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Guidance Note
UNDP Social and Environmental Standards (SES)

Stakeholder Engagement

UNDP Guidance Notes on the Social and Environmental Standards (SES)

This Guidance Note is part of a set of operational guidance materials related to the UNDP Social and Environmental Standards (SES). UNDP's SES seek to (i) strengthen social and environmental outcomes of UNDP Programmes and Projects; (ii) avoid adverse impacts to people and the environment; (iii) minimize, mitigate, and manage adverse impacts where avoidance is not possible; (iv) strengthen UNDP partner capacities for managing social and environmental risks; and (v) ensure full and effective stakeholder engagement, including through mechanisms to respond to complaints from project-affected people.

Each of the SES guidance notes follows a similar structure to facilitate the ease in which users can find the information or guidance they are seeking. The set of guidance notes will develop over time and will include specific guidance on each of the SES Overarching Principles, Project-Level Standards, and elements of the Project Delivery Process (see key SES elements below). An online [SES Toolkit](#) provides additional information.

How to Use This Guidance Note

The target users for the SES guidance notes are staff, consultants, stakeholders and partners who are involved in developing and implementing projects. To facilitate use of the overall package of SES guidance, users should understand that the guidance notes:

- Are structured around the process of **screening, social and environmental assessment, and management**.
- Provide assistance in determining the applicability of relevant SES requirements in the screening process for all projects.
- Provide additional guidance for projects that require assessment and development of management measures (i.e. projects with potential Moderate or High Risks related to a certain Principle or Standard).
- Provide a practical resource for implementing SES requirements to address potential social and environmental impacts within the context of the project cycle. Users do not necessarily need to read them in full but rather may select information that is specific to their needs.
- Complement and elaborate on the SES, which must be read in conjunction with the guidance notes (SES language is generally not repeated in the notes).
- Will continue to be developed as lessons are derived from implementation. Feedback is always welcome and can be sent to info.ses@undp.org.

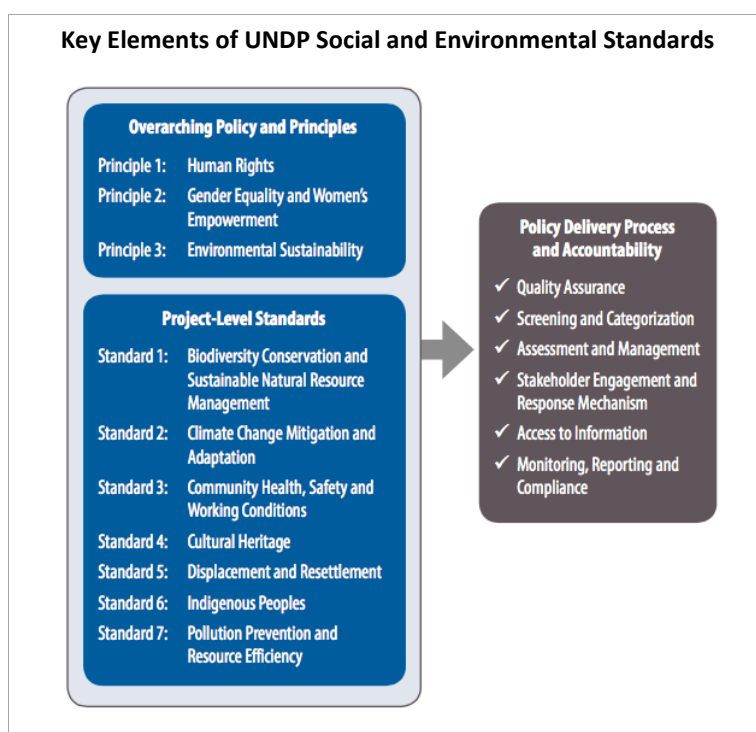


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1 Introduction

This Guidance Note describes how the SES requirements regarding Stakeholder Engagement are to be operationalized during the development and implementation of UNDP projects.¹ It begins with a summary of the policy basis and key objectives and concepts relevant to addressing the SES stakeholder engagement requirements (**Section 2**).

Section 3 discusses the need for stakeholder analysis and the development of stakeholder engagement plans. Initial engagement and involving stakeholders early in project planning is also addressed.

