

TOWARDS A SUSTAINABLE CONSULTATIVE PROCESS

By Alpha Oumar Kaloga and Sven Harmeling



Brief Summary

Because of the speed at which climate change is happening, time is running to reduce vulnerability, increase adaptation and improve resilience of the most vulnerable. Innovative resources, tools and approaches are required to support this effort.

Such an innovative instrument is the Adaptation Fund (AF), which aims to support adaptation projects in developing countries with special regard to the priorities of the local and most vulnerable communities to adverse climate change impacts. Because local stakeholders know best about how effective adaptation measures have to be designed, public participation and consultation processes are crucial for the successful implementation of AF adaptation projects/ programmes.

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1 Preface

Droughts, fire, floods, rising sea, stronger storms – climate change effects like these have wide-ranging impacts on living conditions on earth. Shortage of fresh water, decrease in food security and adverse health effects are some of the impacts associated with climate change.

Developing countries are the most vulnerable to climate change impacts because they have fewer social, technological and financial resources for adaptation. Climate change is anticipated to have far reaching effects on the sustainable development of developing countries including their ability to attain the United Nations Millennium Development Goals by 2015.¹

To enable developing countries to adapt to the current and future climate change is an increasing challenge and duty for the international community (not least because the most vulnerable countries are those, who have contributed the least to the problem of global warming).

To counteract adverse effects of climate change in the most vulnerable countries, a diversity of adaptation measures depending on the countries' individual circumstances is required.

Because of the speed at which climate change is happening, time is running to reduce vulnerability, increase adaptation and improve resilience of the most vulnerable. Innovative resources, tools and approaches are required to support this effort.

Such an innovative instrument is the Adaptation Fund (AF), which aims to support adaptation projects in developing countries with special regard to the priorities of the local and most vulnerable communities to adverse climate change impacts. Because local stakeholders know best about how effective adaptation measures have to be designed, public participation and consultation processes are crucial for the successful implementation of AF adaptation projects/ programmes.

¹ United Nations (2010): The Millennium Development Goals Report 2010, New York. <http://www.un.org/millenniumgoals/pdf/MDG%20Report%202010%20En%20r15%20-low%20res%2020100615%20-.pdf>.

2 The Adaptation Fund

The Adaptation Fund (AF) was established to finance adaptation projects and programmes in developing countries, that are parties to the Kyoto Protocol and particularly vulnerable to the adverse effects of climate change.

The first steps to initiate the AF were taken in the year 2001 at the 7th Conference of the Parties to the United Nations Framework Convention on Climate Change (UNFCCC) in Marrakesh/ Marokko. After the Third Meeting of the Kyoto Protocol Parties in Bali/ Indonesia, in 2007, the Adaptation Fund Board (AFB) began to develop guidelines and rules to make the Fund an effective tool for funding adaptation efforts in vulnerable developing countries.

The Fund has unique features that set it apart from other international financing mechanisms²:

- Direct access for developing countries to the resources of the Fund
- Innovative source of funding (2% CDM levy)
- Innovative and equitable governance structure (giving special attention to particularly vulnerable countries, LDCs, SIDS)

The strategic priorities of the AF do not prescribe the kind of adaptation measure or which sectors to address – every country has to determine its own adaptation priorities. Nevertheless, there are some guiding criteria - the strategic priorities - which are important in order to make the AF an effective and targeted tool. To ensure national ownership and coherence, the adaptation project/ programme should take into account relevant national strategies as well as existing political and scientific guidance. Furthermore, the AF requires that special attention should be given to the particular need of the most vulnerable communities within a country, to target adaptation measures to their needs.³

All proposals for concrete adaptation projects and programmes, submitted to the Adaptation Fund Board, will be checked against the strategic priorities. A concrete adaptation project is defined as “as a set of activities aimed at addressing the adverse impacts of and risks posed by climate change. The activities shall aim at producing visible and tangible results on the ground by reducing vulnerability and increasing the adaptive capacity of human and natural systems to respond to the impacts of climate change, including climate variability.”⁴ An adaptation programme is “a process, a plan or an approach for address-

² Adaptation Fund Brochure (2010). http://www.adaptation-fund.org/sites/default/files/AF_broch_CRABlue_lores1.pdf.

³ Adaptation Fund (2010): Accessing Resources from the Adaptation Fund – The Handbook, p. 7. http://www.adaptation-fund.org/sites/default/files/Handbook.English_0.pdf.

