

GLOBAL
ENVIRONMENT
FACILITY

IMPLEMENTING AGENCIES POLICIES ON
INFORMATION DISCLOSURE AND CONSULTATIONS

GEF Council Meeting
Washington, D.C.
February 22 - 24, 1995

GEF/C.3/Inf.7

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INTRODUCTION

This document includes the present policies of the Implementing Agencies concerning information disclosure and consultation as follows:

Section 1: UNDP's Information Disclosure and Consultation Policies

UNDP/Global Environment Facility - Information Disclosure,
Consultation with Affected Peoples and NGO Participation

Section 2: UNEP's Information Disclosure and Consultation Policies

UNEP Administrative Note, Policy and Procedures related to Public
Availability of Documentary Information on GEF Operations - September
1993 (rev.1)

UNEP Administrative Note: Policy and Procedures for Public Participation in GEF
Operations (Approved by UNEP's Executive Committee on 16 December, 1994)

Section 3: World Bank's Information Disclosure and Consultation Policies

Memorandum to GEF CEO/Chairman of the Facility

Memorandum to World Bank Country Departments

The World Bank Operational Manual, Bank Procedures, BP 17.50, Disclosure of
Operational Information

Incorporating Social Assessment & Participation into Biodiversity Conservation
Projects - March 1994

SECTION 1

UNDP'S INFORMATION DISCLOSURE AND CONSULTATION POLICIES

**UNDP/GLOBAL ENVIRONMENT FACILITY - INFORMATION DISCLOSURE,
CONSULTATION WITH AFFECTED PEOPLES AND NGO PARTICIPATION
(September 29, 1993)**

INFORMATION DISCLOSURE

1. Within the context of GEF, UNDP's policy is to ensure full public access to documentary information on all of its GEF projects.
2. "Documentary information" on each project includes, in our case:
 - (a) The GEF project brief.
 - (b) The GEF external technical review.
 - (c) Comments on the project by the GEF Scientific, Technical and Advisory Panel (STAP)
 - (d) The minutes of the Implementation Committee meetings(s) at which the project was discussed.
 - (e) Project Appraisal Committee (PAC) meeting minutes.
 - (f) The Action Committee brief.
 - (g) The Project Document, including the required Environmental Overview of Project and Management Strategy, a new requirement for all UNDP projects, for which training is currently in process.
 - (h) The Annual Project Performance Evaluation Report and Tripartite Project Review (PPER/TPR)
 - (i) The Mid-term Evaluation Report.
 - (j) The Final Evaluation Report.

All of the above are available upon request. Evaluation reports will be released only with the concurrence of the GEF Participants.

3. To implement our policy of full information disclosure more efficiently, the appropriate Regional Bureaux and/or project personnel will immediately supply one copy, suitable for reproduction, of each of the above documents for each GEF project in their area of responsibility to a central information unit in the GEF Executive Coordinator's office. This unit will be responsible henceforth for responding promptly to all GEF-related requests from NGOs, or any other segment of the general public, received by the GEF staff or any other Headquarters unit. Project documentation and inquiries should be directed to the GEF Information Officer, Global Environment Facility (GEF), UNDP, One United Nations Plaza, New York, N.Y. 10017 (Tel: 212-906-6112; Fax: 212-906-6998).
4. Given the decentralized nature of our operation, UNDP's Field Offices will also develop a "public information file", comprised of the documents listed above, on each local GEF project and will respond to requests for such documents.

5. A more important step at country level -- see below -- will be to convene periodic national and subnational "briefing sessions" on the GEF, involving appropriate government and agency officials, to which representatives from NGOs and NGO networks, peoples associations, the media and others from the general public are invited. Support for such informational sessions will be provided by the GEF Administrator's Office and UNDP Field Office and Headquarters staff, including the GEF central information unit.

CONSULTATIONS WITH AFFECTED PEOPLES

6. A matrix is attached identifying many opportunities in the GEF project cycle for consulting and involving community groups and NGOs. I invite your attention to the sections headed "Identifying Potential Project" and "Developing Project Concept" which indicate that community groups and NGOs ("local" or "international") are eligible to initiate ideas for projects and to provide advice to project designers at the earliest stages in the project cycle. (A "local NGO" is an NGO or NGO network, which may be subnational, national or regional, that both has its headquarters, and works, in a developing country or region. The term "international NGO" is used here as a short-hand description of a network which operates in developing countries but has its headquarters in the North.) UNDP's Field Offices are hereby directed to solicit project ideas and advice from appropriate non-governmental groups and to bring promising initiatives to the attention of the host government and appropriate Regional Bureau.
7. At Headquarters, Regional Bureaux and GEF staff are asked to expand the practice of including on each programme development mission, to identify potential GEF projects in a country, a social scientist from the country visited who will be charged with assessing the possible social impacts of the project.
8. Programme development missions will consult with NGOs and peoples associations in communities that would be affected by projects under consideration for GEF support on such matters as project goals, design and possible methods of implementation; these consultations and their participants will be recorded, and the findings from the consultations will be included in the mission report.
9. In some countries, NGO representatives serving as members of a programme development mission have taken the initiative to organize public consultations on proposed projects; this practice should be replicated and supported whenever conditions warrant.
10. In recruiting consultants for project concept missions, which are responsible for the initial stages of project design, consideration must be given to including one or more persons, preferably with an NGO background, who are knowledgeable about and have outreach to peoples associations and other groups in communities affected by the project.
11. Each project concept mission is directed 1) to consult with NGOs and peoples associations located in communities affected by the project concerning all aspects of project design and implementation, 2) to record these consultations and their participants, and 3) to include findings from the consultations in the mission report.

12. Project concept missions are also directed 1) to assess the possibilities of involving community groups and NGOs in project design, implementation and evaluation; 2) to identify groups capable of making contributions in these areas; and 3) to devote at least one section of the mission report to the role that might be played by community groups and NGOs.
13. National roundtables involving representatives from the government, the NGO community and community groups, including groups from communities where projects are proposed, will be organized at the start of both programme development missions and project concept missions.

NGO PARTICIPATION

14. As indicated above, "local" and/or "international" NGOs will be invited to participate in programme development and project concept missions in order to strengthen the missions' competence in relevant technical areas and/or facilitate the mission's outreach to, and understanding of, affected communities and local resources.
15. Opportunities for participation by NGOs at other phases of the project cycle are identified in the sections of the matrix headed "Review Process", "Project Preparation" "Implementing the Project", "Supervising and Monitoring the Project", "Evaluating the Project" and "Post-Project Monitoring." Headquarters units, Field Offices and project personnel will, at each of these stages of the project cycle, seek to identify and consider for possible involvement "local" and/or "international" NGOs that can make a contribution to the project by virtue of either their specialized knowledge or understanding of, and outreach to, affected peoples.
16. The participation of NGOs and community groups in any phase of the project cycle should be carefully recorded, monitored and evaluated, and lessons learned from such participation should be communicated to all GEF-related personnel at Headquarters and in the field, the host government, UNDP's partner agencies, relevant executing agencies and other relevant bodies.

PROJECT DOCUMENTS

17. GEF project documents will not be reviewed, nor acted upon by, a Project Appraisal Committee (PAC) or the Action Committee unless they have been developed in accordance with the procedures outlined above and include adequate provision for future community consultation and NGO participation, presumably in Sub-Section 4, "Project strategy and implementation arrangements", or Section B, "Project Justification."

Global Environment Facility
OPPORTUNITIES FOR PARTICIPATION BY
COMMUNITY GROUPS AND NGOS IN UNDP PROJECT CYCLE

| IMPLEMENTING AGENCY ACTIVITY | OPPORTUNITY FOR PARTICIPATION | | | |
|---|-------------------------------|-----------|-------------------|-------|
| | Community Group | Local NGO | International NGO | Other |
| IDENTIFYING POTENTIAL PROJECT | | | | |
| Initiate idea for projects. | | | | |
| Transmit idea to government, UNDP Field Office (FO) or UNDP Headquarters (HQs). | | | | |
| Assess project idea. | | | | |
| Decide with government whether to develop project concept. | | | | |
| DEVELOPING PROJECT CONCEPT | | | | |
| Consult in-country (at community level and nationally) and at HQs. | | | | |
| Select consultants to develop project concept. | | | | |
| Mount mission(s) to country to develop concept. | | | | |
| (1) Mission team. | | | | |
| (2) In-country interviews. | | | | |

Notes:

☐ indicates opportunity for participation.

☒ little or no opportunity for participation

Community Group: Grass-roots organization at village or community level.

Local NGO: Southern-based NGO or environment-development NGO network or people's association indigenous to the country or region.

International NGO: Northern-based NGO or environment-development NGO network operating in the country or region.

