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REVIEW OF GEF AGENCIES' POLICIES, PROCEDURES, AND GUIDELINES ON STAKEHOLDER ENGAGEMENT

INTRODUCTION

1. This report was prepared by Bruce Jenkins, consultant hired by the GEF Secretariat to assist the work of the Working Group on Public Involvement.
2. The Working Group was established in June 2015 including GEF Agencies, members of the GEF CSO network, a member of the GEF's Indigenous Peoples Advisory Group, Operational Focal Points, the Independent Evaluation Office and Council Members. The purpose of the Working Group is to review the GEF's Public Involvement Policy (PIP), the Guidelines for the Implementation of the Public Involvement Policy, and the quality of public involvement activities implemented under or in accordance with the Policy.
3. The Working Group met in person for the first time in the margins of the 48th GEF Council in June 2015. During this meeting the Working Group approved its terms of reference, which included a review of the GEF Public Involvement Policy and formulating recommendations, including changes if necessary and ways to achieve more effective implementation of public involvement activities in GEF's operations.
4. In order to support the tasks of the Working Group, the GEF Secretariat hired a consultant to review the implementation of the Public Involvement Policy in GEF projects and programs. The purpose of the review was: a) to analyze the compatibility of GEF Agencies' policies and procedures with the Public involvement Policy, the Guidelines, and public involvement elements of other GEF policies; b) to propose actionable measures to enhance the current Policy and associated guidelines as well as their implementation by GEF agencies and other stakeholders; c) to compile GEF Agencies' best practices regarding stakeholder engagement issues; and d) to provide recommendations for improvement.
5. The Working Group on Public Involvement agreed to present this report to the Council as an information document.

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EXECUTIVE SUMMARY

1. Stakeholder engagement is a central tenet of GEF's approach to project and program development. GEF's founding document from 1994 states that all GEF-financed projects will "provide for full disclosure of non-confidential information, and consultation with, and participation as appropriate of, major groups and local communities throughout the project cycle" (Instrument for the Establishment for the Restructured Global Environment Facility, para. 5).
2. In 1996 the GEF adopted the Policy on Public Involvement in GEF Projects (PIP) that elaborated guiding principles and requirements concerning consultation, participation, and information disclosure in GEF projects.¹ In 2014 GEF adopted implementation guidelines to support and elaborate the PIP's requirements.² In addition, the GEF Secretariat has adopted procedures and templates to promote consideration of stakeholder engagement in project and program proposals.
3. The GEF Partnership has significantly expanded in recent years. The number of GEF Partner Agencies has now grown to 18, each with its own policies and practices regarding stakeholder engagement.³ The types, scale and complexity of GEF-supported operations have also grown. These and other developments have raised questions regarding how GEF can best ensure consistency with its requirements for stakeholder engagement in GEF-supported projects and programs, and whether those requirements should be updated.
4. The purpose of this review has been to:
 - review the compatibility of Agency policies and procedures with the PIP, the PIP Implementation Guidelines, and public involvement elements of other GEF policies;
 - propose actionable measures to enhance the current PIP and associated guidelines as well as their implementation by GEF agencies and other stakeholders;
 - compile Agencies' best practices regarding stakeholder engagement issues;

¹ Available at <https://www.thegef.org/gef/node/1215>.

² GEF, Guidelines for the Implementation of the Public Involvement Policy, available at https://www.thegef.org/gef/policies_guidelines/public_involvement.

³ This report utilizes the term "GEF Agencies" or "Agency" for simplicity. Eighteen agencies are now considered "GEF Partner Agencies." The following ten Agencies have been implementing GEF projects prior to 2012, and thus, are often referred to as the ten "GEF Agencies": the U.N. Development Programme (UNDP), U.N. Environment Programme (UNEP), the World Bank (IBRD/IFC), the African Development Bank (AfDB), the Asian Development Bank (ADB), the European Bank for Reconstruction and Development (EBRD), the Food and Agriculture Organization of the United Nations (FAO), the Inter-American Development Bank (IDB), the International Fund for Agricultural Development (IFAD), and the U.N. Industrial Development Organization (UNIDO). Eight further agencies have been added after successfully completing the Accreditation Pilot which began in 2012, and are referred to as "GEF Project Agencies:" World Wildlife Fund, Inc. (WWF-US), Conservation International (CI), the Development Bank of Southern Africa (DBSA), the International Union for Conservation of Nature (IUCN), the Brazilian Biodiversity Fund (FUNBIO), Foreign Economic Cooperation Office of the Ministry of Environmental Protection of China (FECO), the Development Bank of Latin America (CAF), and the Development Bank of Western Africa (BOAD).

- review the monitoring practices of public involvement in GEF operations and processes; and
- provide recommendations for improvement.

5. Part I summarizes top-level recommendations from a benchmarking analysis between Agency policies and procedures and the PIP, the Implementation Guidelines, and other relevant GEF policies (Annex 1). Good practice examples are highlighted. The analysis in Part I is further supported by Annex II, which contains a two-part analysis regarding (a) Agency consideration and GEF review of stakeholder engagement in GEF project proposals, and (b) disclosure of project documentation for GEF-approved projects (encompassing both Agency and GEF Secretariat disclosure). Annex III summarizes key aspects of Agency access to information policies as well as disclosure practices that would enable stakeholders to determine whether GEF is supporting a project/program.

6. Part II reviews the GEF Secretariat's systems for reviewing and tracking stakeholder engagement during the project development and approval processes, also supported in part by the analysis in Annex 2. A series of recommendations are offered to better align these processes with the PIP and PIP Implementation Guidelines.

7. Part III summarizes the results of a questionnaire regarding the PIP and stakeholder engagement that was distributed at Expanded Constituency Workshops (ECWs) from February to May 2016. Annex 4 provides further details on the questionnaire results, and Annex 5 contains the data file for tabulating questionnaire results.

8. Part IV summarizes a review of GEF's Public Involvement Policy and presents a range of issues and questions that should be considered as the PIP Working Group develops an action plan and/or set of recommendations for strengthening stakeholder engagement in GEF projects and programs, including potentially updating the PIP.

Limitations and Outstanding Issues

9. Several issues regarding the limitations and outstanding issues of this report need to be mentioned:

- (a) The report focuses on GEF Full-Sized Projects (FSPs) and Medium-Sized Projects (MSPs), not on the GEF Small Grants Program (SGP) which, by design, involves extensive stakeholder participation.
- (b) Role and support for Operational Focal Points: The report does not cover the role of OFPs in strengthening stakeholder engagement in GEF projects and programs. The original terms of reference did not specify this dimension of the work; however, it was raised as a point of interest in the PIP Working Group's teleconferences and in the ECW questionnaire results. Further attention to this issue may be required.

- (c) Focus on implementation monitoring and reporting: Due to constraints on time and the large volume of materials to review, the report focuses largely on how stakeholder engagement is addressed in the GEF project development and approval processes. It has not been possible to review the critical issue of how stakeholder engagement is reported in Agency implementation reports, GEF's Annual Monitoring Report (AMR), or in project evaluations. Further work may be required to examine these issues.
- (d) Issue of on-lending and subprojects: GEF may need to consider whether expanded due diligence is required for tracking implementation of stakeholder engagement requirements in operations that on-lend GEF resources to financial intermediaries (for example, this is a common mechanism in EBRD's GEF program). Lines of accountability and compliance become more difficult to track and enforce in such situations. GEF should consider how it would like to ensure that its PIP requirements and guidelines are being followed in intermediary operations. Similarly, heightened due diligence may be required for GEF-supported programs that entail a wide range of subprojects ("Child projects") which may lack specificity regarding potential stakeholders and on-the-ground activities.
- (e) 5. Recommendations from the ECW questionnaire: Many issues raised by the ECW questionnaire results (see Part III) are addressed in various sections and recommendation of the report. Some important issues, however, are not fully addressed due to time/mandate constraints. For example, ECW stakeholder groups identified inadequate funding as a critical barrier for more effective public involvement. The issue of financing stakeholder engagement is not addressed in detail (beyond the need for inclusion in stakeholder engagement plans and project budgets). This and other issues raised by the ECW questionnaire may require further attention.

Summary of Recommendations

➤ **Recommendation 1. Ensure stakeholder engagement requirements apply to ALL projects/programs**

- 1.1 Establish stakeholder engagement as a core policy objective and ensure application to all operations at appropriate level and scale
- 1.2 Ensure stakeholder analysis and development of an engagement strategy is embedded in mandatory project development processes and templates
- 1.3 Consider including alignment with GEF PIP in future monitoring of Agency compliance with GEF policies

➤ **Recommendation 2. Require development of stakeholder engagement plans**

- 2.1 Extend requirement for development of appropriately scaled stakeholder engagement plans to all projects, if not already applicable
- 2.2 Clarify minimum criteria to be addressed in a stakeholder engagement plan
- 2.3 Include budget allocations for stakeholder engagement throughout the project cycle
- 2.4 Require that stakeholder engagement plans be consulted and disclosed

➤ **Recommendation 3. Facilitate and strengthen access to GEF project/program information**

- 3.1 Ensure that project stakeholders can identify GEF's support for project/program
- 3.2 Ensure disclosure of project documents on website from early project stages and strengthen consistency in posted project documents
- 3.3 Provide well-defined procedures for requesting and responding to information requests

➤ **Recommendation 4. Revise GEF's templates, review, and tracking systems for stakeholder engagement in GEF project development and approval**

- 4.1 Revise "stakeholders" sections of PIF and CEO Endorsement/Approval Templates
- 4.2 Consider development of minimum criteria for reviewing stakeholder engagement in PIFs and CEO Endorsement/Approval requests
- 4.3 Revise stakeholder question in PIF Review Sheet
- 4.4 Add stakeholder question to CEO Endorsement/Approval section of Review Sheet
- 4.5 Consider staff training module to strengthen consistency in reviewing stakeholder engagement in project proposals
- 4.6 Revise PIF and CEO Endorsement/Approval Templates to better track "co-execution" agencies
- 4.7 Revise PMIS in order to systematically track CSO co-execution of projects

4.8 Provide Agency Project ID numbers and weblinks to Agency project pages on GEF's project webpages

➤ **Recommendation 5. Strengthen GEFSEC access to information policy and practices**

5.1 Ensure consistent posting of all available project information

5.2 Unify practices regarding disclosure of FSP and MSP project documentation prior to approval

5.3 Strengthen GEF's procedures for requesting information to include timelines and process guarantees

5.4 Consider adoption of an up-to-date GEF access to information policy

➤ **Recommendation 6. Develop a plan for revising GEF's Public Involvement Policy**

Part I. Agency Policies and Procedures Regarding Stakeholder Engagement

Recommendation 1. Policy requirements regarding stakeholder engagement should apply to ALL projects

1. In designing and implementing projects and programs, the PIP and PIP Implementation Guidelines require Agencies to identify stakeholders and to promote their active participation throughout the project cycle (PIP, para. 8; PIP IG, para. 37). This requirement applies to all GEF-supported projects.
2. As set out in the Policy, effective public involvement is critical to the success of GEF-financed projects by enabling projects to build on stakeholder knowledge and expertise and fostering local engagement and ownership, in support of broader environmental and sustainable development objectives” (PIP para. 2, PIP IG, para. 37).
3. GEF’s broad-based requirement for public involvement – which encompasses information dissemination, consultation, and stakeholder participation – in projects as well as programs (as clarified by the PIP IG, paras. 35ff) applies to all supported operations, distinct from the level of potential social and environmental risks and impacts.
4. Clearly, the scale of stakeholder engagement in projects and programs should reflect the level of stakeholder interest in and concern with proposed interventions. Projects with potential adverse social and environmental impacts on affected communities naturally require extensive forms of stakeholder involvement throughout the project cycle. However, stakeholders may also have notable interest in and/or concerns with projects that may not present potential adverse risks but are designed solely to deliver social and environmental benefits.
5. Stakeholder engagement in GEF’s PIP and PIP IG is not conceptualized primarily as a measure to mitigate a project’s potential adverse social and environmental impacts but as an objective in its own right to strengthen outcomes of GEF-supported interventions. Although not specifically referenced, GEF’s requirements for public involvement reflect those embedded in Principle 10 of the Rio Declaration on Environment and Development.^{4 5}

⁴ Principle 10 states that “[e]nvironmental issues are best handled with participation of all concerned citizens, at the relevant level. At the national level, each individual shall have appropriate access to information concerning the environment that is held by public authorities, including information on hazardous materials and activities in their communities, and the opportunity to participate in decision-making processes. States shall facilitate and encourage public awareness and participation by making information widely available. Effective access to judicial and administrative proceedings, including redress and remedy, shall be provided.” Rio Declaration on Environment and Development, 1992, at <http://www.unep.org/documents.multilingual/default.asp?documentid=78&articleid=1163>.

⁵ A regional convention for the implementation of Principle 10 has been adopted in Europe (the Aarhus Convention, 1998, at <http://www.unece.org/env/pp/introduction.html>) and is under consideration in Latin America & the Caribbean, see <http://www.cepal.org/rio20/noticias/paginas/8/48588/Declaracion-eng-N1244043.pdf>, and <http://www.cepal.org/cgi->

6. Annex 1 contains the mapping exercise of Agency policies in relation to GEF’s stakeholder engagement requirements as outlined in the PIP, PIP IGs, and other relevant GEF policies. The analysis shows that while some Agencies apply stakeholder engagement requirements broadly (e.g., regardless of a project’s social and environmental risk categorization), the relevant policy requirements of a number of Agencies are linked primarily to the assessment of potential adverse social and environmental impacts and development of mitigation and management measures, and thus may not be triggered for projects categorized as presenting low social and environmental risks (summarized below):

“Broad” scope of stakeholder engagement policy requirements	CI, FUNBIO, FAO, IUCN, UNDP, UNEP, WB (draft safeguards)
More “narrow” scope of stakeholder engagement policy requirements (e.g. moderate/high risk projects)	ADB, AfDB, BOAD, CAF, DBSA, EBRD, FECO, IDB, IFAD, UNIDO, WWF-US, WB (current safeguards)

7. This finding does not necessarily lead to the conclusion that stakeholder engagement in low risk projects is not considered by those Agencies with more “narrow” stakeholder engagement policy requirements. As noted in the good practice examples below, stakeholder engagement issues for all projects may be addressed to some degree at the procedural level. Nevertheless, the finding of a “policy gap” between GEF and some Agencies in terms of the scope of stakeholder engagement requirements is relevant: for low risk projects, stakeholder engagement, particularly in the early phase of project design, may be considered less relevant – and thus be underdeveloped – since it is not a policy requirement. This may help explain to some degree the wide variations and at times gaps in the treatment of stakeholder engagement in many GEF-supported projects, as revealed in the review of GEF project documents (see Annex 2).

Good practice examples

8. As indicated in the Annex 1 mapping exercise, the policies of a number of Agencies clearly state that stakeholder engagement requirements apply to all projects. Ideally stakeholder identification and engagement should be required elements of the project development process. Some Agencies broadly apply the stakeholder engagement requirements contained in their social and environmental safeguard policies (e.g., also to low risk projects). In addition, some Agencies, including those with a more “narrow” scope of stakeholder engagement requirements, reinforce attention to stakeholder engagement in all supported projects at the procedural level. Below are some good practice examples (non-comprehensive):

Project development requirements:

- UNDP requires stakeholder analysis and participation in “justifying” and “defining” projects in its overarching, mandatory Programme and Operations Policies and Procedures (POPP).

Box 1. ADB Initial Poverty and Social Analysis template (sec. III)

1. Who are the main stakeholders of the project, including beneficiaries and negatively affected people? Identify how they will participate in the project.
2. How can the project contribute (in a systematic way) to engaging and empowering stakeholders and beneficiaries, particularly, the poor, vulnerable and excluded groups? What issues in project design require participation of the poor and excluded?
3. What are the key, active, and relevant civil society organizations in the project area? What is the level of civil society organization participation in project design? (info. sharing, consultation, collaboration, partnership)
4. Are there issues during project design for which participation of the poor and excluded is important? What are they and how will they be addressed?

Social and Environmental Safeguard Policies/Frameworks:

- Conservation International: “CI’s policy on stakeholder engagement ... is applicable to all CI-GEF funded projects” (CI ESMF Policy 9: Stakeholder Engagement, para. 87).
- FAO: Stakeholder engagement, including indigenous people, disadvantaged and vulnerable groups ... is required in designing, implementing and monitoring individual projects and subprojects “(FAO ESMG, para. II.7).
- World Bank: The draft Environmental and Social Framework (ESF) would apply stakeholder engagement requirements to all investment projects.⁶
- UNDP: “UNDP is committed to ensuring meaningful, effective and informed participation of stakeholders in the formulation and implementation of UNDP Programmes and Projects” (UNDP SES Policy Delivery Process: Stakeholder Engagement and Response, para. 12).

Procedures, quality assurance and templates:

⁶ The World Bank’s draft Environmental and Social Framework (ESF) is expected to be adopted in 2016. The ESF applies to investment project lending which encompasses GEF-supported projects. The ESF would not apply to the WB’s policy development or “Program-for-Results” lending. See <https://consultations.worldbank.org/consultation/review-and-update-world-bank-safeguard-policies>.

- World Bank: Project Appraisal Document (PAD) template asks about stakeholder involvement in project development and implementation (PAD Template sec. 4b). Integrated Safeguards Data Sheet (ISDS) is prepared for all investment projects and includes section on stakeholder consultations.
- ADB: stakeholder identification and consultations outlined early in the Initial Poverty and Social Analysis (IPSA), which is prepared for each project (except TA) (see Box 1).
- UNDP: Project Document Template requires identification of stakeholders and an outline of an engagement strategy (UNDP Project Document Template Section III) (template incorporated into mandatory POPP).
- UNEP Project Quality Standards and Review Criteria: “Stakeholders: The project must clearly identify stakeholders, including target groups and beneficiaries and articulate the engagement to be undertaken with stakeholders in the planning process (such as through the application of the Free Prior Informed Consent (FPIC) with indigenous and local communities residing in the project area and who are dependent of its natural resources), as well as during project implementation” (UNEP Programme Manual, sec. 4c).
- IFAD: SECAP Review Note (screening tool) includes sections on participation and summaries of consultations separate from risk categorization (SECAP Annex 1.1).

Stakeholder engagement in the structure of safeguard policies

9. An emerging good practice in the development of Agency safeguard policy frameworks is to establish stakeholder engagement and information dissemination as a distinct policy standard, with cross-cutting application to all projects. Such a structure helps to raise stakeholder engagement to an objective in its own right and not solely subsumed as an instrumental means for addressing requirements of other safeguard standards (e.g. social and environmental assessment, indigenous peoples, resettlement, which of course further specify stakeholder engagement requirements). For example:

Box 2: World Bank Environmental and Social Standard 10. Stakeholder Engagement and Information Disclosure (second draft, 1 July 2015)

Objectives

- To establish a systematic approach to stakeholder engagement that will help Borrowers identify stakeholders and build and maintain a constructive relationship with them, in particular project-affected communities.
- To assess the level of stakeholder interest and support for the project and to enable stakeholders’ views to be taken into account in project design and environmental and social performance.
- To promote and provide means for effective and inclusive engagement with project-affected parties throughout the project life-cycle on issues that could potentially affect them.
- To ensure that appropriate project information on environmental and social risks and impacts is disclosed to stakeholders in an accessible and appropriate manner format.
- To provide project-affected parties with accessible means to raise issues and grievances, and allow Borrowers respond to and manage such grievances.

- World Bank's draft Environmental and Social Framework (ESF) would establish a distinct standard on "Stakeholder Engagement and Information Disclosure" that articulates objectives beyond those related to mitigation of potential adverse impacts (see Box 2).
- Conservation International includes "Policy 9: Stakeholder Engagement" in its Environmental and Social Management Framework (ESMF).
- EBRD's Environmental and Social Policy (ESP) includes "Performance Requirement 10: Information Disclosure and Stakeholder Engagement."

10. GEF Agencies periodically review and update their policies relevant to stakeholder engagement in projects and programs (e.g. safeguards, access to information, gender). GEF is currently considering how best to monitor Agency compliance with relevant GEF policies as policies are updated.⁷ With varying policy provisions among Agencies regarding stakeholder engagement (as outlined in Annex 1), GEF may wish to consider including alignment with the PIP as part of this monitoring agenda.

Recommendation 2. Require development of stakeholder engagement plans

11. GEF's PIP calls on Agencies to develop "modalities for incorporating public involvement into projects" (PIP, para. 11.a) and the PIP Implementation Guidelines state that "Each GEF-financed project should include a stakeholder engagement plan that summarizes these activities and the possible partnerships to be promoted by the project as well as provide documentation on stakeholder engagement," noting that "GEF Partner Agencies should formulate stakeholder engagement plans based on their own policies and guidelines (PIP IG, para. 40.c and ft. nt. 16).

12. In addition, the PIP requires that "GEF Partner Agencies will include in project budgets, as needed, the necessary financial and technical assistance to governments and project executing agencies to ensure effective public involvement" (PIP, Principle 4). In November 2010, the GEF Council "welcomed" the proposal that GEF projects should include stakeholder engagement plans.⁸

13. The Agency mapping exercise (Annex 1) found that roughly one-third of GEF Agencies require the development of stakeholder engagement plans for all projects, with another third requiring such plans for projects with significant adverse social and environmental impacts (for

⁷ GEF, "Monitoring Agency Compliance with GEF Policies on Environmental and Social Safeguards, Gender and Fiduciary Standards," GEF/C.50/04, May 13, 2016, available at <http://www.thegef.org/council-meetings/gef-50th-council-meeting>.

⁸ "PIFs will identify key stakeholders involved in the project and their respective roles, as applicable, as a basis for consultation and engagement during project formulation and implementation. A brief stakeholder engagement plan should also be incorporated as part of the project document," para. 20 (and 4.a) of GEF/C.39/10 "Enhancing the Engagement of Civil Society Organizations in the Operations of the GEF," available at <https://www.thegef.org/gef/sites/thegef.org/files/documents/C.39.10.%20Enhancing%20the%20Engagement%20of%20CSOs.pdf>.

this analysis, requirements for such plans tied specifically to applicable resettlement or indigenous peoples safeguards are not included):

Require stakeholder engagement plans for all projects	CI, FUNBIO, IUCN, UNDP, WB (draft safeguards), IFAD (partial: “suitable participatory tools”), FAO (partial)
Require stakeholder engagement plans for moderate/high risk projects (e.g. Category A or B)	ADB, AfDB, BOAD, EBRD ⁹ , IDB, UNIDO, UNEP, WB (current safeguards), (DBSA: “participation program”),
Not specified if stakeholder engagement plans required	CAF, FECO, WWF-US

Good practice examples

14. To give life to their requirements, Agencies should consider specifying key elements of stakeholder engagement plans and provide templates (if not already provided), with the understanding that flexibility is required and the scale and level of detail of such plans would vary depending on the nature of the project, the number of stakeholders, timing, and potential issues and risks. For example, where few stakeholder interests are affected by the project, a relatively simple plan may be integrated into the project documentation. However, statements such as “local stakeholders will be consulted” (as was found in Annex 2) obviously do not make an engagement plan.

15. There is of course no “cookie cutter” approach to developing stakeholder engagement plans. Agencies should clarify the minimum criteria (if specified) outlined in existing Agency systems. Key elements of such plans should at a minimum address the following:

- Stakeholder groups and why included
- Participation methods and information dissemination
- Responsible parties for engagement
- Timing of engagement throughout project cycle
- Cost estimates.

16. Project developers may have already outlined a stakeholder engagement plan (or the main elements thereof), which Agencies would then review in order to ensure that it meets Agency minimum criteria (and if so, not require an additional plan). Where gaps exist, Agencies could require additional stakeholder engagement measures.

17. Agencies may need to consider tailored guidance for developing stakeholder engagement strategies and plans for different types of operations. Rural biodiversity projects raise different issues and challenges in engaging stakeholders than, say, providing GEF funds to financial intermediaries for on-lending/granting. Nevertheless, even where a project may not have immediately identifiable “affected communities,” stakeholder engagement strategies and plans are important, particularly where lines of accountability and responsibility are attenuated.

⁹ EBRD notes that it requires a grievance mechanism for all projects.

18. Many Agencies have internal guidance materials on stakeholder analysis and stakeholder engagement (see Box. 3). The good practice examples cited below are drawn from mandated Agency policies, not advisory guidance.

19. Two Agencies (CI, UNIDO) specify the contents of such plans in their policies and require budget allocations. In addition, the draft WB ESF requires disclosure and stakeholder feedback on the plan. For example:

- Conservation International: CI's ESMF provides an outline of the required contents of stakeholder engagement plans (SEP, see Example below). The SEP indicates whether budget has been allocated for SE activities: "What budget has been allocated toward these activities?" (CI ESMF Appendix IX). It should be noted that CI has developed stakeholder engagement plans for what it considers low risk (Cat. C) projects.
- UNIDO: For projects with high/moderate risks (Cat. A/B), UNIDO requires that the project document includes a public consultation and disclosure section with contents specified: summarize regulations, list consultations to date, identify stakeholders (incl. CSOs), schedule of consultation and disclosure activities, budget for consultation, responsibilities, and reporting (where, when results of consultations will be reported) (ESSPP Annex C C1.2).
- World Bank: The draft ESF requires borrowers to "develop and implement a Stakeholder Engagement Plan (SEP) proportionate to the nature and scale of the project and its potential risks and impacts. The plan will identify stakeholders, the timing and methods of engagement, the range of information to be communicated, and measures to remove barriers to participation. A draft of the SEP will be disclosed, and the Borrower will seek the views of stakeholders, particularly regarding the identification of stakeholders and the proposals for future engagement" (WB ESS10, paras. 13-16).

Box 3. Agency guidelines on stakeholder engagement and CSOs (partial listing)

ADB, Strengthening Participation for Development Results: An Asian Development Bank Guide to Participation (2012)
AfDB, Handbook on Stakeholder Consultation and Participation (2001)
FAO sector specific guidance (e.g. Enhancing Stakeholder Participation in National Forest Programme, 2009)
IDB, Public Consultations with Civil Society: Guidelines for Public and Private Executing Agencies (2016)
World Bank, Stakeholder Consultations in Investment Operations: Guidance Note (2012)

Example of Stakeholder Engagement Plan

CI-GEF Project Agency – Environmental and Social Management Framework (ESMF) January 15, 2015 STAKEHOLDER ENGAGEMENT PLAN (Appendix IX)

1. The Project Agency will oversee the Executing Entity involving all stakeholders, including project-affected groups, Indigenous Peoples, and local CSOs, as early as possible in the preparation process and ensure that their views and concerns are made known and taken into account. The CI-GEF Project Agency Team will also ensure that the Executing Entity will continue to hold consultations throughout project implementation as deemed necessary to address ESIA-related issues that affect them. The Executing Entity is responsible for drafting and executing the SEP. The Project Agency will review the plan and oversee execution.
2. Benefits of Stakeholder Engagement include:
 - a. Letting interested and affected parties participate in decision-making to give them more control and security;
 - b. Sharing information and facilitating understanding;
 - c. Building legitimacy and support for decisions;
 - d. Fostering constructive working relationships among stakeholders;
 - e. Building consensus and generating support for the project;
 - f. Reducing conflict;
 - g. Tapping into the local, specialist knowledge of stakeholders to inform assessment and design; and
 - h. Improving the end decision and aiding sustainability.
3. A SEP should:
 - a. describe CI-GEF requirements for consultation and disclosure;
 - b. identify and prioritize key stakeholder groups;
 - c. provide a strategy and timetable for sharing information and consulting with each of these groups;
 - d. describe resources and responsibilities for implementing stakeholder engagement activities;
 - e. describe how stakeholder engagement activities will be incorporated into a company's management system; and
 - f. the scope and level of detail of the plan should be scaled to fit the needs of the project.

Contents of a SEP

4. A SEP should contain the following sections:
 - a. **Introduction:** Briefly describe the project including design elements and potential social and environmental issues. Where possible, include maps of the project site and surrounding area
 - b. **Policies and Requirements:** Summarize any requirements by CI or the GEF pertaining to stakeholder engagement applicable to the project. This may involve public consultation and disclosure requirements related to the social and environmental assessment process
 - c. **Summary of any Previous Stakeholder Engagement Activities:** If the Executing Entity has undertaken any activities to date, including information disclosure and/or consultation, provide the following details:
 - Type of information disclosed, in what forms (e.g. oral, brochure, reports, posters, radio, etc.), and how it was disseminated;
 - The 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;
 - Executing Entity response to issues raised, including any commitments or follow-up actions; and
 - Process undertaken for documenting these activities and reporting back to stakeholders
 - d. **Project Stakeholders:** List the key stakeholder groups who will be informed and consulted about the project. 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; and
 - Have the potential to influence project outcomes (examples of potential stakeholders are affected communities, local organizations, CSOs, and government authorities. Stakeholders can also include politicians, companies, labor unions, academics, religious groups, national social and environmental public sector agencies, and the media.)

- e. **Stakeholder Engagement Plan:** Summarize the purpose and goals of the plan. Briefly describe what information will be disclosed, in what formats, 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; and
 - Brochures, leaflets, posters, non-technical summary documents and reports.
- f. Description of the methods that will be used to consult with each of the stakeholder groups identified in previous sections. 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 a specific group;
 - Participatory methods; and
 - Other traditional mechanisms for consultation and decision-making.
- g. Description of any other engagement activities that will be undertaken, including participatory processes, joint decision-making, and/or partnerships undertaken with local communities, CSOs, or other project stakeholders. Examples include benefit-sharing programs, community development initiatives, resettlement and development programs, and/or training and micro-finance programs.
- h. **Timetable:** Provide a schedule outlining dates and locations when various stakeholder engagement activities, including consultation, disclosure, and partnerships will take place and the date by which such activities will be incorporated into the project management system
- i. **Resources and Responsibilities:** Indicate what staff and resources will be devoted to managing and implementing the company's Stakeholder Engagement Plan. Who within the Executing Entity will be responsible for carrying out these activities? What budget has been allocated toward these activities?
- j. **Grievance Mechanism:** Describe the process by which people affected by the project can bring their grievances to the Executing Entity for consideration and redress. Who will receive public grievances, how and by whom will they be resolved, and how will the response be communicated back to the complainant? See CI-GEF Accountability and Grievance Mechanism
- k. **Monitoring and Reporting:** Describe any plans to involve project stakeholders (including affected communities) or third-party monitors in the monitoring of project impacts and mitigation programs. Describe how and when the results of stakeholder engagement activities will be reported back to affected stakeholders as well as broader stakeholder groups?

Recommendation 3. Ensure stakeholders have access to full project information at the Agency-level

20. Access to relevant project information is an obvious prerequisite for informed stakeholder engagement. The PIP stipulates that “[a]ll GEF projects should have full documentation of public involvement” (Principle 5).¹⁰ GEF Agencies are called on to support project executing agencies in providing relevant, timely, and accessible information (PIP, para. 8). The PIP Implementation Guidelines further specify that Agencies, per their own policies and

¹⁰ The PIP Implementation Guidelines elaborate that “full documentation” of public involvement should include a range of project information, including consultation reports, screening reports, draft and final safeguards documents, and monitoring reports (PIP IG, paras. 41)

procedures, should make relevant GEF project documents and activities available to the public in a manner that is accessible to CSOs and other stakeholders (PIP IG, para. 24).

21. Accordingly, GEF Agencies should not only ensure that relevant information on GEF-supported projects is available and accessible locally, but they should also directly provide project information at the Agency level. Not only is Agency disclosure of full project information considered best practice, but it supports stakeholders' rights to access public information and serves as a secondary source should such information not be available locally.

22. The review of Agency policies (Annex 1, question 8) indicated that all Agencies require timely disclosure of project information to stakeholders, in accessible form and language, often mandated by safeguard policies.

23. The review of GEF projects (Annex 2) examined disclosure practices regarding recently approved GEF-supported projects. The review found significant variations and inconsistencies in disclosure by both Agencies and the GEF Secretariat (which is addressed in Part II). At times GEF-supported projects could not be located on some Agency websites. This may be due to a range of reasons (e.g. lag in project development from GEF approval to Agency approval, different project names from those listed by GEF, the project was part of another initiative, project cancellation, or simply that the Agency does not have a project database or does not post documents).

24. Annex 3 includes an additional review of Agency access to information policies as well as practices regarding GEF-supported projects. This review was informed in part by a background question: how do stakeholders know whether a project is GEF-supported? This is a relevant question since the point of contact between stakeholders and GEF-supported projects flows through Agencies and national governments, not the GEF per se. Project stakeholders should know that additional project information may be available directly through the GEF and, importantly, that they may raise project-related concerns directly with the GEF Conflict Resolution Commissioner.

25. While the GEF Secretariat needs to strengthen cross-referencing of Agency project information (addressed in Part II of this report), Agencies, as a principal point of contact, should also facilitate stakeholder awareness of GEF's involvement. Various mechanisms could be considered, from making Agency websites searchable for GEF projects, to ensuring that Agency project webpages identify GEF support, to ensuring GEF's role and contact information is made available at the project level.

26. As can be seen in the overview table below (Table 1), Agencies vary in the degree to which they post project documents, have adopted corporate access to information policies, provide clear procedures for requesting information and process guarantees for responding to requests, and make it possible to identify whether GEF has supported a project.

Table. 1 Agency Access to Information Policies and Practices Regarding GEF Projects

	WB	ADB	UNDP	FAO	AfDB	EBRD	IDB	UNEP	IFAD	UNIDO	IUCN	CI	WWFUS	DBSA	FUNBIO	BOAD	FECO	CAF
1. Does the Agency have a corporate policy on access to information?	✓	✓	✓	✗	✓	✓	✓	✓	✓	✗	✗	✗	✗	✓	✗	✓	✗	✗
2. Does the Agency provide guidance and procedures for requesting information?	✓	✓	✓	–	✓	✓	✓	✓	✓	–	✗	✗	✗	✓	✗	✓	✗	✗
3. Does Agency have a public projects database (or listing)?	✓	✓	✓	–	✓	✓	✓	✓	–	✓	–	–	✓	✗	–	–	–	✓
4. Is Agency public project database/listings searchable for GEF projects?	✓	–	✓	–	✗	✗	–	✓	✗	✓	✓	✓	✗	–	✗	✗	?	?
5. Is GEF funding identifiable on public project page?	✓	✓	✓	–	✗	–	✓	✓	✓	✓	✓	✓	✓	–	✗	✗	?	?
6. Does Agency post project documents for public on website?	✓	✓	✓	–	✓	✓	✓	✗	✓	✓	✗	✓	✓	–	✗	✗	✗/–	–

Key: ✓ = yes; ✗ = no; – = partial; ? = no GEF approved projects (per GEF Projects Database) (Note: some “partial” ratings given for time-bound commitments to address question. See Annex 3)

See Annex 3 for detailed answers to questions 1-6.

Summary of recommendations:

In order to strengthen alignment with GEF's PIP and PIP IG, GEF and Agencies should consider the following points:

- **Recommendation 1. Ensure stakeholder engagement requirements apply to ALL projects**
 - 1.1 Establish stakeholder engagement as a core policy objective and ensure application to all operations at appropriate level and scale
 - 1.2 Ensure stakeholder analysis and development of an engagement strategy is embedded in mandatory project development processes and templates
 - 1.3 Consider including alignment with GEF PIP in future monitoring of Agency compliance with GEF policies
- **Recommendation 2. Require development of stakeholder engagement plans**
 - 2.1 Extend requirement for development of appropriately scaled stakeholder engagement plans for all projects, if not already applicable
 - 2.2 Clarify minimum criteria to be addressed in a stakeholder engagement plan
 - 2.3 Include budget allocations for stakeholder engagement throughout the project cycle
 - 2.4 Require that stakeholder engagement plans be consulted and disclosed
- **Recommendation 3. Facilitate and strengthen access to GEF project/program information**
 - 3.1 Ensure that project stakeholders can identify GEF's support for project/program
 - 3.2 Ensure disclosure of project documents on website from early project stages and strengthen consistency in posted project documents
 - 3.3 Provide well-defined procedures for requesting and responding to information requests

Part II. GEF Secretariat Systems for Reviewing and Tracking Stakeholder Engagement

27. The GEF project development and approval cycle includes a number prompts and checks to promote attention to stakeholder engagement in Agency proposals. Revising and strengthening several of these measures would promote greater alignment with the PIP and PIP Guidelines and a more systematic approach to tracking stakeholder engagement in GEF project/program development and approval.

Recommendation 4. Revise GEF's templates, review, and tracking systems for stakeholder engagement in GEF project development and approval

1. Project Information Form (PIF) Review Stage

28. The review of GEF projects in Annex 2 indicated significant variation in how Agencies approach the PIF template's section on "stakeholders." Reviewed PIFs ranged from a single paragraph of generalities (e.g. "will consider most efficient ways of consulting stakeholders") to detailed breakdowns of stakeholder groups, their interests, and how they will be engaged.

29. There is a major lack of consistency in the degree to which (a) key stakeholders are identified, (b) how stakeholders have been/will be engaged in project development, and (c) whether CSOs and indigenous peoples are/will be involved.

30. Discussions with some Agency representatives indicated that at the PIF stage much uncertainty often remains concerning specific stakeholders (beyond government counterparts). Details on "who" and "how" to engage are frequently defined after PIF approval during the PPG process and then reflected in the CEO Endorsement/Approval form and Agency project document.

31. Clearly this is the case for many projects and may partially explain why this section of the PIF is often answered with broad generalities (e.g. "local communities will be involved."). However, this issue exposes a tension with the PIP's requirement that "Agencies will work closely with government and project executing agencies to involve stakeholders *at the earliest phase of project identification and throughout design*, implementation and evaluation (PIP para. 6, *emphasis added*). The PIF typically contains a description of the project strategy, outcomes, and components. In short, project identification and basic design has already taken place at the PIF stage.

32. To meet the spirit of the PIP, Agencies should be able to identify the stakeholders already engaged in developing the PIF, with the understanding that these may not be the same stakeholders involved in project implementation, and that additional stakeholders would be identified as project components are further specified during the PPG phase.

33. The GEF Secretariat could strengthen its efforts to promote clearer identification of stakeholders and engagement approaches at the PIF stage. These include the following:

34. **Revise PIF Template:** The current question in the PIF template regarding “stakeholders” is narrowly focused on potential CSO and indigenous peoples. However, when done well, the full range of stakeholders are outlined in this section, often with only general attention to CSOs and indigenous peoples (e.g. often identified by broad “CSO” category). The template question could be reframed to encompass identification of all stakeholders (per the PIP and current practice) without losing attention to potential CSO and indigenous peoples participation. Three key dimensions could be emphasized to assist with GEF’s review process:

Current GEF6 FSP/MSP PIF Template – Sep 2015 “Stakeholders. Will project design include the participation of relevant stakeholders from civil society organizations (yes_/no_) and indigenous peoples (yes_/no_)? If yes, identify key stakeholders and briefly describe how they will be engaged in project preparation” (Part II, Question 2).	Reframed PIF stakeholder section “Stakeholder engagement. (a) Identify the key project stakeholders; (b) briefly describe their engagement in project preparation; and (c) indicate if project design includes participation of relevant stakeholders from civil society organizations (yes_/no_) and indigenous peoples (yes_/no_)?”
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35. **Consider minimum review criteria:** The review of GEF projects (Annex 2) also examined the GEF Secretariat’s review of PIFs and CEO Endorsement/Approval forms, finding wide variation and inconsistency in the Secretariat’s review process regarding stakeholder engagement issues (see “Good” and “Inadequate” Practice highlights in Annex 2). Many GEFSEC Review Sheets concluded that participation issues were “adequate for PIF stage” but the approved PIF contained an overly general identification of stakeholders and/or engagement approaches. It must be noted that there are also excellent examples of probing GEFSEC questions and evidence of revisions in approved PIFs (see “Good Practice” highlights in Annex 2).

36. At a minimum, GEFSEC should clearly assess whether (a) initial key stakeholders are identified (“who”), (b) if the engagement approach is described (“how”), and (c) if CSOs and indigenous peoples are included, and if not why? GEFSEC may consider developing a list of notional criteria for reviewing stakeholder engagement in PIFs (and certainly at CEO Endorsement/Approval, see below). Obviously there is no “cookie cutter” approach to stakeholder engagement across so many project types and contexts. Nevertheless, further review questions could strengthen the consistency of GEFSEC’s review. For example: Is there evidence of stakeholder engagement in PIF design?; Are engagement methods (e.g. consultations, focus groups, baseline participatory studies) and processes noted? Are CSOs and/or indigenous peoples specified by name or just as broad categories (“CSOs”).