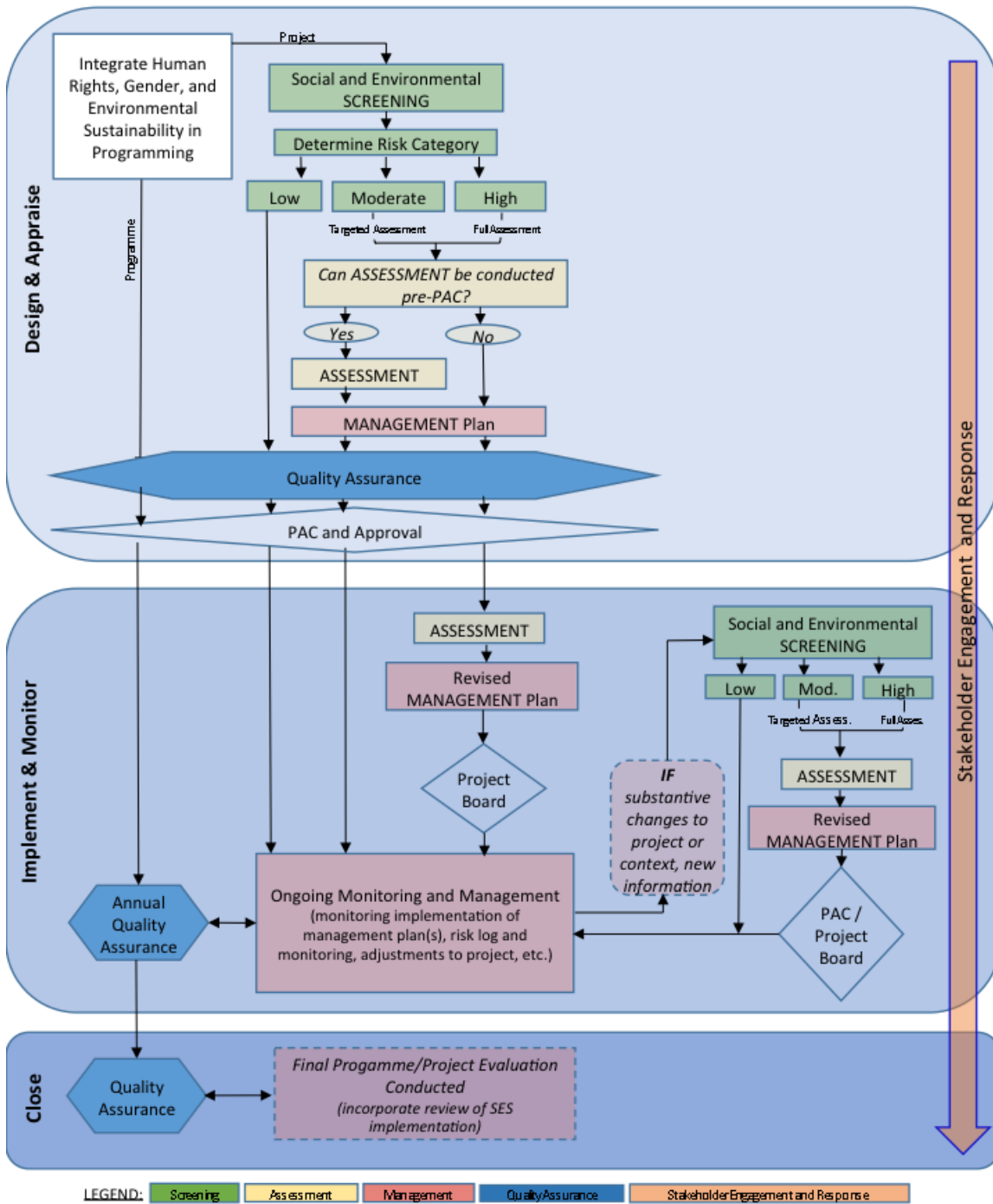
Section 4 addresses stakeholder engagement in screening the project for potential social and environmental risks and impacts, assessing a project's potential social and environmental impacts, and in the development of management plans and in monitoring project implementation.

Annex 1 outlines a common method for conducting stakeholder analysis, and **Annex 2** contains a further guidance and a generic outline for developing a stakeholder engagement plan.

Figure 1 provides a general overview of SES implementation in UNDP's project cycle, noting that stakeholder engagement occurs throughout all stages.

¹ SES requirements for stakeholder engagement apply to both UNDP Programmes as well as Projects (similar to the SES Overarching Principles). This guidance note addresses stakeholder engagement in projects. See UNDP SES, Policy Delivery Process, para. 12.

Figure 1. SES Implementation – Screening, Assessment and Management in the Programming Cycle



2 Understanding the Basics

2.1 Policy Basis

UNDP is committed to meaningful, effective and informed stakeholder engagement in the design and implementation of all UNDP projects.² Effective stakeholder engagement is a cornerstone to achieving sustainable development. Civil society actors and organizations, indigenous peoples, local communities and other key stakeholders are crucial partners for advancing human rights-based development.

Effective stakeholder engagement is fundamental to attaining the Sustainable Development Goals (SDGs), and applying the principle of ‘leave no one behind’ in combatting inequality and ensuring equity and non-discrimination across all programming areas. For example, SDG Goal 16 – promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels – includes critical targets for achieving progress, including among others 16.7 – ensure responsive, inclusive, participatory and representative decision-making at all levels – and 16.10 – ensure public access to information and protect fundamental freedoms, in accordance with national legislation and international agreements.³ Stakeholder engagement is critical to secure multi-stakeholder partnerships to advance the SDGs (see SDG 17).

UNDP’s commitment to stakeholder engagement arises from internal policies, procedures and strategy documents as well as key international human rights instruments, principles and numerous decisions of international bodies, particularly as they relate to the protection of citizens’ rights related to freedom of expression and participation. See, for example: Article 19 of the Universal Declaration on Human Rights (guaranteeing freedom of expression and the right to seek, receive and impart information and ideas)⁴; Article 25 of the International Convention on Civil and Political Rights (guaranteeing the right of all citizens to participate in the conduct of public affairs); Article 5(c) of the International Convention on the Elimination of All Forms of Racism (guaranteeing all the right to participate in public life without discrimination)⁵; Articles 3 and 29 of the Convention on the Rights of Persons with Disabilities (affirming rights of persons with disabilities to full and effective participation in the conduct of public affairs).⁶

The United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) further affirms the right of indigenous peoples to participate in decision-making in matters which would affect their rights, as well as to be consulted and to give their free, prior and informed consent to a variety of matters.⁷

UNDP also follows the UN Statement of Common Understanding on Human Rights-Based Approaches to Development Cooperation which provides for “*Participation and Inclusion: Every person and all peoples are entitled to active, free and meaningful participation in, contribution to, and enjoyment of civil, economic,*

² As noted in ft. nt. 1, while stakeholder engagement requirements also apply to UNDP programmes, this guidance addresses stakeholder engagement in projects.

³ See the Sustainable Development Goals, targets and indicators at <https://sustainabledevelopment.un.org/sdgs>.

⁴ UN Universal Declaration of Human Rights, <http://www.un.org/en/universal-declaration-human-rights/>.

⁵ International Convention on the Elimination of All forms of Racial Discrimination, at <http://www.ohchr.org/EN/ProfessionalInterest/Pages/CERD.aspx>.