⁴ Adaptation Fund (2010): Operational Policies and Guidelines for Parties to Access Resources from the Adaptation Fund, paragraph 10. <http://www.adaptation-fund.org/sites/default/files/OPG%20Revised%209.15.11%20%28with%20annexes%29.pdf>.

ing climate change impacts that is broader than the scope of an individual project”.⁵ Adaptation projects/programmes can be implemented at the community, national, regional and transboundary level and aim at specific objectives and concrete outcomes and outputs that are measurable, monitorable, and verifiable. The overall goal of all adaptation projects and programmes financed under the AF will be to support concrete adaptation activities which reduce vulnerability and increase adaptive capacity to respond to the impacts of climate change, including variability at local and national levels.⁶

The project/ programme criteria for the decision on allocation from the AF are:

- Level of vulnerability
- Level of urgency and risks arising from delay
- Ensuring access to the fund in a balanced and equitable manner
- Lessons learned in project and programme design and implementation to be captured
- Securing regional co-benefits to the extent possible, where applicable
- Maximizing multi-sectoral or cross-sectoral benefits
- Adaptive capacity to the adverse effects of climate change

In the *Instructions for Preparing a Request for Project or Programme Funding* as well as in the Form *Request for Project/Programme Funding from Adaptation Fund* there are some more criteria to meet the requirements of the AF. One of these criteria is the consultative process undertaken during the project preparation.⁷

The consultation process in the project preparation phase is of fundamental importance for the success of an AF project/programme, because the design of the adaptation measures will determine the extent to which the impacts of the measure will achieve the request of the AF to enhance resilience - particular of the most vulnerable - to adverse climate change effects.

The specific attention to the needs and concerns of the most vulnerable during the preparation phase lays the foundation of a target-oriented adaptation measure that will benefit those who will most urgently need this measure.

⁵ Adaptation Fund (2010): Operational Policies and Guidelines for Parties to Access Resources from the Adaptation Fund, paragraph 11. <http://www.adaptation-fund.org/sites/default/files/OPG%20Revised%209.15.11%20%28with%20annexes%29.pdf>.

⁶ See Adaptation Fund (2010): Operational Policies and Guidelines for Parties to Access Resources from the Adaptation Fund, paragraph 10 and 12. <http://www.adaptation-fund.org/sites/default/files/OPG%20Revised%209.15.11%20%28with%20annexes%29.pdf>.

⁷ See AF website: Proposal Submission Material, Request for Project/Programme Funding from Adaptation Fund (Form), Part II: Project/ Programme Justification, Section H. <http://www.adaptation-fund.org/page/proposal-submission-materials>.

3 Discussion on the Consultative Processes within the Proposals submitted to the AF

As aforementioned, stakeholder consultation is a fundamental component of designing and implementation of effective climate change adaptation programmes. Consultation is necessary for the realistic understanding of potential obstacles and risks, the definition of problems, the identification of causes, to get an overview about already existing measures, to maximize synergies, avoid duplications and ensure coordination. Consultation might shop up appropriate strategies and actions to address expressed demands and achieve envisaged impacts. Consultation helps to save time, reduces costs and supports to improve a project's performance and impacts. Moreover, stakeholder involvement engenders transparency, trust and accountability and is the basis for building strong, constructive and responsive relationships which are essential for successful project/ programme implementation and for achieving targeted impacts. Aside from that, in climate change adaptation measures, stakeholder involvement is important for ensuring relevance to local priority needs and for strengthening participation and ownership of the civil society, especially of the most vulnerable communities.⁸ The consultation at local level is premise to match the adaptation measures in a meaningful way to the livelihood realities and needs of the most vulnerable communities - to promote their resilience to climate change and foster sustainable development with special regard to aspirational objectives of the poorest and the most vulnerable communities.

In the context of the AF a concrete and detailed description of the stakeholder consultation is necessary, so as to ascertain if the undertaken consultation accommodates to the approval criteria of the AF. At this, most critical is the involvement of all stakeholders, the level of involvement (temporal, spatial and structural)⁹ and the sustainability of the consultation - with particular attention to the most vulnerable and affected groups of adverse climate change impacts.¹⁰

After review of the 32 concepts and 18 full proposals¹¹ the AFB Secretariat assesses some weaknesses:

⁸Cf. United Nations Development Programme (UNDP), Environment and Energy Group/Environmental Finance, Bureau of Development Policy (2010): A Toolkit for Designing Climate Change Adaptation Initiatives, p. 43. http://www.undp-adaptation.org/projects/websites/docs/KM/PublicationsResMaterials/UNDP_Adaptation_Toolkit_FINAL_5-28-2010.pdf.

⁹ Temporal: consultation stage in the preparation phase (beginning); spatial: direct or indirect affected (level of vulnerability); structural: approach (bottom-up/top-down, operation structure of consultation).

