



REPUBLIC OF GHANA  
MINISTRY OF FINANCE

# **GHANA**

## **CLIMATE CHANGE FINANCE**

### **MULTI-STAKEHOLDER**

### **ENGAGEMENT STRATEGY**

APRIL 2020



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## CLIMATE CHANGE FINANCE

### MULTI-STAKEHOLDER ENGAGEMENT STRATEGY

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APRIL 2020



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## **ABBREVIATIONS AND ACRONYMS**

COP	Conference of Parties
CSOs	Civil Society Organizations
DAEs	Direct Access Entities
DPs	Development Partners
EIA	Environmental Impact Assessment
ESMP	Environmental and Social Management Plan
GCF	Green Climate Fund
GCF-RP	Green Climate Fund Readiness Program
GEF	Global Environment Facility
GEF-CSO	Global Environment Facility Civil Society Organization
GoG	Government of Ghana
IAEs	International Access Entities
MoF	Ministry of Finance
M&E	Monitoring and Evaluation
MSE	Multi-Stakeholder Engagement
MSES	Multi-Stakeholder Engagement Strategy
MSESCCF	Multi-Stakeholder Engagement Strategy for Climate Change Finance
NAP	National Adaptation Plan
NBSAP	National Biodiversity Strategic Action Plan
NDA	National Designated Authority
NDATAC	National Designated Authority Technical Advisory Committee
NGOs	Non-Governmental Organizations
NREG	Natural Resource and Environmental Governance
REDD+	Reducing Emissions from Deforestation and Forest Degradation, Conservation of Forest Carbon Stocks, Sustainable Management of Forest and Enhancement of Forest Carbon Stocks
SEP	Stakeholder Engagement Plan
SWOT	Strength Weakness Opportunity and Threat
TAC	Technical Advisory Committee
UN	United Nation
UNDP	United Nation Development Program
UNFCCC	United Nations Framework Convention on Climate Change

## DEFINITION OF TERMS

Category A project	A proposed project is classified as Category A if it is likely to induce significant and/or irreversible adverse environmental and/or social impacts that are sensitive, diverse, or unprecedented, or that affect an area broader than the sites or facilities subject to physical works, i.e. the geographical scope of the project.
Category B project	Proposed project activities with potential limited adverse environmental or social risks and/or impacts that are few in number, generally site-specific, largely reversible, and readily addressed through mitigation measures.
Climate Change	A change of climate that is attributed directly or indirectly to human activity that alters the composition of the global atmosphere and that is in addition to natural climate variability observed over comparable time periods.
Climate Finance	Local, national or transnational financing—drawn from public, private and alternative sources of financing—that seeks to support mitigation and adaptation actions that will address climate change
Engagement	Active involvement and participation of others in some aspect of project or program
Environment and Social Management Plan	A strategy for managing risks and mitigating impacts of a proposed project
Multi-Stakeholder Engagement	A process of interactive learning, empowerment and collaborative governance that enables stakeholders with interconnected problems and ambitions, but often different interests, to be collectively innovative and resilient when faced with the emerging risks, crises and opportunities of a complex and changing environment <sup>1</sup>
Participatory Monitoring and Evaluation	A process that involves stakeholders at different levels working together to assess a project and take any required corrective action.
Project Development Team	This is made up of the DAEs, IAEs, project proponent and staff
Stakeholder Engagement Plan	A basic tool to catalyse and organize stakeholder engagement and assure that it takes place in line with the purposes and requirements of the Strategy and must include but not limited to;

<sup>1</sup> Wageningen University and Research; Center for Development and Innovation, 2011



## EXECUTIVE SUMMARY

The Green Climate Fund (GCF) is an operating entity of the financial mechanism of the United Nations Framework Convention on Climate Change (UNFCCC), designed to disburse climate finance in addressing climate change. The fund is to promote the paradigm shift towards low-emission and climate-resilient development pathways by providing support to developing countries.

Access to the fund's resources is either through Direct Access Entities, or International Accredited Entities of the Fund. As a tradition, the GCF liaises with individual countries through a nominated national institution referred to as the National Designated Authority (NDA)/ Focal point. The Government of Ghana (GoG) has nominated the Ministry of Finance (MoF) - Economic Strategy and Research Division – as the NDA to among other things; facilitate the proposal development process and implementation of GCF funded programs/programs.

Climate projects and programs submitted to the GCF must have country ownership – which means that climate programs and projects should be designed through transparent, sovereign and democratic processes that ensure engagement and full participation of all relevant stakeholders, especially the target group directly impacted by climate change. The participation should encompass co-design and co-development in formulation, planning, implementation, monitoring and evaluation of climate-responsive activities. This will ensure adequate representation, ownership and create awareness at all levels of government and the general populace on GCF activities.

The Multi-Stakeholder Engagement Strategy in Climate Change Finance has adopted a set of multi-stakeholder engagement strategies and procedures. These strengthen NDA's commitment and accountability to the GCF and stakeholders in the development process.

The MSESCEF draws on stakeholder engagement requirements and policies of the GCF and GEF, as well as on the guidance provided by international practices, Conventions and Protocols of which Ghana has signed on. The Strategy consists of six interrelated chapters.

- **The Introduction** lays out the background and purpose of the Strategy and describes stakeholders and their engagement priorities in climate finance in Ghana.
- **Country Coordinator and Multi-Stakeholder Engagements in Ghana** section provides information on exiting coordination and engagement mechanisms; current engagement practices and policies governing stakeholder engagement in Ghana, as well as their linkages and gaps with GCF and international best practices.
- **The Guiding Principles** consists of ten values that the NDA and project development team are expected to consider in all GCF-financed activities.
- **The Mandatory Requirement for Multi-Stakeholder Engagement** section provides guidance on the specific procedures that project development team should follow to ensure that the activities meet the requirements of the principles at each stage of the program/project cycle. It also provides details on the roles and responsibilities of the NDA in the project/program cycle.
- **Methods and Tools for Multi-Stakeholder Engagement** also provide a set of tools and guidance for the NDA, and project development team to be able to strategically design and implement an effective Multi-Stakeholder Engagement.

- **The Grievance Redress Mechanism and Conflict Management** section provides guidance for stakeholders and NDA on the procedures and measures to be followed to respectively pursue redress and address grievances.



## CHAPTER 1: INTRODUCTION

At Sixteenth Conference of Parties (COP16) held 2010 in Cancun, Mexico, Parties designated the Green Climate Fund as an operating entity of the financial mechanism of the United Nations Framework Convention on Climate Change (UNFCCC), in following Article 11 of the Convention.<sup>2</sup> The financial mechanism is accountable to the COP, which decides on its climate change policies, program priorities and eligibility criteria for funding. The GCF (herein referred to as the Fund) is to promote paradigm shift towards low- emission and climate resilient development pathways by providing support to Annex I Parties (developing countries) – thus those countries that are signatories to the UNFCCC.<sup>3</sup> The focus of the Fund is on investment– and it provides a unique opportunity to blend resources from donations from developed countries, public and private funds to address climate change adaption and mitigation issues more systematically and effectively in developing countries.<sup>4</sup>

The Fund is expected to channel a large proportion of the international climate finance<sup>5</sup> commitment of developed countries – US\$ 100 billion to be mobilized per year by 2020. As at 3<sup>rd</sup> February 2020, a total of US\$10.3 billion had been pledged and US\$8.24 billion redeemed, as part of the Initial Resource Mobilization for the first replenishment period (2014-2018).<sup>6</sup> The second replenishment period (2019-2022) has seen US\$ 9.776 billion pledge so far.<sup>7</sup>

Access to the fund’s resources is either through Direct Access Entities, or International Accredited Entities of the Fund. As a tradition, the GCF liaises with individual countries through a nominated national institution referred to as the National Designated Authority (NDA)/ Focal point. The Government of Ghana (GoG) has nominated the Ministry of Finance (MoF) - Economic Strategy and Research Division – as the NDA for Ghana. One of the roles of the NDA is to facilitate the proposal development process and implementation of GCF funded projects/programs – thus appraise and approve all projects in line with national climate change strategies and award a letter of no-objection for onward submission to GCF for consideration and funding.

Ghana is an eligible recipient of international climate finance including GCF, and has already started to establish a sustainable climate finance mechanism which enables it to systematically access and efficiently manage, and monitor existing and additional climate finance – through the first and second phases of the GCF Readiness Program (GCF-RP). The second phase of the GCF-RP is implemented by Ministry of Finance on behalf of the GoG in collaboration with the United Nations Development Program (UNDP), and the GCF Secretariat to strengthen Ghana’s national capacities to effectively engage with the Fund, and to access, manage, deploy and monitor climate finance from the Green Climate Fund.

While accessing the GCF funds, it is expected that all stakeholder groups relevant to the development and implementation of programs, projects, policies and other actions to counter

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<sup>2</sup> United Nations Framework Convention on Climate. *Report of the Conference of the Parties on its sixteenth session (held in Cancun from 29 November to 10 December 2010)*, 95-102. Published March 15, 2011. Accessed March 20, 2020. <https://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf>

<sup>3</sup> United Nations Framework Convention on Climate. *Report of the Conference of the Parties on its sixteenth session (held in Cancun from 29 November to 10 December 2010)*, *Ibid.*, 95-102.

<sup>4</sup> The Green Climate Fund. *Resource Mobilization*. Accessed March 15, 2020. <https://www.greenclimate.fund/about/resource-mobilisation>

<sup>5</sup> The Green Climate Fund. *Governing Instrument*. <https://www.greenclimate.fund/sites/default/files/document/governing-instrument.pdf>

<sup>6</sup> The Green Climate Fund. *Status of Pledges and Contributions: Initial Resource Mobilization*. Published February 3, 2020. Accessed March 15, 2020. <https://www.greenclimate.fund/sites/default/files/document/status-pledges-irm.pdf>

<sup>7</sup> <https://sdg.iisd.org/news/acf-receives-usd-9-776-billion-in-pledges-from-27-countries/>

climate change, including government line ministries, department, agencies, development partners, civil society, the private sector, as well as the affected communities will be engaged. This stakeholder engagement is crucial in establishing country ownership of the program, project, and or policies - ensuring complementarity with ongoing or planned interventions, obtaining feedback and input from interested parties, and raising awareness among key players about climate change and GCF issues.

### **1.1. Purpose and Scope**

The purpose of the Ghana Multi-Stakeholder Engagement Strategy for Climate Change Finance (MSESCCF) is to facilitate comprehensive and inclusive multi-stakeholder engagement modalities that builds upon existing engagement modalities and aims at strengthening roles, responsibilities and process of engagement of key stakeholders throughout the entire cycle of GCF operations to ensure adequate representation and create awareness at all levels of government and the general populace on GCF activities.

The scope<sup>8</sup> of the MSESCCF applies to all activities of the NDA and that of stakeholders in the development process. The scope also covers all the stages of the program and project cycle discussed into details under chapter 5 of this Strategy.

### **1.2. Understanding Multi-Stakeholder Engagement**

#### **1.2.1. What is Multi-Stakeholder Engagement?**

The active involvement and participation of persons in aspects of projects, programs and policy or any other plan, constitute an engagement. Multi-Stakeholder Engagement (MSE) is an organised procedure used to ensure consultation and participation of all stakeholder groups on a specific issue. The MSEs aim to ensure participatory equity, accountability and transparency, and the creation of partnerships and networks amongst different stakeholders for improved dialogue and decision-making in all stages of planning and implementation.<sup>9</sup>

Different levels of stakeholder engagement can be identified, depending on the ultimate aims of engagement activities and the project. Within the Ghana Multi-Stakeholder Engagement Strategy for Climate Change Finance (Multi-Stakeholder Engagement Strategy – MSES, for short), five levels of engagements<sup>10</sup> - collaboration, information, consultation, involvement, and empowerment, have been proposed and defined for clarity. Individual projects or programs may, and often do, engage stakeholders at more than one level. Many projects will include a mix of all six levels of engagement.

#### **1.2.2. Who is a Stakeholder?**

A stakeholder is any group, community, individual or organisation with an interest in the outcome of a program, or a project, either as a result of being affected by it positively or negatively, or by being able to influence the activity positively or negatively.<sup>11</sup>

In the context of climate change finance, stakeholders are those with interest in climate change and finance, either because they are engaged in climate policy and finance, affected by climate

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<sup>8</sup> Detailed discussion on the scope is under chapter 5 – Mandatory Requirement for Multi-Stakeholder Engagement

<sup>9</sup> UNDP. Multi-Stakeholder Engagement Process: A UNDP Capacity Development Resource (Conference Paper7 Working Draft, Nov.2006)

<sup>10</sup> Discussed in details under Chapter 5.3- Consultation and participation Plan

<sup>11</sup> Carney, S., Whitmarsh, L., Nicholson-Cole, S. and Shackley, S. A Dynamic Typology of Stakeholder Engagement within Climate Change Research, Tyndall Working Paper, 128. (Tyndall Center for Climate Change Research, Norwich, 2009), 47 Accessed March 26, 2020: <http://www.tyndall.ac.uk/content/dynamic-typology-stakeholder-engagement-within-climate-change-research>

change either positively or negatively, or their activities have either positive or negative effect on climate change. Box 1 below identifies the primary and secondary stakeholders that need to be considered in climate change finance policies process, programs and projects.