⁶ UN Convention on the Rights of Persons with Disabilities, at <https://www.un.org/development/desa/disabilities/convention-on-the-rights-of-persons-with-disabilities.html>.

⁷ See UNDRIP Articles 10, 11(2), 18, 19, 28(1), 29(2), 30(1), 32(2)). Further, Article 45 specifically mandates the organs and specialized agencies of the United Nations system to promote respect for and full application of the rights affirmed in UNDRIP.

social, cultural and political development in which human rights and fundamental freedoms can be realized.”⁸

2.2 Objectives and Requirements

Stakeholder engagement supports the development of strong, constructive, and responsive relationships that are critical for sound project design and implementation. Effective stakeholder engagement enhances project acceptance and ownership and strengthens the social and environmental sustainability and benefits of supported interventions. It is both a goal in itself – upholding the rights of citizens and others to participate in decisions that may affect them – as well as an effective means for achieving project outcomes, including those related to democratic governance, protecting the environment, promoting respect for human rights, and preventing and resolving conflict. The objectives of stakeholder engagement therefore include the following:

- strengthening development results through effective partnerships;
- identifying stakeholder priorities to better tailor project activities, opportunities and benefits;
- identifying potential constraints and conflicts that could affect project effectiveness;
- learning from and incorporating local knowledge to improve project design in order to avoid and mitigate project-related risks and impacts;
- providing a feedback and monitoring mechanism to ensure the project is achieving its intended results, and identifies potential unintended consequences; and,
- providing meaningful access to dialogue and decision-making in development processes.

Box 1 summarizes the SES requirements regarding stakeholder engagement that support these key objectives.

Box 1. Summary of Requirements of Stakeholder Engagement (refer to full text in SES, Policy Delivery Process, paras. 12-20)

- *Ensure meaningful, effective, informed participation of stakeholders in the formulation and implementation of UNDP Programmes and Projects, providing stakeholders opportunities to express their views at all points in the Project decision-making process on matters that affect them (SES, para. 15; SES, Policy Delivery Process (PDP), paras. 12, 14)*
- *Ensure that stakeholder analysis and engagement are conducted in a gender-responsive, culturally sensitive, non-discriminatory and inclusive manner, identifying potentially affected vulnerable and marginalized groups and providing them opportunities to participate (SES, PDP, 12).*
- *Develop appropriately scaled stakeholder engagement plans. The scale and frequency of engagement will reflect the nature of the activity, magnitude of potential risks and adverse impacts, and concerns raised by affected communities (SES, PDP, paras. 13, 15).*
- *Meaningful, effective and informed consultation processes need to meet specified criteria, including free of intimidation and external manipulation; inclusive; gender and age responsive; culturally appropriate and tailored to language preferences; and based on timely disclosure of accessible information (SES, PDP, para. 14)*
- *Ensure that stakeholders who may be adversely affected by the project can communicate their concerns and grievances (SES, PDP, paras. 17, 18)*
- *For projects that affect rights, lands, territories, resources, and traditional livelihoods of indigenous peoples, ensure free, prior informed consent (FPIC) (SES, PDP, para. 16, SES, Standard 6, para. 9)*

⁸ Available at <http://hrbaportal.org/the-human-rights-based-approach-to-development-cooperation-towards-a-common-understanding-among-un-agencies>.

- *Provide ongoing reporting to affected communities and individuals for projects with significant adverse social and environmental impacts (SES, PDP, para. 25)*
- *Undertake measures to ensure effective stakeholder engagement occurs where conditions for inclusive participation are unfavourable (SES, PDP, para. 12)*

2.3 Key Concepts of Stakeholder Engagement

A number of key concepts and terms need to be understood regarding the SES stakeholder engagement requirements. These are noted below.

Stakeholders: Stakeholders are persons, groups, or institutions with an *interest* in the project or the ability to *influence* the project outcomes, either positively or negatively. Stakeholders may be directly or indirectly affected by the project. The range of potential stakeholders is diverse and may include target beneficiary groups, locally affected communities or individuals, national and local government authorities, civil society actors, including non-governmental organizations (NGOs) (both domestic and at times international), indigenous peoples, politicians, religious leaders, the academic community, private sector entities, workers organizations, UN agencies and donors, and other special interest groups. Importantly, stakeholders may include groups opposed to proposed interventions. The “stake” that each of these different groups has in the project will vary.

Stakeholder analysis: Stakeholder analysis is the process of identifying a project's key stakeholders and assessing their interests in the project and the ways in which these stakeholders may influence the project's outcomes. An understanding of power relations and potential alliances and conflicts among stakeholders is necessary. Stakeholder analysis provides the foundation for planning stakeholder engagement throughout the project cycle. Annex 1 provides further information on undertaking a stakeholder analysis.

Stakeholder engagement: Stakeholder engagement is an overarching term that encompasses a range of activities and interactions with stakeholders throughout the project cycle. The SES defines stakeholder engagement as an ongoing process that may involve, to varying degrees, the following elements:⁹

- stakeholder analysis and planning
- disclosure and dissemination of information
- consultation and meaningful participation
- dispute resolution and grievance redress
- stakeholder involvement in monitoring and evaluation
- ongoing reporting to affected communities and other stakeholders.

The intensity and scale of stakeholder engagement will vary with the type of project, its complexity, and its potential risks and impacts. It starts early in project planning and spans the entire life of the project.

Information Disclosure: Information disclosure here refers to the provision of timely, accessible information regarding the project and its potential social and environmental impacts to stakeholders in order to facilitate their meaningful, effective and informed participation in project design and implementation. The SES contain requirements for the disclosure of screening reports; draft and final social and environmental assessments and management plans; and any required social and environmental monitoring reports. See Annex 3 for further guidance.