¹⁰ Cf. Criteria "Project Eligibility", point 9 of the Adaptation Fund Board Secretariat Technical Review of Project/Programme Proposal, Appendix C of the AF Operational Policy and Guidelines, p. 39. <http://adaptation-fund.org/sites/default/files/OPG%20Revised%209.15.11%20%28with%20annexes%29.pdf>.

¹¹ June 2010- September 2011, see Adaptation Fund: The Adaptation Fund Project Review Process: Summary of the Analysis and Lessons Learned (June 2010 – September 2011). <http://www.adaptation-fund.org/sites/default/files/LessonsLearnedSummarywithGraphs.pdf>

“the issues related to the consultative process are mainly linked to (i) an insufficient explanation of the scope of the consultation process and its influence over the design and approach of the project, as well as (ii) the role that communities, local governments and NGOs, or universities will play in the implementation of the project/programme and (iii) the lack of consultation of the more vulnerable communities.”¹²

In view of these findings and considering that stakeholder consultation is of high importance for effective adaptation measures, the AFB secretariat drew the conclusion, that concerning the consultative processes that is necessary for the proposal preparation, it seems *“that more guidance to the project/programme proponents may be needed”*.¹³

3.1 Best Practice for a sustainable consultative process in the AF

After review of the 17 projects/ programmes proposals, funded until January 2012¹⁴ it becomes apparent that the description of the consultative processes undertaken in the proposal preparation provides only few and incomplete information. Due to this lack of information it is hardly possible to evaluate the quality of the stakeholder engagement.

In many of the proposals much more detailed information is given about the consultation activities with governmental key stakeholders than with the most vulnerable to adverse climate change effects, thus the targeted beneficiaries of the adaptation measure (as well as their representatives like (local) like NGOs, CSOs, village leaders, etc.).

In many of the AF projects/programmes proposals, consultation with the most vulnerable communities to climate change effects is mentioned - but without any details about the method or extent of the consultation or any information about the results and how they will be implemented in the project/programme design. This could indicate that the basic principles that are essential for sustainable consultation were only marginally considered, or else that these principles were considered but just not described. However, in the AF there are some proposals attracting positive attention concerning the consultation process in the programme design preparation. One of these best practice examples in consultation issues is the proposal of Samoa for the programme *“Enhancing Resilience of Coastal Communities of Samoa to Climate Change”*¹⁵.

¹² AF: The Adaptation Fund Project Review Process: Summary of the Analysis and Lessons Learned (June 2010 – September 2011), p.4, point 11. <http://www.adaptation-fund.org/sites/default/files/LessonsLearnedSummarywithGraphs.pdf>.

¹³ AF: The Adaptation Fund Project Review Process: Summary of the Analysis and Lessons Learned (June 2010 – September 2011), p.4, point 13. <http://www.adaptation-fund.org/sites/default/files/LessonsLearnedSummarywithGraphs.pdf>.

¹⁴ See AF website: http://www.adaptation-fund.org/funded_projects.

¹⁵ See Proposal from Samoa. http://www.adaptation-fund.org/sites/default/files/Resubmission_AF-Samoa_Full_Proposal_10Oct2011_0.pdf.

The adaptation programme in Samoa, funded by the AF, is designed to be complement to the national *Pilot Programme for Climate Resilience* (PPCR). These programmes together shall be a “whole of country” response to the Climate Change Adaptation (CCA). Key target of the programme is to implement the actions recommended in the *Coastal Infrastructure Management (CIM) Plans*.¹⁶ During the development of these CIM Plans an extensive programme of community and affected stakeholder consultation was undertaken. Overall, around 15,000 persons were directly involved in this multi-phase assessment process during the period of 2001-2008. This represents approximately 10% of the total population of the entire country and if the very young and very elderly are excluded approaching 20% of the economically population was involved in the consultation.¹⁷

Besides various governmental stakeholders (mainly ministries), representatives of all key vulnerable groups in the communities - including the matais (men/ women), women and youth groups - were involved in the consultation in frame of the formulation process of the CIM Plan. Beside stakeholder workshops with the public and private sector, village and district meetings were held with relevant communities. For these meetings, documents like coastal hazard maps (i.e., flooding, erosion, landslips and sensitive areas) and other information material was prepared. During the meetings the facilitators (ministry staff and project members) provided an overview of the project scope and discussed generic and site specific climate change issues relating to the coastal environment and the wider catchment area. Focus groups were built to solicit further information, in some cases social divisions were created to ensure that all voices were heard. The meetings took place in due consideration of traditional protocol and with special regard to participation of women and youth. For the consultation at district level village representatives were selected as members of a district-wide group of advisors. The district levels were to discuss the findings from village level and to ensure coordination and integration of thematic needs that are to be prioritized. Additionally to the meetings, site visits and walk-throughs took place to collect data and information for further analysis.