### Box 1: Primary and Secondary Stakeholders

<p><b>Primary stakeholders</b> – they are beneficiaries of a development intervention or those directly affected (positively or negatively) by it in the project/program area, in particular, poor and marginalized groups who have traditionally been excluded from participating in development efforts including.</p> <ul style="list-style-type: none"> <li>▪ Local Communities</li> <li>▪ Youth (both boys &amp; girls)</li> <li>▪ People With Disabilities</li> <li>▪ Women</li> <li>▪ Children</li> <li>▪ Aged</li> </ul>	<p><b>Secondary stakeholders</b> they are those who influence a development intervention or are indirectly affected by it.</p> <ul style="list-style-type: none"> <li>▪ Government <ul style="list-style-type: none"> <li>○ NDA</li> <li>○ MDAs</li> <li>○ MMDAs</li> </ul> </li> <li>▪ Traditional Authorities</li> <li>▪ Religious Leaders</li> <li>▪ Assemblymen &amp; Women</li> <li>▪ Parliament</li> <li>▪ Private sector</li> <li>▪ Financial Institutions</li> <li>▪ CSOs/NGOs</li> <li>▪ Research and Academia</li> <li>▪ DPs/Donors</li> <li>▪ DAEs/IAEs</li> <li>▪ Media</li> <li>▪ Project staff</li> </ul>
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A key element in participatory development is the ability to identify stakeholders, their needs, interests, relative power and potential impact on project and program outcomes.

#### 1.2.3. Why do we need Multi-Stakeholder Engagement in the GCF Process?

The international community and in various international environmental agreements – particularly, Article 6 of the United Nations Framework Convention on Climate Change<sup>12</sup> and various international environmental agreements including Agenda 21,<sup>13</sup> the Rio Declaration on Environment and Development,<sup>14</sup> and the Aarhus Convention,<sup>15</sup> all have long recognized the importance of open and transparent engagement of stakeholders in efforts to support the protection of the environment and sustainable development, and in decision-making processes related to multilateral environmental agreements.

The experiences of GCF and other financial mechanisms indicate that, it is vital to extend engagement to all sectors of society because the challenges facing environmental degradation are so complex that no one sector or part of society address the challenge. More so, individuals or groups with a stake in the output or outcome of a project - particularly those who may be

<sup>12</sup> UNFCCC. *Education, Training and Public Awareness. (1992), Article 6.* Accessed March 20, 2020.

[https://unfccc.int/files/essential\\_background/background\\_publications\\_htmlpdf/application/pdf/conveng.pdf](https://unfccc.int/files/essential_background/background_publications_htmlpdf/application/pdf/conveng.pdf)

<sup>13</sup> United Nations. *UN Conference on Environment and Development. Agenda 21. (Rio de Janeiro, Brazil, 3 to 4 June, 1992).* Accessed March 20, 2020. <https://sustainabledevelopment.un.org/content/documents/Agenda21.pdf>

<sup>14</sup> United Nations. *UN Conference on Environment and Development. Rio Declaration on Environment and Development. Principle 10. (Rio de Janeiro, Brazil, 3 to 4 June, 1992).* Accessed March 20, 2020.

[https://www.un.org/en/development/desa/population/migration/generalassembly/docs/globalcompact/A\\_CONF.151\\_26\\_Vol.I\\_Declaration.pdf](https://www.un.org/en/development/desa/population/migration/generalassembly/docs/globalcompact/A_CONF.151_26_Vol.I_Declaration.pdf)

<sup>15</sup> *Convention on Access to Information, Public Participation in Decision-Making and Access to Justice in Environmental Matters (Aarhus, Denmark 25 June, 1998).* Accessed March 20, 2020. <https://www.unece.org/fileadmin/DAM/env/pp/documents/cep43e.pdf>

affected by it – often have valuable knowledge, expertise and opinions to shape the design, implementation and monitoring of project activities, and support their long-term sustainability.

These individuals and groups also have the right to participate in actions that affect them. Stakeholder engagement improves project performance and impact by enhancing ownership and accountability; addressing the social and economic needs of affected people; building partnerships among entities and stakeholders; and harnessing the skills, experiences and knowledge of a wide range of stakeholders, such as civil society organizations (CSOs), community and local groups, and the private sector.

This Multi-Stakeholder Engagement Strategy brings clarity on the space and roles of stakeholders on GCF process. It provides for an avenue for meaningful engagement where stakeholders are to have timely and effective dissemination and access to environmental information,<sup>16</sup> collection and dissemination of environmental information,<sup>17</sup> that is public participation in the decision-making on specific activities,<sup>18</sup> concerning plans, programs and policies relating to the environment<sup>19</sup> and in languages and methods preferred by the affected communities<sup>20</sup> that allow for meaningful communication. Engaging stakeholders as early as possible is critically important to understand their views and interests to enable them to take ownership of the project.

#### **1.2.4. Stakeholders and their Engagement Priorities in Climate Finance Process in Ghana**

Ghana's response to climate change has seen several stakeholders from the public, private sectors, CSOs, and individuals over the last decade generating a wealth of knowledge and information for adaptation and mitigation options which feed into Ghana's low carbon climate resilient policies, plans and framework and the overall response measures in Ghana. Efforts are needed to support and identify stakeholders and their potential roles within GCF process to contribute towards national climate change priorities. MSES will thus ensure systematic and meaningful engagement of stakeholders in the GCF process, including GCF funded projects/programs as well as regular representation in country meetings, national planning, and dialogue exercise. Table 1 below presents the key stakeholders of GCF and potential areas of their engagement and involvement in the GCF process.

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<sup>16</sup> *Convention on Access to information, public participation in decision-making and access to justice in environmental matters Aarhus, Denmark 25 June, 1998) Article 4*

<sup>17</sup> *Aarhus Convention, Article 5*

<sup>18</sup> *Ibid., Article 6*

<sup>19</sup> *Ibid., Article 7*

<sup>20</sup> *Local communities directly affected by the project*

**Table 1: Key Stakeholders in the GCF process in Ghana**

Key stakeholders	Roles and Responsibility	Priority Sector Engagement
<p>NDA along with all MDAs, MMDAs work in GCF result areas and investment priorities</p>	<ul style="list-style-type: none"> <li>▪ Lead and manage the GCF investment process in Ghana relevant to GCF eight results areas and five cross-cutting investment priorities.</li> <li>▪ Engage in the GCF policy process, technical guidance and decision making in the Technical Committee and existing climate change institutional structure.</li> <li>▪ Develop a national climate change projects for Ghana aligning with the GCF eight result areas and five investment priorities for funding.</li> <li>▪ Monitor national efforts on low carbon and climate-resilient development pathway and develop appropriate policy and regulatory reform measures on national, sector policy and strategy to integrate climate action.</li> <li>▪ Build on low carbon climate resilient initiatives and engage/co-finance with other sources of funding.</li> <li>▪ Oversee the implementation of projects and programs funded by GCF in their respective sectors to ensure a paradigm shift in climate action are happening using GCF resources.</li> <li>▪ Ensure full integration of climate concerns in the respective levels of the national and local development plans, policies and strategies</li> </ul>	<ul style="list-style-type: none"> <li>▪ Government agencies with mandate covering or relevant to eight result areas regularly need to engage in the issue at that national and appropriate level.</li> <li>▪ Regular engagement of the GoG stakeholders in GCF process and GCF funded projects/programs</li> </ul>
Key stakeholders	Roles and Responsibility	Priority Sector Engagement
<p>Private sector and Financial Institutions</p>	<ul style="list-style-type: none"> <li>▪ Potential DAEs</li> <li>▪ Leverage GCF resources for low carbon, climate-resilient projects.</li> <li>▪ Scope nationally relevant and innovative mechanism to use GCF flexible financial instruments<sup>21</sup></li> </ul>	<ul style="list-style-type: none"> <li>▪ Private sector engagement is encouraged to achieve meaningful impact on the GCF eight result areas and six investment priorities to</li> </ul>

<sup>21</sup> Including grants, loan, equity and guarantee



	<ul style="list-style-type: none"> <li>▪ Participate actively in national policy and decision making process on climate change and advise on private sector opportunities and challenges in engaging with GCF</li> <li>▪ Scope the use of GCF private sector facility for nationally relevant low carbon climate resilience project and program.</li> <li>▪ Support capacity building effort of different private sector groups and local institutions.</li> </ul>	<p>demonstrate sustainable and productive use of the GCF fund.</p> <ul style="list-style-type: none"> <li>▪ Private sector should regularly engage with GoG stakeholders to demonstrate their potential in GCF process and GCF funded projects /programs</li> <li>▪ GCF encourages the private sector not to limit their focus or center on their own area of expertise</li> </ul>
Key stakeholders	Roles and Responsibility	Priority Engagement Sector
Civil Society Organisations (including national and international organisations) with climate change and climate finance focus, local based organisations, farmer groups, etc., whose activities responds or impacts on climate change	<ul style="list-style-type: none"> <li>▪ Actively participate in regular country meeting or national planning/dialogue exercise, and promotes low carbon and climate-resilient societies.</li> <li>▪ Support in GCF engagement process by raising the civil society voices in the country strategic framework including the Country Programming and climate change national priorities.</li> <li>▪ Provide substantial inputs on performance standards based on environment and social safeguards framework and developing a gender action plan of programs and project.</li> <li>▪ Support and facilitates the sustainability of GCF funded projects/programs.</li> <li>▪ Advocate civil society perspectives during GCF policy process in the Technical Advisory Committee and relevant existing climate change institutional structure.</li> </ul>	<ul style="list-style-type: none"> <li>▪ GCF encourages CSOs to actively and regular engaged and raise their voices in GoG GCF process and GCF funded projects/programs</li> <li>▪ Encourages the advocacy of CSOs in nationally relevant low carbon climate resilient strategic options and lesson learnt to GoG targeting GCF eight result areas and five investment priorities.</li> <li>▪ Sharing of learning and good practices at different forums</li> </ul>

	<ul style="list-style-type: none"> <li>▪ To share good practices, learning and challenges in national and international forum.</li> <li>▪ Drive CSOs to engage in innovative design and implementation of GCF eight result areas and investment priorities projects</li> </ul>	
<b>Key stakeholders</b>	<b>Roles and Responsibility</b>	<b>Priority Sector Engagement</b>
Research & Academic Institutions	<ul style="list-style-type: none"> <li>▪ Take lead in undertaking research, and gathering scientific evidence and knowledge to adopt appropriate low carbon climate-resilient development pathway in GCF result areas and investment priorities.</li> <li>▪ Take part in regular country meeting or national planning/dialogue exercise. Develop projects/programs around the GCF eight result areas and investment priorities</li> </ul>	Academic institutions regularly engage with GoG stakeholders in GCF process and GCF funded projects/programs by elucidating science based evidences in the eight result areas and investment priorities.

## CHAPTER 2: COUNTRY COORDINATION AND MULTI-STAKEHOLDER ENGAGEMENT MECHANISMS IN GHANA

### 2.1. Existing Coordination Mechanisms

Though the effectiveness varies, some mechanisms and structures are already in place for climate change and climate finance deliberations in Ghana, which can be used or built upon to drive GCF related activities.

**Table 2: Existing Coordination Mechanisms**

<b>Mechanisms</b>	<b>Purpose and structure</b>	<b>Participating stakeholders</b>	<b>Possibilities to use this mechanism for climate finance/GCF process</b>
NDATAC	Provide technical advice to the NDA-Focal Point on all GCF activities more especially on entity accreditation, project reviews, etc.	Government, private sector and CSOs	This group is operational, thus, can help provide technical support to the NDA in the GCF process
GCF Admitted CSO Observers-Ghana	Solicit, collect and communicate information from CSOs to the Board on matters that the Board is considering and represent the views of their constituency	CSOs/NGOs admitted to the GCF	A well-functioning platform that must be engaged by the NDA on projects and programs review as well as on policy design and board decisions.
National Climate Change Steering Committee	To demonstrate the government's commitment to addressing climate change in Ghana by providing a strategic framework for the implementation of the climate change policy.	MDAs, CSOs and NGOs, private sector	This committee is active and thus can be consulted by the NDA to help with implementation.
National Adaptation Planning(NAP) Steering Committee	A committee engaged in promoting the implementation of enhanced action on adaptation	Government, Private Sector and GCF Admitted CSOs	The committee can be consulted to provide technical support and guidance on GCF adaption projects
Climate Action Network-Ghana	A group involved in climate change negotiations, knowledge management,	CSOs/NGOs admitted to the UNFCCC	This network is functional and can be relied upon for technical backstop on climate change issues, dissemination,

	climate learning, sharing and coordination		information sharing, knowledge management and coordination
GEFCSO Network	CSOs contributing to policy formulation of GEF and advocating strong public participation in all stages of implementing GEF policy, project and programs.	CSOs/NGOs admitted to the GEF	The network is active and can be relied on for best practices and support GCF policy and programs formulation and implementation
<b>Mechanisms</b>	<b>Purpose and structure</b>	<b>Participating stakeholders</b>	<b>Possibilities to use this mechanism for climate finance/GCF process</b>
National REDD+ Working Group	A multi-stakeholder group providing inter-agency backing to the development of REDD+ readiness activities	Government, CSOs, traditional leader, private sector	This group is in action and presents a valuable source of technical support for the GCF process.
KASA Initiative	A platform created to promote consultations and participation among CSOs, state and development partners on Natural Resource and Environment	Autonomous coalition of CSOs in climate change, forestry, water and sanitation, oil and gas, mining, fisheries and land	The platform is relatively functional and can be relied upon for GCF purpose of advocacy and information sharing.

