of UNDP and its Responsible Party, in this case FONAFIFO, throughout the project cycle. Communities and individuals may request a Stakeholder Response Mechanism process when they have used standard channels for project management and quality assurance and are not satisfied with the response (in this case the project level grievance redress mechanism). When a valid Stakeholder Response Mechanism request is submitted, UNDP focal points at country, regional and headquarters levels will work with concerned stakeholders and Implementing Partners to address and resolve the concerns. Visit [www.undp.org/secu-srm](http://www.undp.org/secu-srm) for more details. The relevant form is attached at the end of the ESMF in annex 5.

### PARTICIPATION RELATED RISKS: PROPOSED MITIGATION MEASURES

The ESMF carried out for Costa Rica's RPBs Project identifies the following risk mitigation measures that are associated with stakeholder participation and the purpose of this plan:

- A stakeholder engagement plan will be developed, building on the [existing stakeholder map](#) that was prepared in the context of the implementation of the REDD+ National Strategy.
- The ESMF and updated [Indigenous peoples plan](#) (that includes actions on cultural heritage), will incorporate the proposed risk mitigation measures to ensure they are mainstreamed in the revised operations manual for the PES in Indigenous territories. This includes actions carried out regarding strengthening decision making processes, capacity building on activities that the PES scheme supports, and independent decisions made by IPs and stakeholders regarding how they spend resources from the PES scheme.
- Most of the risk mitigation measures identified for the implementation of the project are related to capacity building. Full and effective stakeholder participation is based on ensuring that stakeholders have access to relevant information in a timely and transparent manner and more importantly being able to fully understand it. The latter is identified as an important crosscutting element in the ESMF, and shall be considered in the stakeholder engagement plan, in response to the specific needs and interests of the different stakeholders.

The proposed capacity building activities will facilitate the project's implementation and serve as a risk management tool. It will be contemplated in the context of the implementation of the PES modalities under output 2 activities 2.1 and 2.2, to ensure that stakeholders understand fully their rights and obligations under each one of the PES modality, as well as the implications of

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agroforestry systems as described under risk 4 on biodiversity loss, and to implement better practices of producers to avoid risk of reversals. Regarding activity 2.3, capacity building for forest brigades and monitoring can control teams, will be key, as well as specific trainings on safety related practices for mobility of on the ground teams.

Capacity building actions will be carried out under the leadership of the PMU and safeguards specialist in a joint effort with the Safeguards and ESMF Unit established in the Executive REDD+ Secretariat. Specific training and capacity building will be included and budgeted for in the project document.

In addition, as part of the stakeholder engagement plan a full review of the existing platforms, roundtables, and for a where multiple stakeholders meet around Costa Rica's National REDD+ Strategy and the implementation of REDD+ in general shall be carried out. The latter aiming to further clarify their mandates, roles, members, and effectiveness, and proposing measures to improve, complement or even restructure them (where relevant) to ensure they continue to be representative of all relevant stakeholders.

Costa Rica has already developed a gender action plan and an IPs plan for the whole NS. A full review of each will be carried out and information on specific project activities will be further developed, ideally drafted in a participatory and gender responsive manner, in-depth analysis of potential social and environmental impacts, as well as identification / validation of mitigation measures linked to projects activities. The assessment(s) will be conducted in a manner consistent with national regulations and the UNDP SES and lead to the development of appropriately scaled management measures and plans to address the identified risks and impacts.

This stakeholder engagement plan will be further developed during the project's inception phase including key elements regarding the updated indigenous peoples plan, specific needs and practical recommendations of the PES program. With particular attention to the proposed expansion of the IP PES modality under UNDP SES (see Annex 1 with the proposed outline and guidelines for this stand-alone SEP).

All relevant complementary documents to this stakeholder engagement plan will be Carried out and drafted in a participatory and gender responsive manner, in-depth analysis of potential social and environmental impacts, identification / validation of mitigation measures linked to projects activities and adequate monitoring and evaluation measures.

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### Annexure A. Guidance on Stakeholder Engagement Plan

UNDP supported projects require the development of an appropriately scaled Stakeholder Engagement Plan. See [UNDP Guidance Note: Stakeholder Engagement](#) for further information on stakeholder engagement. The following information is provided here as guidance to assist in the development of a Stakeholder Engagement Plan.

***Appropriately scaled plans.*** No one type or format of a stakeholder engagement plan will accommodate all projects. Its content will depend on various factors, including the nature, scale, location, and duration of project; the diverse interests of stakeholders; the scale of the project’s potential positive and adverse impacts on people and the environment; and the likelihood of grievances.

For a relatively small project with few if any potential adverse social and environmental impacts or initial stakeholder concerns (e.g. Low Risk project, straightforward Moderate Risk project), it is likely that only a “simplified” stakeholder engagement plan would be needed, focusing primarily on initial consultations, information disclosure and periodic reporting (see Box). In such cases, the “plan” would be relatively simple and easily described in the body of the Project Document (that is, no separate plan would be needed).