In the finalization phase of the CIM Plan district representatives reviewed the document before formal signing, whereby the CIM Plan became a binding guideline. In the preparation phase of the AF programme a of coordination and scoping meetings were held with various key stakeholders like ministries, the National Climate Change Country Team (NCCCT) and key national agencies and NGO representatives, to seek agreement on the programmatic approach for the proposal, to get inputs on key programme components

¹⁶ See Proposal from Samoa, p. 50, section H., paragraph 201. The CIM plans were developed with help of the Samoa Infrastructure Asset Management Project (SIAM) and the Cyclone Emergency Recovery Programme (CERP), which both as well as promote design standards and codes of environmental practice for road works and coastal protection structures. Through the CIM Plans, the Government and communities have agreed on various solutions to manage coastal infrastructure in times of coastal erosion, flooding and landslides induced by cyclonic activity. These initiatives are now to be extended under PPCR to accommodate inland flooding and watershed management, particularly in light of their effect on coastal infrastructure and works, see proposal, p. 12, paragraph 61. http://www.adaptation-fund.org/sites/default/files/Resubmission_AF-Samoa_Full_Proposal_10Oct2011_0.pdf.

¹⁷ See Proposal from Samoa, p. 50, section H., paragraph 201. http://www.adaptation-fund.org/sites/default/files/Resubmission_AF-Samoa_Full_Proposal_10Oct2011_0.pdf.

and to provide a framework for subsequent consultation. During the formulation phase of the AF programme further stakeholders were consulted.

The description of the consultation processes undertaken in Samoa in frame of the preparation of the CIM Plan (in which the AF programme is integrated) shows up some important aspects of sustainable stakeholder consultation.

Fig. 1: Good practice of consultation process/ Samoa

Consultation principle	Implementation
Wide range of stakeholders with focus on the local communities (most vulnerable)	<ul style="list-style-type: none"> - Village members (incl. most vulnerable as women and youth) - District representatives - Private & public sector - Relevant ministries - NGOs -Multilateral./internat. organisations
Access to information/ awareness rising/	- Information prior to consultation about climate change risks and potential adaptation measures
Target-group-specific consultation	<ul style="list-style-type: none"> - Village meetings - Group and sub-group discussion
Sensible consultation	<ul style="list-style-type: none"> - Respect to trad. protocol - Gender- sensitivity
Bottom-up approach	Village meeting → district meeting (with village representatives) →final draft review by district representatives

Nevertheless, also in some of the other projects/ programmes funded by the AF, it is visible that the stakeholder consultation was undertaken with special regard to the most vulnerable and their adaptation priorities (e.g. Maldives: *Increasing climate resilience through an Integrated Water Resource Management Programme in HA, Ihavandhoo, ADh. Mahibadhoo and GDh*¹⁸). The proposal from Madagascar (*Promoting Climate Resilience in the Rice Sector*¹⁹) provides information about the findings from consultation with the most vulnerable groups. Uruguay (*Uruguay: Helping Small Farmers Adapt to*

¹⁸ See proposal from Maldives, p. 37f. http://www.adaptation-fund.org/sites/default/files/Approved%20Proposal_0.pdf.

¹⁹ See proposal from Madagascar, p. 46f. http://www.adaptation-fund.org/sites/default/files/Madagascar_AF_final.pdf.

Climate Change)²⁰ describes how the most vulnerable perceive the effects of climate change as well as local approval to the envisaged adaptation measures. Far too few information about the consultation with the civil society, especially with the most vulnerable, is for instance provided in the consultation section in the proposal from Mauritius (*Climate Change Adaptation Programme in the Coastal Zone of Mauritius*²¹), most of the provided information refers to consultation with governmental stakeholders.

Samoa was chosen as “best practice” for sustainable consultation for the simple reason that the description of the consultation process is very detailed so that here some key principles of good consultation practice were easy to identify. The extensive scope of the consultation can be affiliated to the fact that the consultation was not exclusive for the AF programme, but rather for the CIM Plan in which the AF programme is integrated. Area-wide consultation involving all important stakeholders like these undertaken in Samoa requires a lot of resources (human&financial) as well as an adequate timeframe.