## 2.2. Current Practice in Multi-Stakeholder Engagement Mechanisms in Climate Change finance in Ghana

The roles of central and local government, citizens, traditional authorities, civil society organizations, academia, development partners, donor agencies, and the private sector in contributing to sustainable development outcomes are recognized in climate change and financing processes in Ghana. As such, stakeholder engagements have been carried out in many climate change and climate finance programs, policies, plans and strategies at the national, sub-national, and local levels. These include the GCF Readiness Program, the development of NDA Operational manual, the Climate Change Finance Tracking Tool Manual for Ghana, Climate Change Project Prioritization Tool and Guidelines, the MRV of Climate Finance Guidance Tool, GCF National Adaptation Framework, as well as National Biodiversity Strategy and Action Plan (NBSAP), Global Environment Facility's National Portfolio Formulation Exercise, the National Climate Change Policy, Ghana's Nationally Determined Contributions, and the REDD+ strategy. At all the levels, the engagement processes aim to promote shared ownership, environmental sustainability and progress on sustainable

development that leaves no one behind. Some form of stakeholder engagements have been observed in climate policy process in the country.

However, in the current approach of developing climate focus funding proposals, proponents do not fully engage stakeholders at the planning and full project preparation stages. The stakeholders are rather involved in the implementation if the project is approved. Project steering committees are mostly formed after the approval of projects and in some cases, the selection of persons into the committees is also ad- hoc.

Following the observed engagement procedure, workshops, surveys, invited comments, government and expert consultations, come up as the common ways to undertake stakeholder engagement, as they are considered to be the most accessible and cost-efficient ways of coordination and engagement. Three *levels* of engagement mechanisms are thus identified;

- Information sharing – Providing balance and objective information to assist them in understanding the problems, alternatives, opportunities and solutions.
- Extraction – To gain stakeholders’ information, which might or might not be shared in subsequent forums
- Consultation – Obtaining feedback on analyses, alternatives and decisions.

The many multilateral financial mechanisms and development agencies, such as the Global Environment Facility,<sup>22</sup> the Climate Investment Funds, and the Adaption Fund,<sup>23</sup> the Clean Development Mechanism, UN Environment,<sup>24</sup> and the International Finance Cooperation,<sup>25</sup> all have either clearly developed stand-alone policies on effective stakeholder engagement mechanisms, or have it mainstreamed into their operations such as their institutional and governance frameworks. Therefore, many projects and programs financed by these international and multilateral financial mechanisms require full and transparent stakeholder engagement in projects, programs, policies, plans and strategies as they are mandated to support transformative elements in the sustainable development agenda related to inclusivity, leaving no one behind and partnership.

### 2.3. Multi-Stakeholder Engagement Policies in Ghana

Ghana has regulations, laws, and cross-cutting sector policies that contain commitments to promote stakeholder engagement –the 1992 Constitution,<sup>26</sup> the Environmental Impact Assessment (EIA),<sup>27</sup> and the Natural Resource and Environmental Governance (NREG) document on stakeholder engagement and other cross-cutting international rules and protocols Ghana response to such as – Aarhus Convention,<sup>28</sup> Agenda 21,<sup>29</sup> The Rio

<sup>22</sup> Global Environment Facility. *Guidelines on the Implementation of the Policy on Stakeholder Engagement*

[https://www.thegef.org/sites/default/files/documents/Stakeholder\\_Engagement\\_Guidelines.pdf](https://www.thegef.org/sites/default/files/documents/Stakeholder_Engagement_Guidelines.pdf)

[https://www.thegef.org/sites/default/files/council-meeting-documents/EN\\_GEF.C.53.05.Rev\\_.01\\_Stakeholder\\_Policy\\_4.pdf](https://www.thegef.org/sites/default/files/council-meeting-documents/EN_GEF.C.53.05.Rev_.01_Stakeholder_Policy_4.pdf)

<sup>23</sup> Adaptation Fund, *Environmental and Social Policy*: [https://www.adaptation-fund.org/wp-content/uploads/2013/11/Amended-March-2016\\_-OPG-ANNEX-3-Environmental-social-policy-March-2016.pdf](https://www.adaptation-fund.org/wp-content/uploads/2013/11/Amended-March-2016_-OPG-ANNEX-3-Environmental-social-policy-March-2016.pdf)

<sup>24</sup> UN Environment. *Stakeholder Engagement Handbook*. [http://wedocs.unep.org/bitstream/handle/20.500.11822/7449/-Handbook\\_for\\_Stakeholder\\_Engagement\\_at\\_UNEP-2015Handbook\\_for\\_Stakeholder\\_Engagement\\_at\\_UNEP.pdf?sequence=3&isAllowed=y](http://wedocs.unep.org/bitstream/handle/20.500.11822/7449/-Handbook_for_Stakeholder_Engagement_at_UNEP-2015Handbook_for_Stakeholder_Engagement_at_UNEP.pdf?sequence=3&isAllowed=y)

[http://wedocs.unep.org/bitstream/handle/20.500.11822/7449/-Handbook\\_for\\_Stakeholder\\_Engagement\\_at\\_UNEP.pdf?sequence=3&isAllowed=y](http://wedocs.unep.org/bitstream/handle/20.500.11822/7449/-Handbook_for_Stakeholder_Engagement_at_UNEP.pdf?sequence=3&isAllowed=y)

<sup>25</sup> *The principle of Stakeholder Engagement is directly reflected in the International Finance Corporation’s Guidance Notes: Performance Standards on Environmental and Social Sustainability*: pages 29-32.

<http://www.ifc.org/wps/wcm/connect/efdaaa8043649142947696d3e9bda932/Guidance+Notes+to+Performance+Standards+on+Environmental+and+Social+Sustainability.pdf?MOD=AJPERES>

<sup>26</sup> Republic of Ghana. 1992 Constitution

<sup>27</sup> Environmental Protection Agency. *Environmental Assessment Regulation 1999, Ghana*

<sup>28</sup> Convention on Access to Information, Public Participation in Decision-Making and Access to Justice in Environmental Matters (Aarhus, Denmark 25 June, 1998). *Ibid.*

<sup>29</sup> United Nations. *UN Conference on Environment and Development. Agenda 21. (Rio de Janeiro, Brazil, 3 to 4 June, 1992)*. *Ibid.*

principles-10,<sup>30</sup> and Article 6 of the UNFCCC,<sup>31</sup> serve as a framework which anchors stakeholder engagement in national processes.

The policies outline standards and good practices with respect to the establishment of long-term mechanisms and formal arrangement for effective multi-stakeholder engagement in climate change finance. They have the potential to create inclusive spaces for ongoing discussions about priorities and progress, knowledge sharing and partnership development.

This provides a good opportunity to build on existing best practice guidelines and to strengthen and clarify the requirements for stakeholder engagement in all GCF processes. According to Ghana's national policies, stakeholder consultations have been in existence particularly as part of EIA requirements. The EIA provides a good guidance for stakeholder participation, including proposals on choosing stakeholders representatively, introducing tasks clearly, explaining expected discussion issues to the public, etc. The document also describes and recommends several stakeholder participation mechanisms with guidelines, including public hearing, public notice, and expert consultations.

This strategy has been developed at a time when multilateral financial institutions providing international project finance are increasingly making multi-stakeholder engagement as a condition for funding.

#### **2.4. Linkages and Gaps in Multi-Stakeholder Engagement with GCF Best Practices**

As discussed in chapter 2.3 above, Ghana has a number of existing guidelines (including those enshrined in the EIA, the 1992 Constitution and other international protocols) on how to conduct and validate stakeholder engagements. The current stakeholder engagement practices in Ghana reveal that stakeholders have been engaged in most policies, plans and strategic development processes and this may or to some extent imply a response to the GCF operational guidelines/best practices on stakeholder engagement.

However, analysis of the engagement procedures identified in Ghana falls short of the best practices of GCF. The GCF emphasizes on country ownership – which means that climate programs and projects should be designed through transparent, sovereign and democratic processes that ensure robust and full participation of all relevant stakeholders<sup>32</sup> especially the target group directly impacted by the formulating, planning, implementation, monitoring and evaluation of climate-responsive activities.

The process must be timely, open and inclusive, transparently conducted and documented. In the case of projects, proponents must demonstrate these best practices as a precondition for project evaluation and validation. Though, it was identified in the current mechanism that tasks of stakeholder engagement are well explained to the stakeholders, there is still lack of early involvement and independence in the engagement processes.

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<sup>30</sup> United Nations. *UN Conference on Environment and Development. Rio Declaration on Environment and Development. Principle 10.* (Rio de Janeiro, Brazil, 3 to 4 June, 1992). *Ibid.*

<sup>31</sup> UNFCCC. *Education, Training and Public Awareness. (1992), Article 6.* *Ibid.*

<sup>32</sup> The Green Climate Fund. *Governing Instrument – Paragraph 71.* Accessed March 25, 2020. <https://www.greenclimate.fund/sites/default/files/document/governing-instrument.pdf>  
Green Climate Fund. *Report of the twenty-fourth meeting of the Board (12 – 14 Nov. 2019)*  
<https://www.greenclimate.fund/sites/default/files/document/gcf-b24-18.pdf>

The current engagement practices thus revealed several gaps and challenges which are not only caused by vague stakeholder engagement but are mainly the result of;

- the deliberate choice of participating stakeholders, which are likely to be favourable to the project owner/developer
- lack of clear guidance on how to organise, structure and carry out stakeholder engagement
- the absence of standardised criteria for selecting stakeholder
- lack of stakeholder analysis
- inappropriate selection of stakeholders, and
- the fact that most decisions are made during government and expert consultation, and the local residents are involved at a late stage, with little scope to influence the project design.

In spite of the existing coordination mechanisms (which have been identified in chapter 2.1), and the many multi-stakeholder engagement practices which exist at the national level, local communities and among CSOs, a number of projects have come under criticism for disregarding existing guidelines in the process and for hampering the ownership of projects/programs. These sometimes lead to disagreement, stakeholder capture, poor feedback, inadequate technical competence of representatives, lack of sustainability of projects and programs.

To ensure an effective multi-stakeholder engagement in climate change and finance processes, there is a general need to develop good practice guidance for participation methods. Good practices respect the principles of effective stakeholder engagement moving beyond standard practices or business-as-usual approaches and grounded in commitments to transparency and accountability discussed into detail under chapter 3.



## CHAPTER 3: GUIDING PRINCIPLES OF MULTI-STAKEHOLDER ENGAGEMENT

The selection of good practices is informed by established principles for effective multi-stakeholder engagement that aim to ensure meaningful, inclusive, sincere and purposeful approaches to carry out GCF operations in Ghana. The following principles therefore outline the NDA's commitment to ensure an effective multi-stakeholder engagement:

**Free, prior and Informed Consent** – Effective consultation and application of free, prior and informed consent of local communities and vulnerable groups must be ensured through appropriate procedures and in particular through their representatives whenever consideration is being given to climate change financed activities that will affect local communities' lands, resources, livelihoods and cultures or require their relocation.

**Gender Responsive** – Effective engagement must be gender-sensitive. Meaning consultations must ensure consideration of the interest, needs and priorities of both women and men in the design, development, implementation, and monitoring and evaluation of all climate finance activities.

**Timely** – Effective multi-stakeholder engagement should be timely. This means that stakeholders are given sufficient time frames for their engagement that are well established and communicated in advance of actual engagement opportunities to ensure: (i) views can be aired within stakeholder groups (ii) informed inputs (either consensus or an agreement to disagree) can be prepared by those stakeholder groups.

**Open and inclusive** – The pledge to leave no one behind means that engagement mechanisms should be open and inclusive, providing all people especially women with opportunities to participate. Openness, however, is not sufficient to ensure inclusivity. Extra efforts are often needed to ensure the presence and participation of people and groups that are most often left behind and it should be in such a way that it does not obviously favour more powerful or vocal groups. Providing information in local languages where necessary and making use of a range of methods for engagement, including both offline and online options, are also important. Inclusivity can be bolstered by working with representative organizations for non-state actors, such as civil society platforms and business associations.

**Transparency**–Multi-stakeholder engagement should be transparent, with information on engagement processes and plans being clear and widely communicated. Moreover, information related to engagement processes should be published in a timely fashion. This means information and documentation that inform engagement processes are published in advance and feedback is provided to participants during the follow-up to engagement processes. To ensure that they can participate in a free, prior and informed manner in decisions making, opportunity will be provided by stakeholders to meaningfully consult with the relevant parties with actual decision-making power at levels of the State as well as with other stakeholder groups.

**Information** – Effective multi-stakeholder engagement requires that participants are informed about the purpose of engagement, how their inputs will be used and the overall expected outcomes. Documentation should be provided ahead of all interactions with ample time, clear deadlines and appropriate tools to provide feedback. There should also be follow-up reports and documentation on how inputs have been considered.