37. **Revise PIF Review Sheet:** One factor in the above noted inconsistency may be an overly general question in the GEF-6 FSP/MSP Review Sheet (as well as in other GEF Review Sheets, see Table 2). In what appears to have been a streamlining effort, previous review questions (GEF-5) were combined into a “catch all” question that jumbles the review of critical issues:

GEF-5 FSP/MSP Review Sheet 8. “Is there a clear description of: a) the socio-economic benefits, including gender dimensions, to be delivered by the project, and b) how will the delivery of such benefits support the achievement of incremental/ additional benefits?”	GEF-6 FSP/MSP Review Sheet 6. “Are socio-economic aspects, including relevant gender elements, indigenous peoples, and CSOs considered?”
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9. "Is the role of public participation, including CSOs, and indigenous peoples where relevant, identified and explicit means for their engagement explained?"	
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38. While the streamlining process may have been driven by the need to speed up the GEF project review/approval process, the current review sheet is not well aligned with the PIP (or, one could argue, the gender mainstreaming policy). Whereas under GEF-5 there was a separate participation review question, under GEF-6 stakeholder engagement issues are now subsumed under the overly broad phrase "socio-economic aspects" that includes issues related to gender, indigenous peoples and CSOs (leaving it unclear whether participation issues are to be addressed). In the review of GEF projects (Annex 2), GEFSEC's Review Sheet comments at times requested elaboration of gender dimensions but made no mention of stakeholder engagement issues despite their underdevelopment in the PIF.

39. GEFSEC should return to a clearer review question regarding stakeholder engagement (as well as gender). One could re-institute the previous review questions, or integrate new ones such as the following:

Current GEF-6 FSP/MSP Review Sheet 6. "Are socio-economic aspects, including relevant gender elements, indigenous peoples, and CSOs considered?"	Reframed Stakeholder Question "Are stakeholders adequately identified, including CSOs and indigenous peoples where relevant, and are the means of engagement explained?" [On gender, consider more explicit question(s) aligned with mainstreaming policy]
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2. CEO Endorsement/Approval Review Stage

40. Similar to the above discussion, GEFSEC could strengthen consideration of stakeholder engagement at CEO Endorsement/Approval. At this stage of project development, detailed stakeholder analysis and consultations have typically been undertaken and an engagement strategy developed. Several potential measures are outlined below:

41. **Revise CEO Endorsement/Approval Template:** The "stakeholders" question on the CEO Endorsement/Approval Template could be more closely aligned with the PIP Guidelines, in particular the call for stakeholder engagement plans:

GEF-6 CEO Endorsement/Approval Template "Stakeholders. Identify key stakeholders and elaborate how the key stakeholders engagement is incorporated in the preparation and implementation of the project. Do they include civil society organizations (yes_/no_) and indigenous peoples (yes_/no_)? (Part II, Question A.3)	Reframed stakeholder question "Stakeholder engagement. (a) Specify key stakeholders in detail, (b) summarize how stakeholder input is reflected in project design, and (c) describe a plan to ensure stakeholders are engaged throughout project implementation. (d) Do stakeholders include civil society organizations (yes_/no_) and indigenous peoples where relevant (yes_/no_)?"
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Correct GEF Review Sheet: Surprisingly, the CEO Endorsement/Approval section of the GEF-6 FSP/MSP Review Sheet *does not contain a question related to stakeholder engagement* (or

gender, or “socio-economic aspects”).¹¹ This appears to be a significant oversight as CEO Endorsement/Approval is the appropriate moment to confirm that stakeholder engagement is well integrated into the developed project proposal and that the PIP requirements and guidelines are addressed. The structure of the GEF-5 FSP/MSP Review Sheet allowed for the consideration of the same “participation” question at both the PIF and CEO Endorsement stages. The GEF-6 Review Sheet was restructured, with separate questions for each stage, and a review question for stakeholder engagement (or gender) was not included at CEO Endorsement/Approval. At the time of CSO Endorsement/Approval, the stakeholder engagement strategy/plan needs to be clearly articulated, with appropriate detail. The review sheet should be revised:

<p>Current CEO Endorsement/Approval section of GEF-6 FSP/MSP Review Sheet</p> <p>No relevant question</p>	<p>New review question for CEO Endorsement/Approval</p> <p>Does the project document (a) clearly specify project stakeholders and their roles, including CSOs and indigenous peoples where relevant, (b) indicate how stakeholder engagement is reflected in project design, and (c) contain a stakeholder engagement plan for project implementation?</p> <p>[on gender, consider questions aligned with Gender Action Plan (e.g. gender analysis conducted?) Perhaps this is addressed elsewhere]]</p>
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42. **Develop minimum review criteria:** The proposed review question above contains minimum criteria that could be considered when reviewing CEO Endorsement/Approval requests (see above).

43. **Training for consistency in reviews:** If it does not do so already, GEFSEC may consider incorporating a module in its staff training workshops regarding the review of stakeholder engagement in PIFs and CEO Endorsement/Approval requests (perhaps combined with as other relevant issues, such as safeguards, indigenous peoples, gender). Such a module could include a review of the PIP and PIP IG and examples of both good and inadequate practices that would reinforce the need for utilizing minimum criteria in the review process.

3. Improved tracking of CSO Partnerships (Execution/Co-execution)

44. The GEF IEO review of CSO Engagement noted that while the number of CSO-executed projects have declined since reforms to the GEF resources allocation system, CSO co-execution of GEF projects was increasing. This important dimension of CSO participation in the GEF should be systematically tracked.

45. **Project templates:** GEF’s PIF and CEO Endorsement/Approval Templates currently include a section for designating “Other Executing Partners” beyond the GEF Agency designation (Part I: Project Information). GEFSEC could consider providing more specificity here to include the type of each co-executing entity (perhaps through the addition of category check

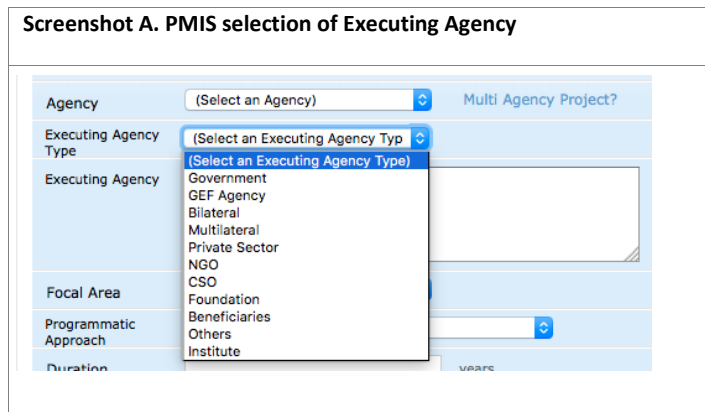
¹¹ The GEF Secretariat has noted plans to update the FSP/MSP review sheet to include a question on stakeholder engagement at CEO Endorsement/Approval. Currently (accessed June 24, 2016). the GEF Templates website lists the March 2015 version. See https://www.thegef.org/gef/guidelines_templates

boxes such as government, private sector, CSO, etc.). This simple revision would allow GEF Agencies themselves to specify the type of project co-executers, a task which GEFSEC rather arduously undertakes during its Annual Monitoring Report exercise.

46. **PMIS:** The Project Information Management System (PMIS) is GEF’s portfolio and project management database. The PMIS could be relatively simply revised in order to capture the “co-execution” information that the revised project templates would provide. The system currently provides a field for specifying Executing Agencies (see screenshot A from the PIF creation template in the PMIS).

47. The PMIS PIF creation template should include an additional field on “Co-executing Agency.” The list of executing/co-executing entities could be reviewed to ensure alignment with current GEF partnerships and practices.

48. In addition, the Search Filters of the PMIS do not include options for searching by “type” of Executing Agency, inhibiting systematic retrieval of, for example, CSO-executed projects. A search field for ‘type of co-executing agency’ should also be added to the search function.



4. Facilitate access to Agency project pages

49. GEFSEC could further assist stakeholders to access information on GEF-supported projects by providing Agency project ID numbers and weblinks to Agency project pages. In compiling data for Annex 2 on GEF projects, it was often difficult to track down specific GEF-supported projects on Agency websites.

50. While PIF and CEO Endorsement templates contain a field for “GEF Agency Project ID,” this field is often not filled in at the PIF stage, and, except for World Bank projects, GEF’s web-based project pages do not list Agency Project ID numbers.¹² The practice of listing World Bank Project ID numbers on the GEF project webpages should be expanded to all agencies. In addition, weblinks to Agency project pages should be provided.

51. GEFSEC should ensure that Agencies submit Agency Project ID numbers and links to webpages for projects that involve GEF funding. If an Agency ID number has not been formally generated at the time of the PIF, then Agencies should be asked to submit that information as soon as it is available.

¹² Some UNDP projects on the GEF projects website contained a PMIS reference number, but this is not the same number used in UNDP’s public project s database.

52. GEFSEC can provide far more direct linkages to Agency project pages on its own project pages.¹³

Recommendation 5. Strengthen GEFSEC access to information policies and practices

53. GEF's website is an important source for project information (at least in English). GEF approvals, particularly of PIFs, occur early in project development and may be the only early project information available (that is, prior to the posting of any project information by some Agencies). In addition, some Agencies do not post project documents (see Table 1).

54. The review of GEF projects (Annex 2) included a review of the availability of project documents on GEF's website. Significant gaps and inconsistencies were found in GEFSEC's posting of project information, including at times missing CEO Endorsement/Approval requests, PIFs, Review Sheets, and STAP reviews. GEFSEC should ensure that all project documents are posted as soon as possible. It would appear inconsistent for GEFSEC to only post project documents after they have been approved while the GEF PIP IG and Safeguard standards call on Agencies to ensure that key project information be available in draft form prior to appraisal.

55. While GEF seeks to ensure full disclosure of all relevant project information, the GEF Secretariat currently observes a range of practices regarding early disclosure of project/program documents, applying different standards based on the size and phase of the project proposal, as described in GEF Practices on Disclosure of Information:¹⁴

- While PIFs for Full-Sized Projects (FSPs) are disclosed prior to approval (i.e. four weeks prior to Council consideration), PIFs for Medium-Sized Projects (MSPs) are disclosed only after they have been approved by the CEO.
- FSP CEO endorsement/approval requests are disclosed prior to approval only if so requested by Council members, otherwise they are disclosed after CEO endorsement.

56. GEFSEC should review its guidelines, systems, and timelines for disclosing information, and consider adopting a more robust access to information policy to provide a sounder policy basis to drive consistency of practice. Disclosure currently appears to be guided by the "GEF Practices on Disclosure of Information," which has an unclear status (e.g. Is it a policy? Guidelines? Procedure?) A number of GEF Agencies have updated their access to information

¹³ A best practice example comes from the Green Climate Fund which posts its own form on "Environmental and Social report(s) disclosure" that provides the project title, safeguards category, date of disclosure on accredited entities website, language of disclosure, and links to project documentation. See "links to ESS Reports" on Green Climate Fund website, available at <http://www.greenclimate.fund/boardroom/on-record/documents>.

¹⁴ See in particular para. 13, GEF/C.41/Inf.03, available at https://www.thegef.org/gef/sites/thegef.org/files/documents/C.41.Inf_03_GEF_Practices_on%20Disclosure_of_Information.pdf

policies (see Annex 3), and it should be noted that the Green Climate Fund has also adopted a more up-to-date information policy.¹⁵

57. In addition, GEFSEC should consider adopting procedures for the processing of information requests. As noted in Annex 3, best practice among Agencies is to outline response timelines and process guarantees for information requests. The “GEF Practices on Disclosure of Information” could be updated to include such a procedure. While this document states that requesters may contact GEF’s Conflict Resolution Commissioner regarding denied information requests, it does not provide process guarantees. Ideally a more robust, comprehensive GEF access to information policy would include such a procedure.

Summary of recommendations

58. The above changes to templates, review sheets, the online PMIS and the public projects website would encourage more systematic tracking of stakeholder engagement in GEF projects and improve alignment with the PIP and PIP Guidelines. Such changes could be made relatively simply, do not require significant new resources, and would not add undue complexity or burdens to current GEF project review and approval processes. Changes to GEF’s access to information policy framework may require more time and consideration, but should be included in GEF’s policy review and updating cycle.

➤ **Recommendation 4. Revise GEF’s templates, review, and tracking systems for stakeholder engagement in GEF project development and approval**

- 4.1 Revise “stakeholders” sections of PIF and CEO Endorsement/Approval Templates
- 4.2 Consider development of minimum criteria for reviewing stakeholder engagement in PIFs and CEO Endorsement/Approval requests
- 4.3 Revise stakeholder question in PIF Review Sheet
- 4.4 Add stakeholder question to CEO Endorsement/Approval section of Review Sheet
- 4.5 Consider staff training module to strengthen consistency in reviewing stakeholder engagement in project proposals
- 4.6 Revise PIF and CEO Endorsement/Approval Templates to better track “co-execution” agencies
- 4.7 Revise PMIS in order to systematically track CSO co-execution of projects
- 4.8 Provide Agency Project ID numbers and weblinks to Agency project pages on GEF’s project webpages

➤ **Recommendation 5. Strengthen GEFSEC access to information policy and practices**

¹⁵ See “Information Disclosure Policy of the Green Climate Fund,” available at <http://www.greenclimate.fund/boardroom/on-record/documents>. For commentary and critiques of certain provisions of the GCF policy during its development, see <http://www.freedominfo.org/2016/05/green-climate-fund-adopts-information-disclosure-policy/>, and http://www.law-democracy.org/live/wp-content/uploads/2012/08/GCF-Note-on-draft-Policy.Sep15.final_.pdf.

- 5.1 Ensure consistent posting of all available project information
- 5.2 Unify practices regarding disclosure of FSP and MSP project documentation prior to approval
- 5.3 Strengthen GEF's procedures for requesting information to include timelines and process guarantees
- 5.4 Consider adoption of an up-to-date GEF access to information policy

Table. 2 Stakeholder engagement in GEF project/program templates

GEF6 FSP/MSP PIF Template – Sep 2015 (same for Program Framework Document Template)	Part II, Question 2: “Stakeholders. Will project design include the participation of relevant stakeholders from civil society organizations (yes_/no_) and indigenous peoples (yes_/no_)? If yes, identify key stakeholders and briefly describe how they will be engaged in project preparation.”
GEF6 CEO Endorsement/Approval Template – Dec 2015	Part II, Question A.3: “Stakeholders. Identify key stakeholders and elaborate how the key stakeholders engagement is incorporated in the preparation and implementation of the project. Do they include civil society organizations (yes_/no_) and indigenous peoples (yes_/no_)?” *As per the GEF-6 Corporate Results Framework in the GEF Programming Directions and GEF-6 Gender Core Indicators in the Gender Equality Action Plan, provide information on these specific indicators on stakeholders (including civil society organization and indigenous peoples) and gender
GEF6 CEO Endorsement/Approval (Non-Grant) – Sep 2015	Part II, Questions A.3: “Stakeholders. Elaborate on how the key stakeholders engagement, particularly with regard to civil society organizations and indigenous peoples, is incorporated in the preparation and implementation of the project.”
Review Sheets (same question for following) GEF6 FSP/MSP Review Sheet – Mar 2015 (Q6) One-Step MSP Review Sheet (Q7) Enabling Activity Review Sheet (Q6) Program Framework Review Sheet (Q4)	FSP/MSP PIF Review Sheet Section: “Are socio-economic aspects, including relevant gender elements, indigenous people, and CSOs considered?” FSP/MSP CEO Endorsement Review Sheet Section: no related question
GEF6 One-Step MSP Approval Template – Sep 2015 (same for Non-Grant template)	Part II, Question 3: “Stakeholders. Will project design include the participation of relevant stakeholders from civil society organizations (yes_/no_) and indigenous peoples (yes_/no_)? If yes, elaborate on how the key stakeholders engagement is incorporated in the preparation and implementation of the project.”
GEF6 Enabling Activities Template–Sep 2015	Part II.B: “Enabling Activity Goals, Objectives, and Activities (The proposal should briefly justify and describe the project framework. Identify also key stakeholders involved in the project including the private sector, civil society organizations, local and indigenous communities, and their respective roles, as applicable. Describe also how the gender equality and women’s empowerment are considered in project design and implementation).”
Operational Focal Point Endorsement Template – April 2015	Lead para: “In my capacity as GEF Operational Focal Point for [country], I confirm that the above project proposal (a) is in accordance with my government’s national priorities [, including if available, the priorities identified in the National Adaptation Plan of Action and/or the National Capacity Self-Assessment,] and our commitment to the relevant global environmental conventions; and (b) was discussed with relevant stakeholders, including the global environmental convention focal points.”
Request for PPG Template for ChildPPG – Apr 2015	No relevant question

Part III. Results of ECW Questionnaire

59. A questionnaire regarding stakeholder engagement in GEF projects/programs was distributed at GEF Expanded Constituency Workshops (ECWs) between February and May 2016

60. This section of the report summarizes key results from the questionnaire. A copy of the questionnaire is appended to Annex 4. Annex 5 provides the data file used for tabulating and collating questionnaire responses (note: respondent names and email addresses have not been included).

61. Specific recommendations are not provided in this part of the report. Many of the key points arising from the questionnaire are integrated into other sections of this report, or are flagged in the outstanding issues section. At the same time, the PIP Working Group may wish to further elaborate some of the points raised by the questionnaire results beyond what has been possible in this report.

62. The following sections elaborate on the key points summarized below.

KEY POINTS

1. **Quality of participation:** all ECW stakeholder groups consider the quality of public involvement in GEF-supported projects above average; no group rated participation quality as particularly low or high.
2. **CSO participation:** CSO participants in the ECW meetings (that is, a sample of groups relatively familiar with and/or involved in GEF-supported activities) indicated relatively low levels of participation in the design, execution, and M&E phases of FSP and MSP projects (no higher than 20%). SGP projects naturally exhibited higher levels of CSO participation.
3. **PIP awareness:** Awareness of GEF's Public Involvement Policy is relatively weak among Operational/Political Focal Points and National Convention Focal Points (only 44% indicated some PIP awareness).
4. **Barriers to meaningful engagement:** ECW stakeholder groups provided relatively consistent ratings to a range of barriers to more effective engagement. All listed barriers were considered important, with some variations. On average, inadequate funding for public involvement activities was given the highest score, followed by a lack of accessible information and insufficient CSO/stakeholder capacity, followed closely by insufficient clarity in GEF public involvement requirements and lack of government capacity/commitment.
5. **Steps to overcome barriers:** ECW participants rated a list of actions to overcome barriers to more effective engagement. On average, greater funding for public involvement activities was rated most highly, followed by improved training of

government agencies in public involvement and clearer GEF policy/guidance on required public involvement activities. Greater focus on CSO partnerships was also rated highly.

6. **Steps that have improved public involvement:** ECW participants provided a range of inputs on steps that have improved engagement based on their own experiences. These include broad stakeholder representation in project steering committees (including CSOs), stakeholder involvement in project design/formulation, proactive information disclosure, and stakeholder workshops.
7. **National government actions to improve public involvement:** Additionally, ECW participants identified a range of national governments actions to strengthen stakeholder engagement, including adoption of mandatory policies and legislation on public participation and access to information; proactive information disclosure and dissemination (including information dissemination workshops); annual meetings with project stakeholders and national dialogues; increased funding; and communication strategies.
8. **Additional points:** ECW participants noted that GEF should increase visibility in recipient countries and provide educational materials that can be distributed at the project-level. Further support could be provided to OFPs, and CSO access to GEF resources could be increased.

63. **ECWs and Respondents:** A total of 238 completed questionnaires were tabulated from 6 ECW meetings, listed below.¹⁶ National Convention Focal Points formed the highest number of respondents (N=103), followed by CSOs (N=70), Operational/Political Focal Points (N=60), and 5 Agencies.

Location	Date	FPs	NCFs	Ag.	CSOs	Total
Botswana	16-19 February 2016	8	13	1	13	35
Trinidad & Tobago	1-3 March 2016	13	26	1	15	55
Montenegro	15-18 March 2016	5	14	2	7	28
Argentina	18-21 April 2016	11	17	0	11	39
Guatemala	26-29 April 2016	6	4	0	10	20
Sierra Leone	10-13 May 2016	9	13		6	28
Senegal	17-20 May 2016	8	16	1	8	33
Total		60	103	5	70	238

Note: FP=Operational/Political Focal Points; NCF=National Convention Focal Points; Ag.= GEF Agencies; numbers reflect completed questionnaires (many were incomplete and not tallied)

1. Quality of public involvement in GEF projects/programs

64. Respondents across the various ECW stakeholder groups – Operational/Political Focal Points (FPs), National Convention Focal Points (NCF), CSOs, GEF Agencies – provided quite consistent ratings of the quality of public involvement activities in GEF projects and programs. On a quality scale of 1 (“lowest”) to 5 (“highest”), all respondent groups provided a rating above a 3 (“average”). No group rated the quality of project/program-related public involvement activities as particularly poor or high (see Question 10 table).

Question 10: Quality of public involvement activities in GEF projects/programs based on respondent experience, averages, scale 1 (low) to 5 (high)		
	FPs	3.7
	NCFs	3.5
	CSOs	3.5
Note: Agency score based on only 5 respondents		

2. CSO Participation in GEF projects/programs

CSO participants in the ECW meetings were asked to specify their participation in various stages of GEF-supported projects. As would be expected, all phases of the Small Grants Programme (SGP) exhibited the highest levels of CSO participation, with 51% indicating participation in project design and 57% in project execution (see Question 4 table). Regarding Full-Sized Projects (FSP) and Medium-Sized Projects (MSP), CSOs indicated higher levels of participation in general project “consultations” (26% and 29%, respectively) than in other project stages. Approximately 20% of CSO respondents indicated participation in the design and execution phases of FSPs and, somewhat surprisingly, only 16% indicated participation in the design and execution of MSPs. CSO participation in monitoring and evaluation of FSPs was relatively low (only 13%) and somewhat higher for MSPs (17%).

Question 4: CSO involvement in phases of GEF projects/programs (N=70)			
Project stages	FSP	MSP	SGP
Consultations	26%	29%	54%
Execution	20%	16%	57%
Design	19%	16%	51%
M&E	13%	17%	46%

3. Awareness of GEF Public Involvement Policy (PIP) among Focal Points

¹⁶ Questionnaires from an ECW meeting in Thailand 03/29/16 - 04/01/16 were not received by consultant.

65. The questionnaire sought to gauge the level of awareness of GEF's PIP among Operational/Political Focal Points and National Convention Focal Points (the CSO section of the questionnaire did not include this question). However a tabulation of the "PIP Awareness" question was difficult since it was formulated as a multipart question that led many to respond either to only part of it or to interpret the question broadly (e.g. whether GEF projects involved participation rather than specific awareness of the PIP). Many responses could not be tabulated. Annex 5, tab Q9 provides a summary of responses and the basis for the following tabulation.

Question 9: PIP awareness among FPs and NCFs (N=110)	
Aware	22%
Moderate/minimal awareness	22%
Not aware	26%
Unable to tabulate (no reference to PIP)	30%

66. Only 22% of Operational/Political Focal Points and National Convention Focal Points indicated that they were fully aware of the PIP, while another 22% indicated moderate or minimal awareness for a total of 44% indicating some level of PIP awareness.

Twenty-six percent showed no awareness of the PIP, and 30% of the responses could not be tabulated (see Question 9 table).

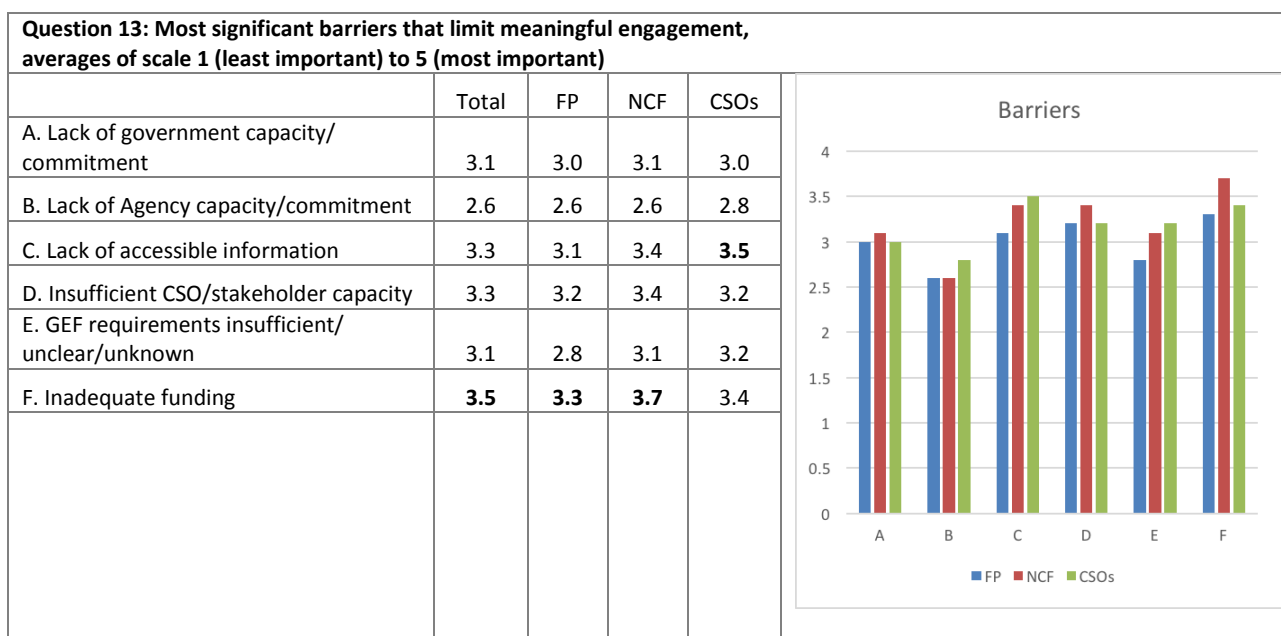
4. Barriers to more meaningful engagement in GEF projects/programs

67. ECW participants were asked to score the level of importance of six potential barriers to more meaningful engagement in GEF-supported projects: (a) lack of government capacity/commitment; (b) lack of Agency capacity/commitment; (c) lack of accessible information; (d) insufficient CSO/stakeholder capacity; (e) GEF requirements insufficient/unclear/unknown; and (f) inadequate funding.

68. Utilizing a scale of 1 (least important) to 5 (most important), ECW stakeholder groups provided relatively consistent scores for each of the six issues (see Question 13 table and chart).

69. All six issues were rated as generally important potential barriers (that is, all were rated higher than the mid-point, 2.5). Inadequate funding for public involvement activities was scored more highly than others (an average of 3.5 across all groups), followed by lack of accessible information and insufficient CSO/stakeholder capacity (3.3 each). Insufficient clarity in GEF public involvement requirements was rated 3.1, as was lack of government capacity/commitment. Lack of Agency capacity/commitment was given the lowest score, but still above the mid-point of the scale (2.6).

70. While Operational/Political Focal Points and National Convention Focal Points scored inadequate funding the highest, CSOs rated lack of accessible information slightly more highly. The below table and chart present the ratings across the ECW stakeholder groups.



5. Most important steps to overcome barriers

71. Question 14 asked ECW participants to score “the most important steps or actions that the GEF Secretariat, in collaboration with the Agencies, could take to overcome” the identified barriers. Six potential actions were listed (see Question 14 table and chart).

72. Greater funding for public involvement activities was scored, on average, most highly (4.2), followed by improved training of government agencies in public involvement (4.0), clearer GEF policy/guidance on required public involvement activities (3.9). Greater focus on CSO partnerships earned a score of 3.7, followed by improved M&E of public involvement (3.6). Improved grievance response mechanisms earned the lowest score (3.3). However, all six areas were deemed important (all scored well above the mid-point of 2.5).

73. Among ECW stakeholder groups, CSOs gave the highest score to CSO partnerships (4.4), Operational/Political Focal Points rated improved training in public involvement most highly (4.2), while National Convention Focal Points scored greater funding the highest (4.2).

Question 14: Most important steps GEFSEC could take to overcome barriers, averages of scale 1 (least important) to 5 (most important)				
	Total	FP	NCF	CSOs
A. Clearer GEF policy/guidance on public involvement	3.9	3.9	3.8	4.0
B. Improved training of govt agencies in public involvement	4.0	4.2	4.0	3.9
C. Greater focus on partnerships with CSOs	3.7	3.5	3.3	4.4
D. Improved M&E of public involvement	3.6	3.7	3.6	3.7

E. Improved grievance response mechanisms	3.3	3.6	3.2	3.4
F. Greater funding of public involvement	4.2	4.1	4.2	4.2

Steps to overcome barriers

The bar chart displays the number of steps to overcome barriers for three groups: FP (blue), NCF (red), and CSOs (green) across six categories (A-F). The y-axis ranges from 0 to 5. The data is as follows:

Category	FP	NCF	CSOs
A	3.9	3.8	4.0
B	4.2	4.0	3.9
C	3.5	3.3	4.4
D	3.7	3.6	3.7
E	3.6	3.2	3.4
F	4.1	4.2	4.2

6. Steps that have worked best to improve public involvement

74. ECW participants were asked an open-ended question regarding steps or actions that, in their opinion, have worked best to strengthen public involvement in GEF-supported projects. Annex 5, tab Q11 collates these responses.

75. A number of actions appear repeatedly. These include the following:

- broad stakeholder representation in project steering committees (including CSOs)
- stakeholder involvement in project design/formulation
- proactive information disclosure and accessibility of information
- workshops and meetings with stakeholders to raise awareness
- training and capacity building
- targeted communications beyond the web (including media, brochures, posters, radio)
- appropriate outreach/communication skills among project proponents

7. National government actions to improve public involvement

76. Similarly, ECW participants were asked what important actions should national governments take to improve public involvement (see Annex 5, tab Q15 for collated responses).

77. Common actions that appear often include the following:

- mandatory policies and legislation on public participation and access to information
- proactive information disclosure and dissemination (including information dissemination workshops)
- well-defined mechanisms for public participation
- annual meeting with project stakeholders and national dialogues

- strategic agreement between government and GEF to promote public participation in GEF projects
- develop communications strategies and use local media
- greater collaboration with CSOs (including greater accessibility of officials)
- include stakeholders (incl. CSOs) in project formulation (PIF)
- increase funding to support participation

8. Additional comments

78. Question 16 of the questionnaire asked for any additional comments (see Annex 5, tab Q16 for collated responses). A few points to highlight include the following:

- need to increase GEF visibility in country
- GEF should provide educational materials, including information on GEF that can be distributed at project level
- create an in-country GEF Help Desk to assist OFP
- increase CSO involvement and collaboration (including access to GEF resources)

Part IV. GEF Public Involvement Policy

Recommendation 6: Develop a plan for revising GEF's Public Involvement Policy

79. The GEF Public Involvement Policy (PIP) was originally adopted in 1996. Since that time the PIP has been supplemented by a range of additional policies, guidelines, and procedures that support its implementation. While the PIP was a leading policy document regarding public involvement in development projects when it was adopted, a review of the policy (see Table 3) indicates that it has not kept up-to-date with policies and practices regarding stakeholder engagement, including among many GEF Agencies. The PIP that structured around a somewhat confusing mix of principles and requirements (again, see comments in Table 3). After 20 years, the question should not be “if” the PIP needs to be updated, but “when.” The following discussion seeks to help inform the PIP Working Group’s deliberations on developing a plan for revising the PIP.

Background

80. “The Policy on Public Involvement in GEF Projects” (PIP) was originally adopted in 1996. It is centered around 5 “principles,” which state that public involvement:

- Should enhance social, environmental, and financial sustainability of projects
- Is the responsibility of governments and executing agencies, supported by GEF Agencies
- Should be designed and implemented in a flexible manner
- Should be broad-based and sustainable. GEF Agencies will, as needed, include financial and technical assistance in project budgets to ensure effective public involvement
- Will be carried out in a transparent and open manner and that GEF projects should have full documentation of public involvement.

81. As outlined in Part II of this report, the GEF Secretariat has adopted a range of procedures and templates over the years to support implementation of the PIP in GEF projects and programs. Part II found that these tools and processes could be further revised to strengthen alignment with the PIP and the PIP Guidelines.

82. In 2011 GEF adopted its Policy on Agency Minimum Standards on Environmental and Social Safeguards that included a range of “minimum requirements” on stakeholder consultation and information disclosure across a range of safeguard areas (e.g. social and environmental assessment, natural habitats, resettlement, and indigenous peoples). In 2012 GEF adopted both its Principles & Guidelines for Engagement with Indigenous Peoples as well as its Policy on Gender Mainstreaming.

83. In 2014 GEF adopted the “Guidelines for the Implementation of the Public Involvement Policy” (PIP IG) which elaborate and help explain the PIPs overarching principles and requirements. The Guidelines provide updated interpretation of the Policy – for example, by

reframing its broad concept of “public involvement” to the more operational term “stakeholder engagement” – and are centered around four areas of specific guidance:

- Information dissemination
- National consultations (National Dialogue, National Portfolio Formulation Exercises)
- Project and Program consultations
- Reporting, monitoring and evaluation.

84. In short, GEF in recent years has adopted a range of policies, guidelines, and procedures that both reinforce key aspects of GEF’s Public Involvement Policy and extend its principles and requirements.

Reviews of the Public Involvement Policy

85. Two important earlier studies included examination – in part or as the main focus – of GEF’s PIP. In 2013, the GEF Independent Evaluation Office (IEO) undertook an evaluation of CSO engagement in the GEF that also found that the PIP was not considered particularly effective by stakeholders and should be updated and mainstreamed throughout GEF programming.”¹⁷

86. The GEF-CSO Network undertook an extensive participatory review of the PIP together with, among other aspects, an examination of trends in CSO-execution of GEF projects. The review was completed in 2014.¹⁸ The GEF-CSO Network proposed a revision of the PIP in an effort to clarify its key requirements and to make the policy more authoritative and prescriptive.

87. It should be noted that the PIP Implementation Guidelines incorporate many points raised in the GEF-CSO Network review (drafts of the review were available for the development of the PIP IG). The PIP Guidelines seek to provide authoritative interpretations of PIP principles and requirements. At the same time, the Guidelines themselves, by their nature, do not generate policy requirements.¹⁹

¹⁷ GEF Independent Evaluation Office, “Civil Society Organizations Engagement,” OPS5 Technical Document 14, November 2013, available at https://www.thegef.org/gef/sites/thegef.org/files/EO/TD14_Civil%20Society%20Organizations%20Engagement.pdf.

¹⁸ GEF-CSO Network, “Review of GEF Public Involvement Policy,” Final report August 2014, available at <http://www.gefcso.org/index.cfm?&menuid=47&lang=EN>.

¹⁹ GEF has noted that “[a] GEF Policy is a statement of principles that mandates or constrains activities undertaken to achieve the institutional goals of the GEF. GEF Procedures are a set of instructions or process that must be followed to adhere to GEF Policy. A GEF Guideline provides additional information to explain or help implement GEF Policy.” See GEF, “Principles and Guidelines for Engagement with Indigenous Peoples,” (2012), ft. nt. 5, available at https://www.thegef.org/gef/sites/thegef.org/files/publication/GEF%20IP%20Part%201%20Guidelines_r7.pdf.

When to revise the PIP?

88. The PIP will need to be updated at some point in time. But is now the time? There appears to be some differences of opinion on this matter among groups that comprise the PIP Working Group (as noted during the June 6, 2016 working group discussion in Washington, DC).

89. A number of considerations argue in favor of launching an update of the PIP sooner rather than later. The commentary on the policy in Table 3 highlights a range of problematic areas with the current policy, including:

- The PIP confusingly mixes guiding principles and affirmative policy requirements and lacks the consistency of an operational policy document
- The 20-year old policy should better reflect the clarity of objectives and requirements regarding stakeholder engagement reflected in more up-to-date policies regarding stakeholder engagement
- PIP should more closely align with the clear “minimum requirements” structure of recently adopted GEF policies
- PIP only refers to projects, not programs, creating a potential policy gap
- Two previous reviews have recommended a policy update
- GEF’s leadership regarding stakeholder engagement would be well served by updating the policy.

90. At the same time, several arguments can be raised in favor of delaying a PIP update. These include the following:

- A range of new policies and guidelines make revision of the policy less urgent
- PIP Guidelines are still in a roll-out phase which should continue before revising the policy
- GEFSEC and Agencies can undertake measures to further strengthen stakeholder engagement (building on existing policies) without adoption of a revised PIP (including adoption of recommendations in this report)
- Revising the PIP may involve a time consuming negotiation between GEF’s main stakeholder groups – national governments, Agencies, CSOs, and GEFSEC.

91. The PIP Working Group may wish to consider a range of questions as it discusses when the PIP should be revised These include the following:

1. What are the risks of not updating the PIP at this time?
2. Should the PIP be revised while the PIP Implementation Guidelines are still being rolled out in GEF programming?
3. What specific changes might be sought in a revised PIP, and how would these promote more meaningful and effective stakeholder engagement?
4. Does the Working Group see a potential trade off in time and resources between supporting a PIP revision and promoting other measures to strengthen stakeholder engagement in GEF operations?

5. If the PIP is not to be revised now, when would be an appropriate moment, and what needs to happen before it is updated?

92. I recommend that the PIP Working Group should consider developing a plan for updating the PIP (that is, not continue to debate the “if” question but move on to the “when”). Such a plan could recommend an immediate update or map out a process that includes key actions/benchmarks that need to occur prior to launching the drafting process. Such actions/benchmarks would possibly include additional targeted research (for example, this report has been unable to examine the critical issue of GEF monitoring of stakeholder engagement during project implementation; in addition, certain results from the ECW questionnaire may require further exploration). In addition, clear benchmarks regarding the roll-out of the PIP Implementation Guidelines or other relevant adopted measures could be set.

93. Experience among development agencies shows that updating policies that concern a broad range of stakeholders (e.g. safeguard policies) can take a significant period of time before reaching a final outcome. The PIP Working Group might consider when an updated PIP should be in place in relation to the GEF funding cycles. GEF-6 concludes in June 2018. Should an updated policy be in place for GEF-7?

94. Despite significant background work already undertaken, a PIP update process would still require a considerable and realistic time frame to ensure, among other things, meaningful, iterative stakeholder engagement. The PIP Working Group, in my opinion, would be well served by mapping out such a process.

Table 3. Commentary on GEF Public Involvement Policy	
Text	Comments
Policy on Public Involvement in GEF Projects Policy: GEF/PL/SD/01 Date 08/13/2012 (original 1996)	Public Involvement overly broad (see definitions section below)
I. Definitions (selection)	
Information dissemination: Information dissemination refers to the availability and distribution of timely and relevant information on GEF-financed projects, including notification, disclosure, and public access to such information.	Definition could provide more specific direction that information needs to be in an accessible form and language for stakeholders.
Public involvement: Public involvement consists of three related, and often overlapping, processes: information dissemination, consultation, and stakeholder participation. Stakeholders are the individuals, groups, or institutions which have an interest or "stake" in the outcome of a GEF-financed project or are potentially affected by it. Stakeholders include the recipient country government; project executing agencies; groups contracted to carry out project activities and/or consulted at various stages of the project; project beneficiaries; groups of people who may be affected by project activities; and other groups in the civil society which may have an interest in the project.	"Public Involvement" is an overly broad concept. "Stakeholder Engagement" is a more targeted term that would better address the intent of the PIP. PIP Guidelines utilize the term "stakeholder engagement" in the definitions section (with a similar definition as the one for public involvement here).
II. Introduction 1. The need for public involvement -- information dissemination, consultation, and stakeholder participation -- is explicit in the Instrument for the Establishment of the Restructured Global Environment Facility (or GEF Instrument). As stated in the basic provisions of the Instrument, all GEF-financed projects will "provide for full disclosure of non-confidential information, and consultation with, and participation as appropriate of, major groups and local communities throughout the project cycle" (paragraph 5, p. 6). The Secretariat is to "in consultation with the	Curiously, the cited provision in the GEF Instrument is perhaps the strongest statement in the entire PIP on the mandatory nature of consultations (and disclosure) in GEF-financed projects. Most of the PIP is written in an imprecise manner, generally avoiding clear declarations of operational policy requirements.