A project with greater complexity and potentially significant adverse social and environmental impacts (complex Moderate Risk project or High Risk project) should elaborate a more strategic plan. A

“comprehensive” plan would outline mechanisms that buttress not just disclosure and good communications, but iterative consultations and possibly consent processes over the course of the social and environmental assessment process, development of mitigation and management plans, monitoring project implementation, and evaluation. A separate, detailed stakeholder engagement plan should be appended to the Project Document (see outline below).

All stakeholder engagement plans – whether simplified or comprehensive (see below) – should address basic minimum criteria. The following checklist will help ensure that the plan addresses key issues and components.

#### Box. Triggering the appropriate scale of stakeholder engagement plans

- *Simplified stakeholder engagement plan:* Project funding aimed at providing technical support (training in survey equipment) and materials (office space, computers, GPS equipment) to a national land and survey commission will likely have minimal impact on stakeholders other than the government.
- *Comprehensive stakeholder engagement plan:* Project funding to the same land and survey commission to actually conduct land titling in indigenous and forest-dependent communities across the nation, however, would require a comprehensive plan.

#### Checklist: Key questions for developing a stakeholder engagement plan<sup>9</sup>

<sup>9</sup> As modified, see Asian Development Bank (ADB), Strengthening Participation, p. 43.



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<i>Who</i>	<ul style="list-style-type: none"> <li>✓ Which stakeholder groups and individuals are to be engaged based on the stakeholder analysis?</li> <li>✓ Have potentially marginalized groups and individuals been identified among stakeholders?</li> </ul>
<i>Why</i>	<ul style="list-style-type: none"> <li>✓ Why is each stakeholder group participating (e.g. key stakeholder objectives and interests)?</li> </ul>
<i>What</i>	<ul style="list-style-type: none"> <li>✓ What is the breadth and depth of stakeholder engagement at each stage of the project cycle?</li> <li>✓ What decisions need to be made through stakeholder engagement?</li> </ul>
<i>How</i>	<ul style="list-style-type: none"> <li>✓ How will stakeholders be engaged (strategy and methods, including communications)?</li> <li>✓ Are special measures required to ensure inclusive participation of marginalized or disadvantaged groups?</li> </ul>
<i>When</i>	<ul style="list-style-type: none"> <li>✓ What is the timeline for engagement activities, and how will they be sequenced, including information disclosure?</li> </ul>
<i>Responsibilities</i>	<ul style="list-style-type: none"> <li>✓ How have roles and responsibilities for conducting stakeholder engagement been distributed among project partners (e.g. resident mission, executing agency, consultants, NGOs)?</li> <li>✓ What role will stakeholder representatives play?</li> <li>✓ Are stakeholder engagement facilitators required?</li> </ul>
<i>Resources</i>	<ul style="list-style-type: none"> <li>✓ What will the stakeholder engagement plan cost and under what budget?</li> </ul>

Building mutual trust and ensuring meaningful and effective engagement is facilitated by stakeholder ownership of the relevant processes. All efforts should be made to work with the relevant stakeholders to design by mutual agreement the engagement and consultation processes, including mechanisms for inclusiveness, respecting cultural sensitivities, and any required consent processes. Cultural understanding and awareness are central to meaningful stakeholder engagement.

Moreover, a general solicitation of feedback or input cannot be relied upon, nor accepted as the sole method of consultation. Information laden questions presenting various options, the reasons for those options, and their consequences may be a better method in that it presents information in a relationship-building manner, does not assume full stakeholder knowledge of the project plans, and solicits input on specific project instances instead of placing the impetus on the stakeholder to make seemingly high-level suggestions.

Recall that stakeholder engagement may be minimal at certain times and intense at others, depending on the issues and particular project phase. Also, targeted input from

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select stakeholder groups may be needed at key points in project development and implementation.

As project information changes – perhaps from subsequent risk assessments, the addition of project activities, stakeholder concerns – the stakeholder engagement plan should be reviewed and modified accordingly to ensure its effectiveness in securing meaningful and effect stakeholder participation.

The stakeholder engagement plan should also anticipate if/when professional, neutral facilitators might be needed to lead key engagement activities. For projects where the stakeholder engagement process is likely to be complex or sensitive, social advisors or other expert staff should help design and facilitate the process and assist with participatory methodologies and other specialized techniques.<sup>10</sup>

Grievance redress processes for the project need to be described in the stakeholder engagement plan. Section 3.4 above elaborates on relevant SES requirements.

The plan should also outline a reasonable budget for stakeholder engagement activities, including potential support for groups to facilitate their participation where necessary (noting that meeting locations should be as convenient as possible and stakeholder acceptance of such support should not be interpreted as endorsement of the project).

### Simplified Stakeholder Engagement Plan

The below provides a rough outline for a simplified stakeholder engagement plan. Many approaches exist, and this is one example of outlining key elements. It is important to not simply list stakeholders and say they will be consulted, but to identify **why** they are being engaged, **how** engagement will proceed, **who** will do it, **when**, and **how** it will be financed/supported.