Other: Other relevant institutions outside government, e.g., academic, research, training institutions.

| IMPLEMENTING AGENCY ACTIVITY | OPPORTUNITY FOR PARTICIPATION | | | |
|--|-------------------------------|-----------|-------------------|-------|
| | Community Group | Local NGO | International NGO | Other |
| Prepare mission report. | | | | |
| (1) Mission team. | | | | |
| (2) Consultant to mission | | | | |
| Prepare Project Brief. | | | | |
| REVIEW PROCESS | | | | |
| Circulate project brief to government and FO for approval. | | | | |
| Convene in-country panel(s) to review project brief. | | | | |
| Assure technical review by experts on STAP roster (who may be from an NGO). | | | | |
| Submit project to competitive HQs inter-bureaux review (involving outside experts). | | | | |
| Transmit project (if selected) to STAP, UNEP and World Bank for comments. | | | | |
| Revise project to take into account comments from STAP and partner agencies (drawing on external resources as needed). | | | | |
| PROJECT SELECTION | | | | |
| Submit project to the Implementation Committee. | | | | |
| Submit projects chosen for the work programme to the GEF Participants. | | | | |
| PROJECT PREPARATION | | | | |
| Consult as needed to select team to visit country and prepare project document. | | | | |
| Mount mission(s) to country to prepare project document. | | | | |
| (1) Mission team. | | | | |
| (2) In-country interviews. | | | | |

| IMPLEMENTING AGENCY ACTIVITY | OPPORTUNITY FOR PARTICIPATION | | | |
|--|-------------------------------|-----------|-------------------|-------|
| | Community Group | Local NGO | International NGO | Other |
| (3) Determine capacity-building needed among community groups and NGOs in order to assure effective project implementation and sustainability. | | | | |
| Prepare project document. | | | | |
| Hold in-country Preliminary Action Committee (PAC) meeting to review project document. | | | | |
| Hold HQs PAC meeting to review project document. | | | | |
| Seek advice re possible executing agency and other implementing agencies (including NGOs) on subcontract basis. | | | | |
| Present project to UNDP Action Committee. | | | | |
| Obtain government signature on project document. | | | | |
| IMPLEMENTING THE PROJECT | | | | |
| Through the executing and/or implementing agencies: | | | | |
| (1) Appoint project manager. | | | | |
| (2) Prepare detailed work plan. | | | | |
| (3) Carry out work plan. | | | | |
| SUPERVISING AND MONITORING THE PROJECT | | | | |
| Supervise and monitor project implementation. | | | | |
| (1) Through informal consultations with affected groups. | | | | |
| (2) Through the executing and implementing agencies. | | | | |
| (3) Through an in-country steering committee. | | | | |

| IMPLEMENTING AGENCY ACTIVITY | OPPORTUNITY FOR PARTICIPATION | | | |
|---|-------------------------------|-----------|-------------------|-------|
| | Community Group | Local NGO | International NGO | Other |
| <u>EVALUATING THE PROJECT</u> | | | | |
| (1) Undertake formal and informal ongoing or periodic assessments, including participatory evaluations. | | | | |
| (2) Undertake a formal evaluation on completion of the project | | | | |
| <u>POST-PROJECT MONITORING</u> | | | | |
| Support ongoing monitoring to determine project sustainability and lasting results. | | | | |

REV.DRAFT

30/03/93

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SECTION 2

UNEP'S INFORMATION DISCLOSURE AND CONSULTATION POLICIES

UNEP ADMINISTRATIVE NOTE
POLICY AND PROCEDURES RELATED TO PUBLIC AVAILABILITY OF
DOCUMENTARY INFORMATION ON GEF OPERATIONS
SEPTEMBER 1993 (REV.1)

INTRODUCTION

This Note has been approved by UNEP's Management Committee on 2 September 1993 as an interim measure for the sole purposes of UNEP's participation in the GEF, pending approval of an agency-wide directive. This note is subject to revision by the Management at its discretion.

AVAILABILITY OF INFORMATION

- (a) It is UNEP's policy to adopt procedures that promote and ensure transparency in operations and openness in consultations with governments, non-governmental organizations, and the general public. The public shall have access, upon written request, to UNEP documents, provided they are not exempted from disclosure according to the provisions of this Note. These include: (i) Logbook; (ii) New Project Ideas Register; (iii) project briefs; (iv) project summaries; (v) appraisal reports by staff; (vi) project documents; (vii) environmental impact assessments; (viii) scientific and technical comments and reviews of GEF projects; (ix) project completion reports; (x) evaluation reports; (xi) minutes of decision-making meetings, including of all Scientific and Technical Advisory Panel (STAP) and Implementation Committee (IC) meetings; (xii) publications prepared by STAP, including its reviews of projects and reports to Participants; (xiii) operational directives and procedures regarding UNEP's participation in the GEF, including those on administration, and project development and management, and any other documents not exempted from disclosure according to the provisions of this Note.
- (b) Unclassified information, documents and records which have previously been provided to the public as part of the normal services of UNEP will continue to be made available on the same basis as before. These include all public information material. Any UNEP officer who receives a request for documents through normal channels of contact with governments, the public and the media, which would not normally be made available, shall advise the requester that the request will be referred to the GEF Unit for processing under the provisions of this Note.
- (c) All identifiable documents shall be made available to governments, the public and the media upon compliance with the procedures established in this Note, except to the extent that a determination is made to continue withholding documents in accordance with an appropriate exemption as provided in this Note.
- (d) When UNEP receives a request for information on a document or correspondence that originated from a government or another public international organization, it shall consult the government or international organization and, if appropriate, refer the request to that

government or international organization. The requester shall be informed of this procedure.

- (e) In response to a request for a document that is exempted from disclosure, UNEP will not refuse to confirm the existence or non-existence of the document, unless the fact of its existence or non-existence is itself exempt from disclosure.

REQUESTS FOR INFORMATION

- (a) Requests for identifiable records in accordance with this Note may be made in person during regular business hours at UNEP Headquarters, Gigiri, Nairobi. The GEF Unit shall provide the necessary forms for making a request. Requests may also be made at the UNEP GEF Office in Washington, DC.
- (b) Requests by mail, telephone, fax, or electronic-mail should be addressed to the GEF Unit, UNEP, P.O. Box 30552, Nairobi, Kenya, telephone 254-2-621234, fax 254-2-520825, 226886, 226890, and e-mail address via mpyhala@worldbank.org or pyhala@un.org. In addition, requests may be directed to the Associate Programme Officer (GEF/STAP), UNEP/GEF-Washington, 1889 F Street NW, Washington, DC 20006, telephone 202-289-8456, fax 202-289-4267 and 202-789-2122, and e-mail via EcoNet to rkhan.
- (c) For the request to be processed, it must describe the material sufficiently to enable a professional employee of the GEF Unit who is familiar with the subject area of the request to locate the document with a reasonable amount of effort. Whenever a request does not reasonably describe the information, the requester shall be notified that unless additional information is provided, or the scope of the request narrowed, no further action will be taken. The burden of adequately identifying the document requested normally lies with the requester. Individuals and governments may seek assistance regarding any facet of their requests from the GEF Unit in UNEP-Nairobi or the Associate Programme Officer (GEF/STAP) in UNEP/GEF-Washington.

PUBLIC READING FACILITIES

- (a) Routine GEF documents (such as public information material, minutes of STAP and the IC, STAP Chairman's Reports, GEF Chairman's Reports, STAP reports and papers, STAP Roster of Experts, STAP Criteria for Eligibility and Priorities for Selection of GEF Projects, UNEP's GEF Logbook and new projects register, List of UNEP's GEF and STAP Documents Routinely Available to the Public, project documents) shall be made available to the public at UNEP's HQ Library in Nairobi and all out-posted offices where public reading facilities exist. Fees shall not be charged for access by the public to such facilities, but fees in accordance with this Note may be charged for furnishing copies of the documents.

- (b) UNEP shall post on the EcoNet electronic mail and conference network this Note, as well as all routine UNEP and STAP GEF documents and a list of such documents, on a regular and timely basis. Documents may also be placed on other networks as technically feasible.

TIME LIMITS AND EXTENSION OF TIME LIMITS

- (a) Whenever possible, UNEP will furnish the requested document within 15 working days of receipt of the request by the GEF Unit in Nairobi or the Associate Programme Officer (GEF/STAP) in Washington.
- (b) While every effort will be made to meet the time limits cited in this Note, unusual circumstances may arise which would necessitate the extension of these time limits. Extension shall be granted in those instances where it is necessary, in order to guarantee proper processing of the request, to:
 - (i) Search for and collect the requested documents from out-posted offices or other organizations that are separate from UNEP;
 - (ii) Search for, collect, and appropriately examine a voluminous amount of separate and distinct documents which are demanded in a single request; or,
 - (iii) Consult with a government or another international organization having a substantial interest in the determination of the request or among two or more units of UNEP having substantial subject matter interest therein. Such consultations shall be conducted with all practicable speed. In such instances, the requester shall be given written notification by the GEF Unit of the extension of the time limit and the reason for such extension.

FEES

- (a) UNEP may charge a fee of \$0.10 per page for copies of documents which are identified by a requester and reproduced at the requester's request, except that there will be no charge for requests involving costs of \$1.00 or less.
- (b) Remittance shall be in the form of a personal cheque, bank draft, postal money order or cash. The remittance shall be (i) payable to UNEP in a convertible currency or Kenyan Shillings, and mailed to the GEF Unit, UNEP, P.O. Box 30552, Nairobi, Kenya, or (ii) payable to UNIC in U.S. Dollars and mailed to UNEP/GEF-Washington, 1889 F Street NW, Washington, DC 20006. UNEP will assume no responsibility for cash sent by mail.
- (c) A receipt for fees paid will be given only upon request.
- (d) The fee may be waived at the discretion of the GEF Unit when the records are requested by a government (especially of countries eligible for GEF funding), a public international

organization, or organizations and individuals from countries eligible for GEF funding, and the documents are for purposes that are in the public interest and will promote the objectives of the GEF and UNEP.