**Iterative** – Effective multi-stakeholder engagement should be iterative. Engagement is not a sing process or event but rather a continuous process where multiple opportunities for ongoing



engagement exist for different stakeholders. Dialogue should be two-way between those hosting the consultations and those in attendance with mechanisms for engagement institutionalized to provide long-term dialogue for continuous input from non-state actors. Embedding engagement mechanisms within institutions and as part of regular practices is important to ensure their longevity through changes in governments.

**Accountability** – A commitment is made to accurately capture stakeholders’ views, clearly acknowledge them, factor them into decision-making and ensure that they are taken into account in such a manner that their acceptance or rejection in the outcome is evident (recognising that - where divergent views are expressed there are reasonable and transparent statutory).

**Flexibility** – Methods of engagement should be discussed with stakeholder groups in advance and will be flexible in the face of unforeseen circumstances or disputes.

**Leave no one** – Leaving no one behind is as much about achieving results that accelerate progress for marginalized and vulnerable groups as it is about people and their inclusion in the process. Although Ghana has much to be proud of, including its strong democratic and social institutions, many people in the Ghanaian society are at risk of being left behind. Local communities, people with disabilities, women, youth and the aged. Therefore, strong multi-stakeholder engagement on climate change and finance implementation must be **meaningfully** done to address the gaps.

There are several key elements to “**meaningful consultation**”<sup>33-34</sup> Meaningful consultation and participation is a two-way process that:

- Begins early in the project identification and planning process to gather initial views.
- Encourages stakeholder feedback and engagement in the project development and design process.
- Continues during the development and implementation of a project
- Is based on the prior disclosure and dissemination of relevant, transparent, objective, meaningful and easily accessible information in a timely manner and culturally appropriate format
- Considers and responds to feedback.
- Supports active and inclusive engagement with project-affected parties.
- Is free of external manipulation, interference, coercion, discrimination, and intimidation; and
- Is documented and disclosed.

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<sup>33</sup> Adapted from Global Environment Facility Update draft Guidelines on Stakeholder Engagement (October, 22, 2018)

<sup>34</sup> GCF: Sustainability Guidance Note: Designing and Ensuring meaningful stakeholder engagement on GCF-Financed projects (April, 2019)

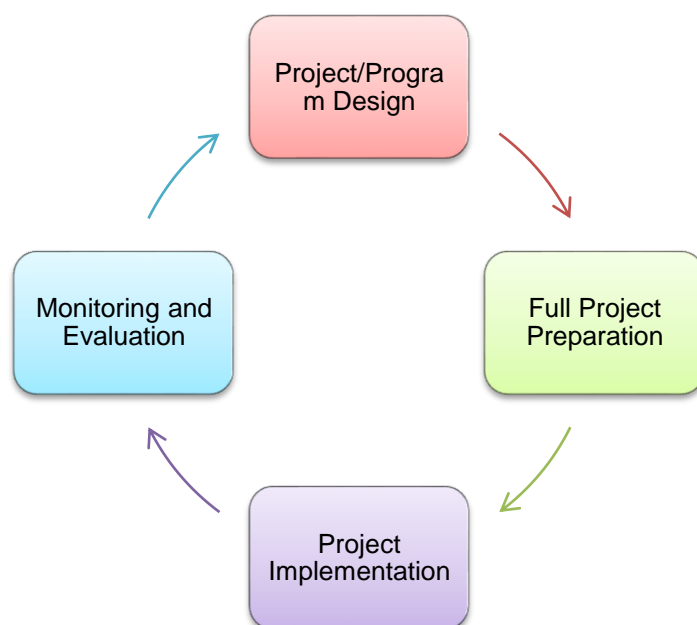
## CHAPTER 4: MANDATORY REQUIREMENTS FOR MULTI-STAKEHOLDER ENGAGEMENT

Building on existing experience and systematically scaling-up multi-stakeholder engagement in the NDA’s operational work, and in a manner that is consistent with Ghana’s policy frameworks, and in particular, the GCF guidelines, this strategy sets out mandatory requirements in two key areas: (A) program and project cycle – determine the role of the NDA and the DAEs/IAEs is determined at all stages; and (B) General activities led by the NDA.

### 4.1. Program and Project Cycle

Drawing from the experiences of the GEF and the existing GCF guidelines,<sup>35</sup> the NDA requires that in submitting project proposals to the GCF a multi-stakeholder engagement must be undertaken at each stage of the entire project/program cycle – from policy, program/project idea through to its closure. This will be required as a precondition for project review, and issuance of the letter of No-Objection. The NDA’s endorsement would ratify that the project has been discussed with relevant key stakeholders – list of stakeholders with their contacts engaged must be provided. The Program and Project Cycle is adapted from the Global Environment Facility.<sup>36</sup>

Figure 1: Project and Program Cycle



#### 4.1.1. Project/Program Development or Design

Proponent provides a description of any consultations conducted during project development, as well as information on how Stakeholders will be engaged in the proposed activity, and means of engagement throughout the project/program cycle.<sup>37</sup> DAEs, IAEs, NDA, proponents,

<sup>35</sup> GCF: Sustainability Guidance Note: Designing and Ensuring meaningful stakeholder engagement on GCF-Financed projects (April, 2019)

<sup>36</sup> Adapted from Global Environment Facility Update draft Guidelines on Stakeholder Engagement, (October, 22, 2018)

<sup>37</sup> Adapted from Global Environment Facility. Ibid.

and executing agencies should all carefully evaluate the roles that different stakeholders may play in project design and implementation.

Effective engagement of stakeholders at this early stage helps to ensure that project concepts demonstrate country-ownership and support from beneficiaries, civil society, local communities and other stakeholders. It allows identification of potential impacts on stakeholders in the project’s area of influence, the roles that they may play, and the flagging of issues, gaps and opportunities in project design at a time when adjustments are most easily made. Since the focus is in developing a project “concept”, and not a fully-prepared project, at this early stage, the stakeholder engagement should be tailored to the relevant issues and needs.

**Table 3: The Role of the NDA and DAEs/IAEs at the Project/Program Concept stage**

<p><b>Role of NDA</b></p>	<ul style="list-style-type: none"> <li>- Prior to the Technical review of concept notes by the TAC, NDA must satisfy itself that the DAEs/IAEs/proponents have undertaken the appropriate stakeholder engagement required before submitting concept note for review.</li> <li>- The NDA should request for description of any consultations conducted during project development, as well as information on how Stakeholders will be engaged in the proposed activity, and means of engagement</li> <li>- NDA should consult stakeholders on their willingness and availability to participate actively in the design, execution, monitoring, and evaluation of policy, project and program.</li> <li>- NDA must ensure dialogue, outreach and consultations reflect the purposes of the activity, including on engagement with local communities, and equal opportunities for both women and men to engage in consultations and decision-making</li> </ul> <p><b><i>Detailed checklist for ensuring effective stakeholder engagement at the concept stage is attached in Annex C for the NDA’s use. Results of the checklist must be attached to the concept for the TAC’s decision.</i></b></p>
<p><b>Role of the DAEs/IAEs and proponents</b></p>	<ul style="list-style-type: none"> <li>- DAEs and IAEs should raise awareness of project preparation and find tailored ways to mobilize key stakeholders and approaches for their effective engagement at this stage.</li> <li>- The potential roles of different stakeholders and project beneficiaries, including civil society organizations and local communities, in each stage of the project should be identified.</li> <li>- The project concept note should reflect the roles that different stakeholders may play in project design and implementation.</li> <li>- engage stakeholders in an inclusive and gender-responsive manner, as appropriate to the project concept under consideration, to seek feedback on the proposed approach and on adapting it to local conditions</li> <li>- Make available relevant information to interested stakeholders and create an appropriate means for dialogue and/or consultations.</li> <li>- Provide advance information on the project concept(s) under consideration and the issues for discussion, in a format and manner that is easily accessible according to the context.</li> <li>- Should the DAEs, IAEs decide to assess Project Preparation Grant a stakeholder consultation is an eligible activity under this phase.</li> </ul>

### 4.1.2. Project Preparation

This is the time in which an initial project concept is fully designed and developed into what will be implemented – a major opportunity for direct and effective engagement of stakeholders is thus provided. Careful documentary of the public engagement during project development and preparation, including summary reports of stakeholder consultations and data on stakeholders and beneficiaries should be made available in a form and language appropriate to the relevant stakeholders and disseminated proactively to them. Where necessary, it would also be posted by the NDA Secretariat on its website as part of the project documentation.

**Table 4: The Role of the NDA and DAEs/IAEs at the full Project/Program Preparation stage**

<p><b>Role of NDA</b></p>	<ul style="list-style-type: none"> <li>- Prior to the Technical review of full proposal by the TAC, NDA should satisfy itself that the DAEs/IAEs/proponents have undertaken the appropriate stakeholder engagement before submitting proposal for review.</li> <li>- NDA should request for Stakeholder Engagement Plans from the DAEs/IAEs/proponents.<sup>38</sup> The SEP needs to contain information on stakeholders who have been and will be engaged, means of engagement, dissemination of information, roles and responsibilities in ensuring effective stakeholder engagement, resource requirements, and timing of engagement throughout the project/program cycle</li> <li>- Where appropriate, particularly in category A or B project proposals, the NDA should request the DAEs/IAEs/proponents to provide ESMP in addition to the SEP.</li> <li>- If the NDA has any reason to believe that meaningful stakeholder engagement is not carried out, particularly where those who will be directly affected by or involved in the project are not effectively engaged, the letter of No-Objection should not be issued until the DAEs/IAEs/Proponents produce evidence of stakeholder engagements undertaken.</li> </ul> <p><b><i>Detailed checklist for ensuring effective stakeholder engagement at the full proposal preparation stage is attached in Annex D for the NDA's use. Results of the checklist must be attached to the proposal for the TAC's decision.</i></b></p>
<p><b>Role of the DAEs/IAEs and Proponents</b></p>	<ul style="list-style-type: none"> <li>- Evidence of the engagement process through the project cycle must be made available to the NDA. In cases where confidentiality is necessary to protect stakeholders from harm, statistical information is recorded and made publicly available.</li> <li>- DAEs/ IAEs must provide comprehensive Stakeholder Engagement Plan to the NDA. The SEP should contain but not be limited to;             <ul style="list-style-type: none"> <li>- The stakeholders, their relevant interests, and why they are included</li> <li>- The steps and actions to achieve meaningful consultation and inclusive participation, including information dissemination</li> <li>- Roles and responsibilities for implementation of the Plan</li> <li>- The timing of the engagement throughout the project cycle</li> </ul> </li> </ul>

<sup>38</sup> SEP template is attached in Annex G. The scope and detail of the plan may vary according to the nature of the project, the number of stakeholders and the potential impact of the project and its risks.

	<ul style="list-style-type: none"> <li>- The budget for stakeholder engagement throughout the project cycle and, where applicable, for related capacity-building to support this engagement</li> <li>- Key indicators of stakeholder engagement during project implementation, and steps that will be taken to monitor and report on progress and issues that arise</li> <li>- Consultations and workshops should be organized to reach out to stakeholders and communities where the project would be implemented, including those identified during project concept stage, to seek their inputs and feedback on the approach and design of the project. This includes consultations associated with the preparation of required safeguard documents and other information, including as applicable: <ul style="list-style-type: none"> <li>- Social and Environmental Impact Assessments</li> <li>- A Gender Analysis or equivalent Socio-Economic Assessment</li> <li>- Engagement and participation of local community</li> </ul> </li> <li>- <b>Review of proposed activities:</b> Information on a draft of the proposal should be circulated to relevant stakeholders, and dialogue should be conducted particularly with those who will be directly affected by or involved in the project in appropriate languages.</li> <li>- <b>Identification of Partners:</b> Once needs and proposed projects/ elements have been validated or redesigned as a result of consultations, appropriate partnerships may be sought to execute the proposed activities. The selection of partners to execute the different components of a project, which may <i><b>include CSOs or others, should be based on their background and experience in the area that the project is addressing as well as other relevant factors.</b></i></li> <li>- <b>Inclusive Participation:</b> All dialogues and consultations should follow the same principle of inclusiveness as in the earlier stage, including the full range of potentially interested and affected stakeholders</li> </ul>
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#### 4.1.3. Implementation

This is the time when projects are implemented on the ground, managed and monitored. It is a critical period when things may either go right or wrong in a project. Also at this stage, new circumstances and opportunities may arise that indicates a need for adjustment and course correction to fully achieve the objectives and best results of the project.