Free, prior and informed consent (FPIC): At the earliest stage of project conceptualization and design, and iteratively throughout implementation and closure, mechanisms need to be identified and implemented to

⁹ UNDP, Social and Environmental Standards (SES), Policy Delivery Process and Accountability, para. 12.

guarantee the meaningful, effective and informed participation of indigenous peoples¹⁰ on all matters.¹¹ Culturally appropriate consultation will be carried out with the objective of achieving agreement, and FPIC will be ensured on any matters that may affect the rights and interests, lands, resources, and territories. For issues regarding indigenous peoples and FPIC, please consult the SES Standard 6 on Indigenous Peoples and its companion Guidance Note.

Types and levels of stakeholder participation: The nature, scope and frequency of stakeholder engagement needs to be proportionate to the nature and scale of the project, its potential risks and impacts, and the level of stakeholder concern. The extent to which the project may impact various stakeholder rights and interests and the power and influence of certain stakeholders will affect needed engagement strategies and approaches. Stakeholder analysis (see Annex 1), together with project screening and assessment of social and environmental risks, assists in developing appropriate engagement strategies for different stakeholder groups, which will then be articulated in the project’s stakeholder engagement plan. Figure 2 provides a simplified overview of degrees of stakeholder participation in project decision making.



Source: International Association for Public Participation, *Public Participation Spectrum*; UN-REDD Guidelines on Free, Prior and Informed Consent, *Types of Participation (Annex II)*

¹⁰ The term “indigenous peoples” is used in a broad sense. There is no universally accepted definition of indigenous peoples. SES 6 Indigenous Peoples establishes criteria for the identification of indigenous peoples, no matter the terms that may be applied in a certain country, such as as national or ethnic minorities, or Native Americans, or Scheduled Classes, or Forest Peoples, aborigines, tribal, hill people, pastoralists, etc.

¹¹ This means affecting indigenous peoples regardless of (i) whether the Project is located within or outside of the lands and territories inhabited by the indigenous peoples in question, (ii) whether or not title is possessed by the affected indigenous peoples over the lands and territories in question, or (iii) whether the indigenous peoples are recognized as indigenous peoples by the country in question. (See Standard 6, Indigenous Peoples, para. 3.)

3 Stakeholder Analysis and Engagement Plans

3.1 The Earlier the Better

UNDP is committed to ensuring meaningful, effective and informed participation of stakeholders throughout the programming cycle. Crucially, this begins early in planning, including problem identification, and design.

Stakeholder involvement in planning builds local ownership, strengthens project integrity and design, and helps to create foundational relationships that may contribute to constructive problem solving if difficulties or challenging issues arise. Early and iterative stakeholder engagement helps to create good faith and mutual trust and contribute to sustainable development outcomes that extend beyond the project.

Effective project planning is done with the participation of key stakeholders. Early and iterative stakeholder engagement can help identify:

- key issues and problem areas that need to be addressed
- risks and constraints that may affect proposed activities
- the degree of local support, concern, and/or opposition to potential interventions
- opportunities for relationship-building and partnerships
- discriminated and marginalized groups that may normally be left out of planning processes (see Box 2).

Box 2. Inclusive Planning

“There is a tendency for core planning teams not to involve certain stakeholders in planning. This typically occurs with complex programmes and projects and work that involves developing policy. Marginalized groups, poor rural community members, minorities and others are often left out because planners assume that these groups are not well informed or educated enough to contribute to the planning process. This assumption often turns out to be very costly. A good planner should always ask: “Whose voice is normally not heard on this issue?” Planners are often pleasantly surprised at the insights that previously unheard stakeholders have to offer.” UNDP Handbook on Planning, Monitoring and Evaluation (2009), p. 25.

Meaningful, effective and informed participation builds on a strong stakeholder analysis and engagement plan.

3.2 Stakeholder Analysis and Initial Engagement

An initial **stakeholder analysis** needs to be undertaken in order to identify key stakeholder groups and individuals to be involved in the project planning process (see **Annex 1** for additional guidance and tools for stakeholder analysis). The initial stakeholder analysis and engagement processes are key elements of quality programming and should inform project design.

In early planning stages, the full scope of potential project activities and locations may not yet be known, and, consequently, the full range of potential stakeholders may not be apparent. Nevertheless, the planning process at its earliest stages should be as inclusive and gender responsive as possible. A key objective at this stage is to properly identify key stakeholders who may have a strong interest in or ability to influence what is being planned, including potential groups who may benefit from the project, those who may also be adversely impacted, and groups potentially opposed to the planned interventions.

Early stakeholder involvement may build off of previous stakeholder engagement processes (e.g. similar projects, country programme development, etc.). However, each project is likely to generate its own specific configuration of stakeholders (see Annex 1 for a general list of stakeholder categories and detail on undertaking stakeholder analysis).

It is important to be transparent about uncertainties and knowledge gaps during early project stakeholder engagement. Working with a broad range of stakeholders will likely help to define project parameters and fill key knowledge gaps, and, if necessary, generate alternative ideas regarding project design and potential risks and mitigation measures, monitoring, and grievance mechanisms.¹²

Identification of stakeholders and early consultations during planning can lay the groundwork for partnerships with key stakeholder groups as well as help identify potential stakeholder representatives for the Local Project Appraisal Committee, Project Board and/or steering committees.

The stakeholder analysis will need to be updated as the project is further defined and additional interested and potentially affected stakeholder groups are identifiable. The stakeholder analysis should be a transparent, participatory process which provides the basis for the stakeholder engagement plan.

3.3 Stakeholder Engagement Plan

The SES stipulate that “[s]takeholder engagement plans will be developed for all Programmes and Projects, scaled to reflect the nature of the activity and its potential impacts (e.g. from relatively simple measures for Programmes or Projects with few if any social and environmental risks to comprehensive plans for High Risk activities with potentially significant adverse risks and impacts.” (SES, Policy Delivery Process, para. 15.)

At a minimum, every UNDP project must briefly identify key stakeholders and an engagement strategy in Section III, Results and Partnerships, of the Project Document (see Box 3).