<p>Implementing Agencies, ensure the implementation of the operational policies adopted by the Council through the preparation of common guidelines on the project cycle. Such guidelines shall address project identification and development, including the proper and adequate review of project and work program proposals, consultation with and participation of local communities and other interested parties" (GEF Instrument, p. 12). The GEF Implementing Agencies also have their own policies, guidelines, and procedures on public involvement which are consistent with the above provisions.</p>	
<p>III. Objectives</p> <p>2. Effective public involvement is critical to the success of GEF-financed projects. When done appropriately, public involvement improves the performance and impact of projects by: (a) Enhancing recipient country ownership of, and accountability for, project outcomes; (b) Addressing the social and economic needs of affected people; (c) Building partnerships among project executing agencies and stakeholders; and (d) Making use of skills, experiences, and knowledge, in particular, of CSOs, community and local groups, and the private sector in the design, implementation, and evaluation of project activities.</p>	<p>The first sentence here is a strong statement of intent. However, the remaining "objectives" section is largely descriptive introductory text on the benefits of public involvement, "when done appropriately." This section was originally written as a "rationale" section before the policy was reformatted. More affirmative, declarative language should be utilized here, such as in the Objectives section of the Gender Mainstreaming Policy ("shall strive to obtain the goal of gender equality," "shall mainstream gender into" operations). Also see Box 2 of the report for more declarative objectives regarding stakeholder engagement in the WB's draft ESF ("To establish a systematic approach to stakeholder engagement," "To assess the level of stakeholder interest and support for the project and to enable stakeholders' views to be taken into account in project design," etc.)</p>
<p>IV. Scope of Application</p> <p>3. The policy applies to GEF Secretariat, Trustee, GEF Partner Agencies, Recipient Countries and Others participating in GEF-financed projects.</p>	<p>The PIP helpfully applies not only to GEF Agencies and the Secretariat (as with the Gender Mainstreaming Policy and Min. Safeguards standards), but also to recipient countries.</p> <p>In terms of GEF operations, however, the PIP only refers to "projects" and needs to be broadened to encompass programs and other potential operations, as elaborated in the PIP Guidelines. An issue of policy scope however should be clearly reflected at the policy level.</p>
<p>V. Policy Requirements</p> <p>4. Based upon provisions contained in the Instrument, policies and procedures of the Implementing Agencies, and experience gained from the pilot phase, the following principles will apply in the design, implementation, and evaluation of GEF-financed projects.</p>	<p>The 1996 original PIP did not include a "Policy Requirements" section, rather this section was titled "Principles of Public Involvement" before being reformatted. There is now a mismatch here since many of the provisions were not written as policy requirements but as general principles that include a broad mix of aspirational ("should") and mandatory ("will") clauses.</p> <p>The PIP instead should be structured around the minimum stakeholder engagement requirements that GEF feels are needed to ensure effective use of GEF-resources.</p> <p>Note: highlighted sections call attention of "should/will" distinction and undefined modifiers.</p>
<p><i>Effective public involvement should enhance the social, environmental, and financial sustainability of projects.</i></p> <p>5. Public involvement activities should be designed so that they contribute to the environmental, financial, and social sustainability of projects. By improving project performance and sharing accountability for project outcomes, public involvement contributes to the environmental and financial sustainability of projects. In addition, to be socially sustainable, projects should, as appropriate, address the social, cultural, and economic needs of people affected by GEF-financed projects. As mentioned in the operational strategy, relevant social issues will be taken into account in the design, implementation and evaluation of projects. Such issues may include the socio-economic needs of affected people, the special needs of vulnerable populations and access to project benefits.</p>	<p>As written, the five core PIP "principles" are free floating statements (not enumerated) that comprise a mix of descriptive commentary about public involvement in general and a few prescriptive statements regarding GEF-supported projects. The loose and incomplete structure of the PIP does not well serve GEF's leadership role in promoting participatory sustainable development.</p> <p>This first principle is overly vague, wholly aspirational ("should"), and largely descriptive, as if the rationale and argument for public involvement and inclusion of social issues still needs to be made (quite an outdated argument).</p>
<p><i>Responsibility for assuring public involvement rests within the country, normally with the government, project executing agency or agencies, with the support of GEF Partner Agencies.</i></p>	<p>This "principle" helpfully outlines some recipient government responsibilities regarding public involvement in GEF projects, albeit advisory. At the same time, the text could be misinterpreted that public involvement may be discretionary</p>

<p>6. Public involvement activities should strengthen ownership of projects by recipient countries. Governments should ensure that all GEF-financed projects are country-driven and based on national priorities for sustainable development. Governments should promote public involvement in the identification of project concepts. GEF Partner Agencies will assist and collaborate with recipient governments and project executing agencies, as appropriate, in developing projects that make use of, and promote public involvement throughout the project cycle. GEF Partner Agencies will work closely with governments and project executing agencies to involve stakeholders starting at the earliest phase of project identification and throughout design, implementation and evaluation.</p>	<p>should the responsible party (government) decide that it is not a priority. While this is of course not the intent of the PIP or other GEF policies, the lack of precision may contribute to differences in interpretation.</p> <p>The language of the PIP appears to treat recipient government responsibilities as advisory ("Governments should...") while Agency responsibilities are written as mandates ("Agencies will ..."). This "principle" contains the first requirements of the PIP (Agencies "will" assist and work with govts to involve stakeholders throughout project), but is modified by the clause "as appropriate."</p>
<p><i>Public involvement activities should be designed and implemented in a flexible manner, adapting and responding to recipient countries' national and local conditions and to project requirements.</i></p> <p>7. It is recognized that there are differences in requirements for public involvement across focal areas and types of projects. For example, biodiversity projects affecting indigenous peoples may require more extensive stakeholder participation than global projects which focus on technical assistance and capacity building at the national and regional levels. There will also be diversity in approaches to design of public involvement activities that respond to in-country conditions, such as the cultural, political, and project-specific factors influencing project development and implementation.</p>	<p>Elevating "flexibility" to the level of a principle seems misguided and may potentially generate the impression that approaches to public involvement could be so flexible as to be minimal and/or optional. This would of course not be in the spirit of the PIP or other GEF policies. Rather than "flexible," the PIP could note that the level of stakeholder engagement is to be appropriately scaled to the nature of the project.</p> <p>Culturally appropriate engagement is of course vital and should be emphasized in the body of a policy on engagement (and supported by guidelines). The text here however is primarily descriptive.</p>
<p><i>To be effective, public involvement activities should be broad-based and sustainable. GEF Partner Agencies will include in project budgets, as needed, the necessary financial and technical assistance to recipient governments and project executing agencies to ensure effective public involvement.</i></p> <p>8. GEF Partner Agencies will work with governments and project executing agencies to ensure that public involvement activities are designed in a manner that is representative of a broad range of stakeholder groups and effectively carried out over the long-term. GEF Partner Agencies will support project executing agencies in: (a) providing relevant, timely, and accessible information to as many stakeholders as possible; (b) facilitating broad-based and project-specific consultations, especially at the local or sub-national levels; and (c) promoting the active participation of key stakeholder groups throughout the project cycle, including awareness raising and capacity strengthening activities.</p>	<p>Principle "4" and para. 8 repeats the requirement on Agencies working with governments to involve stakeholders (para. 6) and elaborates the PIP's first specific action requirements: provide information, identify stakeholders (implied) and ensure representativeness, facilitate consultations, ensure participation at stages of the project-cycle. Each of these areas deserves separate and more complete treatment in a policy on stakeholder engagement.</p> <p>Further elaboration is needed on the critical requirement that financial and technical resources are to be provided to support effective public involvement, "as needed," especially since lack of funds is commonly cited as a barrier (see Section III of this report). The PIP Guidelines do not address the budget issue.</p>
<p><i>Public involvement activities will be carried out in a transparent and open manner. All GEF financed projects should have full documentation of public involvement.</i></p> <p>9. Consistent with provisions in the Instrument, there should be transparency in the preparation, conduct, reporting, and evaluation of public involvement activities in all projects. The format for documentation of public involvement will be developed by the Secretariat, in consultation with GEF Partner Agencies. Such a format should be brief and concise and should take into consideration good practice formats currently in use by GEF Partner Agencies, CSOs, and project executing agencies.</p>	<p>The first sentence of Principle "5" is the PIP's first declarative, unmodified, statement of principle. The remainder of the section however moves toward an advisory approach ("should have," "should be") despite the GEF Instrument's unequivocal requirement that all GEF-financed projects "provide for full disclosure of non-confidential information."</p> <p>It is clear that the PIP was written at a time when GEF was still defining specific information documentation and disclosure formats and processes. The PIP Guidelines helpfully provide much needed interpretation regarding the PIP's call for "full documentation."</p>
<p>10. The Secretariat will undertake the following to facilitate effective public involvement in all GEF-financed projects:</p> <ol style="list-style-type: none"> Establish, in consultation with the GEF Agencies, operational guidelines for assessing the effectiveness of public involvement activities in the project's design and implementation plan; subsequent monitoring of public involvement activities through the annual project implementation review; and evaluating the impacts of public involvement in terms of improving projects; Facilitate the exchange of good practices on public involvement among recipient governments, GEF Partner Agencies, project executing agencies, and other stakeholders with a view to ensuring that lessons learned are incorporated into design of future projects; 	

<ul style="list-style-type: none"> c) In collaboration with GEF Partner Agencies, explore ways in which NGO roles can be strengthened in project preparation, design, implementation and evaluation and conduct periodic assessments of the effectiveness of CSOs, and other stakeholders, in promoting public involvement in projects; and d) Ensure that funding is available to recipient governments, executing agencies, and, as appropriate, CSOs for carrying out effective public involvement. 	
<p>11. GEF Partner Agencies are committed to promoting effective public involvement within their own institutional environment. In accordance with internal policies and procedures, and consistent with the principles outlined in Part III above, GEF Partner Agencies should develop guidelines for public involvement in their own GEF-financed projects, which may include the following:</p> <ul style="list-style-type: none"> a) Modalities for incorporating public involvement in projects, and addressing social issues, starting at the earliest stages of the project cycle, and recognizing the difficulties and long-term nature of cultivating local participation; and b) Financing options during project preparation, and within project budgets, to facilitate design and implementation of public involvement activities, as appropriate, including allocation of project funding to encourage participation of CSOs, local groups, and the private sector. 	

ANNEX 1: PROFILE TEMPLATES OF GEF AGENCY POLICIES AND PROCEDURES REGARDING STAKEHOLDER ENGAGEMENT**Contents**

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Introduction

This review examined GEF Partner Agency (hereafter “Agency”) policies and procedures that apply to Agency supported projects and programs for compatibility with GEF policies and guidelines regarding stakeholder engagement, namely the GEF Public Information Policy (PIP), the PIP Implementation Guidelines, the GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards, the GEF Policy on Gender Mainstreaming, and the GEF Monitoring and Evaluation Policy. Ten baseline questions (some with sub-questions) regarding stakeholder engagement were derived from these GEF policies/guidelines (see “key questions”

below). Responses to the baseline questions taken from Agency policies/procedures were recorded and summarized in each Agency “Profile” page. A summary of the analysis is contained below. I must be noted that only mandatory Agency project-related policies, procedures, and templates were utilized for this comparison. The Analysis here is not intended to capture the many other dimensions which Agencies may utilize and/or support stakeholder engagement (e.g. normative work, in Agency governance or advisory councils, Agency dialogues, or voluntary guidance). These are of course important areas or work by the Agencies. However, the analysis here is limited to project/program-level requirements.

Summary of Analysis

1. **The policies of a majority of GEF Agencies include stakeholder engagement requirements that are applicable to projects with potential adverse social and environmental impacts but not to projects with minimal adverse impacts.** The GEF PIP and PIP Implementation Guidelines contain general requirements regarding stakeholder engagement in GEF-financed projects and programs (that is, they are not predicated per se on whether a project/program presents social and environmental risks). The stakeholder engagement and disclosure requirements contained in the GEF Safeguards Policy are more closely linked to potential adverse social and environmental impacts of projects. For a number of GEF Partner Agencies, stakeholder engagement requirements appear to be applied primarily in concert with those regarding impact assessment and development of mitigation and management measures, and are thereby tied to a project's level of risk. While the logic for this approach is obvious (increasingly intensive levels of stakeholder engagement are needed for higher risk projects), the converse may present an issue: do stakeholder engagement requirements apply to low risk projects? While some Agencies apply their stakeholder engagement requirements "broadly" (to all projects), some have more "narrow" application (see below). It must be noted however that at the procedural level (such as through mandatory screening/initial review, project document templates), many Agencies consider stakeholder engagement in the development of all projects, even when their stakeholder engagement requirements are more narrowly framed.

"Broad" scope of stakeholder engagement policy requirements	CI, FUNBIO, FAO, IUCN, UNDP, UNEP, WB (draft safeguards)
More "narrow" scope of stakeholder engagement policy requirements (e.g. moderate/high risk projects)	ADB, AfDB, BOAD, CAF, DBSA, EBRD, FECO, IDB, IFAD, UNIDO, WWF-US, WB (current safeguards)

2. **While the policies of most Agencies articulate some criteria for planning and conducting project-level stakeholder engagement, they vary significantly regarding scope and specificity.** GEF requirements and guidelines include criteria for promoting effective stakeholder engagement, such as development of stakeholder engagement plans, stakeholder identification and analysis, ensuring that consultations are meaningful, gender inclusive, conducted throughout the project cycle, and supported financially and technically as needed. Several Agencies address each of these criteria and provide guiding language. For many Agencies such measures apply only to high-risk projects. Some Agencies do not specify one or more of these elements. Two Agencies specifically require budgets for stakeholder engagement plans (CI and UNIDO) while most Agencies appear to address the financing issue through general project budgets or budgets for mitigation plan). Criteria for what constitutes "meaningful consultation" varies significantly (noting that GEF guidelines do not provide general criteria). Gender dimensions are generally articulated (often through lens of vulnerability), but at times general consultation requirements do not fully reflect those in Agency gender policies.

3. **GEF project-level disclosure requirements are generally well reflected in Agency policies, however with a few specific exceptions.** All Agencies require that relevant project information be disclosed in a timely, accessible manner, prior to consultations with project-affected stakeholders (noting again that for many Agencies these requirements apply to projects with potential adverse impacts). Disclosure of draft (most Agencies) and final (all) assessment and mitigation plans are to be disclosed. More variation is found in disclosure of (a) consultation summary reports (not mentioned by several Agencies), (b) disclosure of screening reports (not required by a majority of Agencies), or (c) project monitoring reports (specified by only half of the Agencies). Some Agencies provide guiding language on utilizing local media to ensure broad disclosure. However, as noted in the analysis in Annex 3, the Agency-level availability of project documentation is highly variable.
4. **The policies of all Agencies meet or exceed GEF's requirement that consultations with indigenous peoples are free, prior, informed and lead to broad community support.** A majority of GEF Agencies articulate a more stringent standard of free, prior informed consent (FPIC) for either all projects that affect indigenous peoples or for specific circumstances (such as commercial development of natural resources on indigenous lands/territories or indigenous cultural knowledge).
5. **Requirements for stakeholder engagement in project monitoring typically apply to high risk projects, in particular those involving resettlement or indigenous peoples, and are optional for lower risk projects.** In addition, most Agencies do not have an explicit requirement that stakeholder engagement be accounted for in mid-term and final evaluations. However, required monitoring of implementation of safeguards should include stakeholder engagement dimensions.
6. **All* Agencies have established systems for receiving and responding to stakeholder concerns and grievances.** Agency policies generally articulate procedures for the receipt, evaluation, and response to stakeholder grievances, typically with process guarantees and response timelines. *One Agency's procedures (BOAD) could not be located.

Key questions

Key questions regarding Agency policies on Stakeholder Engagement in Projects/Programs		
Stakeholder Engagement (SE) Baseline Questions (from GEF policy documents)		References to GEF Policies and Guidelines
		KEY: PIP = Policy on Public Involvement in GEF Projects; Guidelines = Guidelines for the Implementation of the Public Involvement Policy; GM = Policy on Gender Mainstreaming; M&E = The GEF Monitoring and Evaluation Policy 2010; Agency MS = GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards
1	Agency policies/procedures reviewed that require SE in projects/programs	[GEF Partner Agency policies/procedures]
2	Do SE requirements apply to ALL projects (e.g. including low risk projects) or do they only apply to projects with higher social and environmental risks?	PIP and Guidelines contain general SE requirements, not solely based on level of env/social risks of project/program
3	Does the Agency have separate guidelines for SE in GEF operations?	Should develop PI guidelines for GEF projects, consistent w/ own policies/procedures may include incorporating PI at earliest stages of project cycle and financing options to facilitate PI (PIP, para. 11)
4	Do Policies require the following:	
	a. development of a SE plan?	Each GEF-financed project should include a stakeholder engagement plan, based on own policies/guidelines (Guidelines para. 40)
	b. stakeholder identification (incl. CSOs)?	GEF Partner Agencies are required to include in GEF project/program documentation identification of affected and participating stakeholders from civil society (Guidelines para. 37)
	c. SE throughout project cycle?	Agencies will work closely with govt and PEA to involve stakeholders at the earliest phase of project identification and throughout design, implementation and evaluation (PIP para. 6)
	d. financial and technical support for SE, as needed?	GEF Partner Agencies will include in project budgets, as needed, the necessary financial and technical assistance to govts and PEA to ensure effective PI (PIP Principle 4)
5	Do policies require effective, meaningful consultations?	Agencies are committed to promoting effective PI w/in own institutional environment (PIP para. 11). GEF Safeguards Policy requires Agencies to have policies, procedures and capacity to ensure effective and meaningful consultations (Guidelines para. 37)
6	Do policies require gender dimensions be considered in SE?	Agencies to pay attention to gender elements in project review and design, undertake social assessment (incl gender analysis), avoid/minimize/mitigate adverse gender impacts (GM paras. 13-16; consultation requirements not specified but implied). Para. 5 refers to the PIP "that aims to ensure both women's and men's involvement in GEF projects"

7	Do policies require that free prior informed consultations with indigenous peoples result in broad community support?	Agencies will rely on their systems for consultation with Indigenous Peoples and will ensure that such consultations result in broad community support (Agency MS, para. 7 and Guidelines para. 39)
8	Do policies require timely, accessible disclosure of relevant documents including disclosure of following:	PI will be carried out in a transparent and open manner. All GEF projects should have full documentation of PI (PIP Principle 5). Agencies will support PAE in providing relevant, timely, and accessible information (PIP para. 8). Also Guidelines paras. 24, 41 (specifying that full documentation includes items a - e)
	a. summary reports of stakeholder consultations?	Guidelines para. 41
	b. E/S screening reports?	Guidelines para. 41
	c. draft E/S risk/impact assessment and draft mitigation/management plans (prior to appraisal)	Guidelines para. 41
	d. final E/S risk/assessment and final mitigation/management plans (upon completion)	Guidelines para. 41
	e. monitoring reports (mid-term and final)?	Guidelines para. 41
9	Regarding M&E, do policies call for following?	
	a. accounting for SE in mid-term and final evaluations?	Mid-Term and Terminal Evaluations to account for participation of CSOs and other stakeholders in project implementation and mechanisms utilized for broader public involvement, if appropriate (Guidelines paras. 42, 45)
	b. Stakeholder participation in M&E?	M&E in the GEF shall involve project stakeholders and beneficiaries. Particularly necessary where incomes and livelihoods of local groups, especially disadvantaged populations, affected. Identify specific possibilities of SE interaction and participation and provide budget (M&E paras. 70, 71). Encouraged to seek partnerships with relevant CSOs in M&E (Guidelines para. 43)
10	Does the Agency have systems or measures for the receipt of and timely response to complaints from parties affected by the implementation of the Agency's projects (at a minimum, affected by GEF Projects) and which seek resolution of such complaints?	Agency MS 8 (8b and 8.2) (See following tab/page on GEF SGs for specific criteria and requirements)

GEF Safeguards

FOR REFERENCE ONLY	
GEF Safeguards language regarding Stakeholder Engagement and Information Disclosure (para. numbers of GEF Agency Min Standards Appendix A)	
Minimum Standard 1: Environmental and Social Impact Assessment	
	Involve stakeholders, including project-affected groups, indigenous peoples, and local CSOs, as early as possible, in preparation process and ensure their views and concerns are made known to decision makers and taken into account (7)
	Continue consultations throughout project implementation as necessary to address E/S impact assessment-related issues that affect them (7)
	Disclose draft E/S impact assessments in timely manner, before appraisal formally begins, in place accessible to key stakeholders incl. project affected groups and CSOs in understandable form & language (10)
MS 2: Protection of Natural Habitats	
	Consult appropriate experts and key stakeholders, including local NGOs and communities, and involve in design, implementation, monitoring, and evaluation of projects, including mitigation planning (20)
	Disclose draft mitigation plan in timely manner, before appraisal formally begins, in a place accessible to key stakeholders, including project affected groups and CSOs, in understandable form and language (21)
MS 3: Involuntary Resettlement	
	Design, document and disclose before appraisal a participatory process for: (a) preparing and implementing project components; (b) establishing eligibility criteria; (c) agreeing on mitigation measures that help improve or restore livelihoods in a manner that maintains the sustainability of the park or protected area; (d) resolving conflicts; and (e) monitoring implementation (26)
	Provide persons to be resettled with opportunities to participate in the planning, implementation, and monitoring of the resettlement program, especially in determining eligibility for compensation benefits and development assistance, and for establishing appropriate and accessible grievance mechanisms (27)
	Inform persons to be resettled of their rights, consult them on options, and provide them with technically and economically feasible resettlement alternatives and assistance (28)
	Disclose draft resettlement plans and/or plans, including documentation of the consultation process, in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders including project affected groups and CSOs in understandable form and language (30)
MS 4: Indigenous Peoples	
	Undertake free, prior, and informed consultations with affected IPs to ascertain their broad community support for projects affecting them and to solicit their full and effective participation in designing, implementing, and monitoring measures to (a) ensure a positive engagement in the project (b) avoid adverse impacts, or when avoidance is not feasible, minimize, mitigate, or compensate for such effects; and (c) tailor benefits in a culturally appropriate way (36)
	Undertake E/S impact assessment, with involvement of IPs, to assess potential impacts and risks when a project may have adverse impacts (37)
	Provide socioeconomic benefits in ways that are culturally appropriate, and gender and generationally inclusive. Full consideration should be given to options preferred by the affected Indigenous Peoples for provision of benefits and mitigation measures (38)

	If access restriction to parks and protected areas, ensure that affected IPs fully and effectively participate in the design, implementation, monitoring and evaluation of management plans for such areas and share equitably in benefits from the areas (40)
	Refrain from utilizing cultural resources or knowledge of IPs without obtaining prior agreement (41)
	Where the E/S impact assessment identifies adverse effects on IPs, Agency policies require that the project develop an IP plan or a framework that (a) specifies measures to ensure that affected IPs receive culturally appropriate benefits and (b) identifies measures to avoid, minimize, mitigate or compensate for any adverse effects, (c) includes measures for continued consultation during project implementation, grievance procedures, and monitoring and evaluation arrangements, and (d) specifies a budget and financing plan for implementing the planned measures. Such plans should draw on indigenous knowledge and be developed in with the full and effective participation of affected IPs (42)
	Disclose documentation of the consultation process and the required IP plan or framework, in timely manner, before appraisal formally begins, in a place accessible to key stakeholders, including project affected groups and CSOs, in a form and language understandable to them (43)
	Monitor, by experienced social scientists, the implementation of the project (and any required IP plan or framework) and its benefits as well as challenging or negative impacts on Indigenous Peoples and address possible mitigation measures in a participatory manner (44)
	GEF SGs require FPIC where it is required by virtue of ratification of ILO 169. Must document mutually accepted consultation process and evidence of agreement as outcome of process (Agency MS policy para. 6)
MS 5: Pest Management	
	Disclose draft mitigation plans in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders including project affected groups and CSOs in understandable form and language (52)
MS 6: Physical Cultural Resources	
	Consult local people and other relevant stakeholders in documenting the presence and significance of PCR, assessing nature and extent of potential impacts, and designing and implementing mitigation plans (57)
	Disclose draft mitigation plans, in timely manner, before appraisal formally begins, in a place accessible to key stakeholders incl. project affected groups and CSOs in a form and language understandable to them (59)
MS 7: Safety of Dams	
	Disclose draft plans, in a timely manner, before appraisal formally begins, in a place accessible to key stakeholders, incl. project affected groups and CSOs, in understandable form and language (67)
MS 8: Accountability and Grievance Systems (review will only covers grievance systems)	
	Criteria 8(b). GEF Partner Agencies shall also have systems or measures for the receipt of and timely response to complaints from parties affected by the implementation of the Partner Agencies' projects and which seek resolution of such complaints. Such systems are not intended to substitute for the country-level dispute resolution and redress mechanisms.
	Regarding complaints systems, ... GEF Partner Agencies shall: <ul style="list-style-type: none"> a. Designate staff or a division that is available to receive and respond to complaints related to the implementation of its projects. b. Work proactively with the complainant and other parties to resolve the complaints or disputes determined to have standing. c. Maintain records on all cases and issues brought forward, with due regard for confidentiality of information. d. Publicly designate the contact information for the staff and/or division responsible for receiving and responding to complaints. This information should preferably be designated both on the Agency's website and on separate websites, if established, for specific projects. For individual projects, this information should be provided in local languages. e. Inform project stakeholders of the existence of the Agency's Accountability and Grievance Systems during consultations and inform stakeholders how they may file complaints, including provision of contact information for the responsible staff or division. (72) (Section 8.2)

World Bank

WORLD BANK PROFILE regarding policies on Stakeholder Engagement in Projects/Programs			
Stakeholder Engagement (SE) Baseline Questions (from GEF policy documents)		WB Policies and Procedures (IBRD/IDA)	WB Draft Policies (IBRD/IDA)
1	Agency policies/procedures reviewed that require SE in projects/programs	WB Safeguard Policies (OP/BP 4.01 Environmental Assessment, OP/BP 4.04 Natural Habitats, OP/BP 4.10 Indigenous Peoples, OP/BP 4.11 Physical Cultural Resources, OP/BP 4.12 Involuntary Resettlement, OP/BP 4.36 Forests); OP/BP 8.60 Development Policy Lending; Access to Information Policy; Integrated Safeguards Data Sheet; OP 4.20 Gender and Development; OP 13.60 Monitoring & Evaluation; Grievance Redress Service (GRS) and Inspection Panel (IP) websites	Draft Environmental and Social Framework (Second Draft, July 1 2015) (ESF), including Environmental and Social Standard 10 Stakeholder Engagement and Information Disclosure (ESS10) (below only reviews ESF)
2	Do SE requirements apply to ALL projects (e.g. including low risk projects) or do they only apply to projects with higher social and environmental risks?	Policy requirements for SE apply primarily only to projects with social and environmental risks. Umbrella EA policy requires consultations for high/moderate risk investment projects (Cat A/B), not low risk projects (Cat. C) (EA para. 14). Consultations required for <u>all</u> projects that may affect IPs (IP para. 1). For policy-based lending, borrower to consult key stakeholders (not risk-specific) (DPL para. 6). Procedurally, Integrated Safeguards Data Sheet (ISDS) is prepared for all investment projects and includes section on consultations which may encompass low risk projects	Apply to all investment projects (ESS10 para. 4). More specific and extensive requirements for higher risk projects (ESS10 para. 6)
3	Does the Agency have separate guidelines for SE in GEF operations?	No separate guidelines, embedded in safeguard policies	
4	Do Policies require the following:		
	a. development of a SE plan?	No explicit requirement for a SE plan in EA policy. However "mechanisms for consultation" to be described in Integrated Safeguards Data Sheet (ISDS) which is prepared for all investment projects. Indigenous Peoples and Resettlement policies require consultation plans (included as components of IPP/RAP)	Yes, with level of detail proportionate to nature of project and risks (ESS10 para. 13)
	b. stakeholder identification (incl CSOs)?	ISDS at appraisal stage to include identification of stakeholders. When EA safeguard applicable, consultation (hence identification) with affected groups and local NGOs required (EA para. 14). For IP and Resettlement, identification of affected persons required	Yes (ESS10 para. 8)

	c. SE throughout project cycle?	Under EA policy, consultations required as part of project preparation, and during implementation "as necessary to address EA-related issues" (EA, para. 14). For IP, requires free, prior informed consultations for all project stages, incl M&E (IP para. 6, 10, 11). Resettlement policy requires consultations during implementation (IR Annex A para. 15)	Yes (ESS10 para. 23)
	d. financial and technical support for SE, as needed?	Not specified in EA policy. IP and Resettlement policies require costs of all activities in management plan to be included in total project costs (IP Annex B; IR para. 20).	Not specified in ESS10. Mitigation plans, including for resettlement and IPs, to include comprehensive budgets
5	Do policies require effective, meaningful consultations?	General criteria for consultations not specified in EA policy. WB review of EA (Cat A/B) to pay special attention to nature of consultations and extent to which stakeholder views were taken into account (EA BP para. 12). IP and Resettlement policies specify criteria for participation	Yes (ESS10 paras. 21-22)
6	Do policies require gender dimensions be considered in SE?	Not specified in EA policy ("social aspects" to be considered in EA) (EA para. 3). Project-level participation not noted in Gender Policy. IP policy requires gender appropriate framework for consultations (para. 10). Resettlement policy requires attention to needs of vulnerable groups, incl. women, but not specific to consultations (IR para. 8)	Yes, stakeholder engagement plan to address different interests/characteristics of stakeholders, and also tailored to needs of disadvantaged/vulnerable (w/ gender noted as a risk factor) (ESS10 paras. 11, 15, 16)
7	Do policies require that free prior informed consultations with indigenous peoples result in broad community support?	Yes. Requires free prior informed consultations for all projects that affect IPs. Provides financing only where WB determines there is broad community support (IP para. 1)	Requires meaningful consultations for all IP projects and free prior informed consent (FPIC) for 3 types: impacts on IP lands/natural resources; relocation; significant impacts on cultural heritage (ESS7 paras. 17-20)
8	Do policies require timely, accessible disclosure of relevant documents including disclosure of following:	For Cat. A/B projects, "relevant" information to be provided in timely manner prior to consultations in accessible and understandable form and language (EA, para. 15)	Provide stakeholders with timely, relevant, understandable, accessible information (ESS10 para. 7).
	a. summary reports of stakeholder consultations?	Disclosure mandated as part of assessment documents. Under EA policy, reporting on consultations included in assessment report (EA Annex B, required for Cat A projects and some Bs). No general requirements for reporting on consultations during implementation (however may be specified in individual project monitoring plans). IPP to include reporting on implementation of IPP, including consultations during implementation (IP, para. 10, Annex B).	Implied in requirement that borrower will provide information on "time/venue of consultations and the process by which meetings will be notified, summarized and reported" (ESS10 para. 19)
	b. E/S screening reports?	Project Identification Document and Integrated Safeguards Data Sheet ISDS disclosed prior to appraisal. These documents summarize potential risks/impacts and indicate which SG policies are applicable. ISDS includes information on consultations	Not specified in ESF.
	c. draft E/S risk/impact assessment and draft mitigation/management plans (prior to appraisal)	For Cat. A projects, draft EA report to be disclosed in accessible place. Draft IPP and resettlement instrument must be disclosed in accessible form, language and manner (IP para. 15; IR para. 22). Unclear if draft Cat. B documentation required to be disclosed	Not specified in ESF.

	d. final E/S risk/assessment and final mitigation/management plans (upon completion)	Final EA reports (Cat. A/B) including mitigation measures/plans disclosed locally and on Bank website prior to Board consideration (EA para. 16, EA BP paras. 9, 13)	Risks/impacts and mitigation measures to be disclosed (ESS10. para. 19) but disclosure of actual assessment documents not specified other than Environmental and Social Commitment Plan (ESS1 para. 36)
	e. monitoring reports (mid-term and final)?	WB discloses sections of its periodic Implementation Status and Results Report (ISRR) during implementation. ISRR includes "stakeholder" risk indicator to Bank relations with key stakeholders who may question or oppose project (rated low, moderate, substantial, high; no narrative provided). Final Implementation Completion and Results Reports disclosed upon distribution to Board. (ATI Handbook Attachment C)	Disclosure not specified in ESF.
9	Regarding M&E, do policies call for following?		
	a. accounting for SE in mid-term and final evaluations?	Not specified	Monitoring reports required by ESCP will include information on stakeholder engagement conducted during implementation (ESS1 para. 47)
	b. Stakeholder participation in M&E?	Not specified except in IP and Resettlement policies	Where appropriate, include stakeholders in monitoring (ESS1 para. 45)
10	Does the Agency have systems or measures for the receipt of and timely response to complaints from parties affected by the implementation of the Agency's projects (at a minimum, affected by GEF Projects) and which seek resolution of such complaints?	Complaints from project-affected communities can be submitted to the Grievance Redress Service for consideration and potential resolution by WB management or to the independent Inspection Panel (which reviews complaints for potential non-compliance with WB policies and procedures) (GRS and IP websites). Project-level grievance mechanisms required for projects that trigger the Involuntary Resettlement and/or Indigenous Peoples policies	Grievance Redress Service and Inspection Panel available to project-affected persons to submit complaints. Draft safeguards also require project-level grievance mechanisms (ESS10, paras. 26-27 and Annex 1)

Asian Development Bank (ADB)

ADB PROFILE regarding policies on Stakeholder Engagement in Projects/Programs		
Stakeholder Engagement (SE) Baseline Questions (from GEF policy documents)		ADB Policies and Procedures
1	Agency policies/procedures reviewed that require SE in projects/programs	Safeguard Policy Statement (SPS); Public Communications Policy (PCP); Operations Manual (OM); Accountability Mechanism website
2	Do SE requirements apply to ALL projects (e.g. including low risk projects) or do they only apply to projects with higher social and environmental risks?	General consultation requirements of Environmental Safeguards tied to level of risk (thus not applicable to low risk projects) (SPS E SG, Scope and Triggers). Consultation requirements of IP SG apply to all projects that affect IPs, positively or negatively (SPS IP SG Scope and Triggers). Procedurally, stakeholder identification and consultations are to be initially outlined in Initial Poverty and Social Analysis (IPSA, prepared for each project except TA), encompassing low risk projects (OM C3/OP para. 6 and IPSA examples on website).
3	Does the Agency have separate guidelines for SE in GEF operations?	No separate guidelines, embedded in safeguard policies
4	Do Policies require the following:	
	a. development of a SE plan?	No general requirement but consultation plan required for projects with potential social and environmental impacts (required element of an EIA Report for Cat A & B projects, a RAP and an IPP (SPS, Annexes to Appendices 1, 2, and 3)
	b. stakeholder identification (incl. CSOs)?	IPSA captures an initial list of stakeholders. Where SGs triggered, stakeholder identification required as basis for consultations (OM C3/OP para. 6 and IPSA examples on website)
	c. SE throughout project cycle?	Yes, when SGs triggered. (SPS Environment SG Principle 5: involve stakeholders early in preparation and continue consultations throughout implementation "as necessary")
	d. financial and technical support for SE, as needed?	Not explicit in Environmental Safeguards. IP and Resettlement policies require costs of all activities in management plan be included in total project costs (SPS Appendix 2 and 3)
5	Do policies require effective, meaningful consultations?	Yes. SPS specifies need to conduct meaningful consultations and specifies criteria (early and ongoing, timely disclosure relevant info, free of intimidation/coercion, gender inclusive and tailored to needs of disadvantaged, incorporation of views of affected persons (SPS, para. 54)
6	Do policies require gender dimensions be considered in SE?	Yes. ADB requires that meaningful consultation be undertaken, and defines this as being gender inclusive and responsive (SPS, paras. 32, Environment SG policy principle 5, para. 54)

7	Do policies require that free prior informed consultations with indigenous peoples result in broad community support?	Requires meaningful consultation (definition addresses "free, prior, informed" criteria) to ensure informed participation for all projects that affect IPs (SPS, App. 3 para. 10). Requires free, prior, informed consultations leading to BCS (policy refers to this as FPIC) for three project types: commercial development of IP cultural resources and knowledge, physical displacement, commercial development of natural resources on customary lands (SPS IP SG policy principles 3, 4; SPS Appendix 3, paras. 30-36). Requires agreements with IPs for commercial development of IP cultural resources (SPS Appendix 3, para. 34)
8	Do policies require timely, accessible disclosure of relevant documents including disclosure of following:	Where safeguards applicable, requires disclosure of relevant information in timely manner, in accessible place, and in understandable form and language (SPS, para. 53, E SG Principle 6, R SG Principle 9, IP SG Principle 7)
	a. summary reports of stakeholder consultations?	Disclosure mandated as part of SG documents (EIA Report, RAP, IPP) which include summaries of consultations undertaken as part of project preparation (SPS Annex to App. 1, G; Annex to App. 2 E; Annex to App. 3 D). No general requirements for reporting on consultations during implementation (however may be specified in individual project monitoring plans)
	b. E/S screening reports?	Partial. IPSA includes early identification of applicable social safeguards and is disclosed early. For environmental issues, ADB utilizes rapid environmental assessment (REA) checklists to assist with screening and categorization but these are not disclosed. Categorization recorded on project website with summary of environmental and social safeguard aspects
	c. draft E/S risk/impact assessment and draft mitigation/management plans (prior to appraisal)	Discloses draft EIA, draft RAP, draft IPP before appraisal (draft EIA report for Cat A at least 120 days before Board consideration) (SPS para. 53; PCP paras. 51, 52, 53)
	d. final E/S risk/assessment and final mitigation/management plans (upon completion)	Final EIA, RAP, IPP disclosed upon receipt (SPS para. 53; PCP para. 51, 52, 53)
	e. monitoring reports (mid-term and final)?	Discloses monitoring reports (environmental, resettlement, IP) upon receipt (SPS para. 53; PCP paras 51, 52, 53)
9	Regarding M&E, do policies call for following?	
	a. accounting for SE in mid-term and final evaluations?	Not specified
	b. Stakeholder participation in M&E?	Partially. For projects with significant impacts, requires qualified external experts, incl. NGOs, to verify monitoring information (SPS para. 58). RAP calls for participation of affected persons in monitoring (SPS Annex to Appendix 2 N). IP SG calls for participatory monitoring approaches wherever possible (SPS IP SG Principle 9)
10	Does the Agency have systems or measures for the receipt of and timely response to complaints from parties affected by the implementation of the Agency's projects (at a minimum, affected by GEF Projects) and which seek resolution of such complaints?	Project-affected persons may submit complaints to ADB's Accountability Mechanism which encompasses both compliance review (undertaken by the Compliance Review Panel, CRP) and grievance- and problem-solving functions (conducted by the Special Projects Facilitator). In addition, project-level grievance mechanisms are required (SPS Environment SG principle 5 and para. 59)

United Nations Development Programme (UNDP)

UNDP PROFILE regarding policies on Stakeholder Engagement in Projects/Programs		
Stakeholder Engagement (SE) Baseline Questions (from GEF policy documents)		UNDP Policies and Procedures
1	Agency policies/procedures reviewed that require SE in projects/programs	Programme and Policies Operations and Procedures (POPP); Programme and Project Management Policies and Procedures (PPM); UNDP Social and Environmental Standards (SES); UNDP Social and Environmental Screening Procedure (SESP); Stakeholder Response Mechanism website (SRM); Project Document Template (ProDoc); Guidance for Conducting Midterm Reviews (MTR) and Terminal Evaluations (TE) of UNDP-supported GEF-financed Projects
2	Do SE requirements apply to ALL projects (e.g. including low risk projects) or do they only apply to projects with higher social and environmental risks?	UNDP applies a general requirement of stakeholder analysis and consultation for all projects and programs (POPP, "Justifying a Project," "Designing a Project"; SES, Policy Delivery Process para. 12). Scale and frequency of engagement increases with level of potential impacts and concerns of affected communities (para. 13)
3	Does the Agency have separate guidelines for SE in GEF operations?	No separate guidelines, contained in UNDP's overall policy framework (general (POPP) and safeguards SES)) and procedures. GEF-specific monitoring and evaluation guidance requires accounting for stakeholder engagement in MTE/TE (in addition to UNDP general monitoring requirements that are also to account for stakeholder engagement)
4	Do Policies require the following:	
	a. development of a SE plan?	Yes. Project Document template for all projects includes mandatory section on identifying a strategy for engaging key stakeholders (ProDoc template section III). "Stakeholder engagement plans will be developed for all Programmes and Projects, scaled to reflect the nature of the activity and its potential impacts" (SPS Policy Delivery Process para. 15)
	b. stakeholder identification (incl. CSOs)?	Stakeholder "analysis" is a general requirement for developing all UNDP projects (POPP, "Justifying a Project"). Listed as a required element of stakeholder engagement in SES (but not specific when needs to be undertaken, SES Policy Delivery Process para. 12). Project Document Template (for all projects) includes mandatory section on identifying key stakeholders (beneficiaries as well as potentially affected communities) (ProDoc template section III)
	c. SE throughout project cycle?	Yes (UNDP applies a standard of 'meaningful, effective and informed participation' which is in part defined as being initiated early and continues iteratively through project cycle (SPS Policy Delivery Process para. 14)
	d. financial and technical support for SE, as needed?	Budgeting for SE not specified, integrated into project outputs. Management plans (ESMP, IPP, RAP) to include costs of all activities (incl. SE).