EXEMPTIONS

- (a) The following categories of documents may be exempted from disclosure:
 - (i) Information provided and correspondence to UNEP by a government or international organization of governments in the expectation, express or implied, that the information and correspondence are to kept in confidence.
 - (ii) Records related solely to personnel files under internal rules and practices of UNEP.
 - (iii) Records relating to the employees of UNEP, including performance evaluation records.
 - (iv) Records of trade secrets and commercial or financial information obtained from a person and privileged and confidential.
 - (v) Records such as personnel and medical files and similar files the disclosure of which would constitute a clearly unwarranted invasion of personal privacy.
 - (vi) Drafts of correspondence, documents, agreements, memoranda, discussion papers, briefing material, or electronic mail messages.
 - (vii) Correspondence, memoranda, and messages of a deliberative nature prior to finalization of documents and agreements, or to decisions on policies, positions, submissions, procedures and regulations.
 - (viii) Identity of independent technical reviewers of GEF projects.
- (b) The requester of the document shall be informed of the reason(s) for exempting from disclosure the information requested.
- (c) Any reasonably segregable portion of a document shall be provided to any requester after deletion of the portions which are exempt under paragraph (a) of this section. Normally a portion of a document shall be considered reasonably segregable when segregation can produce an intelligible document which is not distorted out of context and does not contradict the document being withheld.

APPEALS

- (a) UNEP's decision to exempt documents from disclosure may be appealed to the Executive Director of UNEP, P.O. Box 30552, Nairobi, Kenya (Fax: 254-2-226895). The

Executive Director may convene a GEF Information Appeals Committee, which shall consist of the Deputy Executive Director, Chief of the Information and Public Affairs Branch, Director of the Environmental Law and Institutions PAC, Chief of Administrative Service, and Chief of the GEF Unit. The Executive Director may invite other senior managers when appropriate and necessary.

- (b) Appeals should contain as much information and documentation as possible to support the request for reversal of exemption.
- (c) The requester will be notified within thirty working days from the date on which UNEP received the appeal.
- (d) UNEP may decline to review again any request for documents which has been reviewed within one year and denied.

UNEP ADMINISTRATIVE NOTE:
POLICY AND PROCEDURES FOR PUBLIC PARTICIPATION IN GEF OPERATIONS
(APPROVED BY UNEP'S EXECUTIVE COMMITTEE ON 16 DECEMBER, 1994)

1. The purpose of this note is to foster public involvement in UNEP's GEF operations. In this note, the term public is used to refer to the scientific community, representatives of environmental, consumer, women's, youth, indigenous peoples', educational, and social and economic development associations or groups and NGOs which may have an interest in, or may be affected by a UNEP/GEF activity or decision. The policies and procedures outlined below refer only to UNEP's activities in the GEF, not those of the other GEF Implementing Agencies or other UNEP activities.

OBJECTIVES

2. In its GEF operations, UNEP shall:
- (a) make available to the public information on its proposed major actions and decisions on GEF operations activities, including proposed major changes to its GEF projects;
 - (b) consult with relevant segments of the public on significant decisions on UNEP's GEF projects;
 - (c) ensure that its actions are responsive to the concerns of interested groups; and,
 - (d) provide opportunities for public involvement in the implementation of its GEF projects;

INFORMATION AND NOTIFICATION

3. UNEP shall design information activities to encourage public participation in its GEF operations, particularly providing appropriate advance information of its proposed GEF operations, activities and decisions, at the earliest practical time. Providing information to the public is a necessary pre-requisite to meaningful, active public involvement.

4. Access to UNEP GEF documents will be in accordance with the provisions of the *UNEP Administrative Note: Policy and Procedures Related to Public Availability of Documentary Information on GEF Operations* (September 1993).

5. UNEP shall develop and maintain a list of persons and organizations who are naturally interested parties or have expressed an interest in GEF activities, so that they may receive periodic notification of GEF and STAP documents available from UNEP, including information on its major decisions. UNEP shall make such information available on appropriate electronic mail and conference networks. Relevant documents shall be translated into local languages where necessary.

PARTICIPATION IN THE PROJECT CYCLE

6. UNEP shall encourage public participation in its GEF projects, including project design, implementation and evaluation. UNEP's GEF project development and preparation missions shall assess the possibility of involving NGOs and, where appropriate, community groups, in project design, implementation and evaluation, and identify those groups capable of making contributions in these areas. Such findings shall be included in the mission reports. Special provisions will be made for dealing with indigenous groups. UNEP shall also review project ideas identified by NGOs for consideration as UNEP/GEF projects or initiatives.

7. Public consultations shall be held prior to significant decision making on UNEP's GEF projects, in particular, before submission to the GEF Council and the publication of the final evaluation of the project. At least one public consultation shall be held during project implementation, preferably prior to any significant decision, revision or action.

8. Records of all public consultations shall be made available in accordance with the *Administrative Note on Policy and Procedures Related to Public Availability of Documentary Information on GEF Operations*.

9. "Public Consultations" refers to an exchange of views between UNEP and relevant groups and will include review through correspondence, advisory groups and/or roundtables. UNEP shall build on-going participatory processes. UNEP shall determine which of the following means to use in order to best meet the requirements set out above:

- (a) **Review Through Correspondence** requires UNEP to notify the public of proposed UNEP GEF activities, make available relevant documents, invite comments on the subject and take into consideration the views received, or provide a response to the relevant requesting party for not doing so.
- (b) **Advisory Groups** may be used, should UNEP determine a need for the continued attention of an informed core group of persons or organizations in relation to a particular UNEP GEF activity.
- (c) **Roundtables** may be convened by UNEP to discuss UNEP's proposed GEF activities and would include NGOs and, where appropriate, local communities and grassroot organizations.

10. Prior to approval by the UNEP Project Review Committee, project documents shall demonstrate how public participation will be, or has been, undertaken.

COMPLIANCE WITH PUBLIC CONSULTATION AND PARTICIPATION REQUIREMENTS

11. The Project Review Committee shall, in the course of screening UNEP/GEF projects, consider the adequacy of public consultation in the project identification and development stages and their consistency with this Note.

12. UNEP shall monitor and evaluate compliance with this Note. This should be undertaken as part of the regular monitoring and evaluation of the project.

13. Persons and organizations with information concerning alleged failures to comply with the requirements of this Note may notify in writing the Chief, GEF Unit, or his/her superiors. Corrective action should be taken where necessary within 60 working days of the date on which UNEP received the correspondence.

SECTION 3

WORLD BANK'S INFORMATION DISCLOSURE AND CONSULTATION POLICIES

OFFICE MEMORANDUM

DATE: February 1, 1995

TO: Mr. Mohamed El-Ashry, Chief Executive Officer, GEF

FROM: Andrew Steer, Director, Environment Department

EXTENSION: 33299

SUBJECT: Public Involvement in GEF-Financed Operations

1. This is to inform you of our intention to ensure public involvement in World Bank GEF-financed projects.

2. On May 24, 1994, the Bank's Executive Directors approved Resolution 94-2 adopting the Instrument for the Establishment of the Global Environment Facility and accepting the provisions and responsibilities the Instrument sets out. Among the key provisions of the Instrument is that GEF-financed projects "shall provide for full disclosure of all non-confidential information, and consultation with, and participation as appropriate of major groups and local communities throughout the project cycle." The Environment Department's Global Coordination Division (ENVGC) ensures that all GEF-assisted operations are consistent with the provisions in this instrument.

3. The World Bank recognizes three levels of public involvement in its projects and sector work: information disclosure, consultation and participation. The Bank acknowledges and endorses the fundamental importance of accountability and transparency in the development process. Accordingly, it is the Bank's policy to explain its work to the widest possible audience. To this end, arrangements have been made to disseminate a wide variety of Bank documents, including all GEF documents, through a Public Information Center, located at Bank headquarters, and through Bank field offices (see the World Bank Operational Policy 17.50, attached).

4. To be certain that adequate attention is given, and appropriate efforts are made to involve directly affected groups and other stakeholders, the Environment Department has issued a good practice note on Social Assessment which advises, inter alia, that key stakeholders be identified and arrangements made for stakeholder consultation and participation. We are now adapting these procedures to the four thematic areas of the GEF. The first paper to be completed is on *Incorporating Social Assessment and Participation in Biodiversity Conservation Projects* (attached). By the end of the current fiscal year, similar guidance will be available for the other GEF focal areas of global warming, ozone protection and international waters. GEF-assisted projects are expected to be consistent with the guidance in these documents.

5. Although the provisions for information disclosure, consultation and participation are clear to our regional colleagues, I have recently written to them restating our expectation that appropriate procedures will be followed in all GEF projects (Letter of January 27, from Steer to Country Department Directors, attached).