Sample template for simplified stakeholder engagement plan					
Stakeholder Group	Why included (interests)	Participation methods		Timeline	Cost est.
		Method	Responsibility		

### Comprehensive Stakeholder Engagement Plan

<sup>10</sup> IFC Stakeholder Engagement, p. 101.

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Below is an example of elements that should be addressed in a comprehensive stakeholder engagement plan. The scope and level of detail of the plan should be scaled to fit the needs of the project.

### 1. Introduction

- Briefly describe the project including design elements and potential social and environmental issues. Where relevant, include maps of the project site and surrounding area.

### 2. Regulations and Requirements

- Summarize any legal, regulatory, donor/lender requirements pertaining to stakeholder engagement applicable to the project. This may involve public consultation and disclosure requirements related to the social and environmental assessment process as well as relevant international obligations.

### 3. Summary of any previous stakeholder engagement activities

- If any stakeholder engagement activities had been undertaken to date, including information disclosure and/or consultation, provide the following details:
  - Type of information disclosed, in what forms and languages (e.g., oral, brochure, reports, posters, radio, etc.), and how it was disseminated
  - Locations and dates of any meetings undertaken to date
  - Individuals, groups, and/or organizations that have been consulted
  - Key issues discussed and key concerns raised
  - Responses to issues raised, including any commitments or follow-up actions
  - Process undertaken for documenting these activities and reporting back to stakeholders

### 4. Project Stakeholders

- List the key stakeholder groups who will be informed about and engaged in the project (based on stakeholder analysis). These should include persons or groups who:
  - Are directly and/or indirectly affected by the project
  - Have “interests” in the project that determine them as stakeholders
  - Have the potential to influence project outcomes or operations
  - [Examples of potential stakeholders are beneficiaries and project-affected communities, local organizations, NGOs, and government authorities, indigenous peoples; stakeholders can also include politicians, private sector companies, labor unions, academics, religious groups, national environmental and social public sector agencies, and the media]

## Stakeholder Engagement Plan

- Consider capacities of various stakeholder groups to effectively participate in the stakeholder engagement activities, and include measures to support them where capacity is limited

### 5. Stakeholder Engagement Program

- Summarize the purpose and goals of the stakeholder engagement program
- Briefly describe what information will be disclosed, in what formats and languages, and the types of methods that will be used to communicate this information to each of the stakeholder groups identified in section 4 above. Methods used may vary according to target audience, for example:
  - Newspapers, posters, radio, television
  - Information centers and exhibitions or other visual displays
  - Brochures, leaflets, posters, non-technical summary documents and reports
- Briefly describe the methods that will be used to engage and/or consult with each of the stakeholder groups identified in section 4. Methods used may vary according to target audience, for example:
  - Interviews with stakeholder representatives and key informants
  - Surveys, polls, and questionnaires
  - Public meetings, workshops, and/or focus groups with specific groups
  - Participatory methods
  - Other traditional mechanisms for consultation and decision-making
- Describe how the views of women and other relevant groups (e.g. minorities, elderly, youth, other marginalized groups) will be taken into account and their participation facilitated
- Where relevant, define activities that require prior consultation and FPIC from indigenous peoples (and refer to Indigenous Peoples Plan and FPIC protocols)
- Outline methods to receive feedback and to ensure ongoing communications with stakeholders (outside of a formal consultation meeting)
- Describe any other engagement activities that will be undertaken, including participatory processes, joint decision-making, and/or partnerships undertaken with local communities, NGOs, or other project stakeholders. Examples include benefit-sharing programs, stakeholder-led initiatives, and training and capacity building/support programs.

### 6. Timetable

- Provide a schedule outlining dates/periodicity and locations where various stakeholder engagement activities, including consultation, disclosure, and partnerships will take place and the date by which such activities will be undertaken

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### 7. Resources and Responsibilities

- Indicate who will be responsible for carrying out the specified stakeholder engagement activities
- Specify the budget and other resources allocated toward these activities
- [For projects with significant potential impacts and multiple stakeholder groups, it is advisable to hire a qualified stakeholder engagement facilitator to undertake all or portions of the stakeholder engagement activities]

### 8. Grievance Mechanism

- Describe the process by which people concerned with or potentially affected by the project can express their grievances for consideration and redress. Who will receive grievances, how and by whom will they be resolved, and how will the response be communicated back to the complainant? (see Annex 4)
- Ensure reference is made to and stakeholders are informed of the availability of UNDP's Accountability Mechanism (Stakeholder Response Mechanism, SRM, and Social and Environmental Compliance Unit, SECU) as additional avenues of grievance redress.

### 9. Monitoring and Reporting

- Describe any plans to involve project stakeholders (including target beneficiaries and project-affected groups) or third-party monitors in the monitoring of project implementation, potential impacts and management/mitigation measures
- Describe how and when the results of stakeholder engagement activities will be reported back to project-affected and broader stakeholder groups. Examples include newsletters/bulletins, social and environmental assessment reports; monitoring reports.