5	Do policies require effective, meaningful consultations?	Yes, UNDP requires "meaningful, effective and informed consultations" with specified criteria (free of manipulation/coercion, gender and age-inclusive/responsive, culturally appropriate, based on timely disclosure of accessible, understandable relevant info; throughout project cycle; address S/E impacts; seeks to empower stakeholders, particularly marginalized; documented and reported; consistent with duties and obligations under int'l law) (SPS Policy Delivery Process para. 14)
6	Do policies require gender dimensions be considered in SE?	Yes, included as definitional element of "meaningful, effective and informed consultations" ("gender and age-inclusive and responsive") (SPS Policy Delivery Process para. 14)
7	Do policies require that free prior informed consultations with indigenous peoples result in broad community support?	Requires free, prior informed consent (FPIC) for all projects that may affect the rights and interests, lands, resources, territories, traditional livelihoods, cultural heritage of indigenous peoples or involve their physical relocation (SPS S6, para. 8, 9, 13). For any other activities require meaningful, effective and informed consultation (does not require broad community support per se) (para. 9)
8	Do policies require timely, accessible disclosure of relevant documents including disclosure of following:	Yes. Information on project's purpose, nature and scale, duration, risks and potential impacts is to be made available in a timely manner, in an accessible place, and in a form and language understandable to affected persons and general public (SPS Policy Delivery Process para. 21)
	a. summary reports of stakeholder consultations?	Yes. (SPS Policy Delivery Process para. 21)
	b. E/S screening reports?	Yes. (SPS Policy Delivery Process para. 21)
	c. draft E/S risk/impact assessment and draft mitigation/management plans (prior to appraisal)	Yes. (SPS Policy Delivery Process para. 21)
	d. final E/S risk/assessment and final mitigation/management plans (upon completion)	Yes. (SPS Policy Delivery Process para. 21)
	e. monitoring reports (mid-term and final)?	Yes. (SPS Policy Delivery Process para. 21)
9	Regarding M&E, do policies call for following?	
	a. accounting for SE in mid-term and final evaluations?	Stakeholder engagement to be reflected in mid-term reviews (MTR p. 19 and MTR TOR p. 31) and terminal evaluations (planned and actual "stakeholder interactions" to be reviewed. TE p. 18 and TE TOR pp. 36, 37). Stakeholder workshops recommended to review draft terminal evaluation (TE p. 10).
	b. Stakeholder participation in M&E?	Yes. "Monitoring activities must be carried out with the active participation of relevant stakeholders including national and international government agencies, NGOs and CSOs, the private sector, and representatives of local communities including representatives of indigenous peoples, where relevant" (PPM-Monitoring para. 10). "Monitoring activities should involve direct participation of affected stakeholders, where possible, and in particular for Projects with potentially significant adverse risks and impacts." (SPS Policy Delivery Process, 26)
10	Does the Agency have systems or measures for the receipt of and timely response to complaints from parties affected by the implementation of the Agency's projects (at a minimum, affected by GEF Projects) and which seek resolution of such complaints?	Project-affected stakeholders may submit complaints to UNDP's Stakeholder Response Mechanism. In addition, projects are to include mechanisms for stakeholders to submit concerns. "When necessary," project-level grievance mechanisms are to established, and are required elements of RAPs and IPPs (SPS Policy Delivery Process, paras. 17-20 and SRM web)

Food and Agricultural Organization (FAO)

FAO PROFILE regarding policies on Stakeholder Engagement in Projects/Programs		
Stakeholder Engagement (SE) Baseline Questions (from GEF policy documents)		FAO Policies and Procedures
1	Agency policies/procedures reviewed that require SE in projects/programs	FAO Environmental and Social Management Guidelines (ESMG); Quality Appraisal Form for Programme and Project Review Committee on Relevance and Sustainability and Technical Soundness (QA PPRC); FAO Policy on Gender Equality (PGE); project document template; project concept note template; draft text on revised project cycle; Project Progress Report Format (PRF); Guidelines for drafting Terminal Reports (TRG); OED Evaluation Manual
2	Do SE requirements apply to ALL projects (e.g. including low risk projects) or do they only apply to projects with higher social and environmental risks?	SE required for all projects (ESMG paras. II.6,7; ESGM applies to all projects and programmes). Templates for project concept note and project document contain mandatory stakeholder identification sections. and project document Quality Appraisal Form includes question on how well SE is defined for projects/programmes (QA PPRC question 1.2.3). For moderate and high risk projects, a SE summary form is required (ESMG Annex 6) and assessment documents to contain SE components (ESMG Annex 3, 4)
3	Does the Agency have separate guidelines for SE in GEF operations?	No separate guidelines, embedded in safeguard policies
4	Do Policies require the following:	
	a. development of a SE plan?	Partially. Project Document template includes mandatory section on methodologies used to identify stakeholders and their concerns. However, it does not mandate a plan going forward. Draft project cycle guidance indicates that the consultation methodologies are to be specified (based on stakeholder identification)
	b. stakeholder identification (incl. CSOs)?	Yes (ESMG para. II.9), concept note template, project document template
	c. SE throughout project cycle?	Yes (ESMG para. II.7)
	d. financial and technical support for SE, as needed?	Not specified. Procedurally, detailed project budgets reviewed by environmental and social management unit for appropriate resource levels (incl for SE). Mitigation plans (resettlement, IPPs) to include comprehensive budgets. FAO reviewing procedures, plans to strengthen guidance in FAO handbook
5	Do policies require effective, meaningful consultations?	Yes, some criteria specified (ongoing process, engage disadvantaged/vulnerable, involves stakeholder identification, disclosure, and grievance mechanism) (ESMG paras. II.7, 8)
6	Do policies require gender dimensions be considered in SE?	SE to include consultations with disadvantaged/vulnerable, with gender listed as a factor (ESMG II.7). Gender-sensitive stakeholder analysis to be undertaken and equal opportunities provided to participate in decision-making (ESMG ESS8, paras. 9, 10, 11)

7	Do policies require that free prior informed consultations with indigenous peoples result in broad community support?	Requires free, prior informed consent (FPIC) for all projects/programmes that may affect indigenous peoples (specifically their rights, lands, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems, and culture or heritage (tangible and intangible) (ESMG ESS9, para. 6)
8	Do policies require timely, accessible disclosure of relevant documents including disclosure of following:	Yes. FAO will disclose information in a timely manner, before appraisal, that is accessible, culturally appropriate, placing due attention to specific needs of affected groups (such as gender, literacy, language). Documentation of disclosures to be noted in disclosure record form for moderate and high risk projects (ESMG Annex 7)
	a. summary reports of stakeholder consultations?	ESMG notes that FAO will maintain adequate documented evidence of SE, but unclear on reporting and disclosing (ESMG para. II.10)
	b. E/S screening reports?	Disclosure of screening reports not specified
	c. draft E/S risk/impact assessment and draft mitigation/management plans (prior to appraisal)	For high risk projects, draft ESIA disclosed early as possible, no later than 60 days prior to project approval (ESMF, II.39). Required disclosure of draft RAP (ESMG ESS6 para. 12) and draft IPP (subject to FPIC process, ESS9 para. 10). Disclosure of draft assessments for moderate risk projects not specified ("applicable" information disclosed early as possible, no later than 30 days prior to approval. ESMF II.38)
	d. final E/S risk/assessment and final mitigation/management plans (upon completion)	Not specified in ESS but FAO clarified will be disclosed upon completion
	e. monitoring reports (mid-term and final)?	Progress reports to provide updates on beneficiaries (PRF sec. C.b). Other stakeholder elements would be addressed if included in outputs. FAO plans to strengthen template. FAO is testing stakeholder feedback system that allows external stakeholders to provide real-time and ex-post feedback on the performance of FAO projects/programmes. The system is a simple scorecard with a short questionnaire adapted to the external audience to be completed every six month, as part of project monitoring to assess progress towards the achievement of results.
9	Regarding M&E, do policies call for following?	
	a. accounting for SE in mid-term and final evaluations?	Yes, stakeholder participation to be addressed in terminal reports (TRG sections B, C). FAO's Office of Evaluation (OED) involves stakeholders in evaluation, often constituting evaluation consultative groups and stakeholder workshops (OED Manual)
	b. Stakeholder participation in M&E?	Yes. "Monitoring activities should involve direct participation of affected stakeholders, where possible and in particular for Projects with potentially significant adverse risks and impacts." (ESMG para. II.30) Joint monitoring with indigenous peoples required (ESMG ESS9 para. 22)
10	Does the Agency have systems or measures for the receipt of and timely response to complaints from parties affected by the implementation of the Agency's projects (at a minimum, affected by GEF Projects) and which seek resolution of such complaints?	FAO has established requirements for addressing concerns/complaints raised by project stakeholders regarding implementation of FAO's social and environmental standards. Each country office is to establish and publicize mechanisms for receipt of complaints. A country office focal point and programme/project managers are to seek resolution of concerns. If complaints are not resolved at the project management level, a complaint requesting a compliance review may be filed with FAO's Office of Inspector-General (ESMG Part II, 43-50)

African Development Bank (AFDB)

AFDB PROFILE regarding policies on Stakeholder Engagement in Projects/Programs		
Stakeholder Engagement (SE) Baseline Questions (from GEF policy documents)		AFDB Policies and Procedures
1	Agency policies/procedures reviewed that require SE in projects/programs	AFDB Integrated Safeguards System (ISS); Disclosure and Access to Information Policy and Handbook (DAI); Independent Review Mechanism (IRM) website
2	Do SE requirements apply to ALL projects (e.g. including low risk projects) or do they only apply to projects with higher social and environmental risks?	SE requirements apply to projects with adverse social and environmental impacts (meaningful consultation required "with communities likely to be affected by environmental and social impacts, and local stakeholders") (ISS OS1 p. 27)
3	Does the Agency have separate guidelines for SE in GEF operations?	No separate guidelines, embedded in safeguard policies
4	Do Policies require the following:	
	a. development of a SE plan?	Not specified
	b. stakeholder identification (incl. CSOs)?	For projects that present environmental and social risks, consultations to be based on stakeholder analysis (ISS OS1, p. 27). For consultations with vulnerable communities, process involves CSOs (ISS OS1, p. 28)
	c. SE throughout project cycle?	For projects that present environmental and social risks, consultations to begin early in preparation and continues "as needed"; for consultations with vulnerable groups, conduct SE throughout the project cycle (ISS OS1, pp. 27, 28; also for resettlement OS2 p. 33)
	d. financial and technical support for SE, as needed?	Not specified. Mitigation plans to include comprehensive budgets
5	Do policies require effective, meaningful consultations?	Requires "meaningful consultation" (i.e. consultation that is free, prior and informed) with affected communities and local stakeholders, and also for ensuring broad community support, especially for Category 1 (high risk) projects. Requires "meaningful informed consultation and participation" with vulnerable communities (inclusive and culturally appropriate; sufficient time; facilitate expression of concerns in the language and manner of their choice, free of intimidation, interference, manipulation, coercion; respect culture, knowledge, practices) (ISS OS1 p. 27)
6	Do policies require gender dimensions be considered in SE?	Gender dimensions of consultations not specifically noted. Identification of and consultations with potentially affected vulnerable groups required, with gender noted as risk factor for vulnerability. Bank will assess gender issues for every project and use findings as basis for project design and compensation plans, but gender sensitive consultations not specified (ISS

		OS1, p. 26). Gender dimensions of consultations regarding resettlement planning to be considered (ISS OS2 p. 33)
7	Do policies require that free prior informed consultations with indigenous peoples result in broad community support?	Yes, requires "meaningful informed consultation and participation" with vulnerable communities which includes indigenous peoples that are to be inclusive and culturally appropriate w/ sufficient time; facilitate expression of concerns in the language and manner of their choice, free of intimidation, interference, manipulation, coercion; respect culture, knowledge, practices (ISS OS1 p. 27). AfDB does not have separate safeguard standard regarding indigenous peoples
8	Do policies require timely, accessible disclosure of relevant documents including disclosure of following:	Consultations to be preceded by disclosure of adequate project information "to ensure participants are fully informed." Refers to consultations (not disclosure) as being timely, in appropriate language and in an accessible place (ISS OS1 p. 27). For assessments (risk-based), see 8.c below
	a. summary reports of stakeholder consultations?	Not specified. ISS notes that results of consultations to be reflected in project design and in project documentation, but does not mention summary reports (ISS OS1 p. 27)
	b. E/S screening reports?	Not specified
	c. draft E/S risk/impact assessment and draft mitigation/management plans (prior to appraisal)	Appears yes, but mandatory nature of disclosing drafts is unclear. ISS states that consultations for Cat. 1 (high risk) projects "should" obtain stakeholder "input to" draft ToR for assessment, the draft SESA or ESIA report and summary and draft ESMP. For Cat. 2 projects, stakeholders "are" consulted "about" draft assessment report and draft ESMP (ISS OS1 p. 27).
	d. final E/S risk/assessment and final mitigation/management plans (upon completion)	Yes for high risk projects, unclear for moderate risk. Final Cat. 1 assessment documents and management plans disclosed at least 120 days (for public sector) or 60 days (for private sector) before Board consideration. For Cat. 2 projects (public and private) a "summary of the ESMP" is made available at least 30 days before Board consideration (unclear if actual assessment disclosed). AfDB posts on website, Borrower discloses locally (ISS OSS pp. 28-29)
	e. monitoring reports (mid-term and final)?	Yes. Disclosure Handbook notes that Project Progress Reports, Supervision Reports, Project Completion Reports, and Evaluation Reports will be disclosed (DAI Handbook pp. 7-8)
9	Regarding M&E, do policies call for following?	
	a. accounting for SE in mid-term and final evaluations?	Not specified
	b. Stakeholder participation in M&E?	Not mentioned in assessment standard. For resettlement, affected people to be given opportunity to participate in monitoring (ISS OS2 p. 37).
10	Does the Agency have systems or measures for the receipt of and timely response to complaints from parties affected by the implementation of the Agency's projects (at a minimum, affected by GEF Projects) and which seek resolution of such complaints?	AfDB's Conflict Resolution and Mediation Unit (CRMU) (part of the Independent Review Mechanism) receives and handles the complaints and conducts both problem-solving and compliance review functions. The CRMU responds to grievances submitted by project-affected peoples regarding implementation of AfDB projects (CRMU website).

European Bank for Reconstruction and Development (EBRD)

EBRD PROFILE regarding policies on Stakeholder Engagement in Projects/Programs		
Stakeholder Engagement (SE) Baseline Questions (from GEF policy documents)		EBRD Policies and Procedures
1	Agency policies/procedures reviewed that require SE in projects/programs	Environmental and Social Policy (ESP); Public Information Policy (PIP); Project Complaints Mechanism (PCM) website
2	Do SE requirements apply to ALL projects (e.g. including low risk projects) or do they only apply to projects with higher social and environmental risks?	SE Requirements (Performance Requirement 10 on disclosure and stakeholder engagement) "applies to all projects likely to have adverse" E/S impacts (ESP PR10, para. 4). Requirements regarding indigenous peoples, including engagement, applicable when project has adverse impacts (ESP PR7, para. 11, footnote 5). EBRD generally requires clients to identify stakeholders, how they will be communicated with, and how grievances will be handled. More intensive engagement is required for projects likely to have adverse E/S impact. Additional communication/consultation requirements in PR2 regarding workers, PR5 regarding resettlement, PR6 regarding biodiversity, PR7 regarding indigenous peoples, PR8 regarding cultural heritage. Limited requirements apply to Financial Intermediaries (indirect financing).
3	Does the Agency have separate guidelines for SE in GEF operations?	No separate guidelines, embedded in safeguard policies
4	Do Policies require the following:	
	a. development of a SE plan?	Yes, or demonstrate they have the equivalent in place, when project likely to have adverse environmental/social impacts/issues. Level of detail of stakeholder engagement plan (SEP) scaled to nature of potential risks. High risk projects (Cat A) require stakeholder engagement plans that address specific requirements (iterative consultations, leading to incorporation of views into project decision-making; stakeholders involved in scoping process, provide regular accessible reports on project E/S performance). (ESP PR 10 paras. 11, 21-25) Internal guidance provided on structure and contents of SEP. However, most GEF projects financed by EBRD are financial intermediaries, which have more limited requirements on stakeholder engagement (do not require SEP). EBRD requires stakeholder involvement in Cat A projects from an early stage (i.e., scoping) and requires routine information to be disclosed to the public on at least an annual basis during project implementation (ESP PR 10 paras. 11, 21-25).
	b. stakeholder identification (incl. CSOs)?	Yes for projects with environmental and social risks. Client identifies and documents affected persons/groups and those with interest in project (incl. CSOs) (ESP PR10 paras. 9, 10)
	c. SE throughout project cycle?	Yes for projects with environmental and social risks, (SE throughout life of project, ESP PR10 para. 2). Nature and frequency of SE proportionate to nature and scale of project and its potential E/S impacts (para. 7). Ongoing consultations required if resettlement or indigenous peoples standard applies (ESP PR5 para. 12, PR7, paras. 20-23)

	d. financial and technical support for SE, as needed?	Not specified. Mitigation plans to include comprehensive budgets. Also included in many types of capacity building projects.
5	Do policies require effective, meaningful consultations?	Calls for meaningful consultation, noting it is required for high risk projects and will be decided on a case-by-case basis for others, depending on impacts, people affected or interested, controversial nature of project, etc. Meaningful consultation defined as two-way ongoing process, inclusive and culturally appropriate, represents needs of various groups, align with main language preferences and decision-making processes of affected groups, including of minority/vulnerable groups and decision-making processes of affected groups, ensure free of external manipulation, interference, coercion or intimidation (ESP PR10 paras. 18, 19)
6	Do policies require gender dimensions be considered in SE?	Yes. Different interests of affected groups to be identified (gender a factor) and may require different forms of engagement to address different interests. Also required as part of social assessment. Identification of and consultations with potentially affected vulnerable groups required, with gender noted as risk factor for vulnerability. (ESP PRR10 para. 10; ESP PR1 para. 18) Noted that some groups may need additional support to access the consultation process, such as separate meetings
7	Do policies require that free prior informed consultations with indigenous peoples result in broad community support?	Yes, but does not utilize concept or terminology of Broad Community Support. Criteria for meaningful consultations with IPs for all projects address free, prior informed consultation (ESP PR7 paras. 20-23). Requires good faith negotiations leading to free prior informed consent (FPIC) for certain types of projects with potentially significant adverse impacts on IPs: projects on traditional or customary lands (including commercial exploitation of natural resources); relocation of Indigenous Peoples; and commercial development of indigenous cultural resources, knowledge, innovations, or practices (ESP PR7 paras. 29-35).
8	Do policies require timely, accessible disclosure of relevant documents including disclosure of following:	For projects with adverse social and environmental impacts, EBRD requires timely relevant accessible disclosure of information on project and risks, in local language (ESP PR10 para. 16). For Category A projects, EBRD now requires (based on a complaint finding) that all category A ESIA's must also be available in an international language (English, French, German or Russian), to allow international CSO review. Specific language to be determined in the SEP.
	a. summary reports of stakeholder consultations?	Not explicit but implied in disclosure requirements for projects with adverse E/S impacts (inform stakeholders about "the process by which meetings are notified, summarized and reported," ESP PR10 para. 16). For projects that adversely affect indigenous peoples, consultations fully documented and results reported (ESS PR7 paras. 19, 23) For Category A projects, a summary of the final decision and how comments are taken into account is required to be disclosed to stakeholders.
	b. E/S screening reports?	Not disclosed. However, Project Summary Documents (PSD) are required to have the rationale for the category assigned to the project.
	c. draft E/S risk/impact assessment and draft mitigation/management plans (prior to appraisal)	Requirements refer to disclosure of "relevant" information but drafts not explicitly noted (ESP PR1, para. 16). For Cat. A projects, EBRD clarified during earlier safeguards review that clients are required to disclose draft ESIA's, Stakeholder Engagement Plans, Non-Technical Summaries, and Environmental and Social Action Plans (i.e., the disclosure package) in local and an international language (although policy language regarding drafts is not specific). The documentation to be released should be listed in the Stakeholder Engagement Plan. Management plans are not normally part of the disclosure package.

	d. final E/S risk/assessment and final mitigation/management plans (upon completion)	For projects with adverse E/S impacts, "risks to, and potential impacts on, stakeholders and proposed mitigation plans" are disclosed. There are no specific requirements on risk assessments. For Category A projects, the disclosure package is released to the public for a minimum of 120 days before board consideration for public sector projects or 60 days for private sector (ESP PR10 para. 23, 24; PCP para. 3.4)
	e. monitoring reports (mid-term and final)?	Regular reports during implementation to be provided to interested stakeholders (ESP PR10 para. 26). Client provides regular reports to EBRD on E/S performance and compliance with requirements (incl stakeholder engagement plan). (ESP PR1 para. 27).
9	Regarding M&E, do policies call for following?	
	a. accounting for SE in mid-term and final evaluations?	Environmental and social performance and extent of change are included in evaluation. Monitoring of Stakeholder Engagement is part of routine E&S monitoring.
	b. Stakeholder participation in M&E?	Client may use third parties (experts, CSOs) to verify or complement own monitoring (ESS PR1 para. 26). Monitoring of projects involving resettlement/displacement "should" involve stakeholders; and indigenous peoples standards apply (ESP PR5 para. 24). Site visits and stakeholder consultations may be part of routine monitoring
10	Does the Agency have systems or measures for the receipt of and timely response to complaints from parties affected by the implementation of the Agency's projects (at a minimum, affected by GEF Projects) and which seek resolution of such complaints?	Project-affected persons or CSOs may first try to resolve an issue with the Client or with the Bank staff. If that is not successful, project-affected persons may submit complaints to the Project Complaint Mechanism which includes a compliance review function and a Problem-Solving Initiative that seeks to promote dialogue between parties using methods of fact-finding, mediation, conciliation, facilitation, and reporting. It should also be noted that PR10 requires establishment of project-level grievance mechanisms (PCM website and ESS PR10 para. 28) CSOs can submit a complaint and ask for a Compliance Review.

Inter-American Development Bank (IDB)

IDB PROFILE regarding policies on Stakeholder Engagement in Projects/Programs		
Stakeholder Engagement (SE) Baseline Questions (from GEF policy documents)		IDB Policies and Procedures
1	Agency policies/procedures reviewed that require SE in projects/programs	OP-703 Environmental Safeguards and Compliance Policy (ESC); OP-710 Involuntary Resettlement (IR); OP-765 Indigenous Peoples (IP); OP-102 Access to Information Policy (ATI); Implementation Guidelines for the Environment and Safeguards Compliance Policy (ESC IG); Operational Policy on Gender Equality (GE); Independent Complaints and Investigations Mechanism (ICIM) website
2	Do SE requirements apply to ALL projects (e.g. including low risk projects) or do they only apply to projects with higher social and environmental risks?	SE policy requirements apply to projects with social and environmental risks (Cat. A/B (high/moderate) projects require consultations with affected parties and consideration of their views (ESC para. 4.20).
3	Does the Agency have separate guidelines for SE in GEF operations?	No separate guidelines, embedded in safeguard policies
4	Do Policies require the following:	
	a. development of a SE plan?	Yes for projects with high/moderate risks (ESMP for Cat. A and B projects to include consultation or participation program agreed for the operation, ESC para. 4.19)
	b. stakeholder identification (incl. CSOs)?	Not explicit but implied in consultation requirements with project-affected people. Required for projects involving resettlement or affecting IPs. Consultations may include other interested parties (incl CSOs) in addition to affected parties (ESC para. 4.20)
	c. SE throughout project cycle?	For projects with environmental and social risks, required during assessment process, recommended during implementation (ESC para. 4.20 and ESC IG p. 35). Required for projects that affect IPs (IP p. 10) and which involve resettlement (IR p. 4).
	d. financial and technical support for SE, as needed?	Not specified. ESMP, RAP, and mitigation framework for IP projects to include budget for all mitigation and management measures
5	Do policies require effective, meaningful consultations?	General criteria for consultations not specified in ESC, but outlined in IP policy (see 7 below)
6	Do policies require gender dimensions be considered in SE?	Gender policy states that for project-related consultations IDB will seek the inclusion of affected women and men in a gender-sensitive and socio-culturally appropriate manner (GP para. 4.16)

7	Do policies require that free prior informed consultations with indigenous peoples result in broad community support?	IDB does not utilize GEF's 'free prior informed consultation leading to broad community support' standard. However, IDB's requirements generally meet or exceed this standard for projects that present risks to IPs. It requires socio-culturally appropriate consultation processes and good faith negotiations for projects with adverse impacts; for very high-risk projects, IDB requires verified agreements with affected indigenous communities. However, IDB does not require a determination of broad community support for projects with no adverse impacts.
8	Do policies require timely, accessible disclosure of relevant documents including disclosure of following:	For consultation purposes, appropriate information will be provided in location(s), format(s) and language(s) to allow for affected parties to be meaningfully consulted, to form an opinion and to comment on the proposed course of action (ESC para. 4.20)
	a. summary reports of stakeholder consultations?	For high risk projects (Cat. A), EIA report includes summary of consultations conducted (including process followed, comments and feedback received, information provided) (ESC IG p. 69)
	b. E/S screening reports?	Not specified
	c. draft E/S risk/impact assessment and draft mitigation/management plans (prior to appraisal)	Assessments that contain management plans must be disclosed prior to IDB analysis mission (and appraisal) (ESC para. 4.19). Policy does not specifically require that draft assessments and plans be disclosed; however IDB clarified during earlier GEF SG review that in practice it requires disclosure of draft assessments and plans.
	d. final E/S risk/assessment and final mitigation/management plans (upon completion)	Final assessments and management plans disclosed (ESC paras. 4.19, 4.20)
	e. monitoring reports (mid-term and final)?	Not specified.
9	Regarding M&E, do policies call for following?	
	a. accounting for SE in mid-term and final evaluations?	Not specified
	b. Stakeholder participation in M&E?	Not specified in assessment requirements. Required for projects that affect IPs (IP p. 11) and involve resettlement (IR p. 4)
10	Does the Agency have systems or measures for the receipt of and timely response to complaints from parties affected by the implementation of the Agency's projects (at a minimum, affected by GEF Projects) and which seek resolution of such complaints?	Project affected persons may submit complaints to IDB's Independent Consultation and Investigation Mechanism (ICIM) which encompasses both compliance review (leading to potential investigations), and grievance redress functions (applying flexible problem solving approaches) (ICIM website). Project-level grievance mechanisms are required for projects involving involuntary resettlement and indigenous peoples.

United Nations Environment Programme (UNEP)

UNEP PROFILE regarding policies on Stakeholder Engagement in Projects/Programs		
Stakeholder Engagement (SE) Baseline Questions (from GEF policy documents)		UNEP Policies and Procedures
1	Agency policies/procedures reviewed that require SE in projects/programs	UNEP Environmental, Social and Economic Sustainability Framework (ESES); Access to Information Policy (ATI); UNEP Programme Manual (PM); UNEP's Environmental, Social and Economic Sustainability: Stakeholder Response Mechanism (SRM)
2	Do SE requirements apply to ALL projects (e.g. including low risk projects) or do they only apply to projects with higher social and environmental risks?	All projects (PM p. 29ff). Further specific consultation and disclosure requirements apply to higher risk projects per ESES (e.g. resettlement, IPs). Participation a principle included in UNEP's human rights-based approach to development (ESES, para 23)
3	Does the Agency have separate guidelines for SE in GEF operations?	No separate guidelines, embedded in safeguard policies
4	Do Policies require the following:	
	a. development of a SE plan?	Not explicit except in resettlement and IP standards (ESES paras. 4.7 and 5.4)
	b. stakeholder identification (incl. CSOs)?	Not explicit in ESES but implied in consultation requirements with project-affected people. Programme Manual calls for and outlines elements of stakeholder analysis; stakeholders to include Major Groups (which include CSOs) (PM p. 29)
	c. SE throughout project cycle?	Yes, required during assessment process (ESES paras. 53, 54) and Programme Manual notes that SE essential throughout project cycle (PM pp. 30, 57)
	d. financial and technical support for SE, as needed?	Not specified (details of ESEA, RAP, IPP not specified)
5	Do policies require effective, meaningful consultations?	Programme Manual notes that the "principle of Prior Informed Consent is to be adhered to in all projects working directly with local stakeholders" (PM p. 30). Criteria not defined in ESES. ESES requires that consultations occur prior to decisions being finalized (ESES para. 54).
6	Do policies require gender dimensions be considered in SE?	ESES includes a standard on gender equality in which UNEP assess equal opportunity of women and men in project preparation and implementation, but consultations criteria not specified (ESES SG Standard 8).

7	Do policies require that free prior informed consultations with indigenous peoples result in broad community support?	UNEP requires application of free, prior and informed consent for projects that affect IPs (ESES para 5.3). Criteria for FPIC processes not specified.
8	Do policies require timely, accessible disclosure of relevant documents including disclosure of following:	UNEP will make safeguard-related information available in a timely manner, in a place accessible to key stakeholders, including project affected groups and civil society organizations, in a form and language understandable to them (ATI para. 7; ESES para. 54)
	a. summary reports of stakeholder consultations?	Yes (ESES 5.3; ATI para. 7)
	b. E/S screening reports?	Yes, Environmental Social and Economic Review Note (ESERN) is UNEP's screening tool that is to be continually updated, with each iteration disclosed (ESES paras. 34, 41)
	c. draft E/S risk/impact assessment and draft mitigation/management plans (prior to appraisal)	Yes (ATI para. 7; ESES para. 55)
	d. final E/S risk/assessment and final mitigation/management plans (upon completion)	Final assessments and management plans disclosed (ESES paras. 54, 55; ATI para. 6)
	e. monitoring reports (mid-term and final)?	Yes (ESES para. 56; ATI para. 6)
9	Regarding M&E, do policies call for following?	
	a. accounting for SE in mid-term and final evaluations?	Not specified
	b. Stakeholder participation in M&E?	Not specified in assessment requirements. For projects that affect IPs, IPP to include plan for consultations throughout project cycle, and participatory monitoring noted where access restrictions apply (ESES paras. 5.4, 5.5). Required for projects involving resettlement (ESES para. 4.7)
10	Does the Agency have systems or measures for the receipt of and timely response to complaints from parties affected by the implementation of the Agency's projects (at a minimum, affected by GEF Projects) and which seek resolution of such complaints?	UNEP's Stakeholder Response Mechanism receives and facilitates the resolution of stakeholder concerns with environmental and social performance of projects. The mechanism includes both dispute resolution and compliance review functions. UNEP supported projects are also to include procedures for receipt and handling of concerns and complaints. (ESES, paras. 57-60, and SRM)

International Fund for Agricultural Development (IFAD)

IFAD PROFILE regarding policies on Stakeholder Engagement in Projects/Programs		
Stakeholder Engagement (SE) Baseline Questions (from GEF policy documents)		IFAD Policies and Procedures
1	Agency policies/procedures reviewed that require SE in projects/programs	IFAD's Social Environmental and Climate Assessment Procedures (SECAP); Access to Information Policy (ATI); Gender Equality and Women's Empowerment Policy (GEWE); Engagement with Indigenous Peoples Policy (IP); Complaints Procedure website
2	Do SE requirements apply to ALL projects (e.g. including low risk projects) or do they only apply to projects with higher social and environmental risks?	SE requirements in SECAP apply primarily to projects with social/environmental risks (objective of consultations are to receive feedback on the draft ESIA report and other relevant documents, SECAP para. 22). However SECAP Review Note (screening tool) includes sections on participation and summaries of consultations separate from risk categorization (SECAP Annex 1.1)
3	Does the Agency have separate guidelines for SE in GEF operations?	No separate guidelines, embedded in safeguard policies
4	Do Policies require the following:	
	a. development of a SE plan?	Not a requirement in body of SECAP but SECAP Review Note (screening tool) to Identify "suitable participatory approaches/tools" (SECAP Annex 1.1)
	b. stakeholder identification (incl. CSOs)?	Not specified. Implicit in consultation requirements with project-affected groups. SECAP Review Note to record consultations with beneficiaries, civil society, general public (SECAP Annex 1.1)
	c. SE throughout project cycle?	Required in project preparation but not clearly specified regarding other stages of project cycle (SECAP para. 22). Required for projects that affect IPs (IP p. 15)
	d. financial and technical support for SE, as needed?	Not specified
5	Do policies require effective, meaningful consultations?	SECAP notes that consultations to seek broad community support and consent (SECAP para. 22). Criteria for meaningful consultations not specified in SECAP
6	Do policies require gender dimensions be considered in SE?	SECAP refers to gender policy which states IFAD will use participatory approaches to ensure that the voices of different segments of the rural population – men, women, young people, indigenous people, the poor and the better-off – are equally heard and valued (GEWE p. 23). SECAP Review Note summarizes consultations, including women's groups (SECAP Annex 1.1)

7	Do policies require that free prior informed consultations with indigenous peoples result in broad community support?	Requires free prior informed consent (FPIC) for projects that affect IPs, in particular those that affect IP land and resources (IP p. 13)
8	Do policies require timely, accessible disclosure of relevant documents including disclosure of following:	Documents to be disclosed in a timely manner prior to project appraisal in an accessible place in the project/programme-affected area and on IFAD's website, in a form and language understandable to stakeholders and other interested parties, for the purposes of keeping them informed and obtaining their feedback (SECAP, 23)
	a. summary reports of stakeholder consultations?	Yes, SECAP Review Note contains record of consultations, including record of key comments and responses (SECAP Annex 1.1) and presumably is disclosed (see below)
	b. E/S screening reports?	Not specified but presumably yes. SECAP Review Note is IFAD screening tool that is updated during project development. ATI policy states project design documents disclosed (ATI Annex 4)
	c. draft E/S risk/impact assessment and draft mitigation/management plans (prior to appraisal)	Yes (SECAP para. 23)
	d. final E/S risk/assessment and final mitigation/management plans (upon completion)	Yes (noting that SECAP was more explicit regarding disclosure of draft assessments and management plans, SECAP para. 23)
	e. monitoring reports (mid-term and final)?	Yes (ATI, Annex VI). Project Implementation Report format includes CSO section
9	Regarding M&E, do policies call for following?	
	a. accounting for SE in mid-term and final evaluations?	Not specified. Corporate tracking and indicators include number of people who participated in project decision-making
	b. Stakeholder participation in M&E?	Not specified in general SECAP assessment requirements. For projects that affect IPs, "M&E mechanisms should be participatory" (IP p. 16). Generally, IFAD promotes participatory monitoring
10	Does the Agency have systems or measures for the receipt of and timely response to complaints from parties affected by the implementation of the Agency's projects (at a minimum, affected by GEF Projects) and which seek resolution of such complaints?	IFAD has established a Complaints Procedure to ensure that mechanisms are in place to allow individuals and communities to contact IFAD directly and file a complaint if they believe they are or might be adversely affected by an IFAD-funded project/programme not complying with IFAD's SECAP (SECAP, para. 24 and Complaints Procedure website)

United Nations Industrial Development Organization (UNIDO)

UNIDO PROFILE regarding policies on Stakeholder Engagement in Projects/Programs		
Stakeholder Engagement (SE) Baseline Questions (from GEF policy documents)		UNIDO Policies and Procedures
1	Agency policies/procedures reviewed that require SE in projects/programs	UNIDO Environmental and Social Safeguards Policies and Procedures (ESSPP)
2	Do SE requirements apply to ALL projects (e.g. including low risk projects) or do they only apply to projects with higher social and environmental risks?	Consultations to be undertaken for high/moderate risk (Cat. A/B) projects (ESSPP OS1 c6.6, OS 8 C2, Annex C) but not Cat. C (low risk). However participation requirements of IP standard applies to all projects that affect IPs (ESSPP Annex A)
3	Does the Agency have separate guidelines for SE in GEF operations?	No separate guidelines, embedded in safeguard policies
4	Do Policies require the following:	
	a. development of a SE plan?	Required for high/moderate risk projects (Cat. A/B). Project document template includes public consultation and disclosure section with contents specified (summarize regulations, consultations to date, list stakeholders (incl. CSOs), schedule of consultation and disclosure activities, budget for consultation, responsibilities, and reporting results (ESSPP Annex C C1.2)
	b. stakeholder identification (incl. CSOs)?	For projects with environmental and social risks, stakeholders (incl. CSOs) to be identified. Set of guiding questions for stakeholder identification provided (ESSPP Annex C C1.2)
	c. SE throughout project cycle?	Required for projects with environmental and social risks (ESSPP Annex C)
	d. financial and technical support for SE, as needed?	Yes, budget for consultations a required element for Cat A/B projects (ESSPP Annex C C1.2)
5	Do policies require effective, meaningful consultations?	Required for projects with environmental and social risks, but limited criteria specified (to be inclusive including women, transparent processes, timely feedback) (ESSPP Annex C)
6	Do policies require gender dimensions be considered in SE?	Requires meaningful consultation, defined as gender inclusive. If stakeholder committee is established for project (which is an option for project management), needs to ensure adequate representation of women (ESSPP Annex C C1.2)

7	Do policies require that free prior informed consultations with indigenous peoples result in broad community support?	Requires free prior informed consent for projects that affect IPs (OS4 C2, Annex C Figure C2). Key elements of FPIC process defined (ESSPP Annex A)
8	Do policies require timely, accessible disclosure of relevant documents including disclosure of following:	Ensure adequate and timely project information provided in an understandable form and language (ESSPP Annex C).
	a. summary reports of stakeholder consultations?	Yes, plan for reporting on consultations an element of project document for Cat A/B projects (ESSPP Annex C C1.2)
	b. E/S screening reports?	Not specified (screening template provided at ESSPP Annex D)
	c. draft E/S risk/impact assessment and draft mitigation/management plans (prior to appraisal)	Yes, noting that public may provide comments on draft documents with comments tracked) (ESSPP Annex C C1.2)
	d. final E/S risk/assessment and final mitigation/management plans (upon completion)	Yes (ESSPP Annex C C1.2)
	e. monitoring reports (mid-term and final)?	Yes (ESSPP Annex C C1.2)
9	Regarding M&E, do policies call for following?	
	a. accounting for SE in mid-term and final evaluations?	Not specified
	b. Stakeholder participation in M&E?	Not specified in general safeguard requirements. Required for projects that affect IPs (ESSPP OS4 C2).
10	Does the Agency have systems or measures for the receipt of and timely response to complaints from parties affected by the implementation of the Agency's projects (at a minimum, affected by GEF Projects) and which seek resolution of such complaints?	UNIDO has created a Grievance Mechanism to address complaints from project affected stakeholders after attempts to resolve them through local grievance mechanisms have not been successful. The Grievance Mechanism has procedures for addressing both compliance and other grievance issues (ESSPP OS 9)

International Union for Conservation of Nature (IUCN)

IUCN PROFILE regarding policies on Stakeholder Engagement in Projects/Programs		
Stakeholder Engagement (SE) Baseline Questions (from GEF policy documents)		IUCN Policies and Procedures
1	Agency policies/procedures reviewed that require SE in projects/programs	IUCN Environmental and Social Management Framework (ESMF); IUCN Environmental and Social Management System Manual (ESMS); IUCN Project Guidelines and Standards (PGS); IUCN Standard on Indigenous Peoples (IP); Project Grievance Mechanism (PGM)
2	Do SE requirements apply to ALL projects (e.g. including low risk projects) or do they only apply to projects with higher social and environmental risks?	SE requirements apply to all projects. SE is a core principle of the ESMF and IUCN's rights-based approach (ESMF, section 3.2) (stakeholder analysis and engagement plans required element of project concept (PGS 2.1.3). More specific consultation criteria required for high and moderate risk projects (Cat. A/B) (ESMS 3.1)
3	Does the Agency have separate guidelines for SE in GEF operations?	No separate guidelines, embedded in safeguard policies
4	Do Policies require the following:	
	a. development of a SE plan?	Yes. Required stakeholder analysis process involves development of plans for engaging different categories of stakeholders (PGS section 2.1.3)
	b. stakeholder identification (incl. CSOs)?	Yes, stakeholder analysis (incl. CSOs) required element of project design. Set of guiding questions for stakeholder identification provided (PGS section 2.1.3). Required element in screening template, project concept template, project proposal template, project appraisal template (ESMS Appendices)
	c. SE throughout project cycle?	Required for all projects at project preparation (PGS 2.1.3), and during implementation and evaluation for high/moderate risk projects (ESMS 3.1)
	d. financial and technical support for SE, as needed?	Not specified, mitigation plans to include comprehensive budgets
5	Do policies require effective, meaningful consultations?	Yes, but limited criteria specified for general consultations (prior, informed, women's involvement) (ESMS 3.1). More specific criteria for FPIC processes w/ IPs (ESMS 3.3)