3.2 9 Key Principles of a sustainable consultation process

Based on the valuable lessons learned drawn from the best practice example of Samoa and guided by an in-depth analysis of existing guidelines and principles on stakeholder engagement from various international institutions and programmes, such as UNDP, IFC, WB, AfDB, UN WomenWatch, CIEL, Earthjustice or UN-REDD, the following lessons learned regards to consultation processes within in the AF can be stated:

- Stakeholder consultation should not be done merely to meet external requirements
- A consultation that is designed and implemented in a technocratic top-down manner with an already conceptualised adaptation design without understanding of the local context and adequate consideration of the voices and situation of the most vulnerable to climate change will assuredly not produce successful adaptation measures
- Adaption to climate change takes place local, therefore a participative bottom-up approach of consultation is necessary
- Taking account of local views, expertise, knowledge, concerns, needs, and priorities, especially of those individuals who are most affected by climate change impacts through participation and consultation processes ensures that adaptation activities will effectively improve living conditions and therefore strengthen adaptation capacities and resilience to climate change impacts as well as sustainable ecological, economical and social development

²⁰ See proposal from Uruguay, p. 51f. http://www.adaptation-fund.org/sites/default/files/Uruguay%20Building%20Resilience%20to%20CC%20AF%20Project%20Uruguay%20-%20MGAP%20Nov%202011_0.pdf.

²¹ See proposal from Mauritius, p. 40f. <http://www.adaptation-fund.org/sites/default/files/Project%20document%20for%20Mauritius%20as%20of%20Oct%202024.pdf>.

Recording to these lessons learned from the best praxis example of Samoa and analysis of existing guidelines of consultation processes from other fields, nine key principles for a sustainable consultation process within the AF can be derived. These nine principles have all a specific relevance for the AF due to their linkages to issues such as sustainability, climate change (adaptation), vulnerable groups and developing countries.

1. Identify relevant key stakeholders

Sustainable stakeholder consultation begins with a careful identification of stakeholders who have to be involved in the project/ programme.

Stakeholders can be defined as „[...] any group of people, organized or unorganized, who share a common interest or stake in a particular issue or system; they can be at any level of position in society, from global, national to regional concerns down to the level of household or intra-household, and be groups of any size or aggregation“²²

In adaptation measures stakeholders are those groups or individuals who

- are affected by adverse climate change effects (direct or indirect) – in case of AF funded projects/ programmes those who are the most vulnerable
- are affected by the adaptation measure (direct or indirect)
- have the potential to influence the project/ programme (direct or indirect)
- “interests” in the adaptation activities (direct or indirect)

2. Ensure early engagement of stakeholders

Involving stakeholders at an early stage in the programme/ project designing is substantial to ensure commitment and ownership of the adaptation programme, especially at the community level and to make sure that the envisaged adaptation measures will meet the local needs. Ideally stakeholder engagement should commence at the earliest stage of the project development and lead to the preparation of a project proposal. Furthermore, in communities many autonomous adaptation measures are already taking place so that the wealth of traditional knowledge might provide a basis for the design of the program’s adaptation measures. First and foremost it is important to involve those stakeholders who should be the direct beneficiaries of adaptation measures - the most vulnerable to climate change impact, like women and children, (bottom-up approach). But in large-scale programme-based approaches, like climate change adaptation measures, key stakeholders

²² Grimble, R., Wellard, K. (1997): Stakeholder Methodologies in Natural Resource Management: a Review of Principles, Contexts, Experiences and Opportunities. *Agricultural Systems*, 55, p. 175.

from government, the private sector, civil society, non-governmental organizations, academia and international development organizations, are likewise important to incite.²³

3. Develop Stakeholder Engagement Plan

In wide-ranging consultation processes like those which are necessary for AF projects/programmes, it is useful to make a Stakeholder Engagement Plan to ensure a well organised and productive consultation. Such a plan should describe regulations, requirements and financing and provide a strategy and timetable for sharing information and consulting with each of the stakeholder groups. This plan should also describe resources, responsibilities and techniques for implementing stakeholder engagement activities as well as how these activities will be incorporated into the project's/programme's management system – because stakeholder consultation should go beyond the preparation of the adaptation programme. Stakeholder engagement should be integrated during the whole project cycle as an ongoing process, including monitoring and evaluation to ascertain how far the consultation findings are incorporated in the adaptation project/programme and if the impacts match the adaptation requirements.²⁴

4. Provide meaningful opportunities for stakeholders participation

It is necessary to give adequate, timely and effective notice to local stakeholders as well as to facilitate access to the consultation process. To foster willingness and feasibility to participate in the consultation process, the mode of consultation is critical. Members of poor and marginalized communities may face barriers that may make it difficult for them to participate in the consultation process (illiterate, lack access to information and communication channels, or incur high costs of access). Any potential costs or other barriers must be minimized to encourage, rather than hinder, local stakeholder to participate.²⁵

Occasionally climate change is an emotional issue. Some people do not want to face up with the impacts of climate change. Some are afraid, feel helpless and block out the urgent need of action and as a consequence the opportunity for action. Therefore it is of high relevance to proceed sensitively. Increase awareness, providing relevant information, showing up potential solutions can help to build trust, to engage stakeholders to participate in the consultation and to assume ownership for local adaptation measures.

