



CRPP

Community Resilience Partnership Program

Annex 7 Stakeholder Engagement Plan

31 May 2023

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1. ABOUT THE ANNEX

Annex 7 presents the Community Resilience Partnership Program (CRPP) Stakeholder Engagement Plan (SEP). The document summarizes the stakeholders' consultations conducted during the preparation and development of the CRPP concept and the proposal for Green Climate Fund. It also presents a program and project level analysis of stakeholders' engagement, and a brief explanation of the Asian Development Bank's (ADB) policies and procedures relevant to stakeholders' participation and the required processes to be implemented during key phases of the project lifecycle.

2. INTRODUCTION

The CRPP is a regional program of ADB that aims to address the increasing climate risks faced by countries, by specifically targeting the adaptation needs of the poor and vulnerable population while being gender responsive. The objectives of the CRPP are to support selected ADB developing member countries (DMCs) in Asia and the Pacific region to (i) scale up local adaptation solutions in alignment with national climate priorities; (ii) finance local adaptation solutions that explicitly address the climate and poverty nexus and are implemented in the context of large-scale poverty reduction programs; and (iii) work with local institutions and communities to build long-term capacity for dealing with climate shocks and stresses.

The CRPP will operate as a Facility, comprising two separate but interlinked components; the CRPP Trust Fund (TF) focusing on upstream support to strengthen the enabling environment required for implementing local adaptation measures at scale; and the CRPP Investment Fund (IF) focusing on the efficient roll-out of local adaptation measures through downstream investments. The TF will provide technical assistance and grant resources financed by development partners and administered by ADB to selected DMCs to implement three outputs: (1) Knowledge and action research on climate risk informed pro-poor community-level solutions strengthened; (2) Institutional and community capacity to develop and deliver climate adaptation investments at community-level strengthened; and (3) Inclusive and pro-poor adaptation investment projects identified and prepared. The TF will include a special gender window to ensure all CRPP financed activities mainstream gender equality and to promote women-focused investments in adaptation. The IF will provide grant and loan financing from the Green Climate Fund (GCF) and ADB to seven selected DMCs, namely, Cambodia, Indonesia, Lao PDR, Pakistan, Papua New Guinea, Timor Leste, and Vanuatu, to implement local adaptation measures in the context of large-scale poverty reduction programs. The IF will deliver three climate related outputs that are the focus of this proposal (4) information and systems for delivering applied climate-risk informed investments at scale; (5) climate resilient pro-poor livelihoods investments implemented; and (6) pro-poor climate adaptation infrastructure implemented.

3. SUMMARY OF COMPLETED AND ONGOING STAKEHOLDER CONSULTATIONS

The CRPP was developed based on the past three years of ADB's involvement in supporting its DMCs with knowledge, guidance, and innovative pilots on advancing resilience at the community level. The CRPP has largely benefited from the extensive consultations undertaken with governments, development partners, research, and civil society organizations. These consultations have confirmed interests among these stakeholders to participate in the program.

At the program level, below is a summary of completed and ongoing consultations with key stakeholders:

- In 2019, a series of consultations with relevant global and regional programs that contribute to strengthening resilience of the poor and vulnerable were organized. Stakeholders consulted included representatives from the British High Commission in Suva, French Development Agency (AFD), GCF, Global Commission on Adaptation, InsuResilience Secretariat, Nordic Development Fund (NDF), and World Resources Institute.
- In 2019, a series of country consultations were organized with government representatives from Bangladesh, Cambodia, Indonesia, Mongolia, Nepal, Papua New Guinea, and the Philippines. The consultations have confirmed interest among DMCs to participate in the CRPP, while also highlighting the importance of adopting country specific approaches during implementation to build on DMCs own national priorities.
- In June 2019, a regional workshop was organized by ADB in Bangkok. Participants included representatives from (i) governments: Bangladesh, Cambodia, Indonesia, Mongolia, Nepal, Papua New Guinea, and the Philippines; (ii) development partners: Department for International Development (DFID), United Kingdom, AFD, GIZ, GCF, Japan International Cooperation Agency, and United Nations Development Programme; and (iii) research centers and nongovernment organizations (NGOs): Global Center on Adaptation (GCA), International Institute for Environment and Development (IIED), and Huairou Commission.
- In September 2019, the CRPP was launched at the sidelines of the United Nations Climate Action Summit 2019 in New York. Speakers and presenters during the event were representatives from Canada, DFID, Indonesia, Nepal, Myanmar, GCA, and IIED..
- In January 2021, a virtual country consultation was held with the Ministries of Agriculture and Environment of Timor Leste to introduce the CRPP and how the program can provide support to advance the country's climate adaptation priorities.
- In November 2021, the CRPP Gender Window was presented as part of the 2021 Resilience for the Urban Poor Forum. The session was organized as a clinic and discussed ideas on operationalizing the CRPP Gender Window.
- In November 2021, the CRPP was launched at the COP26 event in Glasgow. Speakers included representatives from the Asian Development Fund; NDF; UK's Foreign, Commonwealth, and Development Office (FCDO), IIED, Huairou Commission, United Nations Capital Development Fund (UNCDF), and Climate Justice Resilience Fund (CJRF).
- On 16 June 2022, the first meeting of the CRPP financing partners was conducted to discuss progress made, plan a strategic direction for the CRPP, identify a workplan, and provide guidance on the mobilization of resources.
- On 15 November 2022, the CRPP Secretariat organized a side event for the CRPP Gender Window at COP27 in Egypt. The session engaged in a dialogue a range of stakeholders including representatives from grassroots women's groups, national governments, financial institutions, and research organizations, to identify approaches and wider enabling environment needed for scaling up women-focused adaptation investments and help operationalize the CRPP Gender Window.
- On 28 February-1 March 2023, the CRPP Secretariat, in cooperation with CRPP financing partners (AFD, FCDO, and NDF) held the first Annual Partnership Forum of the CRPP in Bangkok. The forum brought together a diverse group of participants comprising 58% female, coming from grassroots organizations; high-level government officials from the four CRPP countries – Bangladesh, Cambodia, Indonesia, and Nepal; leading academics; think tanks; and financing institutions active in Asia and the Pacific region to discuss