6	Do policies require gender dimensions be considered in SE?	Gender Equality a principle of ESMF (ESMF 3.2). As part of meaningful consultation, women's involvement and expression of opinion needs to be ensured (ESMS 3.1). Screening template asks if women have been consulted in socio-culturally appropriate ways (ESMS Appendix A-1)
7	Do policies require that free prior informed consultations with indigenous peoples result in broad community support?	Free prior informed consent a principle of ESMF (ESMF 3.2). Requires free prior informed consent (FPIC) for any intervention affecting IP rights and access to their lands, territories, waters and resources (IP para. 9.vi; para. 19). Key elements of FPIC process defined (ESMS 3.3)
8	Do policies require timely, accessible disclosure of relevant documents including disclosure of following:	Requires that relevant information about the project is disclosed in a timely manner and in a form and language that are understandable and accessible to the groups being consulted (ESMS 3.1)
	a. summary reports of stakeholder consultations?	Included as components of assessment reports for high and moderate risk projects (Cat. A and B) (PSG section 3.1.3; ESMS 3.1, 3.2)
	b. E/S screening reports?	Not specified (screening template provided at ESMS Appendix A-1)
	c. draft E/S risk/impact assessment and draft mitigation/management plans (prior to appraisal)	Yes, in order to assure that stakeholder views are fully reflected in the ESIA and the ESMP (ESMS 3.1, 3.2)
	d. final E/S risk/assessment and final mitigation/management plans (upon completion)	Yes (ESMS 3.2)
	e. monitoring reports (mid-term and final)?	Yes (ESMS 3.2)
9	Regarding M&E, do policies call for following?	
	a. accounting for SE in mid-term and final evaluations?	Not specified
	b. Stakeholder participation in M&E?	Stakeholder consultations required for high/moderate risk projects during M&E (ESMS 3.1). Participatory monitoring methods involving women and men from local or affected communities are considered for projects with potential significant adverse risks (ESMS 2.7). Recommends participation of stakeholder representatives throughout evaluation process (PSG 5.3.1). Stakeholders to be involved in lessons learned meeting at project closure (PSG section 6)
10	Does the Agency have systems or measures for the receipt of and timely response to complaints from parties affected by the implementation of the Agency's projects (at a minimum, affected by GEF Projects) and which seek resolution of such complaints?	Project-affected persons may submit complaints to IUCN's Project Grievance Mechanism which applies problem-solving methods and reviews compliance with IUCN's policies and principles (PCM)

Conservation International (CI)

CI PROFILE regarding policies on Stakeholder Engagement in Projects/Programs		
Stakeholder Engagement (SE) Baseline Questions (from GEF policy documents)		CI Policies and Procedures
1	Agency policies/procedures reviewed that require SE in projects/programs	CI Environmental and Social Management Framework (ESMF); Accountability and Grievance Mechanisms for GEF Funded Projects (AGM) [Note: policies apply to GEF projects]
2	Do SE requirements apply to ALL projects (e.g. including low risk projects) or do they only apply to projects with higher social and environmental risks?	SE requirements apply to all GEF funded projects (ESMF para. 87). More specific criteria applied to projects requiring an ESIA (both high and moderate risk) (ESMF paras. 91ff.)
3	Does the Agency have separate guidelines for SE in GEF operations?	Embedded in safeguards. CI safeguards designed to apply to GEF projects.
4	Do Policies require the following:	
	a. development of a SE plan?	Yes (ESMF para. 94). Template of plan provided (ESMF Appendix IX)
	b. stakeholder identification (incl. CSOs)?	Yes. Project Screening Form requires stakeholder identification and description how they have been involved in project planning (ESMF Appendix II section 8). SE Plan to identify stakeholders (ESMF Appendix IX)
	c. SE throughout project cycle?	Yes. Required in preparation of all projects, required during implementation "as deemed necessary to address ESIA-related issues" (ESMF Appendix IX para. 1; also ESMF para. 92). The Stakeholder Engagement Plan (SEP) identifies activities to be conducted throughout the project cycle. The activities are reported on quarterly and annually (see Workplan and Quarterly Report template)
	d. financial and technical support for SE, as needed?	ESMF Appendix IX: Sub-section "Resources and Responsibilities" in SEP requires description of staff and resources that will be devoted to managing and implementing the SEP. Also, asks who within the Executing Entity will be responsible for carrying out these activities, and what budget has been allocated toward these activities. Any required mitigation plans to include comprehensive budgets
5	Do policies require effective, meaningful consultations?	Consultations to be conducted early, based on prior disclosure, and views to be taken into account (ESMF para. 88). Further criteria (beyond those for IPs) not explicit (noting that in Appendix 4 regarding IPs, there is mention that FPIC would be pursued for all affected communities, but with higher standard of protection for IPs given vulnerability (see IP Appendix 4 para. 4). However this is not elaborated elsewhere. Though not explicit, the SEP generally to include long-term processes of collaboration and empowerment in decision making and

		implementation in line with CI's Rights Based Approach and the ESMF is a combination of CI's and GEF's social safeguard policies.
6	Do policies require gender dimensions be considered in SE?	ESMF states that key principles of the GEF Gender Mainstreaming Policy are to be incorporated into the project beginning with stakeholder engagement (ESMF para. 90). Policy calls for gender mainstreaming throughout project (ESMF paras. 82, 84)
7	Do policies require that free prior informed consultations with indigenous peoples result in broad community support?	Requires free prior informed consent (FPIC) of indigenous peoples for project activities that may affect them (ESMF para. 48). Criteria and procedures for pursuing FPIC processes noted (ESMF Appendix V)
8	Do policies require timely, accessible disclosure of relevant documents including disclosure of following:	"In all cases disclosure should occur in a manner which is meaningful and understandable to affected people for their consent" (ESMF para. 13)
	a. summary reports of stakeholder consultations?	SE Plan to describe how results of engagement activities will be reported back to stakeholders (ESMF Appendix IX para. 4)
	b. E/S screening reports?	Following review of Project Safeguard Screening Form, a Screening Results and Safeguard Analysis report is prepared and both CI's website following approval of the project. Screening template provided at ESMS Appendix A-1
	c. draft E/S risk/impact assessment and draft mitigation/management plans (prior to appraisal)	Yes (ESMF paras. 13, 98).
	d. final E/S risk/assessment and final mitigation/management plans (upon completion)	Yes (ESMF paras. 13, 98).
	e. monitoring reports (mid-term and final)?	Disclosure to be ongoing during and after conclusion of project activities to inform communities on implementation issues (ESMF para. 98) While monitoring reports not specified, all project reports to be posted on website
9	Regarding M&E, do policies call for following?	
	a. accounting for SE in mid-term and final evaluations?	Not specified in ESMF, however generally to be incorporated into the TORs for the mid-term and final Evaluations (under development). In addition, SE reporting included under M&E in the quarterly and annual reporting templates.
	b. Stakeholder participation in M&E?	Plans to involve stakeholders in project monitoring are to be included in SE Plans (ESMF Appendix IX para. 4)
10	Does the Agency have systems or measures for the receipt of and timely response to complaints from parties affected by the implementation of the Agency's projects (at a minimum, affected by GEF Projects) and which seek resolution of such complaints?	Project-affected persons may submit complaints first to project-level Grievance Mechanism (required for CI-supported GEF projects) and, if resolution is not possible, to CI's Director of Compliance and Risk Management for further consideration and problem-solving. The Director also reviews complaints for potential non-compliance with CI-GEF safeguards and Gender Policy (AGM)

World Wildlife Fund-US (WWF-US)

WWF-US PROFILE regarding policies on Stakeholder Engagement in Projects/Programs		
Stakeholder Engagement (SE) Baseline Questions (from GEF policy documents)		WWF-US Policies and Procedures
1	Agency policies/procedures reviewed that require SE in projects/programs	WWF Environmental and Social Safeguards Integrated Policies and Procedures (SIPP) [Note: mandatory for GEF; being applied outside GEF projects]
2	Do SE requirements apply to ALL projects (e.g. including low risk projects) or do they only apply to projects with higher social and environmental risks?	SE requirements primarily apply to projects with social and environmental risks. Consultations required for high/moderate risk projects (Cat. A/B). For low risk projects (Cat. C) SIPP states that public consultations are "strongly recommended" (SIPP pp. 29-30). IP requirements (incl. participation) apply to all projects that may affect IPs, positively or negatively (SIPP p. 73)
3	Does the Agency have separate guidelines for SE in GEF operations?	Embedded in safeguards. WWF safeguards designed for application to GEF projects, being applied more widely
4	Do Policies require the following:	
	a. development of a SE plan?	Not specified. More generally, assessment guidelines for Cat. A projects to include section on stakeholders and participation (SIPP pp. 38, 44)
	b. stakeholder identification (incl. CSOs)?	Required component of Cat. A ESIA process (SIPP p. 38)
	c. SE throughout project cycle?	For projects that present social and environmental risks, consultation to be continued through implementation and operation, and should include range of stakeholders (SIPP p. 30)
	d. financial and technical support for SE, as needed?	Not specified. Mitigation plans to include budgets for specified activities
5	Do policies require effective, meaningful consultations?	Requires meaningful consultation for projects with high/moderate risks (Cat. A/B) (SIPP p. 29). Early and informed, but further criteria not specified
6	Do policies require gender dimensions be considered in SE?	Gender Mainstreaming Policy requires that men and women are able to equitably and meaningfully participate in conservation project design, implementation, and monitoring (SIPP p. 20). For high risk projects (Cat. A), ESIA to include summary of consultations that should also describe how women have been included in consultations, taking into consideration their gender-specific knowledge, roles, responsibilities (SIPP p. 39).

7	Do policies require that free prior informed consultations with indigenous peoples result in broad community support?	Requires free prior informed consent (FPIC) of indigenous peoples for project activities that may affect them (SIPP p. 16; Annex 7). Criteria and procedures for pursuing FPIC processes noted SIPP Annex 7
8	Do policies require timely, accessible disclosure of relevant documents including disclosure of following:	For meaningful consultations (Cat. A/B) projects, the Project Team provides relevant information in a timely manner and in a form and language that are understandable and accessible to diverse stakeholders (SIPP p.29).
	a. summary reports of stakeholder consultations?	Summary reports of consultations to be disclosed and are components of ESIA report for Cat A and B projects (SIPP pp. 30, 38, 41).
	b. E/S screening reports?	Unclear. Safeguards Screening Tool noted but disclosure not specified (SIPP p. 10). However, Safeguards Categorization Memo may be the final form of screening and is disclosed to be clarified (SIPP p. 30)
	c. draft E/S risk/impact assessment and draft mitigation/management plans (prior to appraisal)	Not specified. Requires that mitigation plans be disclosed prior to project finalization, noting WWF must first approve a draft, but disclosure of draft not specified. (SIPP p. 27).
	d. final E/S risk/assessment and final mitigation/management plans (upon completion)	Yes (SIPP pp. 27, 30)
	e. monitoring reports (mid-term and final)?	Not specified
9	Regarding M&E, do policies call for following?	
	a. accounting for SE in mid-term and final evaluations?	Not specified
	b. Stakeholder participation in M&E?	Not explicit requirement. Terms of Reference for ESIA includes identifying M&E methods, which may include participatory methods/tools (SIPP p. 47). Project-affected peoples should be included in monitoring projects involving resettlement (SIPP p. 63) and affecting IPs (SIPP p.78)
10	Does the Agency have systems or measures for the receipt of and timely response to complaints from parties affected by the implementation of the Agency's projects (at a minimum, affected by GEF Projects) and which seek resolution of such complaints?	WWF has adopted a Project Complaints Resolution Policy that established a grievance mechanism and procedures for the handling of complaints from project-affected persons regarding the social and environmental performance of projects. Complaints are to be sent to the local Project Team to develop and communicate a process for resolving the issue. If resolution is not forthcoming, complainants may submit grievances to the WWF Projects Complaints Officer who determines eligibility and oversees development of a plan to resolve the grievance (SIPP, pp. 19, Annex 9)

Development Bank of Latin America (CAF)

CAF PROFILE regarding policies on Stakeholder Engagement in Projects/Programs		
Stakeholder Engagement (SE) Baseline Questions (from GEF policy documents)		CAF Policies and Procedures
1	Agency policies/procedures reviewed that require SE in projects/programs	Environmental and Social Safeguards for CAF/GEF Projects Manual (SG Manual); CAF-GEF Projects Accountability Mechanism.
2	Do SE requirements apply to ALL projects (e.g. including low risk projects) or do they only apply to projects with higher social and environmental risks?	SE requirements apply to projects with social and environmental risks (tied to environmental and social assessment of Cat. A/B (high/moderate) risk projects) (SG Manual, p. 15)
3	Does the Agency have separate guidelines for SE in GEF operations?	[NOTE: CAF website refers to a document titled "CAF-GEF Public Participation Policy Guidelines." However it is unclear if this document is available or if integrated into SG Manual]
4	Do Policies require the following:	
	a. development of a SE plan?	Not specified
	b. stakeholder identification (incl. CSOs)?	Not specified, but implied in requirements of consultations on projects with social and environmental risks (SG Manual refers generally to project-affected groups and key stakeholders, p. 15)
	c. SE throughout project cycle?	Yes, for projects with social/environmental impacts (SG Manual, p. 16)
	d. financial and technical support for SE, as needed?	Not specified
5	Do policies require effective, meaningful consultations?	Not fully described but some criteria specified for consultations: early as possible, full access to information, incorporation of relevant stakeholder views, conducted through project execution (SG Manual, p. 15)
6	Do policies require gender dimensions be considered in SE?	Yes, for projects with social and environmental risks. Environmental and Social Assessments are to include gender analysis, which is to identify constraints to women's participation and developing strategies to minimize or eliminate them. Consultations to be gender sensitive and to ensure both men and women are involved in key project decisions (SG Manual, pp. 204-206).
7	Do policies require that free prior informed consultations with indigenous peoples result in broad community support?	Not fully clear. CAF IP guidelines require 'free, prior, and informed consultations and consent' and IP participation in the formulation, implementation and monitoring processes. Consent processes defined as conferring broad support but circumstances that require consent are not well specified (SG Manual, p. 122). IPP to document "agreement" for any commercial

		development of IP natural resources or cultural resources or knowledge, but unclear if this is the only circumstance requiring consent (SG Manual, p. 124).
8	Do policies require timely, accessible disclosure of relevant documents including disclosure of following:	Yes. Information for consultations shall be: (i) disclosed in a prior and timely manner, in a understandable language, and easily accessible to all project- affected groups and key stakeholders; and (ii) relevant, so that on the basis of this information, the former may have a comprehensive view of the project and its environmental and social impacts (SG Manual, p. 15-16)
	a. summary reports of stakeholder consultations?	Yes, "results" of public consultations to be published on CAF website (SG Manual, p. 16). Where web access is limited, consultation results and other relevant information to be published in local medium, translated and adjusted to local languages (SG Manual, p. 17). ESIA reports (Cat. A) to include summary of consultations (SG Manual, p. 51)
	b. E/S screening reports?	Not specified
	c. draft E/S risk/impact assessment and draft mitigation/management plans (prior to appraisal)	Yes. Draft ESIA (Cat. A) and draft ESMP (Cat. B) to be disclosed prior to appraisal, along with a non-technical summary. Draft ESIA/ESMP to be posted on CAF website at least 30 days before scheduled consultations (SG Manual, p. 16). Draft IPP (SG Manual, p. 121) and draft RAP (SG Manual, p. 106) to be disclosed.
	d. final E/S risk/assessment and final mitigation/management plans (upon completion)	Yes (SG Manual, p. 16)
	e. monitoring reports (mid-term and final)?	Not specified
9	Regarding M&E, do policies call for following?	
	a. accounting for SE in mid-term and final evaluations?	Not specified
	b. Stakeholder participation in M&E?	Not specified
10	Does the Agency have systems or measures for the receipt of and timely response to complaints from parties affected by the implementation of the Agency's projects (at a minimum, affected by GEF Projects) and which seek resolution of such complaints?	CAF has adopted a Grievances and Complaints System for GEF projects (SG Manual pp. 189-203). The system is overseen by an Ombudsperson and a Complaints Management Committee. People who believe they are or will be adversely affected by a project in which CAF is serving as the GEF Agency may submit complaints through various methods. The Ombudsperson evaluates the merits of the complaint and decides on a course of action, which may involve dialogue, third-party mediation, collaborative approaches.

Foreign Economic Cooperation Office (FECO)

FECO PROFILE regarding policies on Stakeholder Engagement in Projects/Programs		
Stakeholder Engagement (SE) Baseline Questions (from GEF policy documents)		FECO Policies and Procedures
1	Agency policies/procedures reviewed that require SE in projects/programs	Environmental and Social Safeguards Standards Of Foreign Economic Cooperation Office: Environmental and Social Impact Assessment, ESIA (FECO ESIA); Accountability and Grievance Mechanism of Foreign Economic Cooperation Office (AGM); Gender Mainstreaming Standard of Foreign Economic Cooperation Office (GMS); Foreign Economic Cooperation Office Gender Mainstreaming Indicator System (GMI); Project Monitoring and Evaluation Guideline of Foreign Economic Cooperation Office (M&E)
2	Do SE requirements apply to ALL projects (e.g. including low risk projects) or do they only apply to projects with higher social and environmental risks?	SE requirements apply to projects with moderate or high social and environmental risks. ("Stakeholders including those project-impacted communities or related vulnerable groups and local NGOs shall be invited to participate in the assessment as early as possible, so as to ensure that their reasonable demands, as decision-making basis, can be effectively conveyed to the decision makers") (FECO ESIA, p. 1)
3	Does the Agency have separate guidelines for SE in GEF operations?	Embedded in safeguards, no separate guidelines
4	Do Policies require the following:	
	a. development of a SE plan?	Not specified
	b. stakeholder identification (incl. CSOs)?	Not fully specified. Consultation requirements for projects requiring an ESIA note that project-affected citizens, legal persons and other organizations' representatives must be consulted (FECO ESIA, p. 7). FECO uses a Safeguards Assessment Form to review projects which asks whether "appropriate stakeholders have been consulted at appropriate moments in the assessment process" (FECO ESIA, p. 72)
	c. SE throughout project cycle?	Yes, for projects with social/environmental impacts, "to deal with ESIA-related issues" (FECO ESIA, p. 1)
	d. financial and technical support for SE, as needed?	Not specified
5	Do policies require effective, meaningful consultations?	Criteria for consultations not specified
6	Do policies require gender dimensions be considered in SE?	FECO Gender Mainstreaming Indicators are to measure proportion and configuration of women's participation in projects (GMI, project level indicators). If project includes mitigation, compensation, equitable benefit mechanisms, meetings may be required with the affected community or with specific organizations, such as women's associations, neighborhood

		committees or cooperatives (GMS, III.2). However consultation requirements contained in the umbrella ESIA safeguard do not address gender dimensions
7	Do policies require that free prior informed consultations with indigenous peoples result in broad community support?	[FECO not eligible for projects that involve indigenous peoples]
8	Do policies require timely, accessible disclosure of relevant documents including disclosure of following:	Yes. "Before project appraisal, ESIA documents (including ESMP) shall be disclosed to the affected groups and other stakeholders timely in a right place and in a form and language understandable to them. For the illiterate affected people, other appropriate communication form shall be used" (FECO ESIA, p. 7)
	a. summary reports of stakeholder consultations?	Yes, for projects with social/environmental impacts. ESIA report to summarize major comments received from beneficiaries, local officials, community leaders, NGOs, and others, and describe how these comments were addressed (FECO ESIA, p. 56.)
	b. E/S screening reports?	Not specified
	c. draft E/S risk/impact assessment and draft mitigation/management plans (prior to appraisal)	Yes (though term "draft" not utilized). ESIA documents and ESMP are to be disclosed before appraisal to affected groups and other stakeholders for public comment for at least 10 days. This is to occur before final reports are sent to officials for review and approval (FECO ESIA, pp. 7-8). Does not specify that comments are to be taken into account but that appears to be the logic of this procedure
	d. final E/S risk/assessment and final mitigation/management plans (upon completion)	Yes (FECO ESIA, p. 2)
	e. monitoring reports (mid-term and final)?	Not specified
9	Regarding M&E, do policies call for following?	
	a. accounting for SE in mid-term and final evaluations?	Project monitoring template includes indicator on level of stakeholder engagement in project (M&E, Annex D)
	b. Stakeholder participation in M&E?	For GEF projects, FECO supervision missions required and are to include interviews with project stakeholders (M&E, 2.3). FECO M&E Officer is required to inform stakeholders of the evaluation work plan and delivering the findings and evaluation results to stakeholders (M&E, 3.8, 3.11). Also, monitoring data for projects with significant adverse environmental impact shall be verified by external experts with relevant qualification and experiences or qualified NGOs (FECO ESIA, p. 9). Also for projects that trigger the gender standard, monitoring should be participatory (GMS, p. 3)
10	Does the Agency have systems or measures for the receipt of and timely response to complaints from parties affected by the implementation of the Agency's projects (at a minimum, affected by GEF Projects) and which seek resolution of such complaints?	For GEF projects, FECO has adopted an Accountability and Grievance Mechanism to respond to complaints related to project implementation. Project executing agencies supported by FECO are to publicize project information, applicable safeguards, and information on how to file complaints. Complaints may be submitted directly to FECO through specified contact channels. At FECO, the Grievance Focal Point registers, categorizes and provides needed action regarding the complaint. An investigation report identifies remedial measures and is submitted to complainants for their opinions, and finalized and monitored and certified whether appropriate actions had been taken and desired results achieved (AGM document).

Development Bank of South Africa (DBSA)

DBSA PROFILE regarding policies on Stakeholder Engagement in Projects/Programs		
Stakeholder Engagement (SE) Baseline Questions (from GEF policy documents)		DBSA Policies and Procedures
1	Agency policies/procedures reviewed that require SE in projects/programs	Environmental and Social Safeguard Standards (ESSS); Social and Institutional [Appraisal] Guidelines (SIAG); draft DBSA Project Grievance Procedure (draft PGP) [Note: policy documents appear to apply only to GEF projects]; Promotion of Access to Information—A Guide to Access to Information (2012) (Information Manual)
2	Do SE requirements apply to ALL projects (e.g. including low risk projects) or do they only apply to projects with higher social and environmental risks?	SE requirements apply to projects with social and environmental risks (consultations required for communities likely affected by social and environmental impacts) (ESSS, p. 24)
3	Does the Agency have separate guidelines for SE in GEF operations?	Embedded in safeguards, no separate guidelines
4	Do Policies require the following:	
	a. development of a SE plan?	Assessments for high risk projects to include "Public consultation programme." Further details not provided (ESSS, p. 23)
	b. stakeholder identification (incl. CSOs)?	Stakeholder analysis to be conducted (ESSS, p. 24). Social appraisal of projects to review if all key stakeholders are identified, the level of community organization (SIAG, pp. 3-4)
	c. SE throughout project cycle?	Yes for projects with social/environmental impacts, consultations to commence early and continue "as needed" (ESSS, p. 24)
	d. financial and technical support for SE, as needed?	Not specified
5	Do policies require effective, meaningful consultations?	Meaningful consultations (defined as free, prior, informed) required, "especially for Category 1 [high risk] projects and projects affecting vulnerable groups" (ESSS, p. 24). Consultation criteria listed for projects that affect vulnerable groups: inclusive, culturally appropriate, sufficient time, no external manipulation or coercion, facilitate views of vulnerable groups (ESSS, p. 24)
6	Do policies require gender dimensions be considered in SE?	Safeguards document states consultations processes "should" capture men and women's views (with separate forums if necessary) and reflect men and women's different concerns (ESSS, p. 24, 53)

7	Do policies require that free prior informed consultations with indigenous peoples result in broad community support?	DBSA applies the principles of free, prior and informed consent (FPIC) to projects that impact livelihoods, lands, natural resources of vulnerable communities, including indigenous peoples. FPIC criteria specified (ESSS, pp. 47-51)
8	Do policies require timely, accessible disclosure of relevant documents including disclosure of following:	Consultations are to be preceded by disclosure of "adequate" project information and environmental and social information to ensure that participants are fully informed, including in appropriate languages and accessible. Disclosure requirements specify provision of information on nature of project, its duration, any risks or potential impacts to communities and mitigation measures, the envisaged stakeholder engagement process, and grievance mechanism (ESSS, p. 25)
	a. summary reports of stakeholder consultations?	Yes, for projects with social/environmental impacts. Assessment documents for high and moderate risk projects to include records of consultations (ESSS, p. 22, 34)
	b. E/S screening reports?	Not specified
	c. draft E/S risk/impact assessment and draft mitigation/management plans (prior to appraisal)	For high risk projects (Cat. 1), "stakeholders should be consulted to obtain their input into the preparation of the draft terms of reference of the environmental and social assessment and the draft ESIA and ESMP" (ESSS, p. 24)
	d. final E/S risk/assessment and final mitigation/management plans (upon completion)	Not specified. Presumably covered by reference to South African legislation on participation in EIA and access to information
	e. monitoring reports (mid-term and final)?	Not specified
9	Regarding M&E, do policies call for following?	
	a. accounting for SE in mid-term and final evaluations?	Not specified
	b. Stakeholder participation in M&E?	Not specified in umbrella assessment standard. Projects that affect vulnerable groups, including indigenous peoples, to be monitored in a participatory manner (ESSS, p. 51)
10	Does the Agency have systems or measures for the receipt of and timely response to complaints from parties affected by the implementation of the Agency's projects (at a minimum, affected by GEF Projects) and which seek resolution of such complaints?	DBSA has proposed (September 2015) an agency-level project grievance procedure to address "concerns raised in relation to health and safety risk and adverse environmental impacts in relation to GCF and GEF funded projects." Complaints (to be submitted via DBSA website or email and forwarded to relevant sector managers) are to be acknowledged, tracked, investigated and responded to (with an initial 10 day window specified). Complainants unsatisfied with the response may escalate the complaint to the General Manager (draft PGP, pp. 3-5). DBSA requires for high risk projects (and may require for moderate risk ones) that a local grievance and redress mechanism be in place. Stakeholders are to be informed of the mechanism during the SE process (ESSS, p. 25)

West African Development Bank (BOAD)

BOAD PROFILE regarding policies on Stakeholder Engagement in Projects/Programs		
Stakeholder Engagement (SE) Baseline Questions (from GEF policy documents)		BOAD Policies and Procedures
1	Agency policies/procedures reviewed that require SE in projects/programs	Politiques operationnelles et procedures d'intervention de la Banque Ouest Africaine de Developpement en matiere de gestion environnementale et sociale dans le financement des projets (POP) [BOAD Operational Policies and Procedures on Environmental and Social Management in the Context of Project Financing]; Note: reviewed document as translated by Google Translate
2	Do SE requirements apply to ALL projects (e.g. including low risk projects) or do they only apply to projects with higher social and environmental risks?	Consultations with project-affected groups and NGOs required as part of environmental assessment process for Cat. A (high risk) and Cat. B (moderate risk) projects, not Cat. C (low risk). (POP, section 1.6.4; 23.1; 23.2.2). [Note: BOAD has a Category D designation for 'environmental and social improvement projects' to which SE requirements do not appear applicable]
3	Does the Agency have separate guidelines for SE in GEF operations?	Embedded in safeguards, no separate guidelines
4	Do Policies require the following:	
	a. development of a SE plan?	Guidance and criteria for developing a "consultation framework" and a consultation plan provided but unclear if this is advisory or required (POP, section 23.2.5, 23.7)
	b. stakeholder identification (incl. CSOs)?	Required as element of consultation processes for projects with adverse social and environmental impacts. Some guidance provided on inclusion of different types of stakeholders (directly affected groups, representatives of key groups, local NGOs, international NGOs, other stakeholders) (POP, section 23.2.4.1)
	c. SE throughout project cycle?	Not fully specified. Required for projects that affect indigenous peoples or involve resettlement
	d. financial and technical support for SE, as needed?	Noted that groups will need financial resources to travel to early consultations (scoping of ESIA) for projects with significant social and environmental risks (POP, section 23.2.2.1)
5	Do policies require effective, meaningful consultations?	Some guidance provided on conducting effective ("fruitful") consultations (prior disclosure, consultation plan, broad stakeholder representation, report backs), but unclear if advisory or required. (POP 23.2.4.2). Higher-level forms of "participation" in project decision-making (as opposed to consultation) is required for projects that involve resettlement or indigenous peoples (POP, section 23.1, 23.2.4)

6	Do policies require gender dimensions be considered in SE?	Not specified in consultation sections. Noted as part of planning for projects that involve indigenous peoples (POP, section 15.2.3)
7	Do policies require that free prior informed consultations with indigenous peoples result in broad community support?	Yes, BOAD funding to be provided only where free, prior informed consultations lead to broad community support of affected indigenous peoples (POP, section 15.1)
8	Do policies require timely, accessible disclosure of relevant documents including disclosure of following:	For consultations as part of the assessment process, relevant information is to be provided in a timely, meaningful, accessible manner. For high-risk projects (Cat. A) a summary report in appropriate form and language is to be provided. For ESIA's, BOAD notes that proactive measures, such as use of local media, may be needed to inform parties. BOAD notes that in certain cases it may recommend hiring of consultants to facilitate dissemination of information. (POP, section 23.2.1)
	a. summary reports of stakeholder consultations?	Reporting on consultation outcomes is noted as a characteristic of effective consultations, but unclear if advisory or required (POP, section 23.2.4.2)
	b. E/S screening reports?	Not specified
	c. draft E/S risk/impact assessment and draft mitigation/management plans (prior to appraisal)	For high and moderate risk projects (Cat. A and B), consultations on the draft ESIA are to be held (POP, section 23.2.2.3)
	d. final E/S risk/assessment and final mitigation/management plans (upon completion)	Yes. It is to be made available in an accessible place to interested groups and local NGOs. Summary report in appropriate form and language for Cat. A projects also disclosed. (POP, section 23.2.1)
	e. monitoring reports (mid-term and final)?	Not specified
9	Regarding M&E, do policies call for following?	
	a. accounting for SE in mid-term and final evaluations?	Not specified
	b. Stakeholder participation in M&E?	Not specified for all projects but for projects involving resettlement or impacts on indigenous peoples, "local NGOs or representatives of affected groups will participate in monitoring project implementation and evaluation of the measures recommended by the Environmental and Social Impact Assessment" (POP, section 23.2.4)
10	Does the Agency have systems or measures for the receipt of and timely response to complaints from parties affected by the implementation of the Agency's projects (at a minimum, affected by GEF Projects) and which seek resolution of such complaints?	TBD (documentation on agency-level grievance mechanism not found on website) Traditional mechanisms to reach agreements in projects areas are to be utilized (POP, section 23.7)

Brazilian Biodiversity Fund (FUNBIO)

FUNBIO PROFILE regarding policies on Stakeholder Engagement in Projects/Programs		
Stakeholder Engagement (SE) Baseline Questions (from GEF policy documents)		FUNBIO Policies and Procedures
1	Agency policies/procedures reviewed that require SE in projects/programs	Política de Salvaguardas Ambientais e Sociais [Policy on Environmental and Social Safeguards] (SG); Procedimentos Operacionais de Avaliação de Impacto Ambiental e Social [Operating Procedures of Environmental and Social Impact Assessment] (OP SG); Política de Integração de Gênero do Funbio [FUNBIO Policy on Gender Integration] (PGI); Procedimentos Operacionais para o Sistema de Queixas, Controle e Responsabilidade [Operating Procedures for Complaints System, Control and Responsibility] (OP Complaints). [Note: reviewed documents as translated by Google Translate]
2	Do SE requirements apply to ALL projects (e.g. including low risk projects) or do they only apply to projects with higher social and environmental risks?	SE requirements apply to all projects. FUNBIO states that as a principle it engages local stakeholders to gather information and to incorporate local concerns into project planning and implementation, separate from risk categorization (SG, p. 4). SE also a requirement for evaluation of projects with potential "low" and "significant" social and environmental impacts (Funbio uses a 3-scale categorization system: 'no impact,' 'low impact,' 'significant impact') (SG, p. 7; OP SG, pp. 7, 8)
3	Does the Agency have separate guidelines for SE in GEF operations?	Embedded in safeguards, no separate guidelines
4	Do Policies require the following:	
	a. development of a SE plan?	Noting that consultation methodologies will vary depending on project, states that key stakeholders 'should' be identified and a plan for their participation developed (OP SG, p. 8)
	b. stakeholder identification (incl. CSOs)?	Key stakeholders 'should' be identified (see above). For projects with social and environmental impacts, policy notes that project affected groups and local NGOs are to be consulted (OP SG, p. 8)
	c. SE throughout project cycle?	Yes (SG, p. ; OP SG, p. 8)
	d. financial and technical support for SE, as needed?	Not specified
5	Do policies require effective, meaningful consultations?	Criteria for meaningful consultations not specified beyond being predicated on provision of accessible, relevant information (OP SG, p. 8)

6	Do policies require gender dimensions be considered in SE?	Funbio requires project proponents to show how the project will promote gender mainstreaming and integration, including consultations with relevant women's groups (PGI, pp. 5, 6). However gender dimensions not addressed in general consultation requirements regarding social and environmental assessment
7	Do policies require that free prior informed consultations with indigenous peoples result in broad community support?	Yes, Funbio follows the guidelines of ILO Convention 169 on Indigenous and Tribal Peoples and the UN Declaration on the Rights of Indigenous Peoples (both of which articulate requirements for free prior informed consent (SG, p. 10)
8	Do policies require timely, accessible disclosure of relevant documents including disclosure of following:	Yes, relevant documents should be readily accessible in forms and in appropriate languages and in a timely manner for all involved and affected groups, directly or indirectly, prior to project appraisal (OP SG, p. 8). Various methods of disclosure noted (meetings, workshops, radio ads, brochures and other written documents and digital media)
	a. summary reports of stakeholder consultations?	Yes, together with social and environmental assessment documents (OP SG, p. 8)
	b. E/S screening reports?	Not specified
	c. draft E/S risk/impact assessment and draft mitigation/management plans (prior to appraisal)	Yes (OP SG, p. 8; SG, pp. 8, 9, 11)
	d. final E/S risk/assessment and final mitigation/management plans (upon completion)	Yes (OP SG, p. 8)
	e. monitoring reports (mid-term and final)?	Not specified
9	Regarding M&E, do policies call for following?	
	a. accounting for SE in mid-term and final evaluations?	Not specified
	b. Stakeholder participation in M&E?	Advisory. Consultation plans 'should' include monitoring and evaluation actions (OP SG, p. 8)
10	Does the Agency have systems or measures for the receipt of and timely response to complaints from parties affected by the implementation of the Agency's projects (at a minimum, affected by GEF Projects) and which seek resolution of such complaints?	Project-affected persons may submit complaints to FUNBIO's General Secretary (SG, p. 12). A set of operational procedures have been developed regulating the handling and resolution of complaints (OP Complaints)

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Introduction

This Annex contains a two-part review of GEF-supported projects:

1. Disclosure of project documents posted on websites of GEF Secretariat and Agencies
2. Review of description of stakeholder engagement in project documents

This desk review encompasses projects approved by GEF primarily between 2015-2016, with the addition of projects from 2014 for some Agencies to broaden the number of projects and their GEF status (e.g. PIF Approved, Council Approved, CEO Approved, CEO Endorsed). Recent projects were chosen given the more recent expansion in the number of GEF Agencies, the more recent adoption of relevant Agency policies (e.g. safeguards), as well as recent attention in the GEF to the GEF Public Involvement Policy (PIP) and PIP Implementation Guidelines. The sample of more recent projects thus does not encompass evaluative documents (e.g. mid-term reviews, terminal evaluations). Instead, this sample focuses on the availability of project documentation from the GEF and Agencies at the design and approval phases (e.g. PIF, CEO Approval/Endorsement, Agency Project Documents, GEF Review Sheets), and how stakeholder engagement issues have been addressed therein.

Notes on the review:

- **Stakeholder engagement** is reviewed through two lenses: (a) “who:” the degree and specificity of stakeholder identification (including where relevant CSOs), and (b) “how:” the degree/specificity to which the engagement approach is described. **GOOD PRACTICES** are marked in green; **INADEQUATE PRACTICES** are marked in red
- **Disclosure of project documents** is assessed by (a) reviewing the range of documents posted by the GEF Secretariat (missing documents marked in **red**) and (b) seeking to locate the project on Agency websites and reviewing the range of documents posted. At times projects could not be located on some Agency websites (marked in **blue**). This may be due to a range of reasons (e.g. lag in project development from GEF approval to Agency approval, GEF or Agency have not yet posted, different project names, project cancellation, the project is part of another initiative, or simply that the Agency does not have a project database or does not post documents).
- **Summary results** of this review are integrated into Part I and II of the report.