Attachments

OFFICE MEMORANDUM

DATE: January 27, 1995

TO: Country Department Directors

FROM: Andrew Steer, Director, ENV *AS*

EXTENSION: 33299

SUBJECT: Incorporating Consultation and Participation in GEF Financed Projects

1. I would like to bring you up to date on the information provided to the GEF Secretariat on arrangements for consultation and participation in Bank-assisted GEF projects.
2. On May 24, 1994, the Bank's Executive Directors approved Resolution 94-2 adopting the Instrument for the Establishment of the Global Environment Facility and accepting the provisions and responsibilities the Instrument sets out. Among the key provisions of the Instrument is that GEF-financed projects "shall provide for full disclosure of all non-confidential information, and consultation with, and participation as appropriate of major groups and local communities throughout the project cycle." Under these provisions, we are required to ensure that in GEF projects adequate attention has been given, and efforts made, to involve directly affected groups and other stakeholders.
3. Public involvement through consultation and participation is already required in a number of Bank-supported activities¹ and GEF requirements are consistent with the Bank-wide practice set out in Mr. Adams' recent communication to me on Bank Procedures on Participation (attached) as well as paragraph 73 (i) of *The World Bank and Participation Report* (September 1994), which indicates that the Bank will *implement regional review processes that ensure that economic and sector work and lending operations include the identification of relevant stakeholders and specify whether and how they would be involved in the Bank-supported activity.*
4. To support task managers, we have issued a best practice note on *Social Assessment*, and a related paper *Incorporating Social Assessment & Participation into Biodiversity Conservation Projects* (May 1994). These documents are available from ENVGC. By the end of the current fiscal year, similar guidance will be available for the other GEF focal areas of climate change (global warming and ozone protection) and international waters.
5. I would be grateful for your help in assuring that these procedures are followed in your Departments.

Attachment

¹ OD 4.20 *Indigenous Peoples*; OD 4.30 *Involuntary Resettlement*; OD 14.70, *Involving Nongovernmental Organizations in Bank-Supported Activities*; OP, BP, GP 4.02 *Environmental Action Plans*; OP 4.20 *The Gender Dimension of Development*; OP, GP 4.36 *Forestry*.



Disclosure of Operational Information

1. This statement sets out the procedures for the implementation of policies specified in the Bank's¹ *Directive on Disclosure of Information* (Washington, D.C.: World Bank and International Finance Corporation, 1993, forthcoming)² (Disclosure Directive), with respect to Project Information Documents, Staff Appraisal Reports, gray cover country economic and sector work reports, sectoral policy papers, and environment-related documents.

2. The Bank's policy on disclosure of information applies also to the disclosure of documents prepared for projects financed or cofinanced from trust funds under the Global Environment Facility (GEF), including Montreal Protocol projects financed through the Ozone Projects Trust Fund. Specific procedures are set out in BP 17.50, Annex A.

Project Information Document

3. In tandem with the Initial Executive Project Summary (IEPS) for an investment operation or the Initiating Memorandum (IM) for an adjustment operation, Bank staff prepare the Project Information Document (PID), a brief (two-page) factual summary of the main elements of the evolving project. The PID clearly indicates that its contents are subject to change and that the components described may not necessarily be included in the final project.³ Once the PID is reviewed and approved at the country department level with the

IEPS or draft IM,⁴ a copy is sent to the Public Information Center (PIC), through which interested parties may obtain Bank documents.⁵

4. As an investment project develops, Bank staff update the PID⁶ and send the update to the PIC, through which interested parties may obtain it. For all operations, the PID is updated before the Bank's formal project appraisal; for operations in which major changes are made after appraisal, a final revision of the PID is prepared following appraisal.

5. If an interested party requests additional technical information about a project under preparation, the country department (CD) director releases factual technical documents, or portions of such documents, after consulting with the government to identify any sections that involve confidential material or that could compromise relations between the government and the Bank.

Staff Appraisal Reports

6. Each Invitation to Negotiate includes a statement that it is the Bank's policy to release the Staff Appraisal Report (SAR) after the Board approves the project. The Invitation to Negotiate also requests that the prospective borrower's negotiating team be prepared to indicate, during negotiations, any section of the SAR that is confidential or sensitive, or that could adversely affect relations between the Bank and the government.⁷

1. "Bank" includes IDA, and "loans" includes credits.

2. Also available as AMS 1.10. *Directive on Disclosure of Information* (forthcoming).

3. See GB 17.50 for sample PIDs.

4. For these procedures, see OD 9.00, *Processing of Investment Lending*, and Circular Op 87/06, *Guidelines for Preparing and Processing Adjustment Loans and Credits*.

5. The PIC deals only with requests for specific documents, not blanket requests for information. The PIC is described further in Annex B.

6. See GB 17.50 for a sample updated PID for an investment project.

7. Annex C contains sample language.

Note: This statement supersedes the Operational Memorandum *New Directive on Disclosure of Information* (9/1/93), which may be discarded. Questions may be addressed to the Senior Manager, Operations Policy Group, OPR.

These procedures were prepared for the guidance of World Bank staff. They are not necessarily a complete treatment of the subjects covered. Additional copies of this document are available on a self-serve basis in the Institutional Information Services Center (IISC), in E 3200.



Bank Procedures

The Bank and the prospective borrower discuss these sections during negotiations. Following negotiations, Bank staff take into account the government's comments in preparing the final SAR. They incorporate into the Memorandum and Recommendation of the President any information removed from the SAR that may be of interest to the Board in its decision-making process. In exceptional cases, if extensive issues of confidentiality arise, the option of restricting the release of an appraisal report may be justified on a project-specific basis by the CD director concerned; the Regional vice president (RVP) and the Operations Policy Department (OPR) are informed. The cover of such a report carries a note indicating that release is restricted.

7. After Board approval, a copy of the SAR is transmitted, as part of the normal distribution, to the PIC, through which interested parties may obtain it. If any substantial changes to a project that is being implemented are approved by the Board,⁸ Bank staff prepare and transmit to the PIC a summary document (typically two pages long) that explains the changes.

Gray Cover Country Economic and Sector Work Reports

8. Before Bank staff conduct the final review of each green cover country economic and sector work (CESW) report⁹ with the government concerned, they advise the government that the Bank's policy is to make gray cover CESW reports available at the PIC, through which interested parties may obtain them. They also ask the government to identify all confidential information in the CESW report.¹⁰ Bank staff then review the issues raised by the government and modify the report as appropriate. Any deletions or changes

in information or analysis that may be of interest to the executive directors are presented in a covering note to the gray cover report. In exceptional cases, if extensive issues of confidentiality arise, exceptions to the policy of releasing reports may be authorized on a case-by-case basis by the CD director responsible; the RVP and OPR are informed. The cover of such a report carries a note indicating that release is restricted.

9. A copy of the gray cover CESW report is transmitted, as part of the normal distribution, to the PIC, through which interested parties may obtain it.

Sectoral Policy Papers

10. In preparing sectoral policy papers, Bank staff may consult with, and make drafts available to, interested individuals and groups outside the Bank. When a Board seminar is scheduled to discuss a draft policy paper, the executive directors may make the draft available to outside interested parties for review and comment. However, the final paper submitted to the executive directors for approval may not be released.¹¹ Sectoral policy papers approved by the Board are transmitted by the originating unit to the PIC, through which interested parties may obtain them.

Environment-Related Documents

Environmental Data Sheets

11. The environmental data sheets prepared as quarterly updates in the *Monthly Operational Summary* for all projects in the IBRD/IDA lending program are transmitted to the PIC, through which interested parties may obtain them.

8. See OD 13.05, *Project Supervision*, para. 34.

9. These reports include Country Economic Memoranda, country sector reports, country reports (such as poverty and private sector assessments), and public expenditure reports.

10. Annex C contains sample language.

11. "Rules of Procedure for the Meetings of Executive Directors," Section 7.

*Environmental Assessments*

12. For all Bank-funded Category A projects, the Bank advises the borrower in writing¹² that, in addition to other requirements set forth in OD 4.01,¹³ (a) the borrower is responsible for the environmental assessment (EA); (b) before the Bank proceeds to appraisal, the EA must be made available in the borrowing country at some public place accessible to affected groups and local NGOs and must be submitted to the Bank; and (c) once the EA is released locally and officially received by the Bank, it will also be made available at the PIC. Once the EA has been released locally and officially submitted to the Bank, the CD sends a copy to the PIC, through which interested parties may obtain it. If, in an exceptional case, the government objects to broader release of the EA, staff should not continue with project processing.¹⁴ For an IBRD project, the issue of further processing is submitted to the executive directors for consideration.

Environmental Analyses

13. For a Category B project, the environmental analysis¹⁵ is summarized in an annex to the PID and documented in the SAR. If the environmental analysis for an IDA-funded Category B project results in a separate report, (a) before the Bank proceeds to appraisal, the separate report must be made available in the borrowing country at some public place accessible to affected groups and

local NGOs and must be submitted to the Bank; and (b) once the separate report is released locally and officially received by the Bank, it is sent to the PIC, through which interested parties may obtain it.

Environmental Action Plans

14. Bank staff encourage governments to make their environmental action plans (EAPs)¹⁶ available to the public. Once the Bank has officially received the EAP and has obtained the government's consent, the country department transmits a copy of the EAP to the PIC, through which interested parties may obtain it.

Effectiveness

15. These procedures take effect on the dates shown in BP 17.50, Annex D.¹⁷ Requests for SARs, CESW and environment-related reports, and sectoral policy papers produced before those dates are handled individually by the responsible director in consultation with the government concerned, under the policy in force at the time the documents were approved by the Bank or officially received from a government.

Other Documents

16. Procedures governing the release of any documents not referred to in this statement are provided for in the Disclosure Directive.

12. Annex C contains sample language.

13. See OD 4.01, *Environmental Assessment*.

14. This provision for IDA projects reflects para. 21 of *Addition to IDA Resources: Tenth Replenishment*, approved by the Board on January 12, 1993, and adopted by the IDA Board of Governors (Resolution No. 174, March 31, 1993).