**Table 5: The Role of the NDA and DAEs/IAEs at the Project/Program Implementation**

<b>Role of NDA</b>	<ul style="list-style-type: none"> <li>- Proponent/DAEs/IAEs/NDA oversees the implementation of the Stakeholder Engagement Plan.</li> <li>- Should the proponent/DAEs/IAEs fail to further observe the engagement plan in moving forward, the NDA shall raise an objection to the GCF to withhold the implementation of the project.</li> </ul>
<b>Role of the DAEs/IAEs and proponents</b>	<ul style="list-style-type: none"> <li>- The DAEs and IAEs should follow their policies and procedures regarding stakeholder engagement</li> <li>- The DAEs and IAEs should engage the NDA in the entire project cycle.</li> <li>- They must ensure the effective implementation of the SEP</li> </ul>

	<ul style="list-style-type: none"> <li>- Continue outreach, dialogue and consultations with stakeholders, in line with the Strategy and Stakeholder Engagement Plan. Particularly; <ul style="list-style-type: none"> <li>- Identify the role of stakeholders in project execution</li> <li>- Indicate how concerns will be addressed, including how stakeholder input will be built into project implementation</li> <li>- Establish partnerships to support project implementation; and</li> <li>- Ensure Stakeholders are engaged in respect to environmental and social issues related to the project, and are informed about actions taken in response to their inputs.</li> <li>- Propose modification to the projects ass and when necessary due to new developments.</li> </ul> </li>   <li>- The DAEs/IAEs will attach a letter of commitment to the concept note and the full project proposal – <b>template letter of commitment attached in Annex E.</b></li> </ul>
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#### 4.1.4. Monitoring, Evaluation and Reporting

Monitoring and evaluation are important not only for donors and implementing agencies, but also for project beneficiaries. No matter how development specialists measure the technical outcomes of a project, the criteria beneficiaries use to evaluate their own experiences will determine the sustainability of a project<sup>39</sup>—this thus calls for participatory M&E. The stakeholder groups typically involved in participatory M&E include *project beneficiaries* (including women and men, youth groups at the community level), *intermediary organizations* (including NGOs), private sector firms involved in the project, project staff, and government authorities at all levels.

**Table 6: The Role of the NDA and DAEs/IAEs at Monitoring and Evaluation**

<b>Role of NDA</b>	<ul style="list-style-type: none"> <li>- <b>Reporting to TAC</b> – The NDA should make available project report to the TAC including the number and share of projects that effectively engage Stakeholders, and using gender-disaggregated data where appropriate.</li> </ul>
<b>Role of the DAEs/IAEs and proponents</b>	<ul style="list-style-type: none"> <li>- <b>Project implementation reports</b> – Proponent/DAEs/IAEs are required to make available to the NDA, mid-term report and terminal evaluation with information on the progress, challenges and outcomes in the project implementation.</li> <li>- Proponents/DAEs/IAEs are to seek partnership opportunities with relevant CSOs and key stakeholders in the monitoring and evaluation of projects and programs.</li> <li>- They must provide effective avenues for continued input from affected stakeholders and communities regarding progress, issues and opportunities arising during project implementation. This should be based on gender inclusion and other core principles in the strategy.</li> <li>- <b>Evaluation</b> - monitoring and evaluation is a shared responsibility involving different levels, partners and functions. Both monitoring and evaluation processes must fully draw on the capacities and knowledge of scientific advisors, governments, local stakeholders, and beneficiaries.</li> </ul>

<sup>39</sup> Africa Development Bank. Handbook on Stakeholder Consultation and Participation in ADB Operations. pg.21

**Table 7: Participatory and Conventional Approaches to M&E**

	<b>Conventional M&amp;E</b>	<b>Participatory M&amp;E</b>
Who	External experts	Stakeholder, including communities and project staff, outside facilitator
What	Predetermined indicators, to measure inputs and outputs	Indicators identified by stakeholders, to measure process as well as outputs
How	Questionnaire surveys, by outside “neutral” evaluators, distanced from project	Simple, qualitative or quantitative methods, by stakeholders themselves
Why	To make project and staff accountable to funding agency	To empower stakeholders to take corrective actions

*Source: Adapted from Rietbergen-McCracken and Narayan, 1997.*

#### **4.2. Multi-Stakeholder Engagement in the General Roles and Activities of the NDA**

At the beginning of each GCF replenishment cycle, the NDA would have to organize a consultative process to establish priorities for the Country-program of GCF-financed projects and programs during the replenishment period particularly;

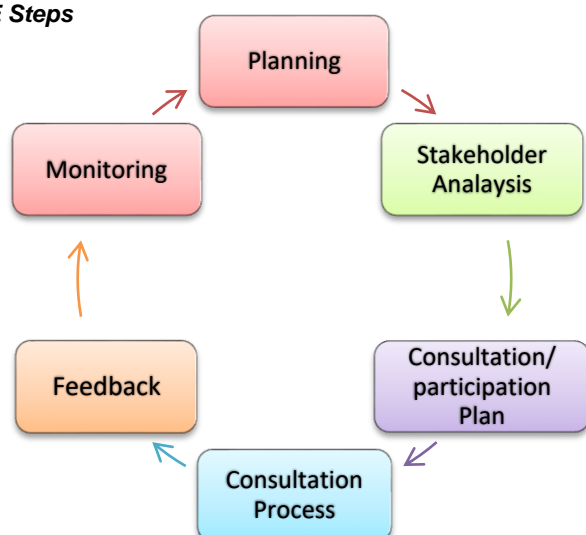
- NDA should raise awareness of the GCF and find tailored ways to mobilize key stakeholders and approaches for their effective engagement.
- When considering policy, project and program ideas (e.g., Country Programming), NDA should consult all relevant stakeholders including GCF admitted CSOs on their willingness and availability to participate actively in the design, execution, monitoring, and evaluation of policy, project and program.
- The NDA should observe and engage with all convention focal points, DAEs, and IAEs in all other GCF-financed activities, following the principles set out in chapter 3 & 4.3.
- Annually, the NDA should host a forum for the Convention Focal Points and key national stakeholders to exchange information about past and ongoing projects and share updates on project development within the country, including opportunities for CSOs and project beneficiaries’ involvement in these initiatives. Private sector engagement is strongly encouraged in such forums to leverage GCF resources for low carbon, climate-resilient projects.
- NDA should ensure dialogue, outreach and consultations reflect the purposes of the activity, including on engagement with local communities, and equal opportunities for both women and men to engage in consultations and decision-making.



## CHAPTER 5: METHODS AND TOOLS FOR MULTI-STAKEHOLDER ENGAGEMENT

All stakeholder wishing to engage the NDA and access GCF funds are to endeavor to demonstrate the use of these methods and tools, or its equivalent to engaging the stakeholders. Therefore, whilst it applies to the NDA, all projects/programs seeking GCF funds will be subjected to this engagement strategy - six approaches/steps and a list of tools have been identified in this document.

**Figure 2: MSE Steps**



### 5.1. Step 1 – Planning

The first, and perhaps the most critical, step in the stakeholder engagement process is to identify why the engagement activity is necessary, what outcomes are aimed for, and the scope and context of the engagement. No stakeholder engagement strategy can be devised without considering the reasons for engagement, and what is being sought from the process.<sup>40</sup> It thus involves identifying the basic objectives that for example, the NDA wants to achieve, the issues to address and the scope of stakeholders that NDA would like to prioritise in the engagement process.

### 5.2. Step 2 – Comprehensive Stakeholder Analysis and Mapping

After clearly establishing the reason for engagement, the next process is to identify the key stakeholders and understand their interests in respect of the policy, project and program, including those who bring expert knowledge into the process. It is important to note that the determination of stakeholders is dependent on the outcome and impact of the policy, project /program, availability of resources, objectives of the engagement, and the willingness of the stakeholders to be engaged.<sup>41</sup> Since identifying the right stakeholder determines the outcomes of the engagement process, effectiveness of the engagement process is very much important.

<sup>40</sup> Accountability. AA1000 Stakeholder Engagement Standard (2011), 52. <http://www.accountability.org/standards/aa1000ses/index.html>  
EDIT. Stakeholder Engagement in Biodiversity and Environmental Projects – component 4.1.2BIS. Project Report (2007), 37. <http://www.e-taxonomy.eu/files/StakeholderReport1.pdf>

Anderberg, S. Stakeholder Involvement and Dialogue in LUsTT. Briefing Paper. (2010), 19.

Morris, J. And Baddache, F. Back to Basics: How to make stakeholder engagement meaningful to your company. (BSR Europe, 2012), 19 [http://www.bsr.org/reports/BSR\\_Five-Step\\_Guide\\_to\\_Stakeholder\\_Engagement.pdf](http://www.bsr.org/reports/BSR_Five-Step_Guide_to_Stakeholder_Engagement.pdf)

<sup>41</sup> Durham E., Baker H., Smith M., Moore E. & Morgan V. The BiodivERSA Stakeholder Engagement Handbook. (BiodivERSA, Paris, 2014), 36-38.



The outcome of the identification process then informs the level of engagement. Stakeholder analysis can be considered to have three stages.<sup>42</sup>

Stage 1: Identification of all potential stakeholders and stakeholder groups

Stage 2: Assess, categorisation and prioritisation of the stakeholders

Stage 3: Developing an understanding of your stakeholders

### **Stage 1: Identification of all potential stakeholders and stakeholder groups**

- Identification by the impact and interest (i.e., directly/indirectly affected, possible interest, general interest)
- Identification by sector (i.e., public, private/business, NGO/CSOs, individual, community, government)
- Identification by location (i.e., local, regional, national, neighbouring countries, international)
- Identification by dimension (i.e., institutional, economic, ecologic, social)
- Identify stakeholders with project/program team only or identify stakeholders in collaboration with a small number of cross-sectorial stakeholders.
- Use ex-ante (identifying stakeholders in predefined categories) or ad-hoc (identifying new stakeholders iteratively based on recommendations from existing stakeholders) approach to systematically identify all relevant stakeholders.
- Ask experts, staff, government agencies, non-governmental organisations, local people, interested groups, or academics who have a lot of knowledge about the policy context
- From an oral or written accounts of major events, ask stakeholders to describe the major events relevant to the policy context and the people who were involved in these events
- Re-assess who has a stake in your project/program regularly throughout the project/program cycle.

### **Stage 2: Assess, categorisation and prioritisation of the stakeholders**

Once the identification process has generated comprehensive list of all relevant stakeholders, including the relevant sectors, this stage assesses and analyses or maps the stakeholders in order to prioritise them – in relation to the necessary form of engagement – engagement levels may defer from stakeholder to stakeholder. **Stakeholder mapping** is required to further determine which groups and individual representatives are most important to engage with in relation to the purpose and scope of the participation. There are various methods for mapping stakeholders – commonly among them are the “rainbow diagram” and “stakeholder interest and influence matrix.”

This Strategy discusses the most used approach, that is, categorising stakeholders in relation to their relative levels of interest and influence,<sup>43</sup> and then goes further to determine the engagement level – collaborate, involve, consult, inform, or empower (see the example in figure 3 and box 1– adapted from ICIAT, 2018)<sup>44</sup> – table 8 provides further explanation to each type/level of engagement. The stakeholder interest/influence matrix is used to map stakeholders by understanding the relationships between the stakeholders and the policy.

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<sup>42</sup> Reed, M.S., Graves, A., Dandy, N., Posthumus, H., Hubacek, K., Morris, J., Prell, C., Quinn, C.H. And Stringer, L.C. 2009. *Who's in and why? A typology of stakeholder analysis methods for natural resource management. Journal of Environmental Management (90, 1933–1949)* <http://sustainable-learning.org/wp-content/uploads/2012/01/Who%E2%80%99s-in-and-why-A-typology-of-stakeholder-analysis-methods-for-natural-resource-management.pdf>

<sup>43</sup> Lindenberg, M.M. and Crosby, B.L. *Managing Development: The Political Dimensions.* (Kumarian Press, West Hartford, CT, USA, 1981) Eden, C. and Ackermann, F. *Making Strategy: The Journey of Strategic Management,* (Sage Publications, London, 1998) De Lopez, T. T., 2001. *Stakeholder Management for Conservation Projects: A Case Study of Ream National Park, Cambodia. Environmental Management, 28 (1), 47-60.* <http://link.springer.com/article/10.1007%2Fs002670010206>

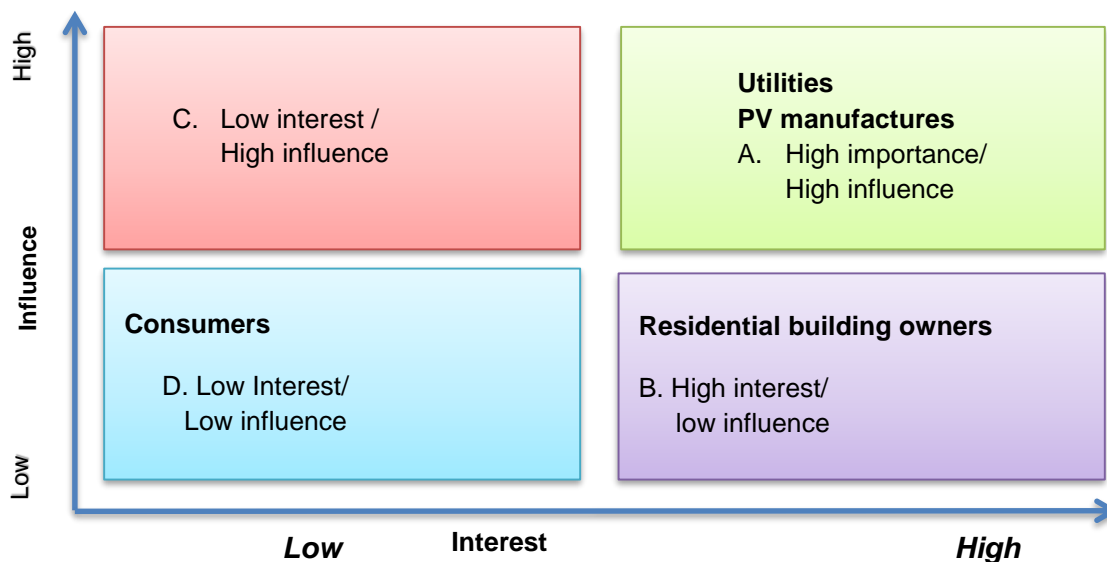
<sup>44</sup> Initiative for Climate Action Transparency. *Stakeholder Participation Guidance: Guidance to Support Stakeholder Participation Design, Implementation and Assessment of Policies and Actions.* (May 2018), 22-24.