World Bank

Search GEF projects site by 'Agency' and 'Approvals 2015-2016'

Last reviewed 2 May 2016

GEF_ID	Country	Project Name	Agency	Type	Status	In Agency data base?	Agency project title	Agency Project ID	Risk category	Documents on GEF site	Documents on Agency site	Comment
6915	Kazakhstan	Southeast Europe and Central Asia Catastrophe Risk Insurance Facility	World Bank	FP	CEO Endorsed	Y	same	P152230	C	CEO End. Rqst, Council letter, Project Concept Note (2), Review Sheet, STAP (2)	PID(c/a), ISDS(c), PAD	CEO End. Rqst: Key stakeholders identified, general approach described, notes consultations held during prep. WB PAD: categories of beneficiaries outlined, very broad description of engagement approach (social section) (less specific than CEO End Rqst) GEF Review Sheet (Q6): PIF: "Not clear. By CEO endorsement, please ensure all due consideration of gender elements, indigenous people and CSOs are considered." Not confirmed at CEO End (no participation or CSO question part of template)
6947	Belarus	Belarus Forestry Development Project	World Bank	FP	CEO Endorsed	Y	same	P147760	B	PCN Data Sheet, Council ltr, GEF data sheet at CEO End, PID, Review Sheet (2), STAP No CEO End Rqst	ISDS (c/a), PID(c/a), EA, PAD, Grant Agree., Disburse ltr, side ltr, loan agree., ISRR (2)	WB: ISDS: very broad stakeholder identification ("population of project region"). EA: Stakeholder identification not listed, very general re engagement approach ("CSOs should be involved in preparation of activities..."). PAD: categories of beneficiaries listed, very broad description of other stakeholders and approach (social section). Indicator frmwrk includes reports on consultations. Review Sheet (Q9): GOOD PRACTICE: asked for more detail re public participation in PAD, confirmed added in subsequent Review Sheet entry (older Review Sheet)
9037	Kyrgyz Republic	Sustainable Forest and Land Management	World Bank	FP	CEO Endorsed	Y	Integrated Forest Ecosystem Management	P151102	B	Data Sheet at CEO End Rqst, GEF data sheet at PCN, Council ltr, PID, Review Sheet, STAP No CEO End Rqst	ISDS(c/a), PID(C/a), RP, EA, PAD, Committee Rpt, Disb Ltr, Financing Agree, Side Ltr(2), ISRR	WB: ISDS(a) very general re stakeholder identification. PAD: identifies beneficiary groups and outlines general engagement approach, EA: general. Increasing stakeholder participation in forestry is a component of project. GEF Review Sheet (Q6) cleared issue, and noted more details should be given in design process. (Review Sheet does not have separate PIF and CEO End sections)
9046	China	Reduction and Phase-out of PFOS in Priority Sectors in China	World Bank	FP	Council Approved	Y	same	P152959	A	Data Sheet PCN, PID, Review Sheet, STAP	PID, ISDS(c), Procurement Plan(2),	WB: ISDS(c) does not include identification of stakeholders beyond potential beneficiary firms and employees of participating firms. Full EA (Cat. A) to be conducted. Notes disclosure/consultations on EA instruments will be needed when developed. Review Sheet (Q6): INADEQUATE PRACTICE: says socio-economic aspects (incl CSOs) addressed (Q6), but stakeholders not well addressed in PID or ISDS (noting though that an EA is to be conducted)

9115	Indonesia	IBRD Geothermal Energy Upstream Development Project	World Bank	FP	Council Approved	Y	same	P155047	A	Data Sheet, PID, Review Sheet, STAP	ISDS, PID	WB: ISDS and PID broadly identify stakeholders (villages, indigenous peoples), an EA/ESMF will include consultation requirements and include resettlement and indigenous peoples frameworks, notes that village consultations will be an indicator of Citizen Engagement Review Sheet: (Q6) INADEQUATE PRACTICE: states that socio-economic aspects (incl. CSOs) considered, but few specific references
9240	China	Capacity Strengthening For Implementation Of Minamata Convention On Mercury	World Bank	FP	Council Approved	Y	same	P151281	B	Data Sheet, PID, Review Sheet, STAP	ISDS, PID, EA (ESMF incl RPF, IPPF)	WB: EA/ESMF outlines detailed procedures for stakeholder analysis and engagement of subprojects (incl. resettlement and indigenous peoples frameworks). Record of public consultations not included. Review Sheet: (Q6) "Yes"
9249	India	Grid-Connected Rooftop Solar PV Program	World Bank	FP	Council Approved	Y	same	P155007	B	Data Sheet, PID, Review Sheet, STAP(2)	PID, EA (systems assessment)	WB: EA records consults with solar companies, but not broader stakeholders Review Sheet: Q6 "Yes"
9330	Madagascar	Sustainable Agriculture Landscape Project	World Bank	FP	Council Approved	N		P157909	B	Data Sheet, PID/ISDS, Review Sheet(2), STAP	Not located on WB site	WB (posted on GEF site): PID/ISDS does not identify stakeholders or engagement approach, but notes EA (ESMF) to be developed that will involve consultations and establish participation requirements Review sheet: Q6 INADEQUATE PRACTICE: whether socio-economic issues considered, incl CSOs, response: "Yes. Cleared" but few specific references beyond need for safeguard instruments
5814	Regional	Pacific Resilience Program	World Bank	FP	CEO Endorsed	Y	same	P147839	B	Council ltr, Data sheet(2), PID, Review Sheet, STAP	PID, ISDS(c/a), EA, Financing Agree, ISRR No PAD posted	WB: EA/ESMF outlines consultation plan. Local disclosure noted in PAD posted on GEF site (part of Council ltr) Review Sheet: GOOD PRACTICE: Q6: "Yes. We are pleased to note that community level consultations will be undertaken and would welcome community engagement throughout design and implementation. The GEF is pleased to note that gender-disaggregated indicators will be monitored where feasible and that gender empowerment activities will be conducted."
6964	Regional	Volta River Basin Strategic Action Programme Implementation Project	World Bank	FP	CEO Endorsed	Y	same	P149969	B	Council ltr, Data sheet(2), PID, Review Comments, STAP No CEO End Rqst (PAD?) No Review Sheet	PID(c/a), ISDS(c/a), EA, PAD, Procurement Plan, ISRR	WB: stakeholders identified broadly in ISDS(a) and PAD, engagement approach well identified in EA, PAD GEF: No Review Sheet (just comments, but do not address stakeholders)
6970	Regional	Pacific Islands Regional Oceanscape Program (PROP)	World Bank	FP	CEO Endorsed	Y	same	P131655	B	Data Sheet, PIF, PAD, Review Sheet, STAP No CEO End Rqst (PAD?)	PID, ISDS(c/a), EA, PAD, Financing Agree., ISRR	WB: GOOD PRACTICE: stakeholders identified in detail in ISDS(a), PAD and ESMF outline stakeholder engagement approach. Local disclosure confirmed. Review sheet: cleared at PIF stage

<u>6980</u>	Global	The International Lighting Efficiency Facility (iLEF)(non-grant)	World Bank	MSP	CEO Approved	N		P149925 (but not found)		Data Sheet for MSP No Review Sheet, MSP Rqst, STAP	Cannot locate on WB site	
<u>9071</u>	Global	Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development (PROGRAM)	World Bank	FP	Council Approved	N		P155395 (but not found)		PFD, Review Sheet, STAP		PFD: identifies stakeholders and outlines general approach to engagement Review Sheet (Q4) GOOD PRACTICE: "Yes, however, please explicitly reference indigenous people in this section on stakeholders and click the box yes under stakeholders (E2). It may be helpful to map the key stakeholders and their prospective roles per Program Component."
<u>9077</u>	Global	Cities-IAP: Sustainable Cities Integrated Approach Pilot (IAP-PROGRAM)	World Bank	FP	Council Approved	N		(GEF did not list ID number)		Child Project Annexes, CEO ltr, PFD, Review Sheet, STAP	Cannot locate on WB site	PFD: very general, high-level description of engagement approach, high-level stakeholders noted, more specifics approaches to be outlined in Child Projects Child Project Annexes identify key institutional stakeholders and outline general, high-level approaches to stakeholder engagement Review sheet (Q4) comment on gender but not stakeholder engagement
<u>9160</u>	Regional	Regional Partnership for African Fisheries Policy Reform (RAFIP)	World Bank	MSP	CEO Approved	Y	same	<u>P155961</u>	C	MSP Rqst, Project Paper, Review Sheet	No documents posted	MSP Request and PAD includes general identification of stakeholder categories, outlines general approach and to engagement. Stakeholder engagement and collaboration integrated in project components Review Sheet: cleared
<u>9272</u>	Regional	Amazon Sustainable Landscapes Program	World Bank	FP	Council Approved	N/?		(GEF did not list ID number)		Child Project Annexes, PFD, Review Sheet, STAP(2)	Cannot locate on WB site	PFD and Child Project Annexes contain very general, high-level approach to stakeholder engagement Review Sheet (Q4): GOOD PRACTICE: "The text on stakeholders could be applied to any program. It is necessary to be region and country specific as much as possible. In addition, there is no discussion on participation of indigenous people in the program (item 2. Stakeholders, p. 16).
<u>9360</u>	Regional	West Africa Regional Fisheries Program, Additional Financing	World Bank	FP	Council Approved	N		P156759 (but not found)		Data Sheet, PID, Review Sheet, STAP	Cannot locate on WB site	PID: Very general identification of stakeholders, engagement beyond institutional stakeholders not addressed Review Sheet (Q6): No comment

World Bank document abbreviations: ISDS: Integrated Safeguards Data Sheet (2 stages, Concept "c" and Appraisal "a"); PID: Project Information Document (2 stages, Concept "c" and Appraisal "a"); EA: Environmental Assessment; ESMF: Environmental and Social Management Framework; ISRR: Implementation Status and Results Report; PAD: Project Appraisal Document

Asian Development Bank (ADB)

Search GEF projects site by 'Agency' and 'Approvals 2015-2016' (2014 CEO Endorsed project included to broaden status type)
Last reviewed 2 May 2016

GEF ID	Country	Project Name	Agency	Project Type	Status	In Agency data base?	Agency project title	Agency Project ID	Risk category	Documents on GEF site	Documents on Agency site	Comment
9067	Cook Islands	Renewable Energy Sector Project	ADB	FP	Council Approved	Y	Renewable Energy Sector Project	46453-002	B -Env B-Resettlement C-IP	PIF, Review Sheet, STAP	IEE, Resettlement Frmwk, EA Frmwk, Project Agree., Loan Agree., Grant Agree., Project Admin. Manual, RRP, Procurement Plans	ADB: IPSA: general categories of stakeholders noted, comprehensive stakeholder analysis to follow, general engagement approach outlined. IEE and RP document stakeholder consultations and plans, outline project GRM PIF: Stakeholders generally identified and engagement approach described Review Sheet (Q6) GOOD PRACTICE: "3/16/2015: Not completed at this time. Please consider engaging Civil Society Organizations (CSOs) in this project, if applicable. 3/26/2015: Yes. Comments cleared". <i>Note: GEF funding not listed on ADB project page. Same project?</i>
9146	Lao PDR	Vientiane Sustainable Urban Transport Project	ADB	MSP	CEO Approved	Y	Vientiane Sustainable Urban Transport Project	45041-002	B -Env B-Resettlement C-IP	MSP Approval Request No Review Sheet or other docs	Grant Agreement, Loan Agreement, Procurement Plan, RPP, Gender Action Plan, Administration Manual, Concept Papers, IEE, Resettlement Plans	ADB: IEE documents stakeholders and consultations, Resettlement Plan records consultations and details engagement plan MSP Approval Request: stakeholders identified and engagement approach outlined (building off baseline project) No Review Sheet
6924	Vietnam	Promoting Climate Resilience in Viet Nam Cities	ADB	FP	Council Approved	? Y	? [Secondary Cities Development Program (Green Cities)]	47274-001/002		PIF, Review Sheet, STAP	IPSA, PDS	<i>[Note: unclear if same project or if listed ADB project is a previous, baseline project]</i> ADB IPSA: Key stakeholders generally identified, states that public consultations mandatory PIF: Key institutional stakeholder identified, "local communities" as category, general methods of engagement outlined (extensive consultations planned). Review Sheet (Q10): participation well addressed
9107	Sri Lanka	Resilient and Integrated Urban Development for Greater Colombo	ADB	FP	Council Approved	N ?	? [Greater Colombo Water and Wastewater Mngt Improvement Investment Project (Tranche 3)]	? [45148-008]		PIF, Review Sheet, STAP	[IEE, EARF, RP, RF, Financing Rpt, PDS]	<i>[Note: unclear if same project or if listed ADB project is a previous, baseline project]</i> PIF: Institutional stakeholders identified, others broadly (selected NGOs and CSOs). General engagement approach outlined (consultations, workshops). Review Sheet (Q6): "Yes for PIF stage. By CEO Endorsement: Please provide further details."

Annex 2

<u>9258</u>	India	Creating and Sustaining Markets for Energy Efficiency	ADB	FP	Council Approved	N ?	? [Demand-Side Energy Efficiency Investment Project]	? <u>[48224-001]</u>		PIF, Review Sheet, STAP	[TA reports, IPSA]	<i>[Note: unclear if same project or if listed ADB project is a previous, baseline project] Some GEF funding utilized (\$150k)</i> ADB: IPSA: general stakeholder identification and approach PIF: Institutional stakeholders specified, general listing of others (CSOs, experts). Engagement approach not outlined but notes that detailed stakeholder involvement plan will be developed. Review Sheet (Q6): requested inclusion of relevant CSOs and later cleared
<u>9267</u>	Myanmar	Rural Productivity and Ecosystems Services Enhanced in Central Dry Zone Forest Reserves	ADB	FP	Council Approved	Y	Myanmar: Irrigated Agriculture Inclusive Development Project	<u>47152-002</u>	B -Env B-Resettle ment B-IP	PIF, Review Sheet, STAP	Project summary posted, no project documents	PIF: GOOD PRACTICE: Stakeholders specified in detail (some CSOs by name), and engagement plans outlined with some detail (consultations, numbers of villages, user groups), full plan to be developed Review Sheet (Q6): GOOD PRACTICE: Extensive comments on need to address sensitivities between authorities and ethnic groups, and extensive ADB reply
<u>9355</u>	Tonga	Outer Island Renewable Energy Project	ADB	FP	Council Approved	Y	Outer Island Renewable Energy Project	<u>43452-022</u>	B -Env C-Resettle ment C-IP	PIF, Review Sheet, STAP	Gender Action Plan, Grant Agreement, RRP, Project Manual, Procurement Plan, Audit	<i>GEF will be additional finance to approved project</i> PIF: Stakeholders identified by group, methods outlined. Further stakeholder analysis and planning noted. Review Sheet (Q6): states adequately addressed, no comments at CEO Endorse. stage
<u>9197</u>	Vanuatu	Protecting Urban Areas Against the Impacts of Climate Change in Vanuatu	ADB	FP	CEO Endorsed	Y	Vanuatu: Port Vila Urban Development Project	<u>42391-013</u>	B -Env B-Resettle ment C-IP	Council Notif ltr (w/ CEO Endorse. Rqst), Review Sheet No PIF or STAP (because Child Project?)	EMPs, Resettlement Plans and Frmwrks, SG due diligence reports, Gender Action Plan, Grant Agreement, RRP, Procurement plans	<i>GEF will be additional finance to approved project</i> CEO Endorse. Rqst: Stakeholders specified. References full stakeholder plan (Annex H) but not attached. Engagement methods noted. Review Sheet (Q17): cleared

ADB document abbreviations: IEE: Initial Environmental Examination; IPSA: Initial Poverty and Social Analysis; TA: Technical Assistance; PDS: RRP: Reports and Recommendations to the President

United Nations Development Programme (UNDP)

Search GEF projects site by 'Agency' and 'Approvals 2015-2016' (note: several "CEO Endorsed" projects from 2014 added to broaden status types)

Last reviewed 5 May 2016

GEF_ID	Country	Project Name	Agency	Project Type	Status	In Agency data base?	Agency project title	Agency Project ID	Risk category	Documents on GEF site	Documents on Agency site	Comment
6945	Costa Rica	Strengthening Capacities of Rural Aqueduct Associations' (ASADAS) to Address Climate Change Risks in Water Stressed Communities of Northern Costa Rica	UNDP	FP	CEO Endorsed	Y	Fortalecimiento Capacidades Asadas	00084063		CEO End Rqst, Council ltr, PIF, Review Sheet(2), STAP	Project Doc, Procurement Notice	CEO End Rqst: lists stakeholders consulted (see Proj Doc) Project Doc: GOOD PRACTICE: list of consulted stakeholders provided, methods of consultation listed, stakeholder engagement plan provided (incl community-based organizations) Review Sheet: confirms stakeholder engagement
6940	Lao PDR	Sustainable Forest and Land Management in the Dry Dipterocarp Forest Ecosystems of Southern Lao PDR	UNDP	FP	CEO Endorsed	Y	Sustainable Forest and Land Management in the Dry Dip	00084413		PIF, Review Sheet, STAP No CEO Endorse. Rqst	Initiation Plan, UNDAF, Procurement notice No ProDoc	PIF: identifies stakeholders and general roles but not an engagement approach/plan, only international NGOs noted under civil society stakeholders despite project goal of establishing district level multi-stakeholder committees Review Sheet: INADEQUATE PRACTICE (Q10): "Yes. Cleared"
6960	Turkmenistan	Supporting Climate Resilient Livelihoods in Agricultural Communities in Drought-prone Areas	UNDP	FP	CEO Endorsed	Y	Climate Resilient Livelihoods Ppg	00084052		PIF, Review Sheet(2), Revised CEO Endorsement Rqst, Project Document, STAP	GEF Review Sheet, PIF, Initiation Plan, Country Programme Action Plan, Procurement Notice No ProDoc	UNDP Initiation Plan: early doc includes task to conduct stakeholder consultations during technical review. Project Doc (GEF site): contains stakeholder engagement plan that outlines general roles and main methods of engagement, participatory approaches for farmers, etc. to be pursued (general description), no record of consultations held Review Sheet: confirms stakeholder engagement
5544	Marshall Islands	R2R Reimaanlok Looking to the Future: Strengthening Natural Resource Management in Atoll Communities in the Republic of Marshall Islands Employing Integrated Approaches (RMI R2R)	UNDP	FP	Council Approved	N ?				PIF, Review Sheet, STAP	Cannot locate on UNDP site	PIF: Lists stakeholders with roles in project preparation Review Sheet (Q10): GOOD PRACTICE "There is a long list of potential participants, but we did not find any information on how the public will be involved, including the Civil Society Organizations (CSO), the local communities and traditional authorities." Later cleared

<u>5671</u>	Timor Leste	Building Shoreline Resilience of Timor Leste to Protect Local Communities and their Livelihoods	UNDP	FP	CEO Endorsed	N ?			Moderate	CEO End ltr(2), Council ltr, Project Doc(2), Review Sheet	Cannot locate on UNDP site	Proj Doc (rev, GEF site): general outline of stakeholder engagement. Annex D contains stakeholder involvement plan (list of stakeholders and tasks). Review Sheet: GOOD PRACTICE (Q10): Noting list of stakeholders, "Agency is requested to provide information on engagement with CSOs and how this engagement will be sustained during implementation."
<u>5855</u>	Mali	Flood Hazard and Climate Risk Management to Secure Lives and Assets in Mali	UNDP	FP	Council Approved	N ?				Council Apprvl ltr, Council Notif ltr (PIF), STAP No Review Sheet	Cannot locate on UNDP site	PIF: general list of stakeholders, not specific re communities or CSOs, little detail on engagement approach beyond PPG preparation Review Sheet not posted
<u>5867</u>	Senegal	Promoting Innovative Finance and Community Based Adaptation in Communes Surrounding Community Natural Reserves (Ferlo, Niokolo Koba, Senegal River Bas Delta & Saloum Delta), Senegal	UNDP	FP	Council Approved	Y	Projet Finance Novatrice Pour Une Adapation Communautaire	00083517		Council letter(2), PIF, Review Sheet, STAP	Request for Procurement No other docs	PIF: general description of engagement , mentions some categories of stakeholders but not specific. Review Sheet (Q10): INADEQUATE PRACTICE: States that stakeholders identified but only broad categories (women, farmers)
<u>5902</u>	Sierra Leone	Adapting to Climate Change Induced Coastal Risks Management in Sierra Leone	UNDP	FP	Council Approved	Y	Climate Change Induced Coastal Risks Management in SI	00093486		Council letter, PIF, Review Sheet, STAP	Request for Procurement No other docs	PIF: institutional stakeholders identified, but overly broad re civil society ("women and young groups"). General statement "will be engaged in project design/preparation" (how?). Review Sheet (Q10): states stakeholders adequately considered however appears to be overly broad
<u>5904</u>	Benin	Strengthening the Resilience of Rural Livelihoods and Sub-national Government System to Climate Risks and Variability in Benin	UNDP	FP	Council Approved	Y	Resilient Livelihood and Climate Change	00094845		Council letter (PIF), Review Sheet, STAP	Request for Procurement No other docs	PIF: identifies key partners and stakeholders and broad target groups, but does not outline engagement approach/strategy Review Sheet GOOD PRACTICE (Q10): "No, the role of public participation, and the explicit means for engagement of the public are not described. Recommended action: In section A2, please provide general plans for the engagement of the public in the design of the initiative, and possibly its implementation. Update 11/14/2014: Cleared. The public participation plan includes consultations at the inception workshop, a broader national consultation workshop, and a validation workshop."
<u>6912</u>	Comoros	Strengthening Comoros Resilience Against Climate Change and Variability Related Disaster	UNDP	FP	Council Approved	Y	Pims-5445-Ppg Rrc	00094552		Council letter (PIF), Review Sheet, STAP	Request for Procurement No other docs	PIF: general description that CSOs will be engaged, but few specifics (exception: Red Crescent noted). Review Sheet: calls for more specificity in how stakeholders will be engaged

<u>6913</u>	Uzbekistan	Market Transformation for Sustainable Rural Housing Project	UNDP	FP	Council Approved	Y	Ip: Sustainable Rural Housing	00088696		PIF, Review Sheet, STAP	Initiation Plan, Country Programme Action Plan, Procurement Notice	PIF: stakeholder described broadly by type (govt, private sector, etc.), and engagement approach described for each group. Samples of some groups (e.g. homeowners) to be selected Review Sheet: (Q10) "Yes"
<u>6914</u>	Afghanistan	Adapting Afghan Communities to Climate-Induced Disaster Risks	UNDP	FP	Council Approved	Y	Pims 5398 Afg PPG Ldcf II	00092963		Council letter(2), PIF, Review Sheet, STAP	Request for Procurement	PIF: stakeholders listed, not specific re civil society ("community-based organizations" to be consulted). Review Sheet: GOOD PRACTICE (Q10): "Yes for PIF stage. Several relevant government agencies and ministries have been identified. However, as yet there is no information on which civil society agencies will be engaged, or community groups. By CEO Endorsement: Please provide details on the CSOs/NGOs that will be involved in project implementation, as well as how community members (including women) will be involved in project design and implementation."
<u>6923</u>	Eritrea	Mainstreaming Climate Risk Considerations in Food Security and IWRM in Tsilima Plain	UNDP	FP	Council Approved	Y	Mainstreaming Climate Risk Considerations in Food Security	00085501		Council ltr (PIF), STAP No Review Sheet	PIF, SBAA (standard agreement w/ govt), procurement notice	PIF: Govt and scientific stakeholders identified, but broad categories of "local communities," "civil society." "Detailed stakeholder analysis to be undertaken." No Review Sheet
<u>6935</u>	Jordan	Jordan's First Biennial Update Report	UNDP	EA	CEO Approved	Y	same	00084532		EA Request	Project Doc, UNDAF, Procurement notice	Project Doc: Govt and scientific stakeholders mentioned, participatory approach to encompass broader stakeholders but not described in any detail
<u>6940</u>	Lao PDR	Sustainable Forest and Land Management in the Dry Dipterocarp Forest Ecosystems of Southern Lao PDR	UNDP	FP	CEO Endorsed	Y	Sustainable Forest and Land Management in the Dry Dip	00084413		PIF, Review Sheet, STAP	Initiation Plan, UNDAF, Procurement notice	PIF: identifies stakeholders and general roles but not an engagement approach/plan, only international NGOs noted under civil society stakeholders despite project goal of establishing district level multi-stakeholder committees Review Sheet: INADEQUATE PRACTICE (Q10): "Yes. Cleared"
<u>6945</u>	Costa Rica	Strengthening Capacities of Rural Aqueduct Associations' (ASADAS) to Address Climate Change Risks in Water Stressed Communities of Northern Costa Rica	UNDP	FP	CEO Endorsed	Y	Fortalecimiento Capacidades Asadas	00084063		CEO End Rqst, Council ltr, PIF, Review Sheet(2), STAP	Project Doc, Procurement Notice	CEO End Rqst: lists stakeholders consulted (see Proj Doc) Project Doc: GOOD PRACTICE: list of consulted stakeholders provided, methods of consultation listed, stakeholder engagement plan provided (incl community-based organizations) Review Sheet: confirms stakeholder engagement

Annex 2

<u>6960</u>	Turkmenistan	Supporting Climate Resilient Livelihoods in Agricultural Communities in Drought-prone Areas	UNDP	FP	CEO Endorsed	Y	Climate Resilient Livelihoods Ppg	00084052		PIF, Review Sheet(2), Revised CEO Endorsement Rqst, Project Document, STAP	GEF Review Sheet, PIF, Initiation Plan, Country Programme Action Plan, Procurement Notice No ProDoc	UNDP Initiation Plan: early doc includes task to conduct stakeholder consultations during technical review (mapping, engaging). Project Doc (GEF site): contains stakeholder engagement plan that outlines general roles and main methods of engagement, participatory approaches for farmers, etc. to be pursued (general description), no record of consultations Review Sheet: confirms stakeholder engagement
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UNDP document abbreviations: SBAA: Standard Basic Assistance Agreement, UNDAF: United Nation Development Assistance Framework,

Food and Agricultural Organization (FAO)

Search GEF projects site by 'Agency' and 'Approvals 2015-2016' (note: several "CEO Endorsed" projects from 2014 added to broaden status types)
Last reviewed 10 May 2016

GEF ID	Country	Project Name	Agency	Project Type	Status	In Agency data base?	Agency project title	Agency Project ID	Risk category	Documents on GEF site	Documents on Agency site	Comment
5432	Angola	Integrating Climate Resilience into Agricultural and Agropastoral Production Systems through Soil Fertility Management in Key Productive and Vulnerable Areas Using the Farmers Field School Approach	FAO	FP	Council Approved	N (Note: FAO does not have project data base)				Council ltr (PIF), STAP No Review Sheet	Cannot locate on FAO site	PIF: initial stakeholders identified, including NGOs by name. Engagement approach not outlined beyond "collaboration." Notes that detailed stakeholder analysis will be undertaken No Review Sheet
5702	Myanmar	FishAdapt: Strengthening the Adaptive Capacity and Resilience of Fisheries and Aquaculture-dependent Livelihoods in Myanmar	FAO	FP	Council Approved	N				Council ltr (PIF), No Review Sheet	Cannot locate on FAO site	PIF: initial stakeholders and roles identified, including not-for-profit groups/networks. "local communities" noted but not specified No Review Sheet
5410	Venezuela	Sustainable Forest Lands Management and Conservation under an Eco-social Approach (FY14)	FAO	FP	CEO Endorsed	N				PIF, Project Document, CEO Endorse Rqst, Review Sheet, STAP	Cannot locate on FAO site	PIF: stakeholders specified incl. roles/ interest in project, but engagement approach not outlined. Review Sheet (Q10): GOOD PRACTICE: "a full description of local communities including their role in tracking deforestation and carbon monitoring is expected by CEO endorsement. Please also describe at the endorsement stage how the project will deal with the indigenous communities in the reserve." CEO Endorse Rqst and Proj Doc (GEF site): Stakeholders identified and methods of engagement for local communities described. Participatory methods outlined.
5782	Gambia	Adapting Agriculture to Climate Change in the Gambia	FAO	FP	Council Approved	N				Council Notif ltr (PIF) No Review Sheet	Cannot locate on FAO site	PIF: stakeholder's identified, including some civil society groups, specific roles to be specified during PPG phase. No Review Sheet
5433	Mozambique	Strengthening Capacities of Agricultural Producers to Cope with Climate Change for Increased Food Security through the Farmers Field School Approach (FY14)	FAO	FP	CEO Endorsed	N				Council ltr (PIF), Council Notif ltr (CEO Endorse Rqst), STAP No Review Sheet	Cannot locate on FAO site	PIF: govt stakeholders identified, general mention of local groups (farmers' associations) but not specified, engagement approach not outlined CEO Endorse. Rqst: INADEQUATE PRACTICE: govt stakeholders identified with roles specified, three civil society entities specified as collaborators but no discussion of how engagement will proceed (project components include farmer participation but a plan/approach is absent). No E/S screening form attached to Proj Doc) No Review Sheet

<u>5547</u>	Congo DR	Community-Based Miombo Forest Management in South East Katanga (FY14)	FAO	FP	CEO Endorsed	N			Low	Council Notif ltr (CEO Endorse Rqst and Proj Doc), PIF, Review Sheet, STAP	Cannot locate on FAO site	<p>PIF: stakeholders specified, including NGOs (named), consultations as main form of engagement. General mention of "local communities" and "traditional authorities"</p> <p>Review Sheet: (Q10) GOOD PRACTICE: No. Public partic. is identified as a key element of the project. CSO, private companies, and traditional authorities are identified. Considering that local communities are of the project their (including traditional authorities) role and priorities have not been fully identified or integrated into the project design. As the success of the project is contingent upon the involvement and cooperation of the local communities, these elements need to be identified at the PIF stage itself. "</p> <p>CEO Endorse Rqst and Project Document: stakeholders and roles specified, NGOs specified, "50 local communities" noted as main stakeholders but not listed, traditional chieftain specified. Expected roles outlined. Record of consultations included in E/S Screening Form (part of Proj Doc)</p>
<u>6955</u>	Chile	Strengthening the Adaptive Capacity to Climate Change in the Fisheries and Aquaculture Sector	FAO	FP	Council Approved	N				PIF, Review Sheet, STAP(2)	Cannot locate on FAO site	<p>PIF: INADEQUATE PRACTICE: Brief single para, stakeholders not identified, need for stakeholder analysis noted.</p> <p>Review Sheet (Q10): INADEQUATE PRACTICE: "Yes. Public participation, including civil society has been identified as part of the project design and implementation"</p>
<u>5489</u>	Lao PDR	Climate Adaptation in Wetlands Areas (CAWA) (FY14)		FP	CEO Endorsed	N			B	CEO ltr (CEO End. Rqst and Proj Doc) No PIF, Review Sheet, STAP	Cannot locate on FAO site	<p>CEO Endorse Rqst and Proj Doc: Stakeholder mechanisms identified (tiered level of committees) with specific stakeholders identified for each, including local stakeholder committees (specific membership not specified). Participatory methodologies to be employed in components. Proj Doc includes annex listing stakeholders and older env screening form</p> <p>No PIF or Review Sheet</p>
<u>9068</u>	Chile	Establish a Network of National Important Agricultural Heritage Sites (NIAHS)	FAO	FP	Council Approved	N				PIF, Review Sheet, STAP	Cannot locate on FAO site	<p>PIF: govt stakeholders identified, only general categories "local communities," "indigenous communities" utilized, engagement approach described.</p> <p>Review Sheet (Q16): GOOD PRACTICE: "These elements need to be more specific to the actual regions where the project will intervene, at present they are too generic and could be applied to any rural area."</p>
<u>9060</u>	Global	CFI: Coastal Fisheries Initiative (PROGRAM)	FAO	FP	Council Approved	N				PFD, Review Sheet, STAP	Cannot locate on FAO site	<p>PFD: General description of engagement approach, but lacking detail. Only general categories of stakeholders identified although participation central to components. Stakeholder analysis for each child project to be conducted.</p> <p>Review Sheet: calls for mapping stakeholders per project component and calls for more specific, quantifiable information in child projects</p>

African Development Bank(AfDB)

Search GEF projects site by 'Agency' and 'Approvals 2015-2016'
Last reviewed 11 May 2016

GEF ID	Country	Project Name	Agency	Project Type	Status	In Agency Data base?	Agency project title	Agency Project ID	Risk category	Documents on GEF site	Documents on Agency site	Comment
6974	Benin	Improving Mobility in Parakou	AfDB	MSP	CEO Approved	Y	Parakou Urban Transport Project	P-BJ-D00-006	(not listed)	MSP Approval Request No Review Sheet	Appraisal Report, Summary ESIA, Resettlement Framework Plan,	AfDB Appraisal Report includes very general summary of engagement approach, ESIA and RPF records consultations and disclosure and presents general plan. MSP doc lists some stakeholders (incl. labor unions), but does not articulate engagement approach. General outreach noted in project component No Review Sheet <i>Note: AfDB maintains separate databases by document type (e.g. environmental documents not linked to project page), making access to project information more difficult</i>
8021	Zambia	Zambia Lake Tanganyika Basin Sustainable Development Project	AfDB	FP	Council Approved	Y	Lake Tanganyika Development Support Project	P-ZM-AA0-021		PIF, Review Sheet, STAP	Appraisal Report, ESMP Summary	AfDB ESMP: outlines consultations held and general engagement plan, complaints process, and disclosure PIF includes general stakeholder identification (not specific) and outlines village level engagement approach Review Sheet (Q10): GOOD PRACTICE: calls for stakeholder analysis during PPG
9050	Chad	Building Resilience For Food Security and Nutrition in Chad's Rural Communities	AfDB	FP	Council Approved	N ?				PIF, Review Sheet, STAP	Cannot locate on AfDB site	PIF: general description of stakeholders and processes, but few specifics Review Sheet: GOOD PRACTICE: (Q6) "Yes. Please develop these aspects during the PPG and include gender, indigenous, and CSO aspects in the result framework, the indicators, and the implementation arrangements"
9116	Cameroon	Promoting Access to Renewable Energy and Development of IT Tools for Rural Communities of Cameroon	AfDB	MSP	PIF Approved	N ?				MSP Approval Rqst, Review Sheet	Cannot locate on AfDB site	MSP Approval Rqst: Broad description of key stakeholders (some NGOs) and detailed description of consultations held during preparation, general description of participatory approach to be followed Review Sheet (Q6): asked for more detail and whether indigenous peoples may be involved (no), later cleared.
9292	Liberia	Increasing Energy Access through the Promotion of Energy Efficient Appliances in Liberia	AfDB	FP	Council Approved	N ?				PIF, Review Sheet, STAP	Cannot locate on AfDB site	PIF: key institutional stakeholders specified, not indication of CSOs may be engaged, engagement approach not outlined Review Sheet (Q6): asked for further specificity, incl on indigenous peoples, AfDB replied not relevant at this time, but further analysis will be conducted for CEO End.

<u>5710</u>	Regional	Rural Livelihoods' Adaptation to Climate Change in the Horn of Africa -Phase II (RLACC II)	AfDB	FP	Council Approved	N ?				Council ltr (PFD), Review Sheet, STAP	[regional I projects not searchable. Not listed under "Sudan" or "Somalia" or under "climate change" (all countries)]	PFD: general listing of some stakeholders in Sudan, few for Somalia; engagement approach very general Review Sheet: INADEQUATE PRACTICE: (Q17) "YES. Public participation and the roles of various stakeholders have been adequately considered," but little evidence of this in PFD
<u>9043</u>	Regional	Investing in Renewable Energy Project Preparation under the Sustainable Energy Fund for Africa (SEFA)(non-grant)	AfDB	FP	Council Approved	N ?				PIF, Review Sheet, STAP	Cannot locate on AfDB site	PIF: general statements that stakeholder analysis and engagement will be undertaken, no specifics Review Sheet: INADEQUATE PRACTICE (Q6): "Yes. These aspects are well described in the proposal" but may only be referring to gender, participation not well addressed
<u>9051</u>	Regional	Moringa Agro-forestry Fund for Africa (non-grant)	AfDB	FP	CEO Endorsed	N ?				CEO End. Request, PIF, Review Sheet (2), STAP CEO End. Rqst missing key sections	Cannot locate on AfDB site	PIF: no detail, very abstract discussion ("will promote consultations") Review Sheet: INADEQUATE PRACTICE: (Q6) "Addressed." Documents state that private equity firm Moringa has an ESMS in place that articulates safeguard procedures for subinvestments (incl consultations presumably), but this document is not provided

AfDB document abbreviations: ESIA: Environmental and Social Impact Assessment; ESMP: Environmental and Social Management Plan;

European Bank for Reconstruction and Development (EBRD)

Search GEF projects site by 'Agency' and 'Approvals 2015-2016'

Last reviewed 11 May 2016

GEF _ID	Country	Project Name	Agency	Project Type	Status	In Agency public database?	Agency project title	Agency Project ID	Risk category	Documents on GEF site	Documents on Agency site	Comment
5787	Tunisia	Bizerte Lake Environmental Project Lagoon and Marine de Pollution	EBRD	MSP	CEO Approved	Y	Bizerte Lake Environmental Project	45537	B	MSP approval letter No MSP Request form No Review Sheet	Project Summary	EBRD Project Summary (PSD): stakeholders not described in PSD beyond recipient of loan. PSD states environmental/safeguards due diligence undertaken to ensure compliance with EBRD PSs, but no documentation posted (not under ESAs).
6942	Ukraine	Finance and Technology Transfer Centre for Climate Change (FINTECC)	EBRD	FP	CEO Endorsed	Y	Finance and Technology Transfer Centre for Climate Change (FINTECC) TC Programme in Ukraine	1018		PIF, Review Sheet, STAP No CEO Endorse Rqst	Project Summary	PIF: Main stakeholders identified (govt ministries). PIF indicates CSOs not considered stakeholders (checkbox "no"). At same time, states NGOs and universities will be identified for potential participation in activities, and that a " stakeholder coordination plan will be included in documentation accompanying the Request for CEO Endorsement." No CEO Endorse Rqst posted (cannot check if above mentioned plan included) Review Sheet (Q6): cleared ("yes"), no entry in CEO Endors. section
5530	Russian Federation	Green Shipping Programme for Russia	EBRD	FP	Council Approved	N ?				PIF, Review Sheet, STAP	Cannot locate on EBRD site	PIF: INADEQUATE PRACTICE: General listing of categories of key stakeholders (no CSOs, universities), broad statement on approach ("EBRD will consider most efficient ways of consulting stakeholders so as to develop a project strategy that is responsive to local needs and consistent with the EBRD's opportunities and constraints.") Review Sheet(Q10): INADEQUATE PRACTICE: Cleared w/o request for more specificity re engagement approach (noting that private sector stakeholders well identified)

<u>6951</u>	Morocco	Enhancing the climate resilience of the Moroccan ports sector	EBRD	FP	Council Approved	N ?				PIF, Review Sheet, STAP(2)	<p>Cannot locate on EBRD site</p> <p><i>[Note: was at PIF/PPG stage, not yet past internal approval stage]</i></p>	<p>PIF: Main stakeholders identified in detail (CSOs or fishermen organizations not included). Stakeholder coordination plan to be developed. Project involves infrastructure development: "During any planned engineering or construction phase any potentially adversely affected members or groups of civil society will be appropriately notified and consulted," an overly general statement (what standards or process?). Gender section notes an E/S Action Plan would be developed.</p> <p>Review Sheet: Cleared, stating key stakeholders identified, incl private sector, but does not raise issue of potential involvement of mention of CSOs or fishermen associations</p>
<u>5833</u>	Global	Global Energy Efficiency Facility (GE2F2) - Design of Strategies and Deployment Mechanisms	EBRD	MSP	CEO Approved	N ?				MSP Request(2), Review Sheet, Tracking Tools	<p>Cannot locate on EBRD site</p> <p><i>[Note: was at PIF/PPG stage, not yet past internal approval stage]</i></p>	<p>MSP Request: Key stakeholders identified, no CSO engagement foreseen in project design. Very general note that partner banks "will be strongly encouraged to engage with CSOs, communities and professional associations when considering potential projects," incl invitations to participate in country-level events (Output 4).</p> <p>Review Sheet: Requested clarification and then noted project would assist local banks to develop CSO consultations</p>
<u>9047</u>	Regional	Green Logistics Program (non-grant)	EBRD	FP	CEO Endorsed	N ?				CEO Endorse Rqst, Council ltr, PIF, Review Sheet, STAP	<p>Cannot locate on EBRD site</p> <p><i>[Note: was at PIF/PPG stage, not yet past internal approval stage, subsequently approved and posted]</i></p>	<p>PIF: GOOD PRACTICE: Key stakeholders identified (listed, by name). "A series of stakeholder engagement initiatives will be held during the Program's preparation and implementation, in line with the GEF [PIF] and where relevant coordination with the GEF CSO Network will be sought." Engagement initiatives: initial conference held, visibility campaign, targeted stakeholder consultations, final conference.</p> <p>Review Sheet: cleared</p> <p>CEO Endorse Rqst: INADEQUATE PRACTICE: states "Refer to EBRD Project Document Section 4.2," but this document not posted</p>

Inter-American Development Bank (IDB)

Search GEF projects site by 'Agency' and 'Approvals 2015-2016'
Last reviewed 14 May 2016

GEF_ID	Country	Project Name	Agency	Project Type	Status	In Agency data base?	Agency project title	Agency Project ID	Risk category	Documents on GEF site	Documents on Agency site	Comment
5838	Costa Rica	Sustainable Urban Mobility Program for San Jose	IADB	MSP	IA Approved	Y	same	CR-T1119	C	MSP Request No Review Sheet	Technical Coop Doc, ToR, Procurement Plan, Results Matrix, GEF Focal Point Endorse	IDB Tech Coop Doc: public workshops noted in component, civil society stakeholders not identified MSP Request: main stakeholders listed, incl CSO, engagement approach not outlined. Public workshops noted elsewhere in MSP No Review Sheet
5760	Brazil	Capacity Building and Institutional Strengthening on the National Framework for Access and Benefit Sharing under the Nagoya Protocol	IADB	FP	IA Approved	Y	Preparation of the GEF Project BR-T1304-Institutional Strengthening for Access	BR-T1304 BR-T1308	C	PIF, Review Sheet, STAP	Technical Coop Doc, Execution Request, ToRs(4), Safeguard screening (SPF), Procurement Plan, GEF Focal Point Endorse	IDB Tech Coop Doc: GOOD PRACTICE: preparation component to include stakeholder analysis and mapping, definition of roles and development of tools to engage stakeholders PIF: specifies categories of stakeholders (e.g. "19 federal ministries", "organizations representing 238 indigenous peoples," NGOs, National Genetic Heritage Council (incl indigenous observers). Engagement approach not specified (beneficiary use of ABS information outlined in project component) Review Sheet: cleared
5676	Venezuela	Promotion and Development of Renewable Energies through the Set-up of Mini-hydro Plants in Rural Communities Located in the Region of The Andes and the Southern Area of the Bolivarian Republic of Venezuela	IADB	FP	Council Approved	N ?				PIF, Review Sheet, STAP	Cannot locate on IDB site [Note: cancelled]	PIF: govt and utility stakeholders specified, local communities listed as a category (those w/o grid access), but not further specified. Initial consultations held with indigenous groups. General engagement approach outlined, more detailed plan to be developed Review Sheet (Q10): initially found inadequate treatment of participation, but later cleared
5680	Colombia	Consolidation of the National System of Protected Areas(SINAP) at National and Regional Levels.	IADB	FP	Council Approved	Y	Consolidation of National System Protected Areas at National and Regional Levels	CO-T1387	C	PIF, Review Sheet, STAP	Cannot locate on IDB site	PIF: main govt stakeholders identified, only general categories of civil society identified ("local stakeholders including academia, local authorities, civil society organizations, local communities and ethnic groups"), engagement approach not outlined Review Sheet (Q10): initially found lack of specificity regarding participation, later cleared, but not reflected in PIF