solutions for scaling-up climate adaptation interventions at the community level, especially adaptation interventions that address the nexus between climate, poverty, and gender. The forum highlighted the importance of adaptive social protection, promoting resilient rural livelihoods, and women-focused investments in resilience for advancing national climate adaptation priorities towards building community resilience.

- On 1 March 2023, the first meeting of the CRPP Partnership Group took place on the side lines of the CRPP Partnership Forum in Bangkok. The meeting opened with a presentation from the CRPP Secretariat highlighting the progress made under the CRPP and key priorities for 2023 and was followed by interventions from members of the Partnership Group. The country partners (Bangladesh, Cambodia, Indonesia, and Nepal) set out their key priorities for CRPP support, clear strategic priorities were identified by development partners (CJRF, GCA, UNCDF), and short- and medium-term operational actions were discussed with the financing (AFD, FCDO, and NDF) and implementing partners (IIED and Huairou Commission). The outcome of the meeting was a list of priority activities for the CRPP Secretariat to implement in the coming months.
- On 2 March 2023, the CRPP Secretariat conducted a half-day workshop to discuss the CRPP monitoring, evaluation, and learning (MEL) framework with CRPP partners – FCDO, NDF, IIED, and Huairou Commission. The workshop was conducted to secure agreement and capture alignment of objectives and desired results of all CRPP partners in one MEL framework. The framework will provide a way to comprehensively monitor and selectively evaluate CRPP projects in a way that allows for continuous learning and improvement; and ensure that the CRPP contributes to the transformational change in recipient countries in response to climate change.
- On 15 March 2023, the CRPP Secretariat conducted a country consultation in Indonesia to better understand the country’s needs and priorities for scaling up climate adaptation actions at the local level and discussed how the CRPP could potentially support their priorities. Relevant ministries met included the Ministry of Finance, Coordinating Ministry for Human Development and Culture, Ministry of Planning (BAPPENAS), National Team for the Acceleration of Poverty Reduction, and SMERU Research Institute.
- On 11-12 May 2023, the CRPP Secretariat attended the first in-person meeting of the implementing partners of Climate Action for a Resilient Asia (CARA) in New Delhi. The meeting provided an opportunity for all partners under CARA (UNDP, UK Met Office, ICIMOD, World Bank, ADB-URTF and ADB-CRPP) to present their respective programs, discuss progress made, and next steps. The meeting helped identify specific areas of potential collaboration among the different components of the CARA. From a CRPP angle, potential areas of collaboration with UNDP, UK Met Office, and ICIMOD were identified.
- On 15-20 May 2023, the CRPP Secretariat conducted a country consultation in Cambodia to discuss how the CRPP can help relevant government ministries advance Cambodia’s climate adaptation priorities, its objectives, the type of activities it can support, and how it can access resources from the CRPP. The CRPP Secretariat met with relevant development partners (UNDP, AFD, FCDO, UN Women, UNCDF [virtual]) and NGOs (The NGO Forum on Cambodia, Gender and Development for Cambodia) to understand how their priorities are aligned with CRPP priorities; and relevant ministries to better understand the needs and priorities for scaling up climate adaptation actions at the local level. These ministries included the National Council for Sustainable Development; Ministry of Environment; Ministry of Economy and Finance (virtual); Ministry of Planning; Ministry of Agriculture, Forestry and Fisheries; Ministry of Women’s Affairs; National Committee for Disaster Management; National Committee for Sub-National Democratic Development; Cambodia Development Resource Institute; and Cambodia Chamber of Commerce.