Three more tools (i.e., stakeholder profiles and strategic options, stakeholder participation matrix, and power and power resources) have been identified in Annex A.

Figure 3 below illustrates how the stakeholders for a solar photovoltaic (PV) incentive policy might be mapped on a stakeholder matrix. The stakeholders are mapped according to their level of interest in and level of influence on the policy. The eligible sectors for this policy include residential (all types of residential buildings), institutional (schools, health institutions), social sectors (community centers, welfare homes, old age homes, orphanages, common service centers), commercial and industrial facilities. In the stakeholder matrix below installation is focused on residential buildings, therefore the relevant stakeholders might have the following levels of interest in and influence on the policy:

- **Residential building owners** are likely to have a high interest in and medium influence on the policy given the potential payback they could receive from installing solar panels and the high upfront cost of installation
- **PV manufacturers** may have both a high interest in and high influence on this policy given their interest in selling their product and their role in producing the product in order for such a policy to be implemented
- **Utilities** are likely to have a high interest in and a high influence on the policy due to their key role in connecting the solar PV installation to the grid and their interest in maintaining their critical role in the energy system
- **Consumers** are likely to have a relatively low interest and low influence on the policy because they are likely to continue consuming electricity from the grid regardless of the energy source unless prices increase dramatically or the supply becomes unstable

**Figure 3: Stakeholder Interest /Influence Matrix**



**Box 2: Stakeholder Matrix (Plotting stakeholder interest against influence and the level of engagement)**

Interest/Influence	
<b>Low Interest</b>	<b>High</b>
<b>Interest</b>	
<b>High Influence</b>	<b>High</b>
<b>Influence</b>	
<p><b>Quadrant C. Involve + Consult</b></p> <p>These are stakeholders with high influence, who can therefore affect the policy outcomes, but whose interest in the policy is not high or not necessarily aligned with the overall goals of the policy. An example might be financial administrators who can exercise considerable discretion over funding. These stakeholders could be a barrier to success of the policy and may need specific monitoring and engagement.</p>	<p><b>Quadrant A. Collaborate/Empower</b></p> <p>These are stakeholders appearing to have a high degree of influence on the policy, who are important for its success, and who also have high interest in the policy. These stakeholders are essential to the project and must be fully engaged with. Enlist their full help, create partnership, galvanize support of the project and make the greatest effort to keep them satisfied. Stakeholder may include <i>senior government officials, politicians or trade unions.</i></p>
<p><b>Quadrant D. Inform</b></p> <p>These are stakeholders with low interest in and low influence on the policy. Limited monitoring and engagement is needed for this group, though they should be kept informed.</p>	<p><b>Quadrant B. Consult</b></p> <p>These are stakeholders with high interest in the policy but with low influence. Their interests may need to be protected. An example may be marginalised groups such as community people, youth or the aged, who might be beneficiaries of the policy but who have little ‘voice’ in its development. Provide these stakeholders with enough information and interaction to keep them updated and to address their concerns</p>
<p><b>Low Interest</b></p> <p><b>Low Interest</b></p> <p><b>Low Influence</b></p> <p><b>High Influence</b></p>	

It is important to know that the interest or influence of a stakeholder may change as the policy progresses. Therefore, it is important to re-assess and identify new stakeholders and the level of stakeholder engagement/participation at each phase of implementation plan as discussed in box 1 above. As much as possible, set clear criteria for mapping stakeholders’ in order to avoid being driven by non-strategic considerations such as the “noisiest” stakeholders, the short-term focus of the media, or the comfort zone of managers or government personnel.

### **Stage 3: Develop an understanding of your stakeholders.**

It is a *key recommendation* to follow a transparent and participatory process for understanding the interests, power and influence of different stakeholder groups, their stake in the project/program and the way and extent to which they may be affected, as well as their expectations of the participation process. Thus seek information about stakeholders' relationships with other stakeholders, knowledge and attitudes towards the project/program, willingness and capacity to engage and best ways of communicating with them, socio-cultural context, legitimate role in governance and representation mechanism.<sup>45</sup> **(Detailed procedure for understanding stakeholder interest is indicated in Annex B).**

#### **5.3. Step 3 – Consultation and Participation Plan**

This is where the kind of engagement to undertake is determined, after identifying and analysing the stakeholders. The level of participation can range from purely extractive (aiming only to gather information) or informative (seeking only to give information) to empowerment (ceding decision-making authority to stakeholders). Table 8 provides detailed explanation to each type/level of engagement that can be adapted for a specific type of stakeholder as illustrated in figure 3 and box 1 above.

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<sup>45</sup> Initiative for Climate Action Transparency. *Stakeholder Participation Guidance: Guidance to Support Stakeholder Participation Design, Implementation and Assessment of Policies and Actions.* (May 2018), 20-21.

**Table 8: Levels of Engagement and stakeholder participation**

Low level		Mid-level	High level	
Inform	Consult	Involve	Collaborate	Empower
Adequately update and provide interested stakeholders with balanced and objective information to assist them in understanding the problem, identifying alternatives, recognising opportunities and discovering potential solutions. Information must however, be tailored to stakeholder needs	Obtain feedback from and provide adequate information to interested stakeholders on relevant aspects of the design, methodologies, analysis, alternatives, decision making, and desired outcomes of a project.	Work directly with interested stakeholders throughout the project lifecycle to ensure that their concerns and aspirations are understood, considered and, where appropriate, incorporated into decision making.	Work in partnership with individuals, or groups, in relevant aspects of the decision making process, including the development of alternative methods and the identification of preferred solutions or outcomes to ensure these stakeholders remain fully satisfied.	To place final decision making in the hands of the stakeholder
“We will keep you informed.”	“We will keep you informed, listen to and acknowledge concerns and aspirations and provide feedback on how stakeholder input influences the decision.”	“We will work with you to ensure that your concerns and aspirations are directly reflected in the alternatives developed and provide feedback on how stakeholder input influenced the decision.”	“We will look to you for advice and innovation in formulating solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible.”	“We will implement what you decide.”

Source: Adapted from IAP2 “Public Participation Spectrum,” 2007<sup>46</sup>

<sup>46</sup> International Association for Public Participation (IAP2). IAP2 spectrum of public participation. (Thornton, CO: IAP2, 2007)

## 5.4. Step 4 – The Consultation/Engagement Process

After determining the levels of engagement (whether to inform, consult, involve, collaborate or empower) in step 5.3, the engagement process then commences at this stage. A capable and independent facilitator is therefore required, as appropriate, to carefully consider and document the output of the decision-making processes. It is important to note that there is no single way or superior methods that can be used to address multi-stakeholder engagement needs. In view of the fact that there is no size fit for all methods, the selection of the most appropriate participation method must be derived directly from the purpose of the policy, project or activity.<sup>47</sup> The following **practical tips** or list of questions and issues must be addressed prior to the selection of an appropriate participation methodology<sup>48</sup>

- What is the nature of the program/project being contemplated?
- What goal does the proposed program/project hope to achieve?
- Who and what kinds of stakeholders are expected to be involved in the intervention?
- Where in the socio-economic and political hierarchy are these stakeholders placed?
- What kind of social relationships exist, including latent and active conflicts?
- What is the capacity of stakeholders to effectively participate and benefit from it? and
- Are there institutions and instruments to organize, and facilitate participation?

In this strategy, the commonly used methods (i.e., participatory meetings and workshops, participatory research, and participatory planning) that are also useful for policy, project and program development processes are discussed.

### 5.4.1. Participatory meetings and workshops<sup>49</sup>

This is where diverse stakeholders come together to collaboratively agree on their expectations, share information, discuss ideas, plan, implement, monitor and evaluate development actions. Participatory meetings ensured that everyone has the opportunity to participate on an equal level. Any meeting short of this is non-participatory. The specific methods used in designing and leading meetings will depend upon the size of the gathering, the nature of the participants, the meeting’s purpose and expected outcomes.

**Table 9: Participatory Meeting Methods**

<b>Public meetings</b>	An open, accessible method of consulting with the public and can take place at any level depending on the scale of the issue, projects or programs. They can be designed to facilitate engagement with and consultation with specific stakeholders i.e. those directly and or marginalized through town hall meetings, and village congregations. Ensure that the meetings are accessible and adequate notice is given to enable interested stakeholders to participate and as much as possible avoid meetings that are dominated by the most vocal and powerful stakeholders.
<b>Workshops</b>	This involves gathering a group of stakeholders to gain their feedback in a structured format. Stakeholder workshops allow for brainstorming and are used to initiate, establish, and sustain collaboration with stakeholder groups. It goes beyond information-sharing to resolve differences, build consensus, seek solutions, make decisions and plan actions. It can be used in small or

<sup>47</sup>African Development Bank’s, *Handbook on stakeholder consultation and participation in ADB operations.* (OESU, 2001). Accessed March 19, 2020. <http://www.afdb.org/fileadmin/uploads/afdb/Documents/Policy-Documents/Handbook%20on%20Stakeholder%20Consultaion.pdf>

<sup>48</sup> Adapted from AfDB Ibid., 24.

<sup>49</sup> Adapted from AfDB Ibid., 27-29.

	large groups - but where groups are large, breakout into smaller groups so participants can let ideas flow freely
<b>Focus groups</b>	semi-structured, often informal discussion with small groups whose participants are selected to represent either a cross-section or specific category of project stakeholders, and to explore their interests, concerns and preferences towards the project/program. Community members not used to formal meetings may feel more comfortable expressing themselves in a focus group discussion (e.g., women, ethnic minorities, or disadvantaged castes; the disabled; or poor individuals and households). Such meetings are often held at the field level, near stakeholders' home base.
<b>Standing bodies</b>	These include, for example, project boards, advisory groups, management or steering committees and task forces. Participatory project management frequently involves the formation of such groups (composed of diverse stakeholder representatives) at the local, regional and/or national level.
<b>Focused conversation<sup>50</sup></b>	This technique that can be used in the context of a meeting or workshop to discuss a specific question. The objective of a focused conversation (also known as a structured discussion) is to give a clear direction and focus to the discussion, ensuring that all relevant aspects of an issue are discussed in a logical sequence. The facilitator of focused conversation asks a series of questions at four levels: <ul style="list-style-type: none"> <li>▪ Objective level (questions about facts, data and external reality);</li> <li>▪ Reflective level (questions that elicit participants' personal reactions to the facts, their internal responses and feelings);</li> <li>▪ Interpretive level (questions to draw meaning, significance and implications of facts) and;</li> <li>▪ Decisional level (questions to elicit decisions and next steps).</li> </ul>

#### 5.4.2. Participatory Research

Participatory research and data collection methods can be used throughout project preparation and implementation for needs assessments, feasibility studies, identifying priorities for development projects and collecting base-line and subsequent data for purposing on monitoring and evaluation. Multi-stakeholder engagement in this process enables stakeholders to collect information, learn, plan and evaluate together. Methods that can be used include, ***in-depth interviews, mapping (physical social and institutional mappings), and transect walks (done with local people leading a walk to identify project area, main features, resource use, and problem of the project zone).***

<sup>50</sup> Adapted from AfDB. *Ibid.*, 28-31.



**Table 10: Participatory Research Methods**

<b>In-depth interviews</b>	Interviews with individual stakeholders can be used to get a sense of stakeholders' perspectives – whether they are structured (formal, and closely following a written interview guide), semi-structured (open, conversational, partially directed by an interview guide, to allow interviewees to introduce other topics of interest), or unstructured (informal, open-ended, and organized around a few general questions or topics). Interviews with key informants possessing particular knowledge of an issue can be especially useful.
<b>Survey</b>	A sequence of focused, predetermined questions in a fixed order, often using closed questions with predetermined, limited options for responses. Surveys are useful to identify problems or objectives, narrow the focus or clarify the objectives of the policy, plan strategies for implementation, and monitor or evaluate participation. Surveys can be conducted through interviews or by requesting written responses either online or on paper.

### 5.4.3. Participatory planning

In the face of several participatory planning tools, including, Objective-Oriented Project Planning, Target Group Exchange Visits, the SWOT Analysis is adopted for this strategy to assist the NDA in identifying “strengths” and “weaknesses” (positive and negative attributes of the group, activity, or site) and “opportunities” and “threats” (favorable and negative external factors affecting the organization, community, activity, or site in question). SWOT analysis can also be used in the context of conducting a stakeholder analysis and in participatory monitoring and evaluation.