In many cases, it will be important to have a more detailed **stakeholder engagement plan** to both inform and accompany the Project Document. This section and **Annex 2** provide additional guidance on how to develop a stakeholder engagement plan.

The stakeholder engagement plan guides stakeholders and project implementers as to when, how and with whom consultations and exchanges should be undertaken throughout the life of the project.

Development of the stakeholder engagement plan is based on the project’s stakeholder analysis (see Annex 1). Among other things, the plan needs to be developed with the stakeholders themselves.

As a starting point for any stakeholder engagement plan, it is important to consider the key factors in ensuring meaningful, effective and informed consultation processes, as articulated in the SES. These criteria and considerations for stakeholder engagement plans are elaborated in Table 1 below.

UNDP’s SES are aligned with the UN Human Rights-Based Approach to development programming and the commitment to uphold principles of equality and non-discrimination, noting that prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an

Box 3. Stakeholder Engagement in ProDoc

UNDP’s Project Document template includes a mandatory section on stakeholder engagement (sec. III):

Stakeholder Engagement

- Identify key stakeholders and outline a strategy to ensure stakeholders are engaged throughout, including:
 - *Target Groups: Identify the targeted groups that are the intended beneficiaries of the project. What strategy will the project take to identify and engage targeted groups?*
 - *Other Potentially Affected Groups: Identify potentially affected people and a strategy for engagement and ensuring they have access to and are aware of mechanisms to submit concerns about the social and environmental impacts of a project (e.g. UNDP’s Social and Environmental Compliance Review and Stakeholder Response Mechanism).*

¹² IFC, Stakeholder Engagement: A Good Practice Handbook for Companies Doing Business in Emerging Markets, (2007), pp. 5-7.

indigenous person or as a member of a minority.¹³ Stakeholder engagement processes need to respect these commitments. It is critical for the engagement process to be gender responsive (see Box 4 and Annex 1).

It may be necessary at times to undertake differentiated approaches to engaging with certain groups and communities to protect their safety and security if they are subject to forms of discrimination and harassment in the project areas (e.g. LGBTQI groups and individuals). For example, private meetings that ensure a degree of anonymity may be needed.

In addition, special measures may be required to ensure access and appropriate accommodation and facilitation for stakeholders who may have disabilities. Groups and individuals subject to potential exclusion due to health status (e.g. people living with HIV) should be identified among potential stakeholder groups.

If the project may involve indigenous peoples stakeholders, additional measures will be required to ensure their full and effective participation. As noted above (section 2.3), if the project may affect indigenous peoples rights and interests, lands, resources, and territories, FPIC processes will need to be initiated early and respected throughout the project. SES Guidance Note 6 on Indigenous Peoples outlines provides important background on consultations and FPIC processes with indigenous stakeholders (in particular, see section 3 of that guidance note).

Table 1. Meaningful, effective and informed consultation processes (SES, PDP, para. 14)	
<i>Characteristic</i>	<i>Considerations for Stakeholder Engagement Plan</i>
<i>Free of external manipulation, interference, coercion, and intimidation</i>	<ul style="list-style-type: none"> ✓ No acts of intimidation or violence or provision of bribes, gifts, and unregulated and questionable patronage ✓ Timelines for stakeholder engagement need to be realistic and respectful of stakeholder decision-making processes ✓ Carefully consider security arrangements to ensure safety but also to avoid perceptions of intimidation. Where possible, security arrangements should be discussed with all parties.
<i>Gender and age-inclusive and responsive</i>	<ul style="list-style-type: none"> ✓ Ensure stakeholder analysis accounts for differentiated roles and interests of men and women, and that women stakeholders are appropriately identified ✓ Include culturally appropriate mechanisms/processes to facilitate the increased participation of women, youth and the elderly (see below and Box 4), and ensure feedback is reflected in project design
<i>Culturally appropriate and tailored to the language preferences and decision-making processes of each identified stakeholder group, including disadvantaged or marginalized groups</i>	<ul style="list-style-type: none"> ✓ Cultural understanding and awareness is central to meaningful stakeholder engagement. Design consultations/workshops to specificities of each stakeholder group, including respect for local decision-making processes (including appropriate time frames) ✓ Ensure materials and outreach methods are understandable and accessible to the range of stakeholders involved. Tailor materials for different stakeholders to ensure equity in information access ✓ Apply principles of accessibility and make reasonable accommodation for persons with disabilities ✓ Consider diverse forms of communication: fact sheets, flyers, community postings, press releases, newsletters, hotlines, graphics, oral representation, posters, community bulletin board postings, local press announcements, public hearings, community meetings, informal meetings, videos, electronic

¹³ See UNDP SES, para. 21.