- In June 2023, the second meeting of the CRPP financing partners will be held virtually to discuss progress on the 2023 workplan, provide guidance on the allocation of resources, and other developments.

Annex 2.3 has described concept projects, which have the potential to meet the eligibility criteria of CRRP IF (described in Annex 2.4). These projects are at early stages of concept development and the ADB project teams are working closely with relevant national and local implementation partners in developing the project concepts and have initiated the discussion on CRPP and the possibility of receiving support from the program. In parallel, consultation with National Designated Authorities (NDAs) have also been started to seek their guidance on project design and to secure the no-objection letters for the program.

4. STAKEHOLDERS ENGAGEMENT

The CRPP SEP is a complementary document that seeks to develop and achieve meaningful consultation and engagement of stakeholders throughout the lifecycle of the CRPP and its component projects. As an equally important component of a program's longevity and mechanism to create an inclusive stakeholder environment, the CRPP SEP embraces the principles of a meaningful consultation and engagement that is also consistent with ADB's strategies and policies, which recognize the significance of timely and open communications with stakeholders.

The CRPP SEP is aligned with ADB's *Safeguard Policy Statement (2009)*¹ which reflects that consultation and participation are central to the achievement of safeguards policy objectives. It supports *Access to Information Policy (2018)* in promoting stakeholders trust through commitment to transparency, accountability, and stakeholders participation.² It is also aligned with *Strategy 2030*³ which emphasizes the important role of ADB as convener of partnership, to promote dialogue and collaboration among diverse partners and stakeholders. The CRPP SEP also builds on the information presented in the *Strengthening Participation for Development Results: An Asian Development Bank Guide to Participation*.⁴

The CRPP SEP presents program and project level analysis of stakeholders' engagement. It adopts strategies and mechanisms for:

- allowing participation at all levels and valuing diversity of stakeholders from development partners, knowledge partners, national and local governments, civil society organizations (CSOs), and community (Annex 1);
- promoting transparency and accountability through communication and openness about activities, and transparency in the objectives of participation and degree of stakeholder influence;
- providing timely, meaningful, and appropriate information to stakeholders and ensuring the opportunity to express their views and comments;
- engaging and communicating with stakeholders in a culturally appropriate manner; and

¹ Asian Development Bank. 2009. *Safeguard Policy Statement*. . URL: <https://www.adb.org/sites/default/files/institutional-document/32056/safeguard-policy-statement-june2009.pdf>

² Asian Development Bank. 2018. *Access to Information Policy*. Manila.. URL: <https://www.adb.org/documents/access-information-policy>.

³ Asian Development Bank. 2018. *Strategy 2030: Achieving a Prosperous, Inclusive, Resilient, and Sustainable Asia and the Pacific*. Manila. URL: <https://www.adb.org/documents/strategy-2030-prosperous-inclusive-resilient-sustainable-asia-pacific>.

⁴ Asian Development Bank. 2012. *Strengthening Participation for Development Results: An Asian Development Bank Guide to Participation*. Manila. <https://www.adb.org/documents/strengthening-participation-development-results-asian-development-bank-guide-participation>.

- considering and responding to comments and potential grievances raised by stakeholders.

The CRPP SEP ensures the needed consultative processes with relevant stakeholders to warrant the development of capacity, engagement, and ownership, as well as the required participatory approaches in the decision-making processes. It helps improve program implementation by creating a framework to understand stakeholders' concerns and perceptions and to provide feedback and anticipation in a timely manner.

The CRPP SEP considers stakeholders' interest in the program and project and their ability to influence the project and contribute to its success. It identifies the consultation and engagement processes for the stakeholders, as well as the potential likelihood of stakeholders being affected by program and project-level activities.