15. See OD 4.01, *Environmental Assessment*.

16. See OD 4.02, *Environmental Action Plans*.

17. Annex D also sets out arrangements for handling requests before the PIC begins operation.



Bank Procedures

Sample Notice to Prospective Recipients of Grants under the Global Environment Facility

Paragraph for Invitation to Negotiate

With regard to GEF projects, it is the Bank's policy to release the Memorandum of the Director (MOD) to interested parties on request through the Public Information Center after the project is approved for financing. Before releasing this report, the Bank takes into account any comments made by the prospective grant recipient. Therefore, your delegation for the forthcoming negotiations should be prepared to indicate any text or data in the MOD that may be confidential or sensitive, or that may adversely affect the relations between the Bank and the government. The Bank will review your delegation's comments during negotiations.



Bank Procedures

Application of the Bank's Disclosure Policy to Projects under the Global Environment Facility

1. The States participating (the Participants) in the Global Environment Facility (GEF) have indicated that activities under the GEF should be carried out in a transparent manner, with full information available promptly. As the trustee of the Global Environment Trust Fund and as an implementing agency of the GEF, the Bank is accountable to the Participants, and its policy of openness about projects and other GEF-related activity is consistent with their wishes. This annex sets out how the Bank's policy on and procedures for disclosing operational information¹ apply to projects financed or cofinanced from GEF trust funds, including Montreal Protocol projects financed through the Ozone Projects Trust Fund.²

Disclosure and the Project Cycle

2. A GEF Project Information Document (GEF-PID) is prepared for projects financed or cofinanced from GEF trust funds. The GEF-PID, a factual summary of the main elements of the evolving project, gives particular attention to the environmental issues and concerns the project will address.³ The GEF-PID serves both as the Bank's decision-making document for GEF-funded projects and as the information document that interested parties may obtain through the Bank's Public Information Center (PIC).⁴

3. When the GEF Implementation Committee includes a project in a work program for the GEF

Participants' review, it provides the following documentation for the Participants' meeting: the GEF-PID, with the associated reference sheet of project selection criteria and reviewers' opinions; and the Report of the GEF Chairman, which includes (a) a summary of the status of the projects in each work program reviewed by the Participants at earlier meetings, (b) minutes of the Implementation Committee meeting for the work program under consideration, (c) financial reports, and (d) a statement by nongovernmental organizations (NGOs) to the Participants. All the documents for the Participants' meeting are made available to the Bank's executive directors, recipient countries, other development institutions, and NGOs. The Bank also sends these documents to the PIC, through which interested parties may obtain them.

4. Following the Participants' meeting, any updates to the GEF-PID and any technical annexes to the Memorandum of the Director (MOD) are sent to the PIC, through which interested parties may obtain them.

5. The Invitation to Negotiate includes a statement that it is the Bank's policy to release the MOD after the project is approved. The Invitation to Negotiate also requests that the prospective GEF grant recipient's negotiating team be prepared to indicate, during negotiations, any section of the MOD that may be confidential or sensitive, or that could adversely affect relations

1. "Bank" includes IDA. The United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP), which together with the Bank are the implementing agencies under the GEF, have their own policies on disclosure of information.

2. Processing of GEF projects is described in OD 9.01, *Procedures for Investment Operations under the Global Environment Facility*.

3. See GB 17.50 for a sample GEF-PID.

4. The PIC is described in BP 17.50, Annex B.



Bank Procedures

with the prospective recipient.⁵ The Bank and the prospective recipient discuss these sections during negotiations. Following negotiations, Bank staff take into account the prospective recipient's comments in preparing the final document. After approval of the GEF project, the final blue cover MOD (excluding the introductory paragraph and the paragraph pursuant to which the Regional vice president's approval is sought by the director of the country department concerned) is merged with the technical annexes and sent to the PIC, through which interested parties may obtain the document.

Cofinanced Projects

6. GEF-Bank cofinanced projects follow the same cycle as freestanding GEF projects, with the addition that the GEF-PID for cofinanced projects includes all relevant information on the Bank-financed aspects of the project.⁶ As the GEF-funded segment of the project advances through its cycle, any significant changes in the Bank-financed part of the project are reflected in the GEF-PID and the final blue cover MOD.

Evaluation Reports

7. Two kinds of evaluation reports are sent to the Bank's PIC, through which interested parties may obtain them: (a) the annual Project Implementation Performance Report on GEF projects, and (b) the GEF Project Evaluation Report, which is prepared upon project completion.

Effectiveness

8. These procedures take effect on October 1, 1993. Requests for GEF project documents produced before that date are handled individually by the Global Environment Coordination Division.

Other Documents

9. Procedures for the release of any documents not referred to in this statement are provided for in *Directive on Disclosure of Information* (Washington, D.C.: World Bank and International Finance Corporation, 1993, forthcoming).

5. Annex A1 contains sample language for the Invitation to Negotiate.

6. The PID for the Bank-financed portion of the project is available separately to interested parties on request through the PIC.



The Public Information Center

1. As of January 1, 1994, the Bank maintains at its headquarters a Public Information Center (PIC), which serves as the central contact for those who wish to obtain information about the Bank's activities. The public may visit the PIC (which includes a reading room); requests to the facility may also be submitted through the Bank's Paris, London, and Tokyo offices and through other field offices.
2. The PIC offers through the Internet network a complete set of Project Information Documents (PIDs) and a catalog of the Bank documents that are available to the public. Users of Internet worldwide may select and request the documents they need. PIDs are provided free of charge to users, either in electronic form or in hard copy.
3. All documents available in Washington are also available to interested parties through the Paris office. Users who request documents through the Tokyo office will be served through the PIC in Washington. The PIC provides to the other field offices only the documents specific to their country, plus policy papers. In Washington, Paris, London, and Tokyo, users pay a standard charge for all hard-copy documents (except PIDs).¹ At other field offices, documents on the country where the field office is located are provided free of charge to users in that country; documents on other countries are obtained from the PIC at the standard charge. Nationals of a country that has no field office may obtain documents on their country free of charge through the PIC; documents on other countries carry the standard charge.
4. The PIC deals only with requests for specific documents, not blanket requests for information.
5. PIC staff may direct individuals to other materials that are available to the public. They assist operational staff in handling requests for information. The Global Environment Coordination Division may also respond to requests for documents pertaining to projects financed or cofinanced from trust funds under the Global Environment Facility.

1. As of January 1, 1994, the standard charge is US\$15.00, or the equivalent. This charge may be revised from time to time.



Sample Notices to Prospective Borrowers

Paragraph for Invitation to Negotiate

It is the Bank's policy to release the project's appraisal report to interested parties on request through the Public Information Center after the Board approves the project for Bank financing. Before releasing such a report, the Bank takes into account any comments made by the prospective borrower concerned. Therefore, your delegation for the forthcoming negotiations should be prepared to indicate any text or data in the appraisal report that may be confidential or sensitive, or that may adversely affect the relations between the Bank and the government. The Bank will review your delegation's comments during negotiations.

Paragraph on Economic and Sector Work Report

This is to advise you that the Bank's policy is to make available to interested parties on request through the Public Information Center gray cover country economic and sector reports. The gray cover version of the [name] report will be released after the forthcoming final review of the report. Therefore, during that review, you should identify any parts of the report that, in your view, contain confidential or sensitive information. The Bank will take your comments into account in preparing the gray cover version of the report.

Paragraphs on Environmental Assessment or Analysis

Category A Project

This is to advise you that [name of project] has been classified as Category A for purposes of environmental assessment. This is also to advise you that, in addition to other requirements specified in the Bank's OD 4.01, *Environmental Assessment*, (a) the borrower is responsible for the environmental assessment (EA); (b) before the Bank proceeds to appraisal, the EA must be made available in [name of country] at some public place accessible to affected groups and local NGOs and must be submitted to the Bank; and (c) once the EA is released locally and officially received by the Bank, it will also be made available at the Bank's Public Information Center.

Category B Project

This is to advise you that [name of project] has been classified as Category B for purposes of environmental assessment. This is also to advise you that, in addition to other requirements specified in the Bank's OD 4.01, *Environmental Assessment*, the borrower is responsible for the environmental analysis. The environmental analysis is summarized in the Project Information Document, which is made available to interested parties. For an IDA-funded project, if the analysis results in a separate report, (a) before the Bank proceeds to appraisal, the separate report must be made available in [name of country] at some public place accessible to affected groups and local NGOs and must be submitted to the Bank; and (b) once the separate environmental analysis is released locally and officially received by the Bank, it will also be made available at the Bank's Public Information Center.



Bank Procedures

Disclosure Policy: Effectiveness and Interim Arrangements

1. The Bank's expanded policy on disclosure of information was approved on August 26, 1993. The individual provisions of the policy will take effect according to the following schedule:

- (a) A Project Information Document (PID) will be produced at the same time as the Initial Executive Project Summary (IEPS) for each new project that reaches the IEPS stage after October 1, 1993. For the remainder of the portfolio not yet approved (i.e., projects beyond the IEPS stage but not presented to the Board), a PID will be completed by January 1, 1994. For projects financed or cofinanced from trust funds under the Global Environment Facility (GEF), a GEF-PID will be produced for each project submitted to the GEF Implementation Committee after October 1, 1993.
- (b) Consultation with the government on, and subsequent release of, Staff Appraisal Reports (SARs) and (for GEF projects) Memoranda of the Director (MODs) will take place for all projects for which Invitations to Negotiate are issued after October 1, 1993.
- (c) Release of country economic and sector work (CESW) reports (following consultation with the government) will take place for all such reports that go to gray cover after January 1, 1994.

- (d) Release of sectoral policy papers will take place for all such papers approved by the Board after January 1, 1994.