²³ Cf. United Nations Development Programme (UNDP), Environment and Energy Group/Environmental Finance, Bureau of Development Policy (2010): A Toolkit for Designing Climate Change Adaptation Initiatives, p. 44. http://www.undp-adaptation.org/projects/websites/docs/KM/PublicationsResMaterials/UNDP_Adaptation_Toolkit_FINAL_5-28-2010.pdf.

²⁴ International Finance Cooperation (IFC), World Bank Group (2007): Stakeholder Engagement: A Good Practice Handbook for Companies Doing Business in Emerging Markets, p. 156.

²⁵ See Center for International Environmental Law (CIEL)/ Earthjustice: Joint Submission on the Implementation of local Stakeholder Consultation and Global Stakeholder Consultation During the Validation Process of the CDM, 15 August 2011, p.3. http://cdm.unfccc.int/public_inputs/2011/eb62_02/cfi/0IF4MXF0OHYLB6444AXOWS729TB0XX. See generally Joseph Foti/ Lalanath de Silva (May 2010): A Seat at the Table: Including the Poor in Decisions for Development and Environment (May 2010), http://pdf.wri.org/a_seat_at_the_table.pdf.

5. Use target-group-specific consultation methods

Methods used in stakeholder consultation processes should be tailored to target audience, depending on if it is disclosure, communication or consultation. Providing (beforehand) basic and relevant information about the current and future climate change effects and potential adaptation measures including envisaged impacts, will enable stakeholders to prepare themselves to make informed judgments and decisions about changes that will affect their living conditions. Information provided to local stakeholders should be detailed, in non-technical terms, translated into the local language(s) and distributed by appropriate and effective means (e.g., in community centers, churches, libraries, schools and media). If a significant part of the population is illiterate, then the information must be provided orally (e.g., through in-person meetings and radio)²⁶.

Means of information distribution/ communication are²⁷:

- newspapers, posters, radio, television
- information centres and exhibitions or other visual displays
- brochures, leaflets, posters, non-technical summary documents and reports
- surveys, polls, and questionnaires (telephone hotline)
- public events
- workshops, and/or focus groups with specific groups
- presentations to existing groups/ public+ discussion
- open day information session
- local community group meetings (convened or attendance of existing meetings)
- community events
- submissions from stakeholders
- interviews with stakeholder representatives and key informants/ individuals
- participatory methods
- other traditional mechanisms for consultation and decision-making²⁸

6. Make consultation gender sensitive

²⁶ See Center for International Environmental Law (CIEL)/ Earthjustice: Joint Submission on the Implementation of local Stakeholder Consultation and Global Stakeholder Consultation During the Validation Process of the CDM, 15 August 2011, p.3.

http://cdm.unfccc.int/public_inputs/2011/eb62_02/cfi/0IF4MXF0OHYLB6444AXOWS729TB0XX. See generally Joseph Foti/ Lalanath de Silva (May 2010): A Seat at the Table: Including the Poor in Decisions for Development and Environment (May 2010), http://pdf.wri.org/a_seat_at_the_table.pdf.

²⁷ For detailed information about key points, advantages and disadvantaged of communication tools see The World Bank, Civil Society Team (February 2007): Consultations with Civil Society, A Source Book, Working Document, p.29.

http://siteresources.worldbank.org/CSO/Resources/ConsultationsSourcebook_Feb2007.pdf.

²⁸ For further information see: The World Bank, Civil Society Team (February 2007): Consultations with Civil Society, A Source Book, Working Document, p.30-39.

http://siteresources.worldbank.org/CSO/Resources/ConsultationsSourcebook_Feb2007.pdf.

With regard to the different roles of men and women within the private and public sphere in many societies and communities gender sensitivity is urgently recommended. Women and men often have different perspectives and different priorities. Women pertain to the group of the most vulnerable to climate change impacts due to their common responsibility for water and food procurement and therefore dependence to natural resources. Consultation that seeks out the perception of women will give a more complete picture of the prevailing situation and increase awareness of gender dynamics within a community. These gender dynamics could be intensified through climate change effects or – unintended - through project effects. Considering gender-specific information and potential project impacts in the project design preparation is obligatory – additional, gender mainstreaming can be promoted within the adaptation measure.²⁹