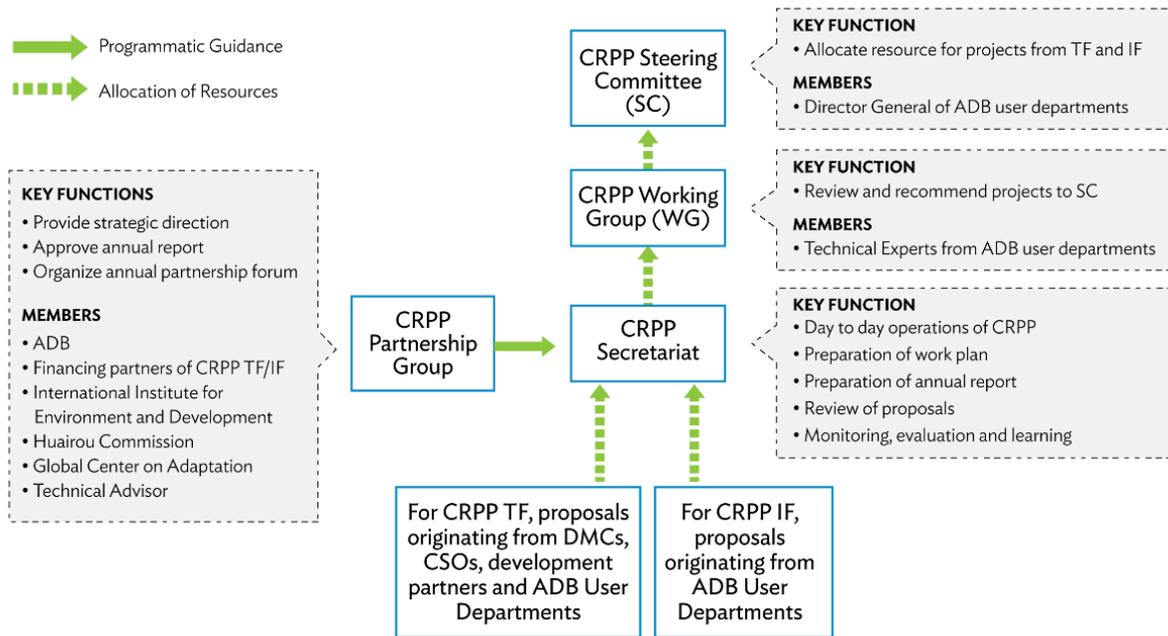
Engagement with stakeholders is an ongoing process, which applies to the entire period of the program and project-level implementation. As such information presented in this document will be updated regularly throughout the life of the program as deemed necessary.

Program Level

Considering the ambitious agenda of scaling up investments in resilience, the CRPP will be delivered through partnership with different stakeholders. The CRPP aims to mobilize financial and knowledge resources from various development partners to support scaling up on climate adaptation investments at the local level in ADB's DMCs. A key objective is to help strengthen partnerships in the climate adaptation space, especially in the context of local actions for climate adaptation, among governments, donors, civil society, and the private sector, and influence regional and global directions on locally led adaptation.

As shown in the CRPP governance structure, at the program level, stakeholders are composed of funding partners, participating DMCs, global policy and action research organizations (i.e., IIED and GCA) and CSOs (i.e., Huairou Commission). While at the project level, stakeholders include the national and local governments as executing and implementing agencies of the project, development partners working in the area, community-based organizations, and communities and household beneficiaries.

Figure 1: CRPP Governance Structure



Monitoring, evaluation and learning. Monitoring and evaluation will be carried out both at the program and project levels. Key stakeholders such as the government, communities and local stakeholders, and CSOs will be involved in the monitoring at all stages of the project/program cycle and in conducting evaluation.

Reporting requirements. The CRPP will prepare an annual performance report to inform stakeholders of the program performance, including project level activities. This report will be prepared in consultation and coordination with the project teams, knowledge partners, and other local partners. It will detail (i) activities conducted during the year and priorities for the next year, (ii) potential issues and solutions, and (iii) progress against CRPP DMF targets and indicators.

Sharing of knowledge and learning. The CRPP will have dedicated activities on knowledge and learning which will contribute significantly to the generation and sharing of knowledge on climate risk and resilience. Knowledge will be shared with wider stakeholders. The multi-country nature of the program means there will be very large potential for learning and replication, with the transfer of experience between programs.

Regional and national knowledge sharing events and capacity building activities will be organized in partnership with knowledge partners and CSOs. These events aim to share experiences, highlight key achievements and lessons learned from the implementation of the program and selected projects being supported.