	media (websites, SMS messages), community radio, local plays and dramas, use of liaisons (community elders, religious leaders, NGO supporters)
<i>Based on prior and timely disclosure of accessible, understandable, relevant and adequate information, including draft documents and plans</i>	<ul style="list-style-type: none"> ✓ Ensure information on project's purpose, nature, scale, duration, and potential risks and impacts is available in timely, accessible manner ✓ Ensure that draft social and environmental assessments and management plans are disclosed and stakeholder feedback is considered ✓ Disclose final social and environmental assessments, management plans, and screening reports (appended to Project Document or disclosed during implementation) ✓ Provide summaries of technical information in accessible and understandable manner
<i>Initiated early in the Programme and/or Project design process, continued iteratively throughout the project life cycle, and adjusted as risks and impacts arise</i>	<ul style="list-style-type: none"> ✓ Engage stakeholders early in project planning process ✓ Identify in stakeholder engagement plan key junctures where stakeholder engagement is required before further project activities can advance ✓ Update stakeholders about upcoming activities and issues that may require their input ✓ Provide adequate lead time to accommodate stakeholder decision-making processes
<i>Addresses social and environmental risks and adverse impacts, and the proposed measures and actions to address these</i>	<ul style="list-style-type: none"> ✓ Involve stakeholders in screening of project for social and environmental risks/impacts (SESP) ✓ Consult with stakeholders on assessment of social and environmental risks and development of mitigation and management measures. Ensure those who may experience potential adverse impacts are fully consulted ✓ Consider participatory assessment techniques
<i>Seeks to empower stakeholders, particularly marginalized groups, and enable the incorporation of all relevant views of affected people and other stakeholders into decision-making processes, such as Project goals and design, mitigation measures, the sharing of development benefits and opportunities, and implementation issues</i>	<ul style="list-style-type: none"> ✓ Provide iterative opportunities to stakeholders to express concerns, ideas and knowledge and reflect stakeholder input in project goals, objectives and design ✓ Seek to transfer as much decision-making as possible to stakeholder groups ✓ Provide for stakeholder representation on project boards, monitoring committees and other key project structures ✓ Allocate budget for capacity building where needed (and available), as well as payment for accessibility and reasonable accommodation, and expenses incurred by stakeholders, especially rights holders, to secure technical advisors and/or legal counsel to accompany them to consultations and if applicable, negotiations
<i>Documented and reported in accessible form to participants, in particular the measures taken to avoid or minimize risks to and adverse impacts on the Project stakeholders</i>	<ul style="list-style-type: none"> ✓ Ensure that stakeholders are regularly informed of relevant information and new developments, including setbacks and delays, throughout the life of the project. ✓ Include reporting intervals in stakeholder engagement/communications plan ✓ Include feedback mechanism for stakeholder input on project progress, and how feedback is addressed ✓ Disclose monitoring reports in a culturally appropriate format
<i>Consistent with the States' duties and obligations under international law</i>	<ul style="list-style-type: none"> ✓ Ensure stakeholder engagement plan consistent with domestic laws and regulations regarding public engagement (e.g. public hearings and access to environmental and social assessments and comment periods) ✓ Support international obligations of governments to ensure public participation and, where relevant, consent processes, transparency, redress for grievances, and accountability

Prior to project appraisal, a validation workshop should be held with stakeholders that in addition to confirming the project plan also includes review and agreement on the stakeholder engagement plan. With the start of project implementation, an inception workshop should be held to assist project partners to understand the approved project design, understand their role and responsibilities in the project including stakeholder engagement during project implementation and monitoring, including communications, reporting, and conflict resolution and grievance redress.

Challenging environments. Projects may at times be undertaken in especially challenging environments, such as areas experiencing armed conflict or where human rights violations are rampant. Government stakeholders may object to engaging with certain other stakeholder groups, or civil society stakeholders may be fearful of expressing opposing or critical perspectives. Stakeholder engagement specialists with up-to-date familiarity of local contexts will most likely be required to devise and help manage engagement processes in such contexts. Decentralized, targeted meetings with specific stakeholder groups may be necessary. Where direct consultation with certain stakeholder groups is politically impossible, other avenues need to be explored, such as utilizing third-parties as go-betweens. Third-party monitors will likely be required to closely monitor risks to project stakeholders.

Box 4. Tips for Conducting Gender Responsive Stakeholder Consultations¹⁴

- Gender is often a key factor in determining access to project benefits and vulnerability to potential adverse impacts. Consultations need to be gender responsive and should be based on the project's gender analysis and stakeholder identification process (see Annex 1).
- Project team members should be aware that relations between men and women will influence all stages of a project. Male and female stakeholders may have different interests in and abilities to influence the outcome of a project. The project team should be aware of the cultural context and the different barriers (geographical, physical, attitudinal, informational and communicational) that may undermine equal gender participation. For instance, women who have low literacy levels may lack access to information. To address this issue, project information could be disseminated through various media, including notices, leaflets, announcements in community forums, market days and picture-based texts (to serve those who cannot read).
- Framing questions, and listening to the responses in a gender-responsive way will reveal points where there are significant differences between men and women in terms of existing economic and social conditions, opportunities, priorities for action, planning approaches, implementation abilities, training needs and ideal outcomes. In particular, good facilitation is required so that everyone has adequate explanation and information needed to make informed decisions.
- To facilitate women's participation, planned activities need to be mindful of women's daily routines and where their activities take place. A critical issue is the lack of child care, either so that women can attend the meetings and their children are cared for or child care facilities should be available at the meetings. The project should budget for childcare for all meetings and involvement of women in project activities. In many countries of the world, meetings should not be planned for evenings, as women can feel insecure in the dark. Timing should be adapted to working schedules of men and women.
- Some meeting locations may undermine women's participation because they may not be culturally appropriate. Women may not be allowed to stay in public places or they may feel embarrassed or even threatened in some unfamiliar environments. Gender training or consultations should take place within the community to avoid men feeling threatened and to reduce the risk of male violence against women. It is ideal to identify leaders in the community and to raise their awareness of gender and how including it can benefit the whole community so that they can act as local ambassadors.

Gender and age inclusive consultation methods

- Women/elderly/youth-only interviews
- Gender or age specific focus groups and group consultations
- Separate meetings with women's cooperatives or youth associations
- Reserved seating in steering committees, decision-making & monitoring bodies for females, youth & elderly
- Choosing consultation times & places that will increase gender and age inclusiveness
- Providing child care during consultations
- Tailored capacity building sessions

¹⁴ Section from Guide to Gender Mainstreaming in UNDP Supported GEF Financed Projects, v.1, 30 September 2016, pp. 8-9.