**Table 11: SWOT Matrix in Stakeholder Analysis**

<b>Strengths</b> <ul style="list-style-type: none"> <li>- what advantage does the stakeholder have</li> <li>- what is done well</li> <li>- What relevant resources does the stakeholder have access to?</li> <li>- What do others see as strength?</li> </ul>	<b>Opportunities</b> <ul style="list-style-type: none"> <li>- Favorable factors stakeholder is faced with</li> <li>- Where are the good opportunities that the stakeholders is faced with</li> <li>- What are the interesting trends the stakeholders are aware of?</li> </ul>
<b>Weaknesses</b> <ul style="list-style-type: none"> <li>- Negative attributes of the stakeholders</li> <li>- What could be improved?</li> <li>- What is done badly?</li> <li>- What should be avoided?</li> </ul>	<b>Threats</b> <p>Negative factors stakeholder is faced with</p> <ul style="list-style-type: none"> <li>- What obstacles are being faced?</li> <li>- Are relevant situation changing?</li> <li>- Do the stakeholders have debts or cash-flow problems?</li> <li>- Are there cultural/social/political conflicts?</li> </ul>

The different levels of engagement will vary from one stakeholder to another and throughout the policy, project and program lifecycle as stakeholder roles changes. Methods of engagement can be considered in terms of the level of engagement they are most appropriate for – as demonstrated in table 12 below.



**Table 12: Examples of Methods and their Associated Levels of Engagement**

Methods of Engagement ↓	Inform	Consult	Involve	Collaborate	Empower
Workshops		*	**	**	**
surveys/questionnaires		**	*	*	
Interviews/one-on-one meeting		*	**	*	*
Town hall meetings		*	**	*	
Advisory Committee		*	**	**	
Expert groups/committees		*	**	**	
Interagency review process		*	**	**	
focus groups		**	*	*	*
Focus Conversation		**	**	*	
websites	**	*	*	*	*
Newsletter	**				
social media	**	**	*	*	*
lectures	**	*	*	*	**
Large conference	**	*	*		
Public notice	**	*	*		

**\*\* Most appropriate level of engagement for a particular method.**

**\* Other levels for which the method is also relevant.**

Once stakeholders have been identified, all levels of engagement have been established, and the roles that the stakeholders are to play have been determined, the appropriate methods and their timing can be selected as shown in the table 13 below.

**Table 13: Examples of Stakeholders and Methods, and the Appropriate Levels of Engagement**

Level of Engagement → Methods Engagement →	Inform		Consult		Involve		Collaborate		Empower
	Website	Newsletters	Survey	Focus group	Workshop	Town hall meetings	Inter-agency review process	Expert Committee	
Stakeholders ↓									
Government		*			*		*	*	*
Private & Financial Sector		*	*		*		*	*	*
Local Community		*	*	*	*	*			*
CSOs	*	*	*		*			*	*
Media	*	*	*						

## 5.5. Step 5 – Feedback Mechanism

A feedback mechanism is required to enable ongoing consultations throughout the policy/project/program design and implementation cycle. Through the mechanism, suggestions will be channeled to improve the quality of climate change and climate finance projects, program, policies, and plans under development, and address the concerns or questions a stakeholder group may have in relation to the activities that affects them.

Stakeholder must also be provided with information as to how their input has been used, or not, to influence the design, implementation and assessment of the policies. It is highly recommended that synopsis of input received is during the engagement process are *documented* and shared with stakeholders.

It is also important to ensuring that at a minimum, stakeholders see that their input was considered. To avoid concerns escalating into grievance, feedbacks must be timely and adequately be dealt with.

Channels for feedback include:

- Dedicated email address or web page
- Verbal or written feedback at a drop-in center
- Verbal communication at a meeting
- Physical feedback box at an office or in a public place
- Telephone hotline number
- Text message (e.g., SMS)
- Social media (e.g., Twitter or Facebook)

Roles and responsibilities must be clearly defined in order to process input from feedback to ensure that it informs the relevant stage of design, implementation and/or assessment of climate related projects/program, or policies and that a response is provided where appropriate.

It is advisable to establish feedback mechanisms in the early stages of the project or programs and maintain them throughout the project and program life cycle as well as in the policy design and implementation stage to optimize the benefits thereof.

## 5.6. Step 6 – Monitoring and Follow Up

Monitoring would be regularly undertaken through the life cycle of the project/program or activity to understand how well engagement activities are working, and to also respond to unexpected events as they unfold.

This will involve all relevant stakeholders – including the local communities in a participatory manner. Particularly monitoring and evaluation would consider the following;<sup>51</sup>

- Number and diversity of stakeholders participating in various engagements and at what levels;
- Feedback from stakeholders on the effectiveness of the plan, level of trust generated, satisfaction with the level of engagement and outputs, and disclosure and provision

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<sup>51</sup> GCF. Sustainability Guidance Note: Designing and Ensuring meaningful stakeholder engagement on GCF-Financed projects (April, 2019)

- of information about the activity;
- Completion of agreements and commitments; and
  - Extent of involvement of women, vulnerable or minority groups, and other more traditionally under-represented stakeholders.

## CHAPTER 6: GRIEVANCE REDRESS MECHANISM AND CONFLICT MANAGEMENT

### 6.1. Grievance Redress Mechanism

As far as climate-related activities involve and impact a range of stakeholders, potential grievances are expected and these could be broad in scope - local communities directly impacted by climate-related projects, or companies with concern for a policy affecting their business. The difference between feedback and grievance is that the former does not expect a response of resolution, but the latter seeks direct response or redress. Meanwhile, untimely dealing with feedbacks could generate into a grievance.<sup>52</sup> The grievance mechanism complements existing or established national legal channels or administrative processes. The scope of the grievance mechanism applies to;

- alleged violation of this MSES
- alleged violation of the GCF's policies or relevant laws or regulations
- all project/program and policy affected persons - direct and adversely affect persons

This, however, does not apply to complaints involving allegations of fraud, harassment, retaliation, and breaches of conduct, which are governed by other national regulations, laws and policies. The grievance mechanism is expected to address concerns promptly and effectively in a transparent manner that is culturally appropriate, at no cost and without retribution. It will not prevent access to judicial or administrative remedies.

#### a. Definition of Compliant

The NDA recognizes that complaints from stakeholders could relate to perceived non-compliance with NDA's MSES, and GCF's policies or procedures. An issue is eligible for complaint if any community, organization, project stakeholder believes they may be negatively affected because DAE/ IAE failed to respect NDA's MSES, and GCF's policies or procedures. Representatives (a person or a local organization) can submit a complaint both verbally or in writing in their native/maternal language on behalf of a community, project stakeholder or affected group.

#### b. Grievance Redress Mechanism Procedure

The grievance mechanism shall be in a four-stage process.

**Stage 1** – At the first stage of resolving grievances, the affected stakeholder directly engages the DAEs/IEE or executing agencies to review the conflict and decide together on a way forward that advances their mutual interests. This procedure is recommended because it is believed that stakeholders have better information on and understanding of the causes of disputes arising from project/program implementation. Hence 'deciding together' approaches are usually the most accessible, natural, and cost-effective ways for communities and project management to resolve differences.

**Stage 2** - If interaction with the DAEs/IAEs or executing agencies is not successful, concerns are to be raised with the NDA secretariat which plays the role of the official repository. The NDA secretariat will verify whether a complaint is relevant to the MSES and related GCF policies and guidelines.

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<sup>52</sup> *Initiative for Climate Action Transparency. Stakeholder Participation Guidance. Ibid.,48.*

**Stage 3** -Once the NDA secretariat receives the complaints and verifies its merits, the secretariat will pre-screen all complaints and determine the nature of the complaint(s), then forward it to the TAC for their review.

**Stage 4** – the TAC upon receiving the complaint will analyze it by verifying them against the specific safeguard policy wording and the project-level Environmental and Social Management Plan (ESMP) and/or Impact Assessment (ESIA). In cases where the complaint is justified, the DAEs/IAEs or executing agencies is called to revised SEP, and where necessary, the ESMP to introduce corrective measures and actions.

Upon reaching a conclusion the Secretariat will;

- Prepare a communication to inform the complainant the NDA's decision.
- keep records of all findings and decision
- Follow-up with the DAEs/IAEs or executing agencies on the required corrective actions, if any.

### **c. Management of Non-Compliance**

If the DAEs/IAEs or executing agencies fails to implement corrective actions or continues to be in non-compliance the following actions will be taken by the NDA:

- Caution to the Entity that major corrective actions will be necessary including:
  - detailed analysis of the root causes for non-implementation of recommendations, including fact-finding missions and meetings with stakeholders;
  - production of a new action plan with a timeframe strengthened monitoring procedures and specific reporting;
  - action plan review and monitoring of implementation;
  - where necessary, the NDA shall raise an objection to the GCF to withhold the funding of the project implementation.

### **d. Filing a Complaint**

NDA Secretariat shall receive complaint either by;

- Post: To the NDA-Focal Point/ Director, Economic Strategy and Research Division (ESRD), Ministries, Accra
- Email: [aiddrisu@mofep.gov.gh](mailto:aiddrisu@mofep.gov.gh)
- Telephone: +233202030280

A written complaint sent by post, or email should include the following information- Name of complainant- unless anonymity and/or whistleblower protection had been invoked, email address, telephone number, and the grievance. The complainant should also show evidence of affected groups being represented.

## **6.2. Conflict Management**

Conflict begins when stakeholder feels it is negatively impact by the activity of another party – thus when the actions of one party obstruct or, in some way, make the performance or another party less efficient. In spite of this, cconflict should not be regarded as always having negative impact on projects/programs because it could functional and lead to new ways of thinking when managed well. Conflicts cannot be resolved unless it is explained as a problem. The

ability to resolve conflict depends on the type of conflict that exists and the factors that are feeding the conflict - needs, perceptions, power, values, feeling and emotions.<sup>53</sup> Some conflicts can be well defined – with clear boundaries and constraints and solutions, other would be fuzzy with unclear objectives, variables and difficulty to envisage solution.<sup>54</sup> The following typology of conflict is identified - **open conflicts** (where it is everyone’s knowledge), **Hidden conflicts** (where it is only known by certain people), **Latent conflicts** (when the conflict arises when something occurs that change the status quo)<sup>55</sup> and it is basically ensued from conflicting goals, factual disagreements, and ineffective relationships (distrust and power struggles).<sup>56</sup>

### 6.2.1. Analyzing Conflicts

As already indicated, the ability to resolve conflict depends on the type of conflict that exists and the factors that are feeding the conflict. To ascertain this, stakeholders activities and interactivity must be assess to identify where differences between stakeholders exists and detect where conflict could potentially arise.<sup>57</sup>

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<sup>53</sup> Poolman, M. Munamati, M. and Senzanje, A. *Small Reservoirs Toolkits: Stakeholder and Conflict Analysis*. Accessed March 20, 2020. [http://www.smallreservoirs.org/full/toolkit/docs/1%2002%20Stakeholder%20and%20Conflict%20Analysis\\_MLA.pdf](http://www.smallreservoirs.org/full/toolkit/docs/1%2002%20Stakeholder%20and%20Conflict%20Analysis_MLA.pdf)

<sup>54</sup> Rijsberman, F. *Conflict Management and Consensus Building for Integrated Coastal Management in Latin America and the Caribbean*. Resource Analysis Report for Inter-American Development Bank (Delft, Nederland, 1999). [http://www.munqo.nl/Confl\\_ADB\\_ENV-132E.pdf](http://www.munqo.nl/Confl_ADB_ENV-132E.pdf).

<sup>55</sup> Moura, H. M. and Teixeira, J. C. *Managing Stakeholders Conflicts*. In: *Construction Stakeholder Management*, Chinyio, E. and Olomolaiye, P. (Eds). (Wiley-Blackwell, Oxford, UK., 2010), 286-316. <http://repositorium.sdum.uminho.pt/bitstream/1822/17572/1/Managing%20Stakeholder's%20Conflicts.pdf>

<sup>56</sup> Poolman et. al. *Ibid*.

<sup>57</sup> Durham E., Baker H., Smith M., Moore E. & Morgan V. *The BiodivERSA Stakeholder Engagement Handbook*. (BiodivERSA, Paris, 2014), 83.

Summarized process for assessing conflict (adapted from Poolman et al.)

The following questions could help in analysis of conflict (adapted from Poolman *et al.* 2).

**Identifying the conflict:**

- What conflict(s) presently exist?
- What conflicts may arise in the future?
- What are the possible reasons for the conflict?

**Once the conflict has been identified:**

- How did the conflict arise?
  - What issues or interests are of significant concern?
  - For how long has the conflict been going on?
- Is there sufficient information available about the issues (why/why not)?
- Who is involved with the conflict?
  - What are their interests in the conflict?
  - What kind of power do the different actors have?
  - What are the historical relationships between conflicting parties?
- Are the groups able to work together?
  - Why/why not?
  - How might it be possible to get groups to collaborate?

**Possibilities for resolving or reducing conflict:**

- What kind of agreements could be tolerated by conflicting parties?
- Can conflict be resolved within the group without external assistance?
- Will parties from outside the conflicting groups be tolerated?
  - How could an outside party become involved in conflict resolution?
    - Who would be a suitable outside party?