Table 1: Stakeholder Mapping and Engagement Plan

Stakeholder Group	Interest and Influence in the Program	Proposed Role in the Program/Project	Engagement Strategy	Frequency of Engagement
Program Level				
Funding partners	Funding partners require regular updates on the use and disbursements of the funds they have provided to the CRPP Timely completion of program and project activities	Provide strategic level support for the program Participate in consultations and meetings	Regular consultations through bilateral meetings Participation in regional and national events	Annual or as needed As needed
Participating DMCs	DMCs will benefit from the projects by directly benefiting the poor and vulnerable populations and improving their climate resilience	Support program level implementation ensuring proposed interventions are consistent with country partnership strategy and aligned with Nationally Determined Contributions, national adaptation plans and other relevant plans and strategies. DMCs will develop and implement the projects to be funded by the program.	Consultations	As needed
Policy and research organizations as knowledge partners	Knowledge partners are keen to share insights, expertise, and experiences on topics related to building climate resilience.	Support knowledge work and capacity building activities Monitor program implementation and suggest improvements	Consultations, workshops	At least annually or as needed
Civil society organizations	CSOs and NGOs have a critical role in shaping the development of the program, policies and partnerships	Provide program level support to ensure that benefits are directed to intended beneficiaries, promote local-level engagement and create ownership and sustainability.	Consultations, workshops	At least annually or as needed

Stakeholder Group	Interest and Influence in the Program	Proposed Role in the Program/Project	Engagement Strategy	Frequency of Engagement
		Oversee and suggest improvements on the implementation of the program Provide capacity building support		
Project Level				
Sector ministries and state agencies	Ensure that the project is developed and implemented in accordance with national and regional strategies and priorities	Serve as executing / implementing agency and ADB's counterpart in the implementation of the project supported by the program.	Consultative meetings and workshops	As defined by the projects to be supported
Development partners (UNDP, FAO, etc.)	Complementarity of projects and avoiding duplication of activities	Support project activities	Consultative meetings and workshops	As defined by the projects to be supported
Project Management Unit	Ensure that the project is implemented in accordance with ADB and GCF policies and procedures	Provide project management and implementation support Coordinate project activities Prepare project progress reports	Consultative meetings and workshops Regular coordination meetings	As defined by the projects to be supported
Local government units	Local communities governed to directly benefit from the project	Coordinate implementation of the project and ensure proper execution of activities.	Consultative meetings and workshops	As defined by the projects to be supported
Community-based organizations and NGOs	Ensure their active participation in the process and that the process is driven by a bottom-up approach	Provide community level assistance in informing and engaging communities, ensuring benefits are directed to the intended beneficiaries, and creating strong community ownership and project sustainability	Consultative meetings and workshops	As defined by the projects to be supported
Community and household beneficiaries <ul style="list-style-type: none"> Local community leaders Vulnerable groups 	Support projects that will directly benefit and improve their welfare	Monitor implementation of projects	Community level consultations / discussion Interviews	As defined by the projects to be supported

PROJECT LEVEL

The CRPP will be country-driven with strong country ownership. It will be implemented in countries showing demonstrable commitment to advance climate resilience through supporting projects that are aligned with ADB's country partnership strategies as well as consistent with the country's Nationally Determined Contributions, and national adaptation plans and strategies.

All projects to be supported by CRPP will follow ADB's policies and procedures relevant to stakeholders' participation and engagement. ADB provides comprehensive guidelines on stakeholders engagement that cover the whole project cycle from country programming, project preparation, implementation, monitoring and evaluation.

Below provide discussions on general entry points for stakeholders' engagement processes to be performed during key phases of the project lifecycle as required by ADB and described in relevant guidelines and policy documents (Table 2).⁵ Actual engagement processes may vary depending on the features of a specific project.

Table 2. Participation in ADB Sovereign Project Cycle

Project Cycle	Participation
Country programming	<ul style="list-style-type: none"> Stakeholder analysis, consultation and sector road maps, or assessments developed with participatory methods feed into the country partnership strategy
Project preparation	<ul style="list-style-type: none"> Discuss participation with government Initial stakeholder analysis and consultation part of concept paper reconnaissance mission and initial poverty and social analysis preparation The project preparation technical assistance include stakeholder participation in analysis and development of the design and monitoring framework (DMF); participation, gender/social and safeguard plans as summarized in the summary poverty reduction and social strategy (SPRSS); and the stakeholder communications strategy captured in the project administration manual (PAM). DMF, SPRSS, and PAM linked to report and recommendation of the President for approval.
Operational planning	<ul style="list-style-type: none"> After project approval, coordinate with project stakeholders to prepare for implementation. Finalize any contracts and partnership agreements.
Implementation, monitoring, and reporting	<ul style="list-style-type: none"> Implement participatory approaches and monitor and review application, e.g., through executing agency quarterly reports, back-to-office mission reports, project progress, performance, and independent monitoring. ADB Accountability Mechanism in operation
Evaluation	<ul style="list-style-type: none"> Participatory self-evaluation through midterm and project completion reports, e.g., consult with stakeholders Participatory post-evaluation by the ADB Independent Evaluation Department and/or recipient/client, consult with stakeholders

⁵ Asian Development Bank. 2012. *Strengthening Participation for Development Results: An Asian Development Bank Guide to Participation*. Manila.

a. Country programming

The **country partnership strategy (CPS)** is ADB's primary platform for designing operations to deliver development results at the country level. It is developed in a participatory manner through a series of consultations with the government and other country stakeholders including CSOs, NGOs, private sector, as well as the country's other development partners.