3.4 Ensuring Stakeholders Have Access to a Grievance Mechanism

UNDP's SES recognize that even with strong planning and stakeholder engagement, unanticipated issues can still arise. Therefore, the SES are underpinned by an [Accountability Mechanism](#) with two key components:

1. A Social and Environmental Compliance Review Unit (SECU) to respond to claims that UNDP is not in compliance with applicable environmental and social policies; and
2. A Stakeholder Response Mechanism (SRM) that ensures individuals, peoples, and communities affected by projects have access to appropriate grievance resolution procedures for hearing and addressing project-related complaints and disputes.

UNDP's Accountability Mechanism is available to all of UNDP's project stakeholders.

The Social and Environmental Compliance Unit (SECU) investigates concerns about non-compliance with UNDP's Social and Environmental Standards and Screening Procedure raised by project-affected stakeholders, and recommends measures to address findings of non-compliance.

The Stakeholder Response Mechanism helps project-affected stakeholders, UNDP's partners (governments, NGOs, businesses) and others jointly address grievances or disputes related to the social and/or environmental impacts of UNDP-supported projects.

Various national and sector forums may provide important opportunities for stakeholders to provide feedback on project implementation. Utilization of existing structures and processes to engage stakeholders is to be encouraged, as this may provide opportunities for issues to be raised before they develop into more significant grievances. However, such fora would not substitute for specific project grievance redress mechanisms that may be required, as outlined below and in the [Supplemental Guidance on Grievance Redress Mechanisms](#).

In some UNDP-supported projects, where there is potential for social and environmental impacts, and risk of grievances arising from those impacts, UNDP will require and support the establishment of a project-level grievance redress mechanism (GRM). Though UNDP's SRM remains available to stakeholders in every UNDP-supported project, project-level GRMs can be better suited to respond to project-related grievances because they are tailored to the project context, staffed by individuals with good understanding of risks and issues related to the project, and able to engage more directly and rapidly to address concerns raised by project stakeholders.

If, in the process of completing Part B of UNDP's Social and Environmental Screening, one or more risks are categorized as moderate or higher (Part B, Question 3), a project-level GRM must be identified as part of the management measures in response to that risk (Part B, Question 6).

Projects have the option to identify either 1) separate mechanisms to address potential grievances specific to each of the medium/high risks identified in the SESP; or 2) one mechanism to address all potential grievances related to the project. The decision on whether to develop one or several mechanisms will depend on a number of factors, including what mechanisms the implementing partner has in place to address potential project-related grievances, the potential to use existing national grievance mechanisms (e.g. a national human rights ombudsman) for project-specific concerns, and the quality and effectiveness of those existing mechanisms.

[UNDP's Guidance Note on GRM](#) includes more information on the core functions and design principles of a GRM and how to assess the quality and capacity of an existing GRM. Once UNDP (ideally jointly with the implementing partner) has screened and identified the moderate/high risks and potential associated GRMs, and has assessed the capacity and suitability of existing GRMs, UNDP will make one of the following determinations:

- If it is found that an implementing partner has sufficient capacity and means of addressing potential project-related grievances, the SESP and project should further elaborate how the existing GRM(s) will be accessed and utilized during project implementation.
- If it is found that an implementing partner requires additional capacity to address potential project-related grievances, the project could include activities and budget to strengthen existing GRM capacity while also identifying an interim or alternative means of addressing project-related grievances while those activities are occurring (e.g. a project-GRM based within the project steering committee or project board).
- If it is found that the implementing partner has no capacity or interest in hosting the entry point for receiving and responding to project-related grievances, the project could designate the project governing body (e.g. project steering committee or project board) as the project-GRM. The project could include a Terms of Reference outlining the roles, responsibilities and functions of this project-GRM (see example ToR in [Guidance Note on GRM](#)).

Accessibility is a key principle for any accountability mechanism. Accessibility starts with awareness raising. Therefore, every project needs to ensure that project-affected people and communities are informed of UNDP's Accountability Mechanism and, if available, the project level GRM. The stakeholder engagement process provides a key entry point to do this awareness raising. In all interactions with stakeholders (e.g. consultations, meetings, project websites) information about UNDP's Accountability Mechanism should be made available. Communication materials are available in [UNDP's SES Toolkit](#) to support this effort.

4 Stakeholder Engagement in Social and Environmental Screening, Assessment and Management

UNDP’s SES are addressed at the project-level primarily through a process of *screening* the project for potential adverse social and environmental impacts, *assessing* moderate and high risk impacts that have been identified, and *managing* the potential impacts that could not be avoided through the application of appropriate mitigation and management measures and plans. The “screening – assessment – management” process of applying the SES is integrated throughout the project cycle. Specific SES requirements need to be addressed at each stage, including stakeholder engagement (see Figure 3).