<u>5733</u>	Trinidad and Tobago	Improving Energy Efficiency in the Social Housing Sector	IADB	FP	Council Approved	N ?				PIF, Review Sheet, STAP	Cannot locate on IDB site <i>[Note: cancelled]</i>	PIF: govt and housing authorities listed, local communities/homeowners not identified as stakeholders, engagement approach not outlined (states that women's perspectives and needs of families to be reflected but how this will happen not outlined) Review Sheet (Q10) initially found participation not adequately addressed, later review finds issues were addressed (perhaps main focus on gender), but participation issues not well reflected in PIF
<u>5839</u>	Peru	Mitigating Deforestation in Brazil Nut Concessions in Madre de Dios, Peru	IADB	MSP	IA Approved	Y	same	PE-T1317	B	MSP Request No Review Sheet	Technical Coop Doc, ToR, Procurement Plan, Endorsement letters, legal agreement	IDB Tech Coop Doc: executing agency stakeholders identified, concession holders and CSOs noted but not specified, engagement strategy not outlined. MSP: Stakeholders identified, including associations and some concession holders (approx. 100 families) No Review Sheet
<u>5842</u>	Colombia	Low-carbon and Efficient National Freight Logistics Initiative	IADB	MSP	CEO Approved	Y	same	CO-T1303	C	MSP Request No Review Sheet	Technical Coop Doc, legal agreement	IDB Tech Coop Doc: executing agency stakeholders identified, others not specified MSP Request: stakeholders identified, including truckers, training institute, shippers, engagement approach not outlined No Review Sheet
<u>5888</u>	Bolivia	National Biodiversity Strategy and Action Plan	IADB	EA	CEO Approved	Y	same	BO-T1230	C	Review Sheet, Enabl Activity Request	Technical Coop Doc, ToRs(8), Safeguard screening (SPF), Procurement Plan, GEF approval ltr, Endorsement ltr, legal agreement,	Enabl Activity Rqst: GOOD PRACTICE: identifies preliminary list of stakeholders (by name), incl. social organizations and universities. Intersectoral Committee with range of stakeholders (incl CSOs and indigenous organizations) to participate in strategy formulation. Review Sheet (Q12): GOOD PRACTICE: \initial finding of inadequate treatment of CSO and indigenous participation, later cleared and EA Rqst reflects revision
<u>9354</u>	Colombia	Public Lighting Energy Efficiency Program: Public lighting replacement of low-efficiency VSAP bulbs with high-efficiency LEDs in Colombia	IADB	MSP	CEO Approved	N ?				Review Sheet No MSP Request	Cannot locate on IDB site	No MSP Request Review Sheet (Q7): cleared

<u>5754</u>	Regional	IDB-GEF Climate-Smart Agriculture Fund for Latin America and the Caribbean (PROGRAM)	IADB	FP	CEO Endorsed	Y	Climate Smart Agriculture Fund	RG-X1227		CEO Endorse ltr (CEO Endorse Rqst), PFD, Review Sheet, STAP	Cannot locate on IDB site	PIF: very general description of stakeholders and engagement approach ("Each component will engage a variety of stakeholders depending on its specific activities, including: private companies, commercial banks, local and indigenous community groups, and business cooperative)." IDB safeguards to be applied across investments. CEO Endorse Rqst: very general description (as above) Review Sheet: INADEQUATE PRACTICE: "yes" entered but PFD outlines overly broad approach
<u>9058</u>	Regional	Impact Investment in Support of the Implementation of the Nagoya Protocol on Access and Benefit Sharing (non-grant)	IADB	FP	Council Approved	N ?				PIF, Review Sheet, STAP	Cannot locate on IDB site	PIF: the beneficiary fund—EcoEnterprises Fund—and "local entrepreneurs" are only specified stakeholders (sec. 6.2). Engagement approach (policies, guidelines?) of fund not outlined beyond statement that the Fund works w/ SMEs that work with NGOs Review Sheet(Q6): INADEQUATE PRACTICE: Perhaps due the the wording of review question ("socio-economic aspects addressed") entry states that indigenous groups and local communities will be beneficiaries but participation and engagement approach not addressed
<u>9277</u>	Regional	Risk Mitigation Instrument for Land Restoration (Non-Grant)	IADB	FP	Council Approved	N ?				PIF, Review Sheet, STAP	Cannot locate on IDB site	PIF: Very broad description of stakeholders and engagement ("Each sub-project will engage a variety of stakeholders depending on the specifics of the investment, including: private sector companies, commercial banks, local and indigenous community groups, and business cooperatives." IDB safeguards to be applied across investments. Review Sheet: cleared

United Nations Environment Programme (UNEP)

Search GEF projects site by 'Agency' and 'Approvals 2015-2016' (a number of EA activities not included due to length)
Last reviewed 15 May 2016

GEF ID	Country	Project Name	Agency	Project Type	Status	In Agency public database?	Agency project title	Agency Project ID	Risk category	Documents on GEF site	Documents on Agency site	Comment
5694	Comoros	Building Climate Resilience through Rehabilitated Watersheds, Forests and Adaptive Livelihoods	UNEP	FP	Council Approved	Y	same	01249		Council ltr (PIF) No Review Sheet	No docs posted	PIF: general overview of engagement approach and specific stakeholders listed (govt/community/ngos/ private sector/intl/women) No Review Sheet
5695	Tanzania	Ecosystem-Based Adaptation for Rural Resilience	UNEP	FP	Council Approved	Y	same	01255		Council ltr, PIF, Review Sheet, STAP	No docs posted	PIF: general overview of stakeholder engagement approach, categories of stakeholder noted but not specific entities other than govt. Stakeholder capacity development a core project component. Review Sheet (Q10): states adequate description given stage of project
5703	Sudan	Enhancing the Resilience of Communities Living in Climate Change Vulnerable Areas of Sudan Using Ecosystem Based Approaches to Adaptation (EbA)	UNEP	FP	Council Approved	Y	same	01257		Council ltr (PIF), STAP No Review Sheet	No docs posted	PIF: GOOD PRACTICE: Detailed description of engagement approach and listing of specific preliminary stakeholders
6972	Papua New Guinea	Preparation of Papua New Guinea's Initial Biennial Update Report to UNFCCC and the Third National Communication Report to the UNFCCC	UNEP	EA	CEO Approved	Y	same	01288		EA Request	CEO Approval (password protected)	EA Request: Notes information dissemination and workshops with stakeholders
6990	Bosnia-Herzegovina	Achieving Biodiversity Conservation through Creation, Effective Management and Spatial Designation of Protected Areas and Capacity Building	UNEP	MSP	PIF Approved	Y	same	01332		MSP Request No Review Sheet	No docs posted	MSP Request: Stakeholders identified, some NGOs by name, engagement approach not specific beyond engaging local communities
8025	Peru	Effective Implementation of the Access and Benefit Sharing and Traditional Knowledge Regime in Peru in accordance with the Nagoya Protocol	UNEP	FP	Council Approved	Y	same	01345		Council ltr, PIF, Review Sheet(2), STAP(2)	No docs posted	PIF: lists stakeholders by name, but approach to engagement general. Review Sheet: GOOD PRACTICE (Q10): 2/3/15: "Have the Organizations listed on page 15-16 been actually consulted on this project or are they simply potential stakeholders? Particularly sensitive for the Indigenous Organizations and those in the field where the proposed trials will take place." 4/10/15: "Cleared"

<u>9110</u>	Gabon	Preparation of Gabon's Initial Biennial Update Report to the UNFCCC	UNEP	EA	CEO Approved	Y	same	01349		EA Request	CEO Approval (password protected)	EA Request: focus on govt stakeholders, general need for broad based engagement noted but not part of EA
<u>9111</u>	Malaysia	Institutional Capacity to Enhance Biosafety Practices in Malaysia	UNEP	MSP	CEO Approved	Y	same	01003		Budget annexes, MSP Request, Review Sheet, Tracking Tools	No docs posted	MSP Request: lists stakeholders (less specificity re civil society, some groups noted), engagement approach not articulated, to be "embedded" in all activities) Review Sheet: (Q7): "Yes. Cleared"
<u>9327</u>	Mauritania	Enabling preparation of Mauritania's Fourth National Communication (NC4) to the UNFCCC	UNEP	EA	CEO Approved	Y	same	01362		EA Request, Review Sheet	No docs posted	EA Request: Stakeholders identified, project units/working groups to include range of stakeholders Review Sheet: GOOD PRACTICE (Q6): " it will be useful to provide some examples of the civil society organizations which will be involved in the project steering committee and the technical working groups. Update November 23 2015 Information is provided on the civil society organizations."
<u>9350</u>	Paraguay	Development of National Action Plans for Artisanal and Small Scale Gold Mining in Paraguay	UNEP	EA	CEO Approved	N				EA Request, Review Sheet	No docs posted	EA Request: general listing of stakeholders (non-specific re indigenous groups and CSOs), no engagement plan/approach articulated Review Sheet: INADEQUATE PRACTICE: only refers to gender dimension, not participation "Gender is an important issue in the ASGM sector and is included in the plan."
<u>5815</u>	Regional	Building Climate Resilience of Urban Systems through Ecosystem-based Adaptation (EbA) in the Asia-Pacific Region.	UNEP	FP	Council Approved	N				Council ltr, PIF, STAP PIF link broken No Review Sheet	Cannot locate on UNEP site	Cannot locate on UNEP site PIF: link broken, cannot find. No Review Sheet
<u>5868</u>	Global	Expanding the Ongoing Support to Least Developed Countries (LDCs) with Country-driven Processes to Advance National Adaptation Plans (NAPs)	UNEP	FP	Council Approved	Y		01306		Council Notif ltr, Council Apprvl ltr (PIF), STAP No Review Sheet	PPG (password protected)	PIF: INADEQUATE PRACTICE: minimal description of stakeholders and approach. General statement that CSOs consulted during in-country missions. No Review Sheet
<u>6925</u>	Global	Umbrella Programme for Biennial Update Report to the United Nations Framework Convention on Climate Change (UNFCCC)	UNEP	FP	CEO Endorsed	N				Council ltr, PIF, CEO End Request, Review Sheet	Cannot locate on UNEP site	PIF: GOOD PRACTICE: describes principles of engagement and key process steps: inception workshops in all countries, project implementation plans to include detailed stakeholder engagement plans that must be submitted and approved by UNEP CEO End. Rqst: stakeholder consultations element of project components, broad listing of stakeholder categories (ministries, academia, NGOs, CBOs) (stakeholder section does not include specificity of PIF regarding approach) Review Sheet: cleared

<u>6978</u>	Regional	Continuing Regional Support for the POPs Global Monitoring Plan under the Stockholm Convention in the Pacific Region	UNEP	MSP	CEO Approved	N				MSP Request No Review Sheet	Cannot locate on UNEP site	MSP Request: Key stakeholders listed, engagement approach noted project components No Review Sheet
<u>8004</u>	Global	Preparation of Intended Nationally Determined Contribution (INDC) to the 2015 Agreement under the United Nations Framework Convention on Climate Change (UNFCCC)	UNEP	MSP	CEO Approved	N				CEO MSP Approval ltr (MSP Request) No Review Sheet	Cannot locate on UNEP site	MSP Request: general description of engagement approach. Stakeholders listed by country in annex (only general identification of "civil society") No Review Sheet
<u>9320</u>	Global	Increasing Investments in District Energy Systems in Cities - a SE4All Energy Efficiency Accelerator	UNEP	MSP	PIF Approved	N				PIF No Review Sheet	Cannot locate on UNEP site	PIF: Key stakeholders listed in detail, incl NGOs, engagement approach noted project components No Review Sheet
<u>9329</u>	Global	Scaling up the SE4ALL Building Efficiency Accelerator (BEA)	UNEP	MSP	CEO Approved	N				CEO End Request No Review Sheet No STAP	Cannot locate on UNEP site	CEO End Request: Stakeholders identified in detail, incl CSOs, engagement process outlined in components (mutli-stakeholder engagement process, working groups) No Review Sheet

International Fund for Agricultural Development (IFAD)

Search GEF projects site by 'Agency' and 'Approvals 2015-2016'
Last reviewed 16 May 2016

GEF _ID	Country	Project Name	Agency	Project Type	Status	In Agency data base?	Agency project title	Agency ID	Risk category	Documents on GEF site	Documents on Agency site	Comment
5651	Sudan	Livestock and Rangeland Resilience Program	IFAD	FP	CEO Endorsed	Y	Livestock Marketing and Resilience Programme			Council Notification, PIF, Project Document, CEO Endorse Rqst, Review Sheet,	President's Report, Design Report	IFAD Project Document: GOOD PRACTICE: includes detailed stakeholder analysis and specific engagement approaches for target groups. Proj Doc not posted to IFAD project site PIF: some stakeholders identified, geographic areas and target beneficiary groups by category listed, engagement approach not identified Review Sheet (Q10): states participation adequately addressed for PIF stage, but little detail provided in PIF CEO Endorse Rqst: POOR PRACTICE: section on stakeholders (sec. B.1) describes project coordination structure and roles of key institutional stakeholders but does not include engagement approach of beneficiaries or civil society
8005	Armenia	Sustainable Land Management for Increased Productivity in Armenia(SLMIP)	IFAD	FP	CEO Endorsed	Y ?	[Same Project?] Infrastructure and Rural Finance Support Programme		B	Council Notification, PIF, CEO Endorse Rqst, Review Sheet, STAP	President's Report, Design Report (draft and final. Final incl. Env/Social Review Note)	IFAD Design Report: GOOD PRACTICE: ESRN outlines stakeholder engagement and record of consultations held PIF: key stakeholders identified, consultation plans outlined, building on social analysis from baseline project to identify and engage local communities CEO Endorse Rqst: some key stakeholders identified, including NGOs, beneficiaries groups described as categories (e.g. poor households, municipalities) without much specificity. Engagement strategy not described beyond how benefits to be delivered to target communities. Review sheet: cleared
9103	Cambodia	Building Adaptive Capacity through the Scaling-up of Renewable Energy Technologies in Rural Cambodia (S-RET)	IFAD	FP	CEO Endorsed	N ? (cannot locate)				CEO Endorse ltr(CEO Endorse Rqst), PIF, Review Sheet, STAP(3)	Cannot locate on IFAD website	PIF: GOOD PRACTICE: stakeholders listed in detail with roles and how they will be engaged, incl. NGOs and local communities (note: "will be provided expert facilitation to assist them to play a role in validation of the project design"). CEO Endorse Rqst: modifies and elaborates engagement approach outlined in PIF Review Sheet: cleared
5764	Indonesia	Sustainable Management of Peatland Ecosystems in Indonesia (SMPEI)	IFAD	FP	Council Approved	N ?				PIF, Review Sheet, STAP	Cannot locate on IFAD website	PIF: Stakeholders listed with key roles, including CSO, "local communities" listed but not specified. Engagement approach not outlined in stakeholder section, but addressed partly in project components Review Sheet (Q10): GOOD PRACTICE: "More than participation, we would like to see how the CSO, including NGOs, research and training centers, universities, etc. will be empowered"

<u>5376</u>	Chad	Enhancing the Resilience of the Agricultural Ecosystems	IFAD	FP	CEO Endorsed	Y	Project to Improve the Resilience of Agricultural Systems in Chad		B	Council Notification (CEO Endorse Rqst), PIF, Review Sheet No STAP	Design Report	IFAD Design Report: includes detail on stakeholders and engagement approach (why not reflected in CEO Endorse Rqst?) PIF: broad statements on approach (enhance partnerships, work through CSOs), stakeholders not identified beyond broad categories CEO Endorse Rqst: INADEQUATE PRACTICE Same text as in PIF, no further development or specification, stakeholders not identified, engagement plan not specified. Project components include participatory approaches, but stakeholder engagement methods/strategy not specified. Review Sheet (Q10): INADEQUATE PRACTICE: first asks for clarification of how CSOs and local-level stakeholders would be engaged, but then clears PIF stating adequately addressed w/o evidence of this in PIF (not comment at CEO End)
<u>5685</u>	Morocco	Increasing Productivity and Adaptive Capacity in Mountain Areas of Morocco (IPAC-MAM)	IFAD	FP	CEO Endorsed	Y ?	Same project? Rural Development Programme in the Mountain Zones – Phase I			Council Notification, PIF, Project Document, CEO Endorse Rqst, Review Sheet(2), STAP	President's Report, Design Report	IFAD Project Document (GEF site): detailed stakeholder analysis and engagement methods described (not posted on IFAD site) PIF: stakeholders identified by category, not specific entities. Engagement approach not outlined in stakeholders section but part of project components (e.g. support user groups). CEO Endorse Rqst: Stakeholders identified together with roles, responsibilities and some methods for involvement identified, some civil society organizations identified. Section focused more on project implementation structure/roles than stakeholder engagement (e.g. strategy for engaging/developing user groups not articulated) Review Sheet: finds participation adequately addressed both at PIF and CEO Endorse
<u>6927</u>	Egypt	Integrated Management and Innovation in Rural Settlements	IFAD	FP	CEO Endorsed	Y ?	Same Project? Sustainable Agriculture Investments and Livelihoods Project			Council Notification, PIF, Project Document, CEO Endorse Rqst, Review Sheet(2), STAP(2)	President's Report, Design Report (broken link)	PIF: very general identification of stakeholders ('Egyptian authorities, research institutes, beneficiaries'), very general mention of engagement approach CEO Endorse Rqst: INADEQUATE PRACTICE: section on stakeholder engagement (B.1) is actually section on project implementation and coordination structure, with little in way of engagement strategy. Project components outline how local communities will benefit, but engagement strategy not articulated Review Sheet (Q10): INADEQUATE PRACTICE: "Yes. Public participation, including civil society has been identified as part of the project design and implementation," however PIF very general

<u>9070</u>	Regional	Food-IAP: Fostering Sustainability and Resilience for Food Security in Sub-Saharan Africa - An Integrated Approach (IAP-PROGRAM)	IFAD	FP	Council Approved					PFD, Child Project Concept Notes(13), Review Sheet, STAP		<p>PFD: Describes stakeholder meetings held in preparation and identifies program-level stakeholders. National and local stakeholders to be identified in child projects</p> <p>Review Sheet(Q4): finds adequate treatment and notes child projects to identify stakeholders and engagement approaches.</p> <p>Child Project 1 Burkina Faso: very general ('involve all stakeholders in design' but only MinAg, MinEnv, and 1 research inst identified)</p> <p>Child Project 2 Burundi: Main stakeholders identified incl. CBOs/CSOs and process outlined (mapping, baseline data, participatory decision making)</p> <p>Child Project 3 Ethiopia: very general. MinEnv will consult with categories of groups</p> <p>Child Project 4 Ghana: main stakeholders listed with brief description of roles, however local communities and CSOs not addressed</p> <p>Child Project 5 Kenya: specific stakeholders identified, incl CSOs, and process outlined (did not review remainder of 13 child projects)</p>
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United Nations Industrial Development Organization (UNIDO)

Search GEF projects site by 'Agency' and 'Approvals 2015-2016'

Last reviewed 17 May 2016

GEF_ID	Country	Project Name	Agency	Project Type	Status	In Agency public database?	Agency project title	Agency Project ID	Risk category	Documents on GEF site	Documents on Agency site	Comment
9056	Burundi	Promotion of Small Hydro Power (SHP) for Productive Use and Energy Services	UNIDO	MSP	PIF Approved	Y	same	140332	B	PIF, Review Sheet	Screening form, PIF	PIF: govt and private sector stakeholders identified, but only broad term "local communities" identified as beneficiaries (non-specific) and no engagement approach described Review Sheet(Q6): INADEQUATE PRACTICE: one word: "Yes"
9057	Brazil	Biogas Applications for the Brazilian Agro-industry	UNIDO	FP	Council Approved	Y	same	150014	B	PIF, Review Sheet, STAP	Screening form, PIF	PIF: stakeholders identified, incl. academic and potential not-for profit institutions, potential roles outlined Review Sheet (Q6): cleared, but notes further elaboration may be required if project redesigned
9152	Nepal	Minamata Initial Assessment in Nepal	UNIDO	EA	CEO Approved	Y	same	150100		Enabl Activity doc, Review Sheet	Enabl Activity doc	Enabl Activity Request: govt and academic stakeholders identified, associations noted but not specified. Reference to stakeholder annex but not posted Review Sheet (Q6): "Yes"
9164	Gabon	National Action Plan on Mercury in the Artisanal and Small-Scale Gold Mining sector in Gabon	UNIDO	EA	CEO Approved	Y		140370		Enabl Activity doc, Review Sheet	Enabl Activity doc	Enabl Activity Request: stakeholders broadly identified (e.g. "miners," "mining communities," "NGOs"), general engagement approach/steps provided Review Sheet: "yes"
9168	Chad	Enabling Activities to Review and Update the National Implementation Plan for the Stockholm Convention on Persistent Organic Pollutants (POPs)	UNIDO	EA	CEO Approved	Y	same	150062		Enabl Activity doc	Enabl Activity doc	Enabl Activity Request: stakeholder participation core component and approach described, incl NGOs and women's groups (specific groups not identified)
6919	China	Upgrading of China SHP Capacity Project	UNIDO	FP	CEO Endorsed	Y	same	140196	B	CEO Endorse Rqst, PIF, Review Sheet, STAP	CEO Endorse Rqst, feasibility study & ESMP, Screening form, PIF	CEO Endorse. Rqst: Stakeholders identified and key roles outlined. General role of CSOs noted but not identified. Consultation plans with local populations to be developed for each demonstration project. Documentation of consultations during preparation not included Review Sheet (Q10): during PIF reviewed noted not specific enough. No comments at CEO Endorsement ESMP: outlines general consultation plan for demonstration projects

<u>6921</u>	China	Demonstration of Mercury Reduction and Minimization in the Production of Vinyl Chloride Monomer	UNIDO	FP	Council Approved	Y	same	140214	B	PIF, Review Sheet, STAP	Screening form, PIF	PIF: stakeholders identified, only general mention of "NGOs and civil society organizations" (not specified). Engagement approach generally described Review Sheet (Q10): "YES"
<u>6952</u>	Mexico	Implementation of the Strategic Action Program of the Gulf of Mexico Large Marine Ecosystem	UNIDO	FP	Council Approved	Y	same	130825		PIF, Review Sheet, STAP	Screening form, PIF, CEO Endorse Rqst, ESMP	PIF: stakeholders identified, only general mention of CSO involvement "where possible." Active participation of affected marine community noted but mechanisms/approach not specified. Review Sheet (Q10): GOOD PRACTICE: "Please at time of CEO Endorsement provide detailed set of indicators to allow for measuring Gender and CSO involvement in the project, through indicators that are not only # of women involved in mangrove restoration"

UNIDO document abbreviations: ESIA: Environmental and Social Impact Assessment; ESMP: Environmental and Social Management Plan;

International Union for Conservation of Nature (IUCN)

Search GEF projects site "approval by agency for 2014-2016"
reviewed 18 May 2016

GEF ID	Country	Project Name	Agency	Project Type	Status	In Agency public database?	Agency project title	Agency Project ID	Risk category	Documents on GEF site	Documents on Agency site	Comment
9352	Nepal	Strengthening Capacities for Implementation of the Nagoya Protocol in Nepal	IUCN	MSP	CEO Approved	(IUCN does not have database)				MSP Request No Review Sheet	Cannot locate on IUCN site	MSP Request: Stakeholders specified in detail along with key project roles, project components outline in part engagement approach
9417	Chad	Restoring Ecological Corridors in Western Chad for Multiple Land and Forests Benefits - RECONNECT	IUCN	FP	CEO PIF Clearance	N				PIF, Review Sheet, STAP	Cannot locate on IUCN site	PIF: key stakeholders generally identified ("local communities" and ILODs – local development committees), engagement approach very generally outlined (consultations and capacity development), noting that project components include activities with local councils. Review Sheet (Q6): cleared
9232	Regional	Sustainable Management of Peatland Ecosystems in Mekong Countries	IUCN	FP	Council Approved	N				PIF, Review Sheet, STAP	Cannot locate on IUCN site	PIF: Key stakeholders listed with key roles and, partially, engagement approach. Indigenous groups by geographic area listed, FPIC noted as method. Some CSOs specified. Review Sheet (Q16): asked for more detail by country and on FPIC approaches. Cleared
9365	Global	Land Degradation Neutrality Target Setting Project	IUCN	EA	Council Endorsed	N				Enabl Activity Rqst, Review Sheet	Cannot locate on IUCN site	Enabl Activity Rqst: Key stakeholders not specified, but include UNCCD Secretariat and national govts, project will establish/support national multi-stakeholder Land Degradation Neutrality working groups (to include scientists, private sector, CSOs, traditional/ indigenous communities). Review Sheet (Q6): cleared, request more detail at CEO Endorse.
9391	Global	The Global Environmental Commons. Solutions for a Crowded Planet	IUCN	MSP	CEO Approved	N				MSP Rqst, Review Sheet	Cannot locate on IUCN site	MSP Rqst: general, broad description of stakeholders (e.g. thought/action leaders, private sector, CSOs, media, think tanks, youth, local and indigenous communities, faith-based groups), some specification of groups contained in project components. Engagement approach very general (meetings, conferences participation, awareness raising) Review Sheet (Q6): cleared, asks for more detail at CEO Endorse.

<u>9264</u>	Global	TRI The Restoration Initiative - Fostering Innovation and Integration in Support of the Bonn Challenge	IUCN	FP	CEO PIF Clearance	N				PFD, Review Sheet, STAP	Cannot locate on IUCN site	PFD: Overarching statement on wide range of potential stakeholders. Child projects to identify national stakeholders. Engagement approach/strategy not outlined. Review Sheet (Q4): cleared, finds sufficient detail at this stage, asks to elaborate country and subnational areas by CEO Endorsement
<u>4953</u>	Regional	Mano River Union Ecosystem Conservation and International Water Resources Management (IWRM) Project	IUCN	FP	Council Approved	N				PIF, PPG, Review Sheet(2), STAP	Cannot locate on IUCN site	PIF: Key institutional stakeholders identified (project implementer, govt agencies, intl orgs), CSOs or local communities not identified, engagement approach not outlined (noting some engagement activities described in project components) PPG: notes consultations at all levels to be undertaken, ensure local community participation in project, target groups by category identified Review Sheet (old, Q17): GOOD PRACTICE: notes very generic information provided, difficult to see how local communities will be involved, asks for elaboration, incl role of CSOs.

Conservation International (CI)

Search GEF projects site "approval by agency for 2014-2016"
reviewed 19 May 2016

GEF_ID	Country	Project Name	Agency	Project Type	Status	In Agency public data base?	Agency project title	Agency Project ID	Risk category	Documents on GEF site	Documents on Agency site	Comment
5668	Paraguay	Innovative Use of a Voluntary Payment for Environmental Services Scheme to Avoid and Reduce GHG Emissions and Enhance Carbon Stocks in the Highly Threatened Dry Chaco Forest Complex in Western Paraguay	CI	FP	CEO Endorsed	Y	same		C	CEO Endorse. Rqst, Council ltr, PIF, Review Sheet(2), STAP	PIF, Screening Results and Safeguard Analysis	<p>PIF: Key stakeholders identified including roles in project, including indigenous organizations and NGOs specified. Engagement approach not outlined, noting that FPIC applies for indigenous groups.</p> <p>CEO Endorse Rqst: Describes consultations held during preparation, states initial participation plans developed and will be further developed in first phase of project and validate in stakeholder workshop. FPIC protocol developed by indigenous groups will be utilized.</p> <p>Review Sheet (Q10): cleared PIF, calls for more details on involvement of local stakeholders and CSOs at endorsement. Confirmed more detail provided at endorsement</p>
5712	Liberia	Improve Sustainability of Mangrove Forests and Coastal Mangrove Areas in Liberia through Protection, Planning and Livelihood Creation- as a Building Block Towards Liberia's Marine and Coastal Protected Areas	CI	MSP	CEO Approved	Y	same		C	Council ltr, MSP Regst, PIF, Review Sheet(2)	PIF, Screening Results and Safeguard Analysis, Stakeholder Engagement Plan , Gender Mainstrmng Plan, Process Frmwrk for restriction of natural resources	<p>PIF: Key stakeholders identified, local communities and NGOs noted as categories (not identified). Engagement strategy outlined in detail, including participatory planning. Stakeholder engagement plan to be developed.</p> <p>Review Sheet: cleared both at PIF and MSP stages</p> <p>MSP: adds stakeholder engagement plan summary (below)</p> <p>CI Stakeholder Engagement Plan: GOOD PRACTICE: summarizes consultations during preparation, details stakeholders (incl . NGOs and local communities), their interest and influence, and details engagement methods, activities and responsibilities per stakeholder group. Describes information dissemination process (advocacy consultant, awareness raising, incl. theater, sign boards, video). Describes grievance process. See http://www.conservation.org/about/gef/pages/liberia-mangroves.aspx</p>
9369	Ecuador	Implementation of the Strategic Plan of Ecuador Mainland Marine and Coastal Protected Areas Network	CI	FP	Council Approved		N			PIF, Review Sheet, STAP(2)	Cannot locate on CI website	<p>PIF: Key stakeholders identified with roles in project, two CSOs identified (incl CI). Engagement approach not outlined, full stakeholder analysis to be conducted.</p> <p>Review Sheet (Q6): Cleared, but requests elaboration of socio-economic aspects and trade-offs in revised PIF</p>

<u>5751</u>	Mexico	Maintaining and Increasing Carbon Stocks in Agro-silvopastoral Systems in Rural Communities of the Selva Zoque - Sumidero Canyon Complex as a Climate Change Mitigation Strategy.	CI	MSP	CEO Approved	Y	same		C	MSP Request No Review Sheet	PIF, Safeguards Screening Form, Screening Results and Safeguard Analysis, Stakeholder Engagement Plan , Gender Mainstrmng Plan, Indigenous Peoples Plan, Project Doc, CEO Approval Template, Inception Workshop Report	PIF: Key stakeholders listed (local communities as a category), general statement that participatory processes to be utilized. Stakeholder engagement plan to be developed. MSP Request: summaries stakeholder engagement plan (see below) CI Stakeholder Engagement Plan: GOOD PRACTICE: provides record of consultations held, detailed listing of stakeholders, and describes engagement methods to be followed at different project phases. Describes grievance process. CI Indigenous Peoples Plan: documents consultations held and outlines FPIC process. Describes grievance process.
<u>5735</u>	Global	Effectively Mainstreaming Biodiversity Conservation into Government Policy and Private Sector Practice Piloting Sustainability Models to Take the Critical Ecosystem Partnership Fund (CEPF) to Scale	CI	FP	CEO Endorsed	Y	same		C	Council ltr, PIF, Review Sheet CEO Endorse Rqst, Project Doc, STAP, Tracking Tool	PIF, Safeguards Screening Form, Screening Results and Safeguard Analysis, Gender Mainstreaming Plan	PIF: broad engagement approach outlined (components focus on CSO involvement in hotspot conservation), sample list of stakeholders for one hotspot region (Cerrado) identified, incl. CSOs and indigenous organizations. CEO Endorse Rqst: broad engagement approach outlined, refers to Project Doc annex containing stakeholder list Review Sheet (Q10): requested detail on stakeholder roles, particularly CSOs and indigenous peoples, and gender issues. Indicates PIF revised and cleared CI Project Doc: describes general engagement approach (general language on participatory approaches). Appendix XIII lists over 500 stakeholders (most are CSOs) across 23 countries.
<u>5810</u>	Global	Spatial Planning for Protected Areas in Response to Climate Change (SPARC)	CI	MSP	CEO Approved				C	PIF, Review Sheet No MSP Request	PIF, Safeguards Screening Form, Screening Results and Safeguard Analysis, Stakeholder Engagement Plan , Gender Mainstreaming Plan, Project Doc, CEO Approval Template	PIF: key stakeholders not identified beyond "scientists" and "stakeholders," general engagement approach outlined Review Sheet (Q10): INADEQUATE PRACTICE: states sufficient description of participation for PIF stage but very general, asks to be expanded and deepened CI Stakeholder Engagement Plan: GOOD PRACTICE: records consultations held during preparation, outlines methods of engagement for national projects and lists project stakeholders, however by category (not specific entities). CSOs and local communities in listing.
<u>9163</u>	Global	Enabling the use of Global Data Sources to assess and Monitor Land Degradation at Multiple Scales	CI	MSP	CEO Approved				C	MSP Request No Review Sheet	Safeguards Screening Form, Screening Results and Safeguard Analysis, CEO Approval Rqst	CEO Approval Rqst: Key stakeholders identified (not incl CSOs), engagement methods outlined, detailed Stakeholder Engagement Plan to be developed
<u>9370</u>	Regional	The Meloy Fund : A Fund for Sustainable Small-scale Fisheries in SE Asia (Non-grant)	CI	FP	Council Approved					PIF, Review Sheet, STAP	Cannot locate on CI website	PIF: key stakeholders by category and roles identified, incl indigenous peoples. General engagement approach outlined, incl FPIC for indigenous groups Review Sheet: cleared

<u>5784</u>	Global	Mainstreaming Biodiversity Conservation and Sustainable Management in Priority Socio Ecological Production Landscapes and Seascapes (SEPLS)	CI	MSP	CEO Approved					PIF, Project Doc, Review Sheet(2), CEO Approval Rqst	PIF, Safeguards Screening Form, Screening Results and Safeguard Analysis, Stakeholder Engagement Plan , Gender Mainstreaming Plan, Project Doc, CEO Approval Template, Inception Workshop Report, Process Frmwrk: Myanmar, Process Frmwrk: India, Grievance Mech: India, Grievance Mech: Thailand	<p>PIF: broad description of key stakeholders (members of IPSI network both govt and NGOs), but not further specified. Engagement approach not outlined in stakeholder section, project components include engagement/inclusion of CSOs and indigenous groups.</p> <p>Review Sheet (Q10): GOOD PRACTICE: "No, the role of CSOs and particularly Indigenous Peoples should be further clarified" (not requiring detailed explanation on institutional structure, but more on different category of stakeholders and how they will be involved (i.e. approach and strategy), and their roles in the project. Cleared after noting involvement of groups in project components but asks for further elaboration.</p> <p>CEO Approval Rqst: lists stakeholders and roles/interests in project (indigenous peoples as category), and general engagement approaches.</p> <p>Review at CEO Endorse: GOOD PRACTICE: "The approach on this issue is still vague and weak. Please refer to the comments made at the time of PIF approval and provide necessary information. In particular, considering the project's strong linkage to TK, please clarify special consideration and approach to ensure strong Indigenous Peoples involvement."</p> <p>Project Document: lists categories of stakeholders and describes general engagement approach.</p> <p>Stakeholder Engagement Plan: GOOD PRACTICE: records consultations held, outlines more specifically methods of engagement per project component. Indigenous groups not specified but methods of engagement noted. Grievance mechanism described (and specific mechanisms with local contact addresses outlined in separate documents)</p>
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World Wildlife Fund-US (WWF-US)

Search GEF projects site "approval by agency for 2014-2016"
reviewed 20 May 2016

GEF_ID	Country	Project Name	Agency	Project Type	Status	In Agency public database?	Agency project title	Agency Project ID	Risk category	Documents on GEF site	Documents on Agency site	Comment
5559	Russian Federation	Conservation of Big Cats	WWF-US	FP	Council Approved	Y	same		B	PIF, Review Sheet, STAP	Brief summary page, Safeguard Categ. memo, Resettlement Policy framework (RPF)	PIF: Key stakeholders identified with main project roles. NGOs and indigenous groups identified. Engagement approach strategy not outlined. Review Sheet (Q10): GOOD PRACTICE: Requests more detail on participation, particularly for numerous indigenous groups (more specificity and how will be engaged) WWF-US Resettlement PF: lists consultations held, includes general engagement plan (e.g. bi-annual consultations with local communities)
5596	Nepal	Sustainable Land Management in the Churia Range	WWF-US	MSP	CEO Approved	Y	same		B	WWF Project Doc No MSP Request, No Review Sheet	Brief summary page, Screening results memo, Social Impact Assessment (3 rpts)	WWF Project Doc: Stakeholders identified in detail, engagement strategy described, consultations held listed WWF SIA (incl field consultations rpt): potentially affected stakeholders identified, field consultations held and recorded, stakeholder interests per project component identified
9433	Madagascar	Sustainable Management of Madagascar's Marine Resources	WWF-US	FP	PFD Cleared	N ?				PFD, Review Sheet	Cannot locate on WWF website	PFD: Key stakeholders identified by category, some specific entities by name, incl. some CSOs. Participatory approaches in project components, but engagement approach not outlined in stakeholder's section. Child Project 1 (WB): stakeholders not outlined in concept note Child Project 2 (WWF): overly broad outline of stakeholders Review Sheet (Q4): Notes that benefits and gender dimensions should be elaborated more in child project development. Participation not addressed
5765	Regional	Integrated Transboundary Ridges-to-Reef Management of the Mesoamerican Reef	WWF-US	FP	Council Approved	Y	same		B	PIF, Review Sheet, STAP	Safeguard Categ. memo (project summary page not found)	PIF: Key stakeholders listed with description of roles, engagement approach/strategy not outlined. Stakeholder engagement a core project component. Review Sheet (Q10): notes stakeholder identification adequate but participation during PPG requires more articulation

Annex 2

<u>5771</u>	Regional	Improving Mangrove Conservation across the Eastern Tropical Pacific Seascape (ETPS) through Coordinated Regional and National Strategy Development and Implementation	WWF-US	MSP	PIF Approved	Y	same		C	Enforce Itr (Costa Rica), PIF (PIF missing p. 22) No Review Sheet	Safeguard Categ. memo, Safeguards Compliance memo (project summary page not found)	PIF: Stakeholders section partially missing (p.22). Some stakeholders identified (p.23), incl. NGOs. Engagement approach/strategy not outlined. Project components seek increase in local stakeholder participation in project activities
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Development Bank of South Africa (DBSA)

Search GEF projects site "approval by agency" (all years)
reviewed 20 May 2016

GEF_ID	Country	Project Name	Agency	Project Type	Status	In Agency public database?	Agency project title	Agency Project ID	Risk category	Documents on GEF site	Documents on Agency site	Comment
9073	South Africa	Unlocking Biodiversity Benefits through Development Finance in Critical Catchments	DBSA	FP	Council Approved	N				PIF, Review Sheet, STAP	Cannot locate on DBSA website	PIF: key stakeholders and their roles identified, CSOs and CBOs identified largely by category (with several specified organizations). Some engagement approaches outlined. Detailed stakeholder analysis to be undertaken. Review Sheet (Q6): initial review found socio-economic aspects (not participation per se) too generic, requested elaboration, then cleared
9085	South Africa	Equity Fund for the Small Projects Independent Power Producer Procurement Programme (non-grant)	DBSA	FP	Council Approved	N				PIF, Review Sheet, STAP	Cannot locate on DBSA website	PIF: govt and industry (SMEs) stakeholders broadly identified, CSOs not seen as relevant stakeholders. Engagement approach not outlined beyond establishment of a Stakeholder Committee Review Sheet (Q6): cleared

Brazilian Biodiversity Fund (FUNBIO)

Search GEF projects site "approval by agency" (all years)
reviewed 20 May 2016

GEF _ID	Country	Project Name	Agency	Project Type	Status	In Agency public database?	Agency project title	Agency Project ID	Risk category	Documents on GEF site	Documents on Agency site	Comment
9271	Brazil	National Strategy for Conservation of Threatened Species (PROSPECIES)	Funbio	FP	Council Approved	N				PIF, Review Sheet(2), STAP	Cannot locate on FUNBIO site	PIF: Extensive list of potential stakeholders specified (by name) ,incl academic and CSOs, and general engagement approaches outlined Review Sheet(Q6): GOOD PRACTICE: initial review found inadequate coverage of stakeholders, review of revision also found it was not sufficient, third revision cleared as adequate

West African Development Bank (BOAD)

Search GEF projects site "approval by agency, all years
reviewed 21 May 2016

GEF_ID	Country	Project Name	Agency	Project Type	Status	In Agency public database?	Agency project title	Agency Project ID	Risk category	Documents on GEF site	Documents on Agency site	Comment
9393	Togo	Project of Hybridization of Diesel Engines of Multifunctional Platforms with Solar Systems	BOAD	FP	CEO PIF Clearance	N				PIF, Review Sheet, STAP	Cannot locate on BOAD website	PIF: Key stakeholders and their roles outlined, rural communities and NGOs identified as categories, some engagement approaches for awareness raising and capacity development outlined in project component, but broader approach across stakeholders not outlined Review Sheet: cleared

Development Bank of Latin America (CAF)

No projects listed in GEF database by agency

Foreign Economic Cooperation Office (FECO)