- (e) ~~Environmental assessments~~ for IDA-funded Category A projects and environmental analyses for IDA-funded Category B projects (when there are separate reports) have been made available to the public since ~~July 1, 1993~~. The expansion of the disclosure policy for environment-related documents to cover all Bank-financed projects will take effect on January 1, 1994.

2. The Public Information Center will be open to the public from January 1, 1994. In the interim, requests for documents will be handled as follows:

- (a) The Internal Documents Unit will handle requests for printed copies of PIDs, GEF-PIDs, and MODs.
- (b) Country departments will handle requests for SARs and gray cover CESW reports; when the requests are approved, the Internal Documents Unit will provide printed copies.
- (c) Requests for sectoral policy papers will be handled by the responsible department director in the central vice presidential units.
- (d) The Environment Department will handle requests for environment-related documents.

Incorporating Social Assessment & Participation into Biodiversity Conservation Projects

March 1994

This document was produced by the Global Environment Coordination Division (ENVGC) of the World Bank, a division of environmental and operational specialists and business managers set up in the Environment Department to oversee the Bank's work as an implementing agency for the Global Environment Facility (GEF) and the Montreal Protocol (MP).

The document is part of a series of tools, guidelines and best practice notes being developed as a result of the World Bank's global environment work.

INCORPORATING SOCIAL ASSESSMENT AND PARTICIPATION INTO BIODIVERSITY CONSERVATION PROJECTS*

OVERVIEW

1. Biodiversity conservation projects are intended to preserve the variety and abundance of genetic, species and ecosystems diversity through *in-situ* (e.g., parks, natural habitats, landscapes) or *ex-situ* (e.g., zoos, gene banks) protection. Most biodiversity conservation projects are implemented by governments in designated conservation areas and surrounding lands. In such projects, conservation of resources is achieved through ecosystems protection, habitat improvement and the management of human use. Although governments identify conservation sites primarily for their biodiversity value, maintaining their long-term survival and viability also depends upon social, economic and political factors which must be taken into account in project selection, design, and implementation.
2. Social Assessment (SA) and participation are an integral part of project preparation. They contribute to the overall design of projects, to management plans for protected areas, and to the establishment of bench-marks for monitoring [see *Guidelines for Monitoring and Evaluation of GEF Biodiversity Projects*]. They also provide needed data for environmental assessments of category A projects and for the environmental analysis of category B projects.
3. These guidelines are intended primarily for task managers preparing projects to be financed by the Bank or by the Global Environment Facility (GEF). They may also be of interest to project implementing agency staff and stakeholders such as affected communities, research institutions, local government authorities, and non-governmental organizations (NGOs). The paper discusses the social challenges of biodiversity conservation, and describes the SA process and expected outputs. Annex 1 contains some useful SA data gathering and analyses methodologies and Annex 2 lists available resource materials.

PURPOSES OF SOCIAL ASSESSMENT AND PARTICIPATION

4. Social assessment (SA) provides relevant socio-cultural information to help in the design of biodiversity conservation projects, whether located in protected areas or in other settings. Specifically, SA contributes to the design and implementation of conservation projects by:
 - identifying stakeholders affected by or with an interest in conservation activities;
 - describing activities which threaten biodiversity conservation and defining options to mitigate detrimental human impacts on biological resources;

* IN THE GLOBAL ENVIRONMENT FACILITY (GEF) AND THE WORLD BANK (WHICH INCLUDES IDA), POLICIES ON BIODIVERSITY CONSERVATION ARE CONTAINED IN THE FOLLOWING OPERATIONAL DIRECTIVES AND GUIDELINES: GEF PROCEDURES (OD 9.01), ENVIRONMENTAL ASSESSMENT (OD 4.01) AND WILDLANDS (OPN 11.02). SOCIAL POLICIES ARE AVAILABLE ON INDIGENOUS PEOPLES (OD 4.20), RESETTLEMENT (OD 4.30), AND MANAGEMENT OF CULTURAL PROPERTY (OPN 11.03). SEE ALSO ENVIRONMENTAL ASSESSMENT SOURCEBOOK CHAPTERS 3, 5, AND 7.

- defining and understanding potential conflicts between and among stakeholders over conservation measures and developing ways of minimizing such conflicts;
- providing information needed to facilitate stakeholder participation and, when appropriate, to foster user accountability in attaining conservation objectives; and
- defining relevant socio-economic, political, cultural and institutional factors that should be taken into account in conservation project design to enhance project success.

Social assessments should focus on variables of operational relevance and should contribute to project objectives.

5. Stakeholder participation and SAs are complementary activities; in most cases both are needed to achieve the objectives of biodiversity conservation projects. During each phase of project design, different stakeholders may be involved and different information is required. At identification, consultation with representative groups is useful for defining the key issues in project selection and formulation, and to facilitate policy discussions. Information is collected through consultation and through more systematic assessment of the socio-cultural and institutional factors which affect project design and implementation. By appraisal, sufficient information is needed to determine strategies for ongoing participation by stakeholders and affected groups, to assess whether proposed interventions are socially and institutionally feasible, and to ensure that arrangements are in place to mitigate any adverse social impacts.

6. It is important to promote stakeholder participation at various stages of the project and at different levels of the decision making process (e.g., local, intermediate, national). When those who are expected to benefit from the project engage actively in conservation management and decision making, their participation can lead to better decisions, greater ownership and accountability, improved management and empowerment. Since biodiversity projects generally develop in stages, at each stage the participation of stakeholders and the amount of information needed for sound decision making will vary.

7. The information acquired by preparation teams and the amount of participation needed varies in relation to the type of activity proposed. Where major social interventions are envisioned (e.g., changes in subsistence strategies or resettlement), considerable information will be required to decide whether the proposed measures are feasible and whether they are consistent with biodiversity conservation objectives. However, where social impacts and risks are minor, data requirements are correspondingly less. There may be some situations with no social issues, and in such cases social assessments are not needed. Many conservation projects are located in remote sites where little is known about ecological or socio-cultural conditions, and where consultation with affected groups and stakeholders is difficult. In such cases project development should focus on data collection and strategies that make use of existing practices (e.g., indigenous technical knowledge) to build community trust and institutional capacity. In these situations, the most feasible conservation activities should be started and complex social interventions deferred to a later stage.

8. Thus, the participation of key stakeholders in the selection, design and implementation of biodiversity projects is crucial to:

- increase awareness and improve the quality of information used for decision making;
- strengthen the commitment of stakeholders to the achievement of project goals;
- increase the capacity of stakeholders (especially disadvantaged groups such as indigenous peoples and women) to represent their interests and take responsibility for outcomes.

9. The process and methods used in SA are also relevant for biodiversity conservation efforts which are not site specific. For example, agricultural policies and land use priorities might be identified within a country's Biodiversity Action Plan or National Environmental Action Plan (NEAP) as having major adverse impacts on a particular habitat, such in lowlands or wetlands. In such cases SAs would still be helpful to identify stakeholders, describe issues related to public awareness, and determine costs, benefits and potential impacts associated with such projects.

KEY CONSIDERATIONS IN THE DESIGN OF SOCIAL ASSESSMENTS

10. In general, the following questions are asked in the conduct of SAs.

- Who are the key stakeholders and how will they be involved in project formulation?
- What are the potential project options?
- What are potential project impacts from each option, and from the project as a whole, on affected groups, disadvantaged populations and other stakeholders?
- What are the key social issues likely to affect project design or performance, and which constitute a risk to project performance?
- What are the relevant project boundaries?
- Are project delivery mechanisms appropriate?
- Are there conflicts and how can they be resolved or minimized?

Each of these elements is described briefly below.

11. **Stakeholders.** The key stakeholders in biodiversity projects are listed in Box 1. Since stakeholder interests determine project components and probability of success, defining who they are and how they will be involved in project selection and design is one of the first steps in preparing biodiversity conservation strategies and projects. There are numerous levels and avenues for stakeholders (including local people) to participate in conservation activities. For example, stakeholders can influence the choice of areas, boundary demarcation, and project design through consultation and negotiation, or they may be involved in the management of protected areas or the trust funds and endowments established to

protect them. Local people may define appropriate changes in their own livelihood strategies to preserve biodiversity or they may assume control and management of the protected area itself.

12. In most projects, the key stakeholders are informally defined, but in some instances formal stakeholder profiles are prepared which allow decisions to be made on explicit criteria for inclusion and mode of participation. Stakeholder workshops are a common forum for discussion among stakeholders with clear agendas, such as agency officials, NGOs, private companies and other formally organized groups. A recurring problem in such meetings, however, is how to give voice to the less powerful groups. In some countries affected people can effectively represent themselves in such meetings, while elsewhere they may have advocates in NGOs, community leaders, church groups or other organizations. In most cases, however, direct participation at the local level is necessary to involve local people in the definition of issues and the feasibility of any measures proposed for the management plan. Social assessments provide the information needed to develop effective participation plans.

BOX 1
STAKEHOLDERS IN BIODIVERSITY CONSERVATION PROJECTS

Affected groups in the conservation site and adjacent areas; including consumptive users (e.g., farmers, fishermen, wood gatherers) and non-consumptive users (e.g., recreational visitors) and disadvantaged or at-risk groups (e.g., indigenous people, women, landless households);

Project Implementors including line agency officials in the environmental or forestry agency; other state agencies (e.g., finance, tribal affairs, agriculture); and other designated implementors such as state corporations, private firms, NGOs, community groups.