7. Take care of special guidelines for consultation with indigenous people

For the consultation with indigenous people there are some special guidelines defined, like the “right to participate in decision making in matters which would affect their rights”³⁰ or the principle of free, prior and informed consent (FPIC)³¹ in the *United Nations Declaration on the Rights of Indigenous Peoples*. For countries that have signed this UN- Declaration the principles are binding. A further consultation requirement under the *ILO – Convention 169 on Indigenous & Tribal Peoples* is to “consult the people concerned, through appropriate procedures”.³²

8. Document the entire stakeholder consultation process

The documentation of the stakeholder engagement and results of consultation is absolutely essential for an effective implementation of the process. Keeping track of the “who, what, when, and where” helps to prevent that key stakeholders are banned from the process. Particular attention should be paid to stakeholders who will be or were consulted by third parties. Any commitments made to stakeholders should also be recorded. A careful documentation can assist to demonstrate to stakeholders that their views have been considered – additional, it is a useful resource for reporting back to stakeholders how their concerns will be implemented in the project/programme.

²⁹ For further information about the linkage between women, gender and climate change see: UN Women-Watch: Women, Gender Equality and Climate Change, Fact Sheet: http://www.un.org/womenwatch/feature/climate_change/downloads/Women_and_Climate_Change_Factsheet.pdf

³⁰ See United Nations Declaration on the Rights of Indigenous Peoples, Art. 18. http://www.un.org/esa/socdev/unpfii/documents/DRIPS_en.pdf.

³¹ See United Nations Declaration on the Rights of Indigenous Peoples, Art. 19. http://www.un.org/esa/socdev/unpfii/documents/DRIPS_en.pdf.

³² See Convention 169 on Indigenous & Tribal Peoples, Art. 6 (a). <http://www.ilo.org/ilolex/cgi-lex/convde.pl?C169>

9. Establish a grievance mechanism

It is also a good idea to establish a grievance mechanism, where people affected by the project can bring their grievances for consideration and redress. The usage of such a mechanism calls for regulation in terms of received grievances, processing and response to the complainant. In general, a good overall stakeholder engagement process and provided access to information will help to prevent grievances from arising.

4 Recommendations

After the review of the consultation processes undertaken in the preparation phase of projects/programmes financed under the AF until January 2012 and with reference to the statement of the AFB Secretariat³³ it is clear, that consultative processes within the AF can be considered as one of the key weaknesses of developing AF proposals. These weaknesses have been identified by the AF project review process pointing out the following deficiencies.

→ ”insufficient explanation of the scope of the consultation process and its influence and approach of the project”

→ ” insufficient explanation of the role that communities, local governments and NGOs, or universities will play in the implementation of the project/programme”

→ “the lack of consultation of the more vulnerable communities”

Taking into account these deficiencies and following the conclusion of the AFB Secretariat that more guidance to project/programme proponents may be needed three recommendations to address the deficiencies can be given:

1. **Underline the importance of stakeholder consultation**
2. **Concretise the requirements for consultation processes**
3. **Provide guidelines for a meaningful consultation**

1. Underline the importance of stakeholder consultation

- **The AFB should integrate the stakeholder consultation processes as an appraisal criterion**
 - in the *Strategic Priorities, Policies and Guidelines of the Adaptation Fund adopted by the CMP*³⁴ (paragraph 16) in the following way:
 - sustainable stakeholder consultation processes with special regard to the involvement of the most vulnerable
 - in the *Adaptation Fund Project/Programme Review Criteria*³⁵, (section Project Eligibility) in the following way

³³ See: The Adaptation Fund Project Review Process: Summary of the Analysis and Lessons Learned (June 2010 – September 2011), p.4, point 11. <http://www.adaptation-fund.org/sites/default/files/LessonsLearnedSummarywithGraphs.pdf>.

³⁴ See Strategic Priorities, Policies and Guidelines of the Adaptation Fund adopted by the CMP, paragraph 16., in: Operational Policies and Guidelines for Parties to Access Resources from the Adaptation Fund, Annex 1, paragraph 16: <http://www.adaptation-fund.org/sites/default/files/OPG%20Revised%209.15.11%20%28with%20annexes%29.pdf>. In the Adaptation Fund Board Secretariat Technical Review of Project/ Programme Proposal the consultation process is included as a review criterion, see Adaptation Fund Board Secretariat Technical Review of Project/ Programme Proposal, see Project Eligibility review criterion 9., in: Operational Policies and Guidelines for Parties to Access Resources from the Adaptation Fund, Appendix C. <http://www.adaptation-fund.org/sites/default/files/OPG%20Revised%209.15.11%20%28with%20annexes%29.pdf>.

³⁵ Adaptation Fund Project/Programme Review Criteria :http://www.adaptation-fund.org/system/files/file/AF_Project%20Review%20Criteria.pdf.