Consultation with a wide range of stakeholders ensures that the ADB country team has a more complete understanding of the DMC's development challenges and local perspectives on how to address them, and that the CPS is aligned with DMC priorities and harmonized with other donor approaches.

b. Project preparation

At the project level, stakeholder engagement starts as early as the project identification or preparation stage. ADB engages with national/regional governments and sector ministries, development agencies, civil society, affected people, to undertake project feasibility studies.

At the project concept phase, analysis of stakeholder interests, perceptions, capacities, and resources is an important initial step in designing a project, especially any project that relies on the participation of affected groups.

Initial poverty and social analysis (IPSA). At the project concept phase, the IPSA provides one of the first entry points for participation. A section of the report looks into participation as part of social development issues.

The IPSA's **initial stakeholder analysis** provides a basis for determining how ADB can engage most effectively with various stakeholders, and what constructive roles these stakeholders can play in the process. The analysis identifies a) which groups have interest in the project, and b) their interests and capacities to support or delay implementation. The analysis can also identify potential conflicting interests between different stakeholders.

Based on the initial stakeholder analysis, the project team can also begin to assess (i) what level of participation (e.g., information generation and sharing, consultation, collaboration or partnership) is appropriate for the project; (ii) which stakeholders should be most actively involved in preparing the project; (iii) what kinds of inputs or decisions are needed from them; (iv) their information needs; and (v) what communication strategies and participatory methods should be used.⁶

Poverty and social analysis (PSA). The PSA is carried out during the project design phase to assess the ways in which the eventual project could best promote inclusive growth and avoid or mitigate social risks and vulnerabilities, consistent with its technical and economic viability. An integral part of its preparation is through stakeholder consultations. The results of the PSA are synthesized in the summary poverty reduction and social strategy report which describes how the project will engage stakeholders, including the poor and vulnerable groups, and CSOs. It also includes a summary of the participatory approaches during the project implementation, including an explanation of how these are reflected in the design and monitoring framework, loan agreement, and project administration manual (PAM).

⁶ Asian Development Bank. 2012. *Handbook on Poverty and Social Analysis: A Working Document*. Manila.

A **participation plan** for project implementation and monitoring is recommended for most projects, especially those involving the community in project activities or labor issues or social safeguard issues. The plan typically sets out the objectives of participation, approaches, participation methods and timelines for each key stakeholder group. A project participation plan can be a stand-alone or be integrated into other project plans (e.g., safeguards, gender).

During the project design phase, **ADB's Safeguard Policy Statement** (see Annex 2) requires the identification of safeguard issues and relevant measures to address them. At the concept stage, an initial determination is made as to whether these safeguard issues are likely to be present in the project.

If social safeguard issues have been identified in a project, specific due diligence will be carried out as part of the PSA process where meaningful consultations with representatives of the affected populations is required, together with a review of relevant secondary sources, and additional data collection, if needed.

c. Operational planning

Before project implementation, approval is followed by operational planning. Any contracts or partnerships are finalized and communication between project stakeholders resolves any issues and ensures readiness for the project inception mission and implementation.

d. Project implementation, monitoring and reporting

The PAM is one of the project's main document that guides ADB and government in managing, implementing, and monitoring the project activities. It contains project implementation agreements and details, including details of the DMF, gender, social, and safeguards plans (including participation) and the **stakeholder communications strategy** (SCS).

The SCS provides an agreed communication platform for all key stakeholders particularly between the projects' affected groups and the executing and implementing agencies and ADB to ensure that the former's views and interests are fully integrated into the project design, implementation, reporting, and impact. The SCS ensures inclusiveness, transparency, timeliness, and the meaningful participation of stakeholders.

The SCS will typically include information on the levels and forms of stakeholder participation at various stages of the project cycle, mechanisms for stakeholder participation, and specific grievance mechanisms. Recipients/clients submit the plan to ADB annually with contract and disbursement projections for the following year. Executing agency quarterly reports should also include progress against the project's participation plan and related performance targets and indicators included in the DMF.^{7,8}

The project's **grievance mechanism**, as detailed in the SCS, provides a system for affected stakeholders to raise complaints and concerns on the project in a timely manner, and without fear of retribution. ADB's Safeguards Policy requires meaningful consultation with affected persons and communities in the implementation of all safeguard policies (environment, involuntary

⁷ Asian Development Bank. 2019. *Guidance Note on Stakeholder Communication Strategies for Projects in South Asia*. Manila. URL: <https://www.adb.org/documents/stakeholder-communication-strategies-projects-guidance-note>.