No projects listed in GEF database by agency

ANNEX 3. AGENCY ACCESS TO INFORMATION POLICIES AND PRACTICES REGARDING GEF PROJECTS

	WB	ADB	UNDP	FAO	AfDB	EBRD	IDB	UNEP	IFAD	UNIDO	IUCN	CI	WWFUS	DBSA	FUNBIO	BOAD	FECO	CAF
1. Does the Agency have a corporate policy on access to information?	✓	✓	✓	✗	✓	✓	✓	✓	✓	✗	✗	✗	✗	✓	✗	✓	✗	✗
2. Does the Agency provide guidance and procedures for requesting information?	✓	✓	✓	–	✓	✓	✓	✓	✓	–	✗	✗	✗	✓	✗	✓	✗	✗
3. Does Agency have a public projects database (or listing)?	✓	✓	✓	–	✓	✓	✓	✓	–	✓	–	–	✓	✗	–	–	–	✓
4. Is Agency public project database/listings searchable for GEF projects?	✓	–	✓	–	✗	✗	–	✓	✗	✓	✓	✓	✗	–	✗	✗	?	?
5. Is GEF funding identifiable on public project page?	✓	✓	✓	–	✗	–	✓	✓	✓	✓	✓	✓	✓	–	✗	✗	?	?
6. Does Agency post project documents for public on website?	✓	✓	✓	–	✓	✓	✓	✗	✓	✓	✗	✓	✓	–	✗	✗	✗/–	–

Key: ✓ = yes; ✗ = no; – = partial; ? = no GEF projects approved (per GEF Projects Database) (Note: some “partial” ratings given for time-bound commitments to address question. Indicated in tables below in green)

1. Does the Agency have a corporate policy on access to information?

WB	✓	Access to Information Policy (2010)
ADB	✓	Public Communications Policy 2011
UNDP	✓	Information Disclosure Policy (rev. 2013)
FAO	✗	FAO does not yet have a corporate access to information policy. It is in the process of developing an open resources and information policy. Project document disclosure mandated by safeguards (FAO Environmental and Social Management Guidelines)
AfDB	✓	Disclosure and Access to Information Policy (2012)
EBRD	✓	Public Information Policy (2014)
IDB	✓	Access to Information Policy (2010)
UNEP	✓	UNEP Access to Information Policy (2013)
IFAD	✓	IFAD Policy on Disclosure of Documents (2010)

UNIDO	X	Cannot locate corporate policy. Project document disclosure mandated by safeguards (UNIDO Environmental and Social Safeguards Policies and Procedures)
IUCN	X	Cannot locate corporate policy. Project document disclosure mandated by safeguards (IUCN Environmental and Social Management Framework)
CI	X	Cannot locate corporate policy. Project document disclosure mandated by safeguards (CI Environmental and Social Management Framework)
WWFUS	X	Cannot locate corporate policy. Project document disclosure mandated by safeguards (WWF Environmental and Social Safeguards Integrated Policies and Procedures)
DBSA	✓	<u>Promotion of Access to Information—A Guide to Access to Information (2012) (Information Manual)</u> (DBSA is a public body subject to national Promotion of Access to Information Act, DBSA Information Manual is corporate statement implementing the Act)
FUNBIO	X	Cannot locate corporate policy. Project document disclosure mandated by safeguards (Politica de Salvaguardas Ambientais e Sociais). Unclear what national regulations apply
BOAD	✓	<u>Manual of Policy Diffusion and Access to Information</u>
FECO	X	Cannot locate corporate policy. Project document disclosure mandated by safeguards (Environmental and Social Safeguards Standards Of Foreign Economic Cooperation Office: Environmental and Social Impact Assessment, ESIA (FECO ESIA). Unclear what national regulations apply. FECO states it follows disclosure rules of funding source
CAF	X	Cannot locate corporate policy. Project document disclosure mandated by safeguards (Environmental and Social Safeguards for CAF/GEF Projects Manual)

2. Does the Agency provide guidance and procedures for requesting information?

WB	✓	Information on how to submit requests described. Electronic link provided for submitting and tracking requests. Written requests to be acknowledged w/in 5 days, seek comprehensive response w/in 20 days. Two-level appeals process for denied requests outlined (AI Bank Directive/Procedure)
ADB	✓	Process for submitting requests outlined in policy. Requests to be acknowledged w/in 5 days, and responses provided no later than 20 working days. A two-stage appeals process for denied requests is outlined in policy.
UNDP	✓	Process for submitting requests outlined in policy. Requests to be acknowledged (time limit not specified) and responses provided w/in 30 calendar days. A one-step appeals process for denied requests is outlined in policy.
FAO	—	ESMG does not include information on how to request information from FAO. General "contact us" links provided. No process guarantees specified (e.g. timelines, appeals). However, FAO plans to post all project data by January 2017, creating a disclosure portal that will include a section to receive and manage information requests (partial rating for time-bound commitment)
AfDB	✓	Process for submitting requests outlined in policy. Requests will be acknowledged w/in 5 days and comprehensive responses w/in 20 working days. A two-step appeals process for denied requests is outlined in policy.
EBRD	✓	Process for requesting information outlined in implementing procedures of Policy. Contact address provided, requests to be acknowledged within 5-10 working days, responses within 20 working days. Two-step appeals process outlined (second stage undertaken by accountability mechanism (PCM))
IDB	✓	Process for requesting information outlined in ATI Implementation Guidelines (contact information provided; also web forms on website). Seek to provide responses within 30 calendar days. Two-stage review/appeals process for denied requests.
UNEP	✓	Process for submitting requests outlined in policy. Requests should be acknowledged w/in 5 days and responses w/in 30 calendar days. A one-step appeals process for denied requests is outlined in policy.
IFAD	✓	Process for submitting requests outlined in Implementation Procedures of Disclosure Policy. Responses to requests to be provided within 10 working days. One-step appeals process outlined for denied requests (responses on appeal within 10 working days).
UNIDO	—	ESSPP states that public may contact UNIDO offices for information not available on website. General "Contact Us" link/list provided. No process guarantees specified (e.g. timelines, appeals)
IUCN	X	Only general contact information provided under "Contact Us" on main webpage. No process guarantees specified (e.g. timelines, appeals)
CI	X	Only general contact information under "Contact Us" link on main page, includes web form for submitting questions. No process guarantees specified (e.g. timelines, appeals)
WWFUS	X	Includes an "ask a question" link and form under the general "Contact Us" page on website, however projects not listed in categories. No process guarantees specified (e.g. timelines, appeals)

DBSA	✓	Information Manual provides guidance, procedures, and form for requesting information. Responses to requests to be provided within 30 days, may appeal to courts for denied requests. General "Contact US" link on main pages leads to inquiry form, categories of Enquiry Type include general, lending and grievances (project, environmental, social).
FUNBIO	X	Only general "Contact Us" link on main page include general web form for sending messages. No process guarantees specified (e.g. timelines, appeals)
BOAD	✓	Procedures for requesting information outlined in Policy, acknowledge requests w/in 5 working days, responses w/in 20 working days, with two-step appeals process for denied requests. However, only general contact information provided
FECO	X	Only general contact information listed on website. No process guarantees specified (e.g. timelines, appeals).
CAF	X	Only general "Contact" link on main pages leads, to web form for inquiries. No process guarantees specified (e.g. timelines, appeals)

3. Does Agency have public projects database (or a listing)?

WB	✓	www.worldbank.org/projects
ADB	✓	www.adb.org/projects
UNDP	✓	www.open.undp.org
FAO	—	FAO projects database (FPMIS) provides restricted access, not public. However, FAO plans to post all project data by January 2017, per agreement with the International Aid Transparency Initiative (IATI) (partial rating for time-bound commitment)
AfDB	✓	http://www.afdb.org/en/projects-and-operations/project-portfolio/ Note: separate database for environmental and safeguard documents not fully integrated
EBRD	✓	http://www.ebrd.com/work-with-us/project-finance/project-summary-documents.html . Note: three separate databases (Project Summary Documents (PSD), Project Summary Documents–Technical Cooperation (PSD-TC), ESAs (for Cat. A projects)
IDB	✓	www.iadb.org/projects
UNEP	✓	http://www.unep.org/dgef/UNEPGEFProjectDatabase/tabid/6616/Default.aspx . Dedicated for GEF projects, no central database
IFAD	—	Projects listed on individual Country websites (not a single accessible database), links to project pages
UNIDO	✓	https://open.unido.org
IUCN	—	No central database of IUCN projects, general listing of GEF funded projects on IUCN GEF partnership page but no links to project pages https://www.iucn.org/about/work/partnerships/about_iucn_and_the_gef/
CI	—	No central database for all CI projects, listing provided of GEF funded projects with links to project pages http://www.conservation.org/about/gef/Pages/default.aspx
WWFUS	✓	Not central projects database, but scrollable list of projects with links to project summary pages. http://www.worldwildlife.org/projects Separate "Safeguards Resources" page lists safeguard-related documentation by project. http://www.worldwildlife.org/pages/safeguards-resources
DBSA	X	No database of projects. Some projects listed under Operations, but only 14 operations highlighted (not complete project)
FUNBIO	—	Lists all FUNBIO projects with links to project summary http://www.funbio.org.br/en/o-que-fazemos/lista-de-projetos/
BOAD	—	Lists projects by year, but only a listing, no link to project summary pages http://www.boad.org/en/projects
FECO	—	No database of projects. FECO lists projects through bidding and informational announcements (on FECO site), (utilized Google Translate to translate FECO website). Projects under various focal areas – ozone, POPS, mercury – are listed under separate dedicated websites
CAF	✓	Database searchable by Country, size of loan, and status

4. Is Agency public project database/listings searchable for GEF projects?

WB	✓	Advanced search, by "Global Environment Project" and "GEF MSP"
ADB	—	Projects database search functions do not provide GEF filter. General "GEF" search on website retrieves projects (unclear if complete).
UNDP	✓	Search under Budget Source, "Global Environment Fund Truste"
FAO	—	No public listing of GEF-financed projects. GEF section difficult to find (FAO Investment Centre>Joint Activities (general partnership description). FAO plans to list all GEF projects on GEF section of website, and plans to post all project data by January 2017 (partial rating for time-bound commitment)
AfDB	X	GEF not listed under "Finance Source" in search options
EBRD	X	Project databases not searchable by GEF or donor/funding source. General "GEF" search on site retrieves projects, but unclear if complete
IDB	—	No 'by donor or fund' or 'GEF' search option provided. Search by "GEF" in search box retrieves list of projects (unclear if complete)
UNEP	✓	Separate database dedicated to UNEP-GEF projects. Note: difficult to find on UNEP site, need to google "UNEP" and "GEF" GOOD PRACTICE: UNEP provides cross reference to GEF Project ID
IFAD	X	No searchable database for GEF projects. Listing of GEF projects by Region provided under Topics We Cover>IFAD-GEF Operations but does not appear updated, must go to individual Country pages.
UNIDO	✓	Search by "donor" and select "GEF"
IUCN	✓	GEF projects listed on IUCN GEF partnership page (but no individual project pages)
CI	✓	GEF projects listed on CI "GEF Project Agency Resources" page
WWFUS	X	Projects listing not searchable by GEF. General "GEF" search on general website retrieves multiple categories of information, GEF Partnership page does not list projects
DBSA	—	Listing of DBSA projects (incomplete) does not designate GEF projects. However, DBSA is creating a GEF projects list that it will post on its website by the end of September 2016 (partial rating for time-bound commitment)
FUNBIO	X	Listing of FUNBIO projects does not designate GEF projects. GEF section on website (listing safeguards, gender policy, etc.) does not list GEF projects.
BOAD	X	Project list does not designate GEF projects
FECO	?	No list to search (no projects in GEF database). GEF will be identified in title and body of bidding announcements for future projects, but not searchable. FECO site provides link to China GEF office, however the China GEF site does not appear to list GEF projects (except in annual reports). (FECO provides one direct link to a GEF-financed initiative, Hai River Basin). Some thematic area projects— ozone, POPs, mercury – are listed under separate dedicated websites
CAF	?	(no projects in GEF database)

5. Is GEF funding identifiable on individual public project page?

WB	✓	Financing listed by source
ADB	✓	Financing listed by source
UNDP	✓	Financing listed by source
FAO	—	Currently, FAO does not create project pages or project listings that allow for identification of GEF funding (except for a very few highlighted projects). However, FAO plans to make GEF funding identifiable for all GEF-supported projects by July 2017 (partial rating for time-bound commitment)
AfDB	X	Not specified under "Costs" on Project summary page (only general "co-financer" category)
EBRD	—	GEF financing sometimes listed in PSD summary box and/or text, but not consistently
IDB	✓	Financing listed by source

UNEP	✓	Listed in GEF specific database
IFAD	✓	GEF financing listed on project overview page
UNIDO	✓	Financing listed by source
IUCN	✓	Listing on GEF Partnership page indicates GEF support (but not amount)
CI	✓	GEF financing amount listed on project pages
WWFUS	✓	Financing listed by source
DBSA	—	DBSA does not currently list projects that allow identification of GEF support. However, DBSA is creating a GEF projects list that it will post on its website by end of September 2016 (partial rating for time-bound commitment)
FUNBIO	X	
BOAD	X	
FECO	?	No projects to date (not listed in GEF projects database). GEF will be identified in title and body of bidding announcements for future projects. FECO does not create individual project pages. Some dedicated thematic area websites (ozone, POPs, mercury) include project pages
CAF	?	No projects to date (not listed in GEF projects database)

6. Does Agency post project documents for public on website?

WB	✓	
ADB	✓	
UNDP	✓	
FAO	—	Currently FAO does not post project documents as a matter of course. A few examples from thematic area websites list some documents (e.g. Africa Roots and Tubers>Malawi> Project Inception Workshop report, Work Plan) and a few other FAO-GEF project websites post some documents, but these appear to be reports, etc., rather than project documents per se (i.e. project document, assessments, monitoring reports, grant agreements, etc.). However, FAO has committed to posting project documents by July 2017 (partial rating for time-bound commitment)
AfDB	✓	
EBRD	✓	
IDB	✓	
UNEP	X	Intermittent posting, but documents password protected
IFAD	✓	
UNIDO	✓	
IUCN	X	
CI	✓	
WWFUS	✓	
DBSA	—	DBSA does not currently post project documents. However it will begin to post ESS-related documents on its website by the end of September 2016 (partial rating for time-bound commitment)

Annex 3

FUNBIO	X	
BOAD	X	
FECO	X/-	FECO does not create individual project pages. Some project documents may be referenced in announcements section. Some project documents listed under separate thematic area websites (ozone, POPS, mercury). (partial rating applies to use of these sites to provide documentation)
CAF	-	Posts summary of project on website. Summaries updated at different stages of project (unclear if/when additional documents posted)

ANNEX 4. SUMMARY RESULTS OF “QUESTIONNAIRE FOR EXPANDED CONSTITUENCY WORKSHOPS REGARDING ENGAGEMENT IN GEF-SUPPORTED PROJECTS AND PROGRAMS”

Note: some tables below included in body of report

Completed Questionnaires distributed at ECW meetings:

		FPS	NCFs	Ag.	CSOs	Total
Botswana	16-19 February 2016	8	13	1	13	35
Trinidad & Tobago	1-3 March 2016	13	26	1	15	55
Montenegro	15-18 March 2016	5	14	2	7	28
Argentina	18-21 April 2016	11	17	0	11	39
Guatemala	26-29 April 2016	6	4	0	10	20
Sierra Leone	10-13 May 2016	9	13		6	28
Senegal	17-20 May 2016	8	16	1	8	33
Total		60	103	5	70	238

Note: FP=Operational/Political Focal Points; NCF=National Convention Focal Points; Ag.= GEF Agencies; numbers reflect completed questionnaires (many were incomplete and not tallied)

Question 4: CSO involvement in phases of GEF projects/programs (N=70)

	FSP	MSP	SGP
Consultations	26%	29%	54%
Execution	20%	16%	57%
Design	19%	16%	51%
M&E	13%	17%	46%

Question 10: Quality of public involvement activities in GEF projects/ programs based on respondent experience (averages, scale 1-5, low to high)

FPS	3.7	
NCFs	3.5	
Agency	3.8	
CSOs	3.5	

Note: Agency score based on only 5 respondents

Question 13: Most significant barriers to meaningful engagement (averages, scale 1-5, low to high)

	FP	NCF	Agency	CSOs
A. Lack of government capacity/commitment	3.0	3.1	2.9	3.0
B. Lack of Agency capacity/commitment	2.6	2.6	2.1	2.8
C. Lack of accessible information	3.1	3.4	2.3	3.5
D. Insufficient CSO/stakeholder capacity	3.2	3.4	2.4	3.2
E. GEF requirements insufficient/unclear/unknown	2.8	3.1	2.4	3.2
F. Inadequate funding	3.3	3.7	3.1	3.4

Question 14: Most important steps to overcome barriers (averages, scale 1-5 (low to high))

	FP	NCF	Agency	CSOs
A. Clearer GEF policy/guidance on public involvement	3.9	3.8	3.9	4.0

B. Improved training of govt agencies in public invl.	4.2	4.0	2.9	3.9
C. Greater focus on partnerships with CSOs	3.5	3.3	3.3	4.4
D. Improved M&E of public involvement	3.7	3.6	3.0	3.7
E. Improved grievance response mechanisms	3.6	3.2	2.4	3.4
F. Greater funding of public involvement	4.1	4.2	3.6	4.2

Question 9: Awareness of GEF Public Involvement Policy (PIP)

A tabulation of “PIP Awareness” among FPs and NCFs was difficult since the question was formulated as a multipart question that led many respondents to respond either to only part of the question or to interpret the question broadly (i.e. whether projects involved participation rather than specific awareness of PIP).

PIP awareness among FPs and NCFs (N=110)

Aware	22%
Moderate/minimal awareness	22%
Not aware	26%
Unable to tabulate (no reference to PIP)	30%

COLLATED RESPONSES TO OPEN-ENDED QUESTIONS 11, 15, 16

Question 11:

What steps or actions do you believe have worked best in strengthening public involvement in GEF-supported projects?

Botswana ECW

- include all stakeholders' representation in project steering/technical committees
- launch events, stakeholder workshops
- CSO involvement and stakeholder consultations at project design
- Identify relevant stakeholders, continuous consultations
- Ensuring balanced list of invitations to steering committees for appraisal and implementation
- Use of existing consultative mechanisms such as kgotla (traditional public meetings)
- ECWs, NSC for SGP, development of PIF
- Capacities of NFP to engage public throughout process (PIF to ProDoc)
- personally have not seen any
- engage early and throughout project, provide feedback
- National Action Program (NAP3)
- information sharing beyond use of websites
- Project manager/consultant who can appropriately communicate with public
- Involve public from project conceptualization, builds ownership. Transparency throughout all stages
- involve public in all stages from inception through implementation
- Mandatory consultations throughout project phases
- collaboration and information sharing
- Participation at planning phase and execution
- GEF OFP meetings and inclusion in project implementation
- community and CBO/CSO meetings
- Workshops, training, exchange visits
- Participation in GEF meetings, assemble CSOs with GEF support
- stakeholder analysis at district level, knowledge management meeting
- Capacity development of communities and practical involvement throughout projects

Trinidad ECW

- Need dedicated time and resources
- Full incorporation and reporting of GEF projects in country public sector investment program
- Expedited mechanisms for project approval
- Invitations sent by Ministry more successful than those sent by EPA
- Motivating, sensitization, materials, resources
- Awareness raising workshops about GEF
- Better understanding of project cycle
- OFP team unified with strong networking/partnering skills
- Address issues that directly affect public through project, benefit sharing
- Participation in Sustainable Development Council, radio and talk show participation
- GEF SGP and public awareness raising and consultations
- sensitization at beginning and knowledge sharing
- dialogue with social partners now best practice in Grenada
- Best: national projects involving stakeholders' meetings
- none can be identified
- Personal email invitation
- Consultations, workshops, media
- Best: disseminate project information through brochure
- Good awareness raising materials (posters) should be distributed to target groups
- Planning and socialization of people in preparing project
- Knowledge fair
- Consultations, workshops, networks
- CSO representation in Steering Committee
- Media presentations via radio, social media
- Information dissemination, networking
- Necessary interaction between Secretariat and OFP
- Model that focuses on local group empowerment
- Stakeholder consultation
- Policy strengthening at secretariat/GEF SGP country platforms, knowledge sharing platforms
- Testimony from GEF project beneficiaries
- Targeted information campaigns through media

Montenegro ECW

- planning project implementation
- GEF CSO Network, inclusion of CSO representative in national steering committee for GEF project
- Workshops, publications, public presentations
- Establish National GEF Coordination Mechanism
- Awareness raising, advocacy, stakeholder identification, transparency

- No evidence yet in climate change projects
- Inform key institutions, funds for GEF projects
- Annual meetings with CSOs and through SGP
- Annual meeting with CSO and through SGP
- Public events, workshops, hearings
- SGP best projects
- Disclosure of project doc on website
- Proper information dissemination, local community participation in decision-making, dissemination of results
- Webpage MAEP-MP POPS
- Involvement in early design, communication
- Workshop approach
- CSO involved in project implementation
- Networking, information sharing among all stakeholders. ECWs play important role in stakeholder engagement
- Creation of database of best practices, webinars
- Involve CSOs in GEF work, such as CSO Forum and ECW
- STAR Allocation for SGP

Argentina ECW

- training, virtual training
- stakeholder workshops
- national interest
- consultations
- site visits to communities, workshops of GEF project cycle and experiences
- media and communication of results at local level
- community participation occurs in all projects thru consultations, as expressed in ProDOC
- improve socialization of GEF rules, manage expectations, design more comprehensive and inclusive projects that address different interests
- Through good communications
- The approach with the actors
- participation and knowledge transfer
- Transparency in issues to be addressed
- take public participation into account in project workshops
- workshops and monitoring
- workshops, local dissemination
- enhance public participation
- open workshops
- capacity building of organizations, consultations before elaboration of project
- opening from government actors who have designed projects without extensive consultation
- CSO participation in workshops
- availability of information, appropriation of project goals
- national directives on participation(?)
- dialogue with authorities, organization and empowerment of women
- workshops
- participation in national GEF committee and openness of convening

Guatemala ECW

- home country conception and guidelines for projects is key
- support and accompanying authorities and institutions
- constant training
- strengthening public consultation and dissemination of information
- creating national structures
- practical workshops
- dissemination of project [information], stakeholder participation
- there is participation from the formulation and not only for the implementation of the project
- establish policies linked to social equality
- participation in initiatives and training workshops
- GEF CSO Network familiarizes CSOs with GEF
- involvement of various sectors, particularly CSOs
- participation in project design
- participation in design, execution, evaluation
- the increasing involvement of support bases (communities) in the preparation of proposals for GEF projects
- dissemination and promotion
- national dialogue, convening, monitoring GEF projects

Sierra Leone ECW

- quality of presentations on GEF
- awareness raising workshops
- consulting with actors at PIF stage before approval
- integration of active communities in GEF activities
- taking into account local and national concerns
- people's position taken into account in design and implementation

- participation at national level in identifying and formulating projects
- consultations on project formulation, CSO submission of small projects
- awareness raising, arrangements and financing of activities
- GEF Committee, information sharing,
- public involvement in workshops and forums
- level of collaboration between govt institutions and CSOs
- consultation of stakeholders at all levels the formulation of projects, stakeholder involvement in project management
- participatory arrangements and in-kind contributions of communities
- creation of national CSO platform of GEF members
- awareness of risks to humanity from environmental degradation
- adequate consultations by GEF agencies, awareness raising on GEF activities
- consultations and stakeholder participation
- need to document, share, and promote outcomes through knowledge fairs, etc.

Senegal ECW

- training, information
- adaptation projects
- project identification, selection
- involving public in project design stage
- more CSO capacity building
- strengthen the capacities of the parties involved especially on GEF procedures
- inter-sectoral meeting and utilizations of research results and different platforms
- formulation and identification of projects
- awareness raising, elaboration of measures to address issues
- commitment to involve public, willingness of public to change features
- community involvement in management of own affairs
- communication strategy
- consultations and workshops
- involvement of local authorities and community members
- request GEF to strengthen CSO capacities (CSO focal point?)
- information sharing and communication
- community involvement in project implementation
- participation in project decision making
- information and project design important for increasing CSO involvement
- integration of CSOs in selection and constitution of committees, invitations to the national meetings on the issues of the GEF
- stakeholder consultations
- awareness raising

Question 15:

What are actions that should be taken by national government and others to improve public involvement?

Botswana ECW

- no experience
- annual multi-stakeholder workshops
- deliberate public involvement policies for all projects, mandatory public participating in project design
- Clearer policies on public engagement, improve training of officials
- Strengthen policy and legislation on civil society participation
- Dedicate structures to manage GEF projects, facilitate engagement with other sectors
- Improve communications through open door policy, some CSOs have no access to gvt officials
- Ensure public involvement throughout process, stakeholder engagement report to accompany project document review
- publicize GEF programs and how to get involved
- make information accessible to public, organizing briefings, involve CSOs and CBOs
- information dissemination workshops
- initial stage planning for public involvement
- Advocate for CSO presence at national level to sensitize public and equip them to fight for participation and involvement in decision-making
- Govt need to be more transparent and engage stakeholders through meetings, workshops
- More transparency and openness
- Provide resources for rural poor and resources stakeholders to attend national workshops
- Annual multi-stakeholder workshop
- National stakeholder training & information workshop
- Involve public in planning and monitoring (site visits)
- More collaboration with CSOs
- National dialogues
- GEF should help CSOs to invest in mining, energy projects
- Clear stakeholder analysis and promote higher level involvement
- National meetings with GEF contact person
- Closer synergy with CSOs
- Diversify country participants in ECWs (3 people from same organization)

Trinidad ECW

- Need national policy to encourage public involvement
- Focused public information arrangements
- Public awareness
- A Work Programme could be developed, with GEF funding
- Include public involvement in project planning and implementation
- More focus on governance at local level
- Funding workshops, awareness raising
- Clear information dissemination strategy
- Increase visibility (outreach, media)
- Institutionalize participation in key points in GEF project development
- Increase awareness of importance of projects
- Incorporate MEAs in govt budget, place skilled persons in focal points to facilitate process
- More sensitization and training
- Consultations on project to gain buy in
- Include public involvement in annual work plans
- Conduct meetings, awareness campaigns, use incentives to promote awareness
- Funding in national budget and more support for GEF OFP
- Strategic agreement between GEF and govt to engage public
- Clear procedures with budget line allocations
- More outreach activities and more accessible information/awareness raising materials and inclusion in consultations during design
- Strategic partnership between GEF and govt to promote participation
- Increased media coverage
- Increased and strengthened partnerships with stakeholders
- Awareness building
- Proactive engagement, genuine partnerships
- Information dissemination via mass mediums
- National govt need to ensure have contact person to liaise with CSOs.
- Very positive interactions with GEF SGP Secretariat
- Greater partnership with CSOs in implementation
- Create strong engagement platform with CSOs. Execute PIP policy, include CSOs in PIF formulation
- More public awareness press
- Use of media to inform public and disseminate information
- More funding from local budgets

Montenegro ECW

- Attract public and stimulate participation in meetings on GEF projects
- Present GEF activities and public roles at National NGO Forum (environmental)
- Agency actions: Information on GEF policies/strategies distributed by GEF Coordination unit for staff and if required external stakeholders

- Regular information dissemination, NGO participation in FSPs
- Develop/implement spatial communications strategy plan, awareness raising, advocacy, transparency, cooperation with key stakeholders
- Support multi-stakeholder involvement in "stagegate" processes
- Prepare national strategy on public involvement and implement it
- More information sharing by GEF OFP with National Focal Points on coming projects
- Identify key stakeholder roles and responsibilities and provide with appropriate and updated information, webpage on GEF with clear procedures
- same as above: Identify key stakeholder roles and responsibilities and provide with appropriate and updated information, webpage on GEF with clear procedures
- More visibility and inclusion of CS
- Need more coordination with GEF OFP, national workshops/training w/ GEF
- It is a political matter
- Proper information dissemination, local community participation in decision-making, dissemination of results
- Increase awareness of govt and CSOs
- Increase awareness of govt and CSOs
- Focus on Aarhus Convention
- Raise public awareness and communication
- Govts should promote public involvement
- Trained govt officials and smart management
- Promote NGOs as executing agencies

Argentina ECW

- project commitment, monitoring, civil society training
- develop mechanisms for CSO capacity building
- facilitate access to project information, define consultation mechanisms
- national interest must prevail
- GEF role in environmental policies
- improve channels of communication and participation (incl web), more workshops in project areas,
- more mechanisms for coordination and consultations
- free access to information, greater outreach and participation in evaluations
- Articulate a policy to support public participation in project development and provide means to link it with performance
- Providing updated information of the state of portfolios in the national media (webpage)
- Support and training for participation
- Dissemination of clearer information on the GEF on how CSOs can be associated with projects
- consultations and communications
- Greater disclosure
- Consultations
- compare national policies and GEF policies
- better GEF information and communication platforms
- support development of public knowledge on GEF projects
- legal reforms and access to information, M&E
- use SMS, surveys [cannot read remainder]
- Incorporate appropriate resources to carry out activities
- Improve communication strategy with CSOs,
- Communicate digitally and promote empowerment
- Greater information dissemination in media
- Define priority themes and agenda, incorporate CSO consultation prior to project elaboration
- mandatory consultation requirement in the preparation, implementation and monitoring
- CSO participation in project decisions
- information, convening, establish clear mechanisms
- supportive national policies on participation
- inform govt that GEF funding not for financing state budget deficit
- 1. CSO participation in project formulation, 2. CSO participation in portfolio selection, 3. create awareness on resources provided to govt

Guatemala ECW

- incorporate public participation into national laws
- strengthen government position in implementing projects
- greater disclosure
- Be more careful to defend the national interest and not that of the implementing organizations
- integrate civil society, business, traditional and local groups
- establish national platform on environmental matters
- participation of different actors
- well formulated transparency policies
- dissemination [information], training
- Create opportunities for meetings of national governments and other actors, such as the network of CSOs GEF
- involvement of different actors and perspectives
- active inclusion of CSOs
- active inclusion with responsibilities for CSOs
- 1. be facilitators in the process for greater participation 2. strengthen communication
- consolidate the national group of GEF actors (OFPs, OSC, Agencies)

Sierra Leone ECW

- more engagement and informing
- convert structure of GEF into one like other funds (SIAD tuberculosis)
- create permanent (steady) structure for project and consistent language regarding objectives
- support OFPs by giving share of agency fees and support activities to better implement GEF principles; organize national dialogues with all stakeholders; improve institutional and legal framework
- awareness raising, more support
- awareness raising, information dissemination, CSO members of project committees
- focus on public awareness raising
- elaborate and implement mechanisms
- improve mechanism of informing public, increase financial support for public participation
- adequate budget for awareness activities, maintain awareness after completion
- provide necessary funding for public involvement activities
- build staff capacity for public awareness, provide relevant materials for awareness programme
- greater government involvement in raising awareness and facilitating access to information
- consider CSOs as development partners and not adversaries; strengthen their capacities in all areas
- information and awareness of public on relevant proposals
- 1. National govt should strengthen collaboration with CSOs, 2. organize annual national conference to discuss GEF activities and impacts, 3. strengthen relationship with GEF agencies
- regular stakeholder consultations, knowledge sharing and experience platforms
- Partnership with GEF, funding, awareness/enlightenment through media, showcase best practices

Senegal ECW

- education and awareness raising
- communication
- continuous awareness raising and consultation
- press and regulations for public participation
- information, awareness raising, education, communication
- facilitate the acquisition of information by the public
- strong public involvement
- awareness raising, education, communication
- awareness of other relevant ministries
- create CSO network (in country?)
- learn more
- capacity building, information sharing, communications about project
- information, training in project preparation
- 1. improve CSO information on the processes and procedures of the GEF, 2. greater involvement of CSOs in GEF activities (design representation in country)
- more engagement of grassroots CSOs to reach wider public

Question 16:

Do you have additional comments or recommendations regarding public involvement in the GEF?

Botswana ECW

- no experience
- Public involvement is key to successful projects, need to bolster interaction between public and GEF projects
- Upscale resources for GEF SGP to enable stronger public involvement
- Funding for public involvement
- n/a
- No
- inclusive knowledge management and communications
- GEF needs to continue stakeholder workshops and take into consideration recommendations in policy development
- Accessible to rural public
- More CSO/civil society involvement
- Countries should have a public engagement plan for GEF projects
- Encourage at all levels

Trinidad ECW

- More visibility of GEF projects and impacts on national development
- Increase GEF visibility
- More consideration of needs of local communities in identification of GEF projects
- GEF CSO Network is policy strong but has no financial mechanism to support and build CSO capacity
- Grenada fully supports public participation in projects
- OFPs should be trained for sensitizing various groups
- GEF should provide educational material that can be communicated at the local level, and avoid using many acronyms, esp. during awareness raising campaigns
- Provide access to website information and provide projects with information on GEF to distribute and add to awareness raising materials
- Implement points in Q14
- Build on experiences

Montenegro ECW

- "On-time" information sharing by GEF to NFPs about distributions above GEF STAR and time for negotiations
- Create GEF Help Desk in country (with OFP office)
- Create GEF Help Desk in country (with OFP office)
- More public awareness events through convention FPs, not just OFPs
- Work through established regional CSO networks
- Clearer guidelines, CSO access to GEF resources could be improved
- Organize webinars

Argentina ECW

- GEF PIP must be coordinated with overall country approaches to public participation
- It is important to define the scope of public participation that can generate greater expectations than can be covered with GEF projects
- Mainly classify stakeholders in GEF projects
- greater emphasis on civil society participation in projects
- Significantly improved
- greater diffusion oriented government agencies so that they can inform other communities
- in media continue to independently inform that CSO participation is an objective
- Should be more awareness of public participation and application of GEF policy in projects [partial translation]

Guatemala ECW

- recognize that government identifies projects, not agency implementers
- must work on public participation especially in GEF governance

Sierra Leone ECW

- working session on [PIP] across stakeholder groups
- it is necessary to reorganize, inform, and set up network of CSOs for small projects
- improve capacities of CSOs
- improve communications with stakeholders at local, national, regional and global levels
- set up permanent sharing framework on environment with CSOs, public, media
- Capacity development in public involvement should become integral part of GEF FSP, MSP projects
- increase number of days in ECW and participants per country

Senegal ECW

- OFP involvement in Agency processes for elaborating project
- support small projects to build capacity for public participation
- interactive dialogue among the national focal points
- we must increase the participation of CSOs
- take stock before each workshop, review recommendations and subsequent actions

Questionnaire for Expanded Constituency Workshops regarding Stakeholder Engagement in GEF-supported Projects and Programs

Introduction

The GEF is reviewing public involvement in GEF-supported projects and programs. This review is being conducted under the leadership of a multi-stakeholder Working Group chaired by the GEF Secretariat, which includes GEF Agencies, members of the GEF CSO network, a member of the GEF's Indigenous Peoples Advisory Group, recipient country focal points, and Council Members. The Working Group is reviewing the GEF's Public Involvement Policy (PIP), the *Guidelines for the Implementation of the Public Involvement Policy*, and the quality of public involvement activities implemented under or in accordance with the Policy. The purpose of the review is to improve the clarity of the PIP or the need to reform it, and achieve more effective implementation of public involvement activities.

This short questionnaire seeks your input for the review. We are seeking your opinions and experiences regarding how public involvement is currently being implemented, as well as best practices and potential barriers to effective stakeholder engagement in GEF-supported projects and programs. As defined by the GEF's Public Involvement Policy, "Public involvement consists of three related, and often overlapping, processes: information dissemination, consultation, and stakeholder participation." All three processes are relevant to this questionnaire. If more space is needed for answers, please use the back or attach additional sheets, but please list the number of the question you are answering.

Identification

1. Which of the following categories best describes your position?
 - a. GEF Operational Focal Point _____
 - b. GEF Political Focal Point _____
 - c. National Convention Focal Point _____
 - d. CSO Representative _____

CSO Identification (CSOs only)

2. What is your name and email address (optional)?
 - a. Name _____
 - b. Email _____
3. What is the name of your organization and in which countries does it work?
 - a. Organization name _____
 - b. Country/countries _____
4. **Involvement in GEF projects/programs:** Has your organization been involved in any of the following? (check all that apply) Under each, please also indicate whether your organization was involved (i) through consultation and stakeholder engagement activities, (ii) through project

execution (of the whole project or a component), (iii) in project design, (iv) in monitoring and evaluation activities, or (v) in some other way. Please also note the name of the project and country in which it took place, if possible.

a. GEF Full-Sized Project (FSP)

- i. Consultation and stakeholder engagement _____
- ii. Project Execution (either a component or whole project) _____
- iii. Project design _____
- iv. Project monitoring and/or evaluation _____
- v. Other _____

b. GEF Medium-Sized Project (MSP)

- i. Consultation and stakeholder engagement _____
- ii. Project Execution (either a component or whole project) _____
- iii. Project design _____
- iv. Project monitoring and/or evaluation _____
- v. Other _____

c. GEF Small Grants Program (SGP)

- i. Consultation and stakeholder engagement _____
- ii. Project Execution (either a component or whole project) _____
- iii. Project design _____
- iv. Project monitoring and/or evaluation _____
- v. Other _____

5. Please provide any further information you may wish to share regarding your organization's involvement in GEF-supported projects

6. Please describe whether and how your organization has been involved in advocacy concerning policy or strategy issues related to the GEF (at the GEF corporate/global level or at country level) for example: concerning operational policy issues (e.g. GEF project cycle), gender mainstreaming, indigenous people's issues, or strategy formulation (e.g. corporate focal area strategies, national portfolio formulation exercises, etc.)

Note: CSOs should proceed to questions 11 – 17.

Focal Point Identification (Focal Points only)

7. What is your name, country and email address?

a. Name _____

b. Country _____

c. Email _____

8. What is your role in the GEF system?

a. Operational focal point _____

b. Political focal point _____

c. Convention focal point _____

How long have you worked in this role? _____

9. Please describe your awareness of or involvement with the GEF Public Involvement Policy and how it has been applied in your country.

Quality of Public Involvement Activities, including best practices and barriers (TO BE ANSWERED BY BOTH CSO REPRESENTATIVES AND COUNTRY FOCAL POINTS)

10. Please rate the quality of public involvement activities in GEF **projects and programs** based on your experience. Please provide a score from 1 to 5, with 5 representing the highest quality and 1 the lowest quality. (Key qualities to be mindful of in making this rating include the degree to which stakeholder support, input or understanding of the project were obtained through public involvement in order to improve the quality of the project and attainment of its outcomes.) In the text box below, if possible, please provide project examples/cases that justify this rating, particularly if they demonstrate what you would consider best practice (e.g. public involvement was strong/meaningful) or worst practice (public involvement was weak or even non-existent).

Score:	1	2	3	4	5
	Lowest		Average		Highest Quality

11. What steps or actions do you believe have worked best in strengthening public involvement in GEF-supported projects?

12. Please provide examples of cases where you believe public involvement was either best practice or worst practice in terms of **policy or strategy issues** within the GEF. This can either be in terms of GEF corporate/global policy or strategy issues (e.g. formulation of GEF corporate policies) or at the national or regional level.

13. What are the most significant barriers that limit meaningful public involvement in GEF-supported projects? Please score the following on the extent to which they are barriers to public involvement. Please give a score from 1 to 5 for each option, with 5 being the most important and 1 being the least important. Please give reason for each score. If other is chosen, please explain what the barrier is and give reasons. In the text box, please give specific project examples, if possible, to help to explain your answer.

- Lack of national government capacity or commitment : Score _____
- Lack of GEF Partner Agency capacity or commitment : Score _____
- Lack of accessible information on GEF projects and/or when to engage : Score _____
- Insufficient capacity among CSOs and other key stakeholders : Score _____
- GEF requirements for public involvement insufficient, unclear or unknown : Score _____
- Inadequate funding for public involvement activities : Score _____
- Other (Please explain)

14. What are the most important steps or actions that the GEF Secretariat, in collaboration with the Agencies, could be taken to overcome these barriers? Please score the following on the extent to which they are barriers to public involvement. Please give a score from 1 to 5 for each option, with 5 being the most important and 1 being the least important. Please give reason for each score. If other is chosen, please explain. In the text box, please give specific project examples, if possible, to help to explain your ranking.

- Clearer GEF policy/guidance on required public involvement activities : Score _____
- Improved training of national government agencies in public involvement : Score _____
- Greater focus on partnerships with CSOs in GEF projects : Score _____
- Improved monitoring and evaluation of public involvement : Score _____
- Improved grievance reporting and response systems (including efforts to improve awareness) : Score _____
- Greater funding for public involvement activities : Score _____
- Other (Please explain)

15. What are important actions that should be taken by national governments and others to improve public involvement? Please list in text box.

16. Do you have any additional comments or recommendations regarding public involvement in the GEF?

ANNEX 5. ECW QUESTIONNAIRE DATA FILE

The ECW Questionnaire data file is an Excel spread sheet that is available separately.