Regional, national, or local policy makers who define land use priorities and laws governing conservation, tenure, and other sector-specific programs and who determine the conservation project's objectives;

International donors such as the Bank/GEF, bilateral and multilateral development agencies, and international NGOs providing external assistance and who have special interests in ensuring that the conservation project's objectives are well-defined;

NGOs, including advocacy groups, who generate public awareness and debate about conservation objectives and community-based NGOs who directly assist in conservation and local capacity building;

Universities, museums and research organizations interested in the site, adjacent areas, or in collection and/or maintenance of biological collections and archaeological finds.

Other private sector groups with vested interests such as concessionaires, traders, pharmaceutical companies, or tour operators, who have some interest in uses inside the conservation site or in nearby areas.

13. **Project Options.** Most threats to biodiversity are from direct or indirect human activities. Determining the level of threat and time frame for taking action require information on ecological and

socio-cultural factors. Relevant ecological variables include the spatial distribution and density of the resource, resiliency capacities, habitat requirements, and the degree of threat faced. Socio-cultural variables include the extent to which human uses either coexist or conflict with resource conservation, the cultural significance of sites, and the technical and social feasibility of change. Developing sound management plans for biodiversity thus depends upon a thorough and realistic assessment of the scientific value of the resource as well as its social context. When both ecological and socio-cultural factors are taken into account, there are a relatively small number of project options available. One or more of these options may be applicable to a site or project. The most important of these are listed in Box 2.

14. **Project Impacts.** Project options may have both positive and negative impacts. Adverse social impacts can include changes in livelihood strategies, resettlement, or impacts on isolated or indigenous people who may find it difficult to adapt to proposed interventions. In such cases SAs should identify impacts and strategies for mitigating them. Bank policies on involuntary resettlement (OD 4.30) and indigenous people (OD 4.20) apply to biodiversity projects. Involuntary resettlement should be avoided or minimized. Assessments of impacts caused by local populations should be weighed versus other sources of threat, and alternatives to reduce human impacts (i.e., agreements over land use, re-drawing park boundaries) should be adopted wherever feasible rather than resettlement. Where it can be shown that local people are the main threat to the resource and that relocating them may be appropriate, projects should develop a resettlement plan. Involvement of affected groups will ensure that the resettlement plan is designed to improve or restore their incomes and living standards in culturally acceptable ways. Enforcement plans should also be adopted to ensure that future encroachments do not take place.

Box 2
COMMON PROJECT OPTIONS IN BIODIVERSITY PROJECTS

Zoning for Mixed Use. Ecological and socio-cultural data should be used to help determine appropriate management systems for a zone which permits sustainable use and core protected areas.

Sustainable Human Use. SAs help determine what human uses are consistent with biodiversity protection; in what areas these uses are allowed; and how they can be supported in a sustainable manner.

Changes in Human Use. When human uses are unsustainable, and where conservation boundaries are fixed, information from SAs can help define livelihood alternatives that are consistent with conservation requirements and compatible with social and cultural practices.

Voluntary Relocation. Resettlement may be necessary to protect areas of high biodiversity and to prevent habitat fragmentation. Design of appropriate incentives for voluntary resettlement can be facilitated by a knowledge of the populations involved.

Involuntary Resettlement. Involuntary resettlement should generally be viewed as a last resort, when other options for biodiversity conservation are not viable. It is seldom appropriate with indigenous peoples who have adapted to their environment over long periods of time.

Strengthening Enforcement. Improved enforcement is often necessary for biodiversity protection. SAs define which enforcement mechanisms are likely to be most effective and assists in defining mechanisms for conflict resolution.

Adjusting Protected Area Boundaries. Conservation boundaries may need to be modified to enhance biodiversity conservation, when protection is no longer feasible or when there is nothing left to protect.

15. **Project Boundaries.** Determining project boundaries is a key step in the SA process. The immediate sources of threat may be large-scale development or infrastructure projects, expanding agricultural frontiers, illegal hunting and logging, fuelwood collection and uncontrolled burning, land settlement and cattle grazing. While resident populations are often regarded as the cause of the problems, many of these threats are ultimately attributable to policies which contribute to population growth and migration, lack of secure tenure, political instability, changes in agricultural and forest management and other social changes. For this reason, a holistic understanding of the threats and how and where they are generated is an important element in both developing a biodiversity strategy and an important element of social assessments focussed on specific projects. For example, it would make little sense to confine social assessment to populations within protected areas if the heaviest users were loggers and outside interest groups.

16. In most cases, there are three sets of boundaries:

- (a) **Site boundaries**, which are in most cases officially delineated by government as protected areas or identified as ecologically critical resources – often they are national parks, forest reserves, wildlife refuges or similar types of protected areas.

- (b) **Project boundaries** which cover a broader area and may include adjacent or nearby sites, and a larger group of stakeholders. Project boundaries often need to be more inclusive than the site boundaries in order to address the immediate threats to biodiversity conservation at the site.
- (c) **Social boundaries** that cover all actors, institutions and policies which impinge upon the project.

Because conservation projects are country and site specific, defining these boundaries is an important step in formulating key questions in the conduct of SAs.

17. **Key Social Factors.** Some of the social factors which affect project impacts and implementation are shown in Box 3. Such factors working at the local, intermediate or national level can affect the success of biodiversity projects in achieving their objectives. Two types of social considerations determine which of the project options is appropriate. First, what is socially feasible in the particular setting; and second, what is feasible in the wider social and political context.

18. Critical factors at local levels are those which influence the ability and willingness of stakeholders to participate, and which determine social impacts and social risks. These include the type of people living in the areas, gender and ethnic differences, their tenure rights and ability to change. Some groups of people with ancestral rights, relatively sustainable subsistence practices, and close ties to a traditional way of life cannot or may not want to change. In contrast, immigrants, loggers, and others may welcome change if the incentives are correct. There are many groups in-between and the ability of willingness of each to change must be taken into account in the choice of project options.

19. At the national level, policies and institutional factors affect project objectives and risk. For example, in some countries, such as Brazil, Ghana, India, and Thailand, forestry laws prohibit any form of permanent settlement inside certain types of protected areas, but the willingness and ability of these governments to enforce this legislation varies significantly. In contrast, in Papua New Guinea and Western Samoa, the government has to sign legal covenants with communities to protect resources since most forest land is communally owned and central government commitment to resource protection may be insufficient to ensure success. SAs are carried out in order to understand how these factors affect project feasibility and the project design.

20. **Project Delivery Mechanisms.** In general, there are three requirements for project delivery. First, good ecosystem management often relies upon the ability of different stakeholder groups to work together. Second, there is the need to determine what functions will be carried out by what group and what resources are needed to carry out these tasks. Finally, there is a need to establish mechanisms such as partnerships, which promote accountability for conservation management between the state, local communities and NGOs. Factors which affect project delivery include national and local institutional arrangements, property rights, social diversity and customary practices, need for institutional reorientation, institutional capacity and capacity building, and the amount of resources

Box 3
SOCIAL FACTORS WHICH AFFECT PROJECT IMPACTS AND IMPLEMENTATION

The key social factors which determine stakeholder interests and project impacts are:

Demographic factors such as the number of affected people, degree of social diversity among stakeholders based on culture, ethnicity, social status, income and wealth, language and religion.

Capacity for participation of local stakeholders such as women, indigenous people and other disadvantaged populations in distribution of project benefits.

Gender considerations such as women's access to resources; women's contributions to livelihood and conservation activities.

Socio-cultural factors which affect people's ability to cope with change; determine acceptability of technologies to be introduced; manage risks and threats; and resolve conflicts can help define appropriate conservation project delivery.

Tenure rights and security, such as what rights govern land and resource use in or near protected areas; variations in rights (customary and legal) and how they determine who has access and use of resources.

Livelihood systems and their adaptability to changes and dependence on natural resources; commercialization and role of markets and middlemen and government policies on trade and pricing.

Social controls, customary controls which regulate resource access; use and civil responses to laws and enforcement mechanisms; reward systems; customary practices and indigenous technical knowledge.

Political and organizational structures, including centers of authority and decision-making, variety and capacity of stakeholder organizations and institutions at various levels; involvement in formal and informal structures.

need for stakeholder meetings or training. SAs should define what potential delivery mechanisms are, factors which may affect project delivery, and what institutional development arrangements may be needed.

21. **Conflict Resolution.** Conflicts often arise when changes are undertaken and new management systems are put into place to conserve biodiversity in the absence of stakeholder consultation and agreement. Such conflict may be locally based (for example, among migrants, indigenous peoples and Protected Area managers) or it may derive from regional or national level conflict over land use (e.g., should an area be zoned for conservation, for preservation of cultural heritage, or opened up for commercial uses). Many biodiversity conservation projects will need to institute processes that can help resolve numerous short- and long-term conflicts over resource use. SA and participatory strategies are the first steps in instituting such processes. SAs and participatory approaches can also be used to identify appropriate mechanisms for resolving disputes (e.g., through open negotiations; application of customary or juridical controls).

INCORPORATING SOCIAL ASSESSMENT INTO THE PROJECT CYCLE

Identification

22. Although there are slight differences between the regular Bank and GEF procedures, the following sequence of activities applies to both.

23. The first stage in a GEF project is submission of the project concept to the Global Environmental Coordination Division (ENVGC) to determine project eligibility. At this early stage, the document should mention social issues which are likely to arise, note whether any resettlement or other sensitive socio-cultural impacts are anticipated, and briefly set out arrangements for further consultation and participation. In regular Bank projects these issues are first highlighted in the Initial Executive Project Summary (IEPS).