⁸ Asian Development Bank. 2020. *Guidelines for Preparing and Using a Design and Monitoring Framework: Sovereign Operations and Technical Assistance*. Manila. URL: <https://www.adb.org/sites/default/files/institutional-document/32509/guidelines-preparing-dmf.pdf>

resettlement, and Indigenous Peoples) and continued consultation during project implementation to identify and help address safeguard issues that may arise.

ADB's **Accountability Mechanism** is an independent forum and process whereby people adversely affected by ADB-financed projects can voice and seek a resolution to their problems, as well as report alleged violations of ADB's operational policies and procedures.⁹

e. Project monitoring and evaluation

The project's midterm and completion reviews should include participatory activities through workshops and focus groups discussions to get input from stakeholders. In evaluating projects, feedback are gathered from residents of project areas, community-based organizations, local governments, and non-governmental organizations.

⁹ Asian Development Bank. 2012. *Accountability Mechanism Policy*. Manila. URL: <https://www.adb.org/documents/accountability-mechanism-policy-2012>.

Annex 1: Indicative Stakeholder Matrix Interest Groups¹⁰

Successful project planning and implementation entails careful identification of stakeholders. Like that of the GCF’s categorical engagement of stakeholders, a stakeholder matrix seeks to provide a detailed characterization and possible roles of the stakeholder in the project. The identified stakeholders, both internal and external, who will be involved in the project or affected by the project, must be defined so as to accommodate all other conditions that may hinder or delay project implementation.

The stakeholder analysis indicates how engagement with all groups of stakeholders will be carried out and how an effective communication plan will be developed and implemented.

Figure A1-1: Generalized Stakeholder Categorization based on Power and Influence.¹¹



Figure A1-1 shows the different interests and influences of the stakeholders in a project. Through this, detailing of their actual characteristics and interests in the project can be made. Table A1-1 below shows the generic characterizations of the stakeholders and their various levels of engagement toward a project.

¹⁰ Wageningen University and Research. *The MSP Guide: How to design and facilitate multi-stakeholder partnerships. In: Tool 10: Stakeholder Characteristics and Roles Matrix.* Netherlands. URL: www.mspguide.org www.wageningenur.nl/cdi

¹¹ Asian Development Bank. 2020. *Project Administration Manual (Republic of the Union of Myanmar: Yangon City Water Resilience Project).* Manila. URL: <https://www.adb.org/sites/default/files/project-documents/52176/52176-001-pam-en.pdf>.

Table A1-1: The stakeholders' profile for each of the project could be characterized in the following manner:^{12,13}

Stakeholder Name and Role	Key Stakeholder Group	Keep Satisfied Stakeholder Group	Minimal Effort Stakeholder Group	Keep Informed Stakeholder Group
Interest in the Project	High Interest	Low Interest	Low Interest	High Interest
Support and Influence Level	High Power and Influence High Level of Support	Low Level of Power and Influence	Low Power and Influence	High to Medium Level of Power and Influence
Objections, Drivers, Needs, and Levers	Objectives of this group are linked to: <ul style="list-style-type: none"> • successful project delivery, • fulfilment of the project requirements, • timeframes, • quality and cost, and • compliance. The drivers for this group include: <ul style="list-style-type: none"> • project development objectives and • benefit realization. 	Objectives of this group are linked to: <ul style="list-style-type: none"> • general updates, and • scheduling and specific impacts. 	Objectives of this group are linked to: <ul style="list-style-type: none"> • project timings and schedule (especially in relation to implementation periods), • development of works and impacts, and • good news stories. The drivers for this group include: <ul style="list-style-type: none"> • area development, • possible revenue, • public support, and • business development. 	Objectives of this group are linked to: <ul style="list-style-type: none"> • project timings and schedule (especially in relation to implementation periods), • development of works and impacts, and • good news stories. The drivers for this group include: <ul style="list-style-type: none"> • area development, • possible revenue, • public support, and • business development.
Action	Generally, the stakeholders in this group have a positive approach and outlook to the project. Actions required will be to support the project.	Generally, the stakeholders in this group have a positive approach and outlook to the project. Administrative approvals and coordination of efforts to minimize disruption are an important part of the requirements of this group. The important actions include: <ul style="list-style-type: none"> • timely consultation/ information on any disruptions, and • advance information on co-ordination requirements. 	Generally, the stakeholders in this group have a positive approach and outlook to the project. The needs of the group are linked to: <ul style="list-style-type: none"> • timely information (especially on approval of items which could delay the progress of the project) and • compliance to regulations. 	Generally, the stakeholders in this group have a positive approach and outlook to the project. The needs of the group are linked to: <ul style="list-style-type: none"> • timely information (especially on approval of items which could delay the progress of the project) and • compliance to regulations.
Responsible, Accountable, Consulted, or Informed	The stakeholders in this group are responsible, accountable or consulted depending on their drivers and involvement in project management.	The stakeholders in this group are to be informed and consulted.	The stakeholders in this group are to be informed.	The stakeholders in this group are to be informed.