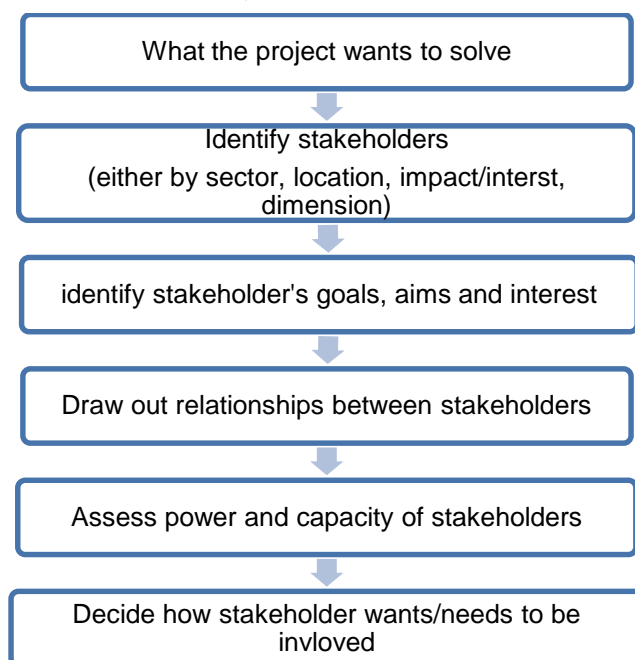
**How will resolutions be made sustainable?**

- Would a written agreement be sufficient?
- What has been considered binding in previous conflict resolutions?
- What happens if agreements are not honoured?
- Are there other optional solutions available?

## ANNEXES

### Annex A: Steps for Stakeholder Analysis and Tools

**Figure 5: Steps to Stakeholder Analysis**



#### **Stakeholder Analysis Tool 1: Stakeholder Profiles and Strategic Options (Adapted from GIZ)<sup>58</sup>**

This tool may be used for the following reasons.

1. To generate informative profiles of stakeholders
2. To identify differences and similarities among actors: clustering
3. To test and discuss strategic options

The matrix is also suitable for periodic use as a monitoring instrument, as a means of observing changes in stakeholder profiles over time.

Issue and change objective			
Stakeholders	AGENDA	ARENA	ALLIANCES
Name, Core function	mandate/mission, strategic objectives	Field of action, scope of influence	Relationships with other stakeholders in terms of ABCD
Stakeholder 1			
Stakeholder 2			
Stakeholder 3			
Stakeholder 4			
A. Institutionally regulated dependency B. Ongoing information exchange C. Coordinated action D. Co-production with common resources			

<sup>58</sup> GIZ. *Mainstreaming Participation. Multi-Stakeholder Management: Tools for Stakeholder Analysis.* (Deutsche Gesellschaft für Postfach 5180, 65726 Eschborn, 2007), 16.



## Stakeholder Analysis Tool 2: Stakeholder Participation Matrix

This is used when you want to explore important features of the stakeholders

<b>Stakeholders</b>	<b>Characteristics</b> <i>(Which describes the stakeholder, eg? Location, sector, dimension, size)</i>	<b>Interest</b> <i>(What is it they can/hope to get out of the project/program)</i>	<b>Resources</b> <i>Resources that they (can) provide to the project/program</i>	<b>Problems Challenges</b> <i>(those faced by stakeholders that hinder the successful outcome of project/program)</i>	<b>Action Required</b> <i>(How to work with stakeholder. Eg. build capacity)</i>
Stakeholder 1					
Stakeholder 2					
Stakeholder 3					
Stakeholder 4					

*(Adapted from Hamilton & Gaertner, 1992)*

## Stakeholder Analysis Tool 3: Power and Power Resources<sup>59</sup>

1. To visualise the differences among stakeholders in terms of power and influence
2. To identify options for action to change power relations
3. To monitor how the change objective impacts on power relations

The dynamics underlying the allocation of power within relations are highly diverse and are viewed from two perspectives – **stakeholders' legitimate power, and power resources.**

### (i) Stakeholders' Legitimate

This answers the question of what is the basis of the power that stakeholders derive from their status. Legitimate power is expressed in the following range of types of authority.

<sup>59</sup> GIZ. *Mainstreaming Participation. Ibid., 19-24.*

Issues and change objective										
Types of Authority	Setting objectives norms and quality control	Allocating or denying resources	Defining roles, tasks and responsibilities	Structuring the participation in decision-making processes	Controlling access to information and knowledge	Allocating rewards, recognition and sanctions	Channeling messages to superiors and external bodies	Total		
Stakeholder 1										
Stakeholder 2										
Stakeholder 3										

Score 1= weak authority, Score 2=intermediate, and Score 3= strong

(ii) Power Resources: To which power resources do stakeholders have access?

Issues and change objective						
Resources Stakeholders possess	Influence over information content (Do they have influence over content of information?)	Communication & negotiation power (Does the stakeholder possess negotiation power/ have the ability to persuade)	Specialist knowledge & expertise ( what specialist knowledge does the stakeholder possess and others do not have but crucial to goal)	Practical relevance (what experiences do they have that can bring about change)	Creativity (what skills do they possess that can be used to generate new ideas/ would they be able to provide innovative views on issues)	Social relations (what class / group they belong to that can be useful to the project/program)
Stakeholder 1						
Stakeholder 2						
Stakeholder 3						

**Annex B: Matrix for Understanding Stakeholder Interest**

<b>Level of Engagement</b>	<b>Stakeholder</b>	<b>Existing relationship (between project/program &amp; the stakeholder)</b>	<b>Relationship with other stakeholders (Do relationships already exist between stakeholder)</b>	<b>Knowledge of the project (what knowledge do the different stakeholder possess that may be relevant to the project/program)</b>	<b>Views on the project (Those that they are likely to hold- positive or negative) conflict like to arise among them</b>	<b>Best means of communication</b>	<b>Willingness to engage (Are they willing to be engaged?)</b>	<b>Capacity to engage (Do they have capacity to engage r their capacity need to be built to be able to engage)</b>
Inform	Stakeholder 1							
Consult	Stakeholder 2							
Involve	Stakeholder 3							
Collaborate	Stakeholder 4							
Empower	Stakeholder 5							

### Annex C: Check List for Appraising stakeholder Engagement at Project Concept stage

No.	Practical questions for an enhance stakeholder Engagement	Yes/No	Remarks
1	Has the proponent clearly described any consultations conducted?		
2	Has the number of consultations conducted been indicated? How many consultations?		
3	Has minutes of meetings as well as signed attendance sheets been produced/ attached?		
	Has the minute captured the views of stakeholders?		
4	Is there a balance between participants? Gender balance		
5	Is there any information on how stakeholders will be engaged?		
6	Is there any information on the means/levels of engagement in the project cycle?		
7	Has the project concept captured the roles that different stakeholders may play in project preparation and implementation?		
8	Have the potential roles of different stakeholders and project beneficiaries, including civil society organizations and local communities been identified?		
9	Has the DAE/IAE produced the relationship with the project/program proponent?		

### Annex D: Check List for Appraising Stakeholder Engagement in Full Project Preparation

No.	Practical questions for an enhance stakeholder Engagement	Yes/No	Remarks
1	Has the proponent clearly described any consultations and workshops organized to reach out to stakeholders and communities where the project would be implemented?		
2	Has the number of consultations conducted been indicated? How many consultations?		
3	Has the signed attendance sheets been produced/ attached?		
	Has minutes of consultation/workshops been attached?		
5	Has the minute captured the views of stakeholders?		
6	Does the participant's list indicate diverse stakeholders?		
7	Is there a balance between participants? Gender balance		
8	Is there any information on how stakeholders will be engaged?		
9	Is there any information on the means/level of engagement in the project cycle?		
10.	Does the project title, aim/goals and objectives demonstrate climate relevance?		
11	Is the project cross-cutting, adaptation or mitigation?		
12	Have appropriate partnerships to execute the proposed activities been identified?		
14	Has partners to execute the different components of a project been identified and selected?		
16	Has budget for stakeholder engagement been proposed?		
17	Is the budget proposed for stakeholder engagement adequate?		
18	Are there indicators for stakeholder engagement during project implementation?		
19	Are there clear steps to monitor and report on progress and issues that will arise?		
20	Gender Analysis or equivalent Socio-Economic Assessment		
21	Social and Environmental Impact Assessments (where necessary)		
22	Is Stakeholder Engagement Plan attached?		
23	Are roles and responsibilities for the implementation of the Stakeholder Engagement Plan been spelt out?		

**Annex E: Credentials for DAEs/IAEs (to be submitted with both project concept and full proposal)**

**Statement of Commitment and Compliance**

Reference of the proposal..... (Title of Proposal).  
To: .....NDA.....

We recognize and accept that the NDA drives relevant coordination mechanisms and multi-stakeholder engagement in GCF process to ensure an enhance Country Ownership.

We hereby indicate that we are committed to the following;

- To adequately identify, and effectively engage stakeholders including directly affected persons in the entire project cycle, including ensuring that stakeholder views are adequately captured in the proposal.
- To make available to the NDA evidence of the engagement process throughout the project cycle.
- To make available to the NDA, mid-term report and terminal evaluation with information on the progress, challenges and outcomes in the project implementation.
- Engage the NDA in the entire project cycle.
- If the NDA has any reason to believe that meaningful stakeholder engagement is not carried out, particularly where those who will be directly affected by or involved in the project are not effectively engaged, the letter of no-objection shall not be issued until an effective engagement is undertaken.
- Ensure that Stakeholder Engagement plan is executed
- Failure to execute the Stakeholder Engagement Plan during the execution of the project, the NDA shall raise an objection in the form of writing to the implementing entity to withhold the implementation of the project.

Name: \_\_\_\_\_ In the capacity of: \_\_\_\_\_  
Duly empowered to sign in the name and on behalf of: \_\_\_\_\_  
Signature: \_\_\_\_\_  
Dated: \_\_\_\_\_

**Annex F: Checklist for Choosing a Methodology**

1. What is the nature of the program/project being contemplated?
2. What goal does the proposed program/project hope to achieve?
3. Who and what kinds of stakeholders are expected to be involved in the intervention?
4. Where in the socioeconomic and political hierarchy are these stakeholders placed?
5. What kind of social relationships exist, including latent and active conflicts?
6. What is the capacity of stakeholders to effectively participate and benefit from it? and
7. Are there institutions and instruments to organize, and facilitate participation?

## Annex G: Stakeholder Engagement Plan Template (Adapted from Conservation International)

### Section I: Project Information

### Section II: Introduction

- Overview of stakeholder Engagement
- Stakeholder Engagement plan by project Components

### Section III: Stakeholder Mapping

Stakeholder Name and Function <i>Name of the key stakeholder, and their main purpose/function</i>			Stakeholder's Interest <i>What are the stakeholder's main interests in and concerns about the project</i>	Impact of Project on Stakeholder <i>How will the stakeholder be affected (both positively and negatively) by the project?</i>	Influence of Stakeholder <i>How can the stakeholder affect the project? Can they hinder or contribute to the success of the project?</i>	Risk Management <i>(Is this a low, medium or high-risk stakeholder? And how would you manage medium/high risk stakeholders)</i>
Stakeholder	Sector	Mandate				
Example						
Ministry of Finance	Public	Coordination	Policy guidance and beneficiary	Built technical and institutional capacity	- PSC Member - Technical guidance Training beneficiary	Low
Private Enterprise Federation	Private Sector	Promoting and representing the interests of the Ghanaian business community	Beneficiary	Built technical and institutional capacity	Trainings	Low

#### Section IV: Stakeholder Engagement during Project Preparation Phase

Stakeholder Name	Date, Location and Method of Engagement	Outcomes
Inception Workshop <i>(see participant list in Annex XXX)</i>		Workshop Objectives:  Outputs/Outcomes:
Validation Workshop <i>(see participant list in Annex XXX)</i>		<b>Objectives of the workshop</b>  <b>Outputs/outcomes:</b>
<b>b. Reporting of Indicators</b>		
Number (and name) of stakeholder groups involved in project design and preparation process		
Number of people who have been involved in the project design and preparation process	Men=	Total=
	Women =	
Number of engagements (meetings, workshops, consultations, etc) with stakeholders during in project design and preparation		
<b>c. Lessons learned</b>		

## Section V: Stakeholder Engagement for Implementation Phase Template

Stakeholder Name and Role <i>Name the key stakeholder and group type to be engaged</i>		Level of engagement and Mode of engagement <i>At what level will you engage the stakeholder, and how will you involve and engage this stakeholder? (meeting, consultation, workshop, discussion, etc)</i>		Frequency	Resources Required
Stakeholder	Role	Level of Engagement	Mode/Methods		
Ministry of Environment, Science, Technology and Innovation	Policy guidance and beneficiary	Consult Involve Collaborate	Workshops meetings Inter-agency review process Expert Committees One-on-one	Eg. monthly	Presentations Manual
Environmental Protection Agency	Expertise	Consult Involve Collaborate	Workshops Meetings Inter-agency review process Expert committees	Eg. monthly	Presentations Manual
Private Sector	Beneficiary				
Environment NGOs	Beneficiary	-	-	-	-
Research and Academia	-	-	-	-	-

## Section VI: Monitoring and Evaluation

Indicator	baseline		Target	
	Men	Women	Men	Women
1. Number of people (sex disaggregated) that have been involved in project implementation phase (on an annual basis)				
2. Number of stakeholder groups (government agencies, civil society organizations, private sector, indigenous peoples and others) that have been involved in the project implementation phase (on an annual basis)				
3. Number of engagements (meetings, workshops, consultations, etc.) with stakeholders during the project implementation phase (on an annual basis).				
Person responsible for implementing and monitoring the SEP:				
How/Where will the approved SEP be disclosed				
When will the approved SEP be disclosed:				