24. The identification mission may take place before or after the IEPS review, depending on the amount of information already available. Regardless of timing, the main tasks are to:

- (a) Review project options and begin to clarify unresolved social and cultural issues. Where there are no significant socio-cultural issues, no further social assessment is needed.
- (b) Identify key stakeholders and establish the framework for stakeholder consultation and participation.
- (c) Lay the groundwork for activities needed in preparation (e.g. socio-cultural surveys, institutional analysis), and identify organizations (universities, research organizations, and selected NGOs) available, preferably in-country, to carry out more systematic social assessment.
- (d) Gather information on the legal context for conservation management (e.g., laws, policies, land use priorities) and government commitment to conservation (as expressed in National Environmental Action Plan; National Conservation Strategy).
- (e) Discuss the nature of support requested, project objectives, anticipated resources and time frame for project preparation, potential conflicts and risks, with policy makers.

25. The main outputs at identification are: a preliminary stakeholder analysis, a framework for participatory project planning, terms of reference for follow-up work, and a short-list of institutions or firms which can carry out project preparation. If governments have not prepared Biodiversity Action Plans or other strategic documents, measures may be needed to raise the awareness of government and other stakeholders and to increase government commitment to biodiversity conservation.

26. The IEPS should cover the social issues raised, concerns about whether to proceed or not proceed, key issues to review and resolve in preparation, and the process to be followed in preparation. The GEF Project Identification Document (PID) and IEPS are reviewed within the department at an IEPS meeting, which for GEF projects includes two external reviewers as participants. If major social issues

are anticipated, one of the external reviewers should have the competence to address these issues and to determine if proposals for preparation and participation are adequate.

Preparation

27. Social assessments for biodiversity conservation projects should be carried out as an integral part of project preparation, not as an independent exercise. The guiding principle for gathering social data should be its relevance for project design and implementation. During project preparation social components should be linked to biodiversity conservation objectives. This helps to ensure that findings from social assessment can be quickly taken into account in project design and that project components can be developed with the involvement of stakeholders and affected groups. This normally requires contracting NGOs, research institutions, or other capable organizations to carry out data collection and analysis.

28. To support this work, Bank/GEF assistance maybe needed in: (a) helping government draft terms of reference (TORs) for international or local contractors and consultants; (b) providing support in selection and screening of SA contractors; (c) securing financing for SAs (through trust funds, project preparation advances (project preparation fund or PPF); technical assistance that may involve other donors or international NGOs; and (d) coordinating with government ways of monitoring the progress of SA work. SA contractors should be familiar with social issues (by participating in earlier consultations), community development techniques, and local dialects.

29. The SA contractor normally designs the assessment in consultation with Government and the Bank. The main focus is on getting the necessary information to determine: (a) *who* are affected populations: intended project beneficiaries, *at-risk groups* and other stakeholders; (b) *how* do human uses affect conservation management; and (c) *what* should be done to address socio-cultural impacts and risk; and d) *what* processes or mechanisms are needed to promote consultation and participation. Selection of the appropriate methodology, or a combination of methodologies, for data collection depends upon project and site conditions and conservation project objectives, and financial and time constraints. Specialized studies on key social issues may also be used to augment SA analyses.

30. There are three main outputs from social assessments that feed into project management plans.

- (a) **Strategies for Ongoing Stakeholder Participation.** A critical output of SA analyses is to identify and develop processes and strategies for promoting the participation of relevant stakeholders in conservation management. Such a strategy should identify who would be involved, how often, how such a process would function, and what resources are required.
- (b) **Strategies for Project Delivery.** SA analyses help determine how services will be delivered. Stakeholder views may need to be taken into account in improving project services. At the local level, profiles of stakeholders and their impacts on conservation are important in identifying stakeholder groups and using them effectively (e.g., hiring, joint management, devolution of certain management

responsibilities). These strategies are incorporated into the Project Implementation Plan (PIP).

- (c) **Mitigation Plans.** Information from social assessments should be adequate to assess social impacts and to propose mitigation actions where projects involve adverse social impacts. Mitigation plans should identify how to minimize these impacts.

31. The last mission prior to appraisal (either pre-appraisal mission or the last preparation mission), should review SA results, strategies and plans with stakeholders and government. This is sometimes done through stakeholder workshops to review project findings. The next step is to prepare a Final Executive Project Summary (FEPS) which is reviewed by the Country Department. This GEF PID and FEPS should discuss social impacts and participation strategies and it should demonstrate the links between social issues and biodiversity conservation actions.

Appraisal

32. At appraisal, the results of technical studies and SAs are discussed with government counterparts. In addition, field visits are made to evaluate the SA and preparation process and whether an adequate number of stakeholders were involved. Key social issues should be identified and the processes to deal with them should be clearly laid out. In many projects, reconciling socio-cultural issues with biodiversity conservation objectives takes time and it will not always be possible to resolve outstanding issues during preparation. For those project options where there is complex social change or conflict, projects should proceed with other activities but avoiding initiating sensitive actions until the main conflicts have been satisfactorily resolved.

Monitoring and Evaluation

33. SAs should lay the groundwork for the monitoring and evaluation indicators identified in *Guidelines for Monitoring and Evaluation of GEF Biodiversity Projects* (December 1992). These Guidelines identify both socio-economic factors and community participation factors and their relationship to biodiversity conservation projects. They also identify the legal and institutional issues of concern to projects which are likely to be a key SA component. SAs should be part of feedback and response systems. Stakeholders should remain informed about, or participate in, ongoing monitoring of conservation projects. Key indicators can signal changes in ecological or social conditions. For example, changes in key indicators may signal potential risks (e.g., sharp increase in migrants in one year), and mitigating actions may be introduced.

Dissemination of Findings and Outputs

34. Summaries and reports on SA activities are integrated into standard Bank/GEF documents, such as the *GEF Project Identification Document*, *Executive Project Summary*, *Staff Appraisal Report*, *Initial Executive Project Summary*, *Memorandum and Recommendation of the Director of the Country Department* and other reports. Mid-term reports, supervision reports (GEF Form 590) and project completion and supervision reports should also contain SA results. Documentation of the SA process should include descriptions of related SA and participation activities, such as meetings held, workshops and discussions organized, presentations and other activities (such as SA methods using social and village mapping, key informant interviews). These are generally contained in *process documentation reports* which establish records of activities undertaken as well as lessons learned from project procedures and experimental and participatory approaches.

DATA GATHERING AND ANALYSIS TECHNIQUES COMMONLY USED IN SOCIAL ASSESSMENT OF BIODIVERSITY CONSERVATION PROJECTS

1. Collection of Secondary Information

- 1.1 Published government reports (statistical yearbooks, census, government surveys)
- 1.2 Written records, histories, reports from NGOs, missionaries, ecological studies, etc.
- 1.3 Published research reports (books, articles, discussion/technical papers, etc.)

2. Key Informant Interviews

- 2.1 Checklist format using several key informants
- 2.2 Informal, consensus-building techniques and group discussions
- 2.3 Formal meetings, stakeholder consultations
- 2.4 Life histories of elders, key informants

3. Direct Observation of Processes and Behavior

- 3.1 One-time, short-term site visits (less than two weeks)
- 3.2 Two or more short-term site visits (each about two weeks)
- 3.3 One medium-term site visit (at least one month)

4. Participant Observation of Processes and Behavior

- 4.1 Observers as part of community activity (at least one month)
- 4.2 Local resident as observer using records, diaries, or other media such as tapes, films, photographs (for recording religious and political events, feasts, meetings)

5. Diagramming

- 5.1 Genealogies of dominant lineages and political/power relations
- 5.2 Decision tree diagramming of actors and decision making mechanisms using a specific problem (e.g., decision to build a health center, plant trees)
- 5.3 Diagram of power structures; actors that determine allocation of resources; social obligations
- 5.4 Institutional linkages (through use of venn diagrams)

6. Community Mapping

- 6.1 Individual farm or household property (e.g., cadastrals; plot boundaries; conservation zones)
- 6.2 Nature and settlement zoning
- 6.3 Community or village mapping and sketch maps
- 6.4 Transects

7. Production/Livelihood Diagramming

- 7.1 Production, seasonal calendar; markets
- 7.2 Time lines and time trends of production/consumption of resources
- 7.3 Production; labor employment
- 7.4 Synchronized calendars of labor and resource cycles

8. Gender Analysis Tools

- 8.1 Task analysis and role flexibility by gender
- 8.2 Gender needs assessment
- 8.3 Women's time management
- 8.4 Mapping of women's roles in conservation

9. Socio-economic Surveys

- 9.1 Non-random sampling of persons arbitrarily interviewed at various locations
- 9.2 Random sampling using list frame (such as government or church lists) or area frame (such as village, geographic information systems or GIS maps)
- 9.3 Purposive sampling of populations such as disadvantaged groups

10. Community Information and Consensus-Building Techniques

- 10.1 Village Management Plans
- 10.2 Ranking of problems by large social groups
- 10.3 Interest group meetings (stakeholders, outsiders)
- 10.4 Group dynamics; structured discussions; role playing

11. Project Design Techniques for Needs Assessment and Identification of Risks

- 11.1 Logical framework
- 11.2 Systems diagramming and flowcharts (using venn diagrams)
- 11.3 Objectives-oriented project planning (or ZOPP)

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