¹² Ibid.¹³ Food and Agriculture Organization. n.d. *Stakeholder Groups*. URL: <http://www.fao.org/3/w8623e/w8623e05.htm>.

<p>Communicate What, When, and How?</p>	<ul style="list-style-type: none"> • Most communication with this group will be led by face-to-face communications, however such communication will also be supported by: (1) regular reporting, (2) online content and communications, (3) presentations, (4) meetings, and (5) paper documentation (as required). • A project steering committee will be responsible for communicating to this stakeholder group. • Communication will be scheduled and regular (no less than monthly as required or agreed), as well as ad hoc, as required. 	<ul style="list-style-type: none"> • Most communication will be electronic communication via email, website and online data or face to face. • A selected committee and the contractor(s) will have shared responsibility for communicating to this stakeholder group. • Communication will tend to be on an “as needs” basis, rather than scheduled and will be supported by notifications. 	<ul style="list-style-type: none"> • Communication in this area will be a mixture of: (1) media-based, (2) online, and (3) marketing and information dissemination (brochures, newsletters, flyers). • A selected committee will have responsibility for communicating to this stakeholder group. • Communication will be scheduled and regular to ensure that the stakeholders are appropriately informed. 	<ul style="list-style-type: none"> • Communication in this area will be a mixture of: (1) media-based, (2) online, and (3) marketing and information dissemination materials (brochures, newsletters, flyers). • A selected committee will have responsibility for communicating to this stakeholder group. • Communication will be scheduled and regular to ensure that the stakeholders are appropriately informed.
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Annex 2: Stakeholder Engagement under the Safeguard Policy Statement (SPS)¹⁴

The Safeguard Policy Statement (SPS) sets out the ADB's safeguard requirements for projects that may have adverse impacts on the environment or Indigenous Peoples, or that may involve involuntary resettlement. Recognizing the need for heightened stakeholder participation for projects with severe effects on these safeguard areas, the SPS lays down comprehensive engagement processes and methods during the project cycle. The key features of stakeholder engagement under the SPS are summarized in the table below.

Table A2-1. Overview of Stakeholder Engagement Features in the SPS

Topic	Features
General mandate	<ul style="list-style-type: none"> • Disclosure of safeguard issues in a timely manner, in an accessible place, and in a form and language(s) understandable to affected people and to other stakeholders, so they can provide inputs into project design and implementation. • Governments must engage with affected communities and civil society through information disclosure, meaningful consultation, and informed participation.
Projects with significant impact on safeguard areas	<ul style="list-style-type: none"> • ADB project teams will participate in consultation activities to ensure that stakeholder concerns are addressed in project design and safeguard plans. • Consultation activities are required to be gender inclusive and responsive, tailored to the needs of disadvantaged and vulnerable groups, and undertaken in an atmosphere free of intimidation or coercion.
Special procedures for IP	<ul style="list-style-type: none"> • Where Indigenous Peoples (IP) are involved, the borrower must use consultation methods appropriate to the social and cultural values of the affected IP communities. • In addition to the standard requirements of consultation and participation, ADB also requires that IP consent be ascertained for projects that result in commercial development of their cultural resources and knowledge, physical relocation from their traditional or customary lands, or commercial development of natural resources within customary lands under use that would impact their livelihoods or cultural, ceremonial, or spiritual uses that define the identity and community of the IP. • ADB reviews the government's documentation of the engagement process, but also conducts its own investigation to ensure that there is broad community support for the project activities. ADB will not finance the project if such broad community support does not exist.
Grievance mechanism	<ul style="list-style-type: none"> • The SPS requires governments to establish a grievance redress mechanism. This mechanism will address affected people's concerns and complaints promptly, using an understandable and transparent process that is gender responsive, culturally appropriate, and readily accessible, at no costs and without retribution. • The affected people should be appropriately informed about the mechanism.
Safeguard reviews	<ul style="list-style-type: none"> • ADB conducts safeguard reviews, including reviews of the government's safeguard documents, as part of its overall due diligence. Through this process, ADB will confirm that consultations with affected people are conducted in accordance with ADB's standards. • ADB will monitor projects on an ongoing basis until a project completion report is issued.

¹⁴ Footnote 1.