- Does the project/ programme comprise meaningful stakeholder consultation processes (with special regard to the most vulnerable) in the designing/ implementation and evaluation stage?³⁶

- **The AFB should pay special attention to stakeholder consultation processes as a review criterion** in order to reward projects/ programmes which are based on extensive, meaningful and sustainable consultation processes with broad and strong participation, especially of the most vulnerable to climate change impacts.

2. Concretise the requirements for consultation processes

- **The AFB should build consistency in the AF documents** concerning the formulation of the request to the proponents to describe the consultative processes undertaken during project design.

In the proposal template, included in the *Operational Policies and Guidelines for Parties to Access Ressources from the Adaptation Fund*, the formulation is:

“Describe the consultative process, including the list of stakeholders consulted, undertaken during project preparation, with particular reference to vulnerable groups, including gender considerations.”³⁷

In the proposal form, available at the AF website, the formulation is another:

“Describe the consultative process, including the list of stakeholders consulted, undertaken during project preparation.”³⁸

→ the reference to vulnerable groups and gender considerations is missing

- **The AFB should request the proponents to provide a documentation of the stakeholder engagement**, covering a list of relevant details to receive more information about the consultation undertaken during the project/ programme (preparation). The documentation should comprise the following issues:
 - consultation inception and periods
 - list of stakeholders (principles of choice, role ascription)

³⁶ The AF Project and Programme Review Committee (PPRC) already drew attention to point in June 2010. See: AFB/PPRC.1/11/Rev.1. http://adaptation-fund.org/system/files/AFB.PPRC_.1.11.Rev_.1%20Report%20by%20the%20secretariat%20on%20project%20review.final_.pdf. In the *Adaptation Fund Board Secretariat Technical Review of Project/ Programme Proposal the consultation Process* in the preparation phase is included, see *Adaptation Fund Board Secretariat Technical Review of Project/ Programme Proposal the consultation Process*, Project Eligibility Criterion 9 in: *Operational Policies and Guidelines for Parties to Access Ressources from the Adaptation Fund*, Appendix C. <http://www.adaptation-fund.org/sites/default/files/OPG%20Revised%209.15.11%20%28with%20annexes%29.pdf>.

³⁷ See *Operational Policies and Guidelines for Parties to Access Ressources from the Adaptation Fund*, Part II: Project/ Programme Justification, par. H., <http://www.adaptation-fund.org/sites/default/files/OPG%20Revised%209.15.11%20%28with%20annexes%29.pdf>.

- catchment area (explanation)
- consultation techniques (target-group-specific)
- consultation findings
- influence of the findings over the project design
- (potential) implementation of the results
- grievance mechanism

These issues have to be described with special regard to the involvement and meaningful participation of the most vulnerable to climate change.

- **the AFB should require the incorporation of stakeholder consultation in all stages of the project/ programme.** Up to now consultation processes in the AF are solely required for the designing of the project/ programme. But stakeholder consultation should be an ongoing process during all project/ programme stages (designing/ implementation/ evaluation).

3. Provide guidelines for a meaningful consultation

- **The AFB should establish key criteria for sustainable participatory consultation processes** in line with those presented in this document and provide these principles as a guideline for consultation.
 - In the consultation guidelines there should be a definition of “stakeholder”. This definition should highlight the most vulnerable to climate change effects as the most important key stakeholder within the context of the AF.
 - These guidelines should also include and explain the above mentioned issues of the required consultation documentation (see →2).
 - Furthermore, the guidelines should give explanation of good practice and further information to strengthen the insight for the importance and positive impacts of meaningful and sustainable consultation within AF projects/ programmes.

³⁸ See Request for Project/Programme Funding from Adaptation Fund (Form) or AF website, Proposal Submission Materials, <http://www.adaptation-fund.org/page/proposal-submission-materials>.

5 Abbreviations

AF	Adaptation Fund
AFB	Adaptation Fund Board
AFB Secretariat	Adaptation Fund Board Secretariat
AfDB	African Development Bank
CCA	Climate Change Adaptation
CDM	Clean Development Mechanism
CIEL	Center for International Environmental Law
CSO(s)	Civil Society Organisation(s)
CIM	Coastal Infrastructure Management
FPIC	free, prior and informed consent
IFC (World Bank Group)	International Finance Corporation
ILO	International Labour Organisation
LDCs	Low Developing Countries
NCCCT	National Climate Change Country Team
NGO(s)	Non Governmental Organisation(s)
SIDs	Small Island Developing States
UNFCCC	United Nations Framework Convention on Climate Change
UNDP	United Nations Development Programme
UN-REDD	United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries
PPCR	Pilot Programme for Climate Resilience

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