4.1 Screening

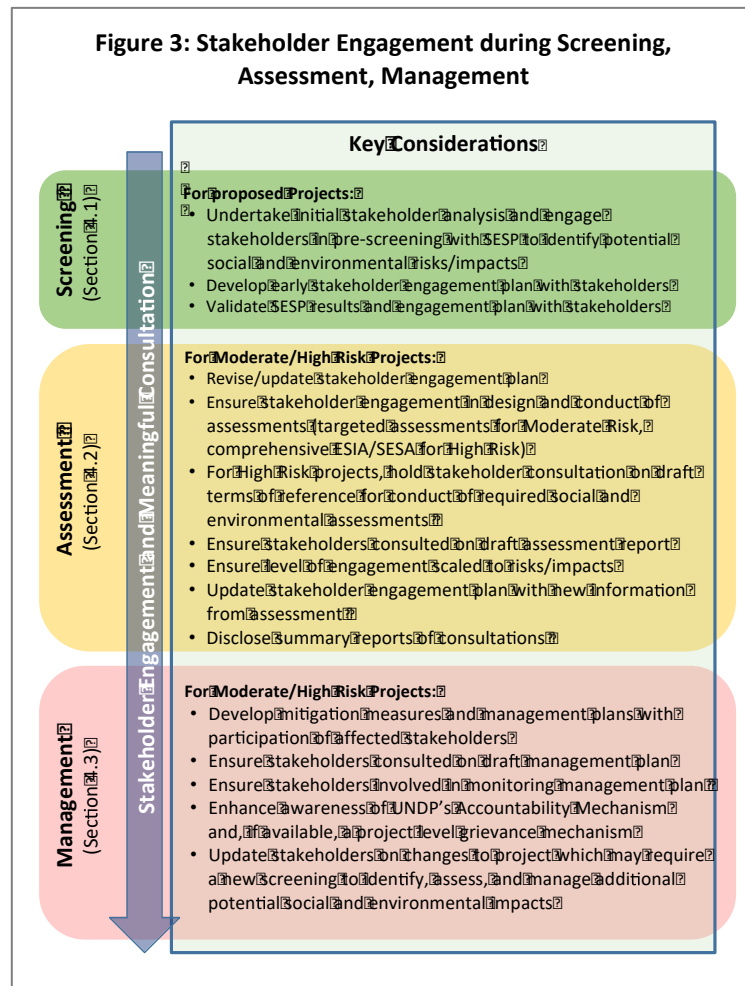
UNDP’s Social and Environmental Screening Procedure (SESP) is designed to help integrate the SES Overarching Principles (i.e. human rights, gender equality and women’s empowerment, environmental sustainability) into project design and to identify potential social and environmental risks and impacts, leading to an overall risk categorization that helps to determine the appropriate level of needed social and environmental assessment and management/mitigation measures. Screening naturally affects key stakeholder interests; consequently, stakeholders should be involved in the screening process.

Pre-screening for potential adverse social and environmental risks and impacts can lead to necessary changes to the project strategy and design in order to avoid identified

potential impacts. A range of key stakeholders – not just project promoters, but importantly stakeholders who may be adversely affected – should participate in and review the pre-screening. A workshop with stakeholders and relevant experts may be organized in order to discuss the pre-screening, gather additional stakeholder input, and identify measures to prepare the project for full appraisal.

Final screening of the Project Document must be completed prior to appraisal of the project by the LPAC/PAC. As this comes at the end of the design process, the final screening considers additional design elements since pre-screening and confirms that the project has incorporated relevant SES requirements, including any needed social and environmental assessment and management measures (for Moderate and High Risk projects).

A stakeholder consultation should be organized prior to full appraisal in order to incorporate their comments and concerns into the project and then seek their validation of the screening results. In addition,



stakeholders should review the project stakeholder engagement plan that they participated in developing (see Annex 2), which is incorporated into the Project Document.

To participate effectively in the screening process, stakeholders need to be provided all relevant information about the project, including any social and environmental assessment and management plans that may have been developed to date (see Table 1, row 4). Where there are uncertainties and unknowns, these should be transparently discussed with the stakeholders.

To foster trust and relationship-building, efforts should be made to avoid having the screening results, including the overall social and environmental risk categorization, be a surprise to stakeholders upon project approval.

4.2 Assessment

A key objective of the social and environmental assessment process is to promote public participation in crucial decisions regarding projects that may present adverse social and environmental impacts. The assessment process must provide opportunities for stakeholders to express their views on matters that affect them and for these views to be considered and responded to by the project team. Project-affected stakeholders should be involved in identifying means to avoid or mitigate potential impacts.

The timing of assessments may vary.¹⁵ The default position of project teams should be to ensure that assessments are undertaken prior to the Project Appraisal Committee (PAC) review. However, in some cases, the assessment process may need to be undertaken after project approval. In all cases, **UNDP requires that social and environmental assessments and adoption of appropriate mitigation plans/measures must be completed, disclosed, and discussed with stakeholders prior to initiation of any project activities that may cause adverse social and environmental impacts.**

The project team should inform stakeholders of the assessment process and ask them how they would like to be consulted, including types of information and formats, frequencies, and appropriate locations and venues. The applicable regulatory requirements (e.g. national environmental impact regulations, public notice and hearing requirements) as well as UNDP's stakeholder engagement requirements should be clearly explained.

The project's stakeholder engagement plan should identify key entry points in the assessment process to undertake stakeholder consultations. Table 2 outlines general opportunities and milestones for projects that require formal assessment studies – that is, all High Risk projects and some Moderate Risk projects with potentially significant adverse impacts.¹⁶ For Moderate Risk projects that do not require additional studies and assessment, stakeholders should be provided the draft Project Document and clear, culturally appropriate, summaries on the project and its potential impacts prior to the LPAC/PAC and asked to comment on the environmental and social management plan/measures outlined in the documentation. The plan/measures should be revised accordingly, as should the stakeholder engagement plan.

¹⁵ See SES Guidance Note on Social and Environmental Assessment and Management, section 4.1.

¹⁶ The SES require targeted forms of social and environmental assessment for Moderate Risk projects and comprehensive assessment of potential social and environmental impacts for High Risk projects, either in the form of an Environmental and Social Impact Assessment (ESIA) or Strategic Environmental and Social Assessment (SESA).

Table 2. Key entry points for stakeholder consultations in the assessment process	
<i>Scoping</i>	An initial “scoping” exercise is undertaken in order to identify and focus the social and environmental assessment on key issues and to establish a logical roadmap for the assessment process. Scoping involves gathering primary information with an emphasis on listening to issues of greatest interest and concern to stakeholders. Consultations should be held with project stakeholders (on a selective basis, with a focus on potentially affected persons/groups). Input from stakeholder consultations would supplement research and review of secondary sources.
<i>Draft terms of reference for assessment studies</i>	The scoping exercise typically informs the drafting of a terms of reference for the assessment (e.g. Environmental and Social Impact Assessment, Strategic Social and Environmental Assessment). Project stakeholders, with a focus on project-affected communities, should be consulted when the draft terms of reference for the assessment is developed in order to help identify any additional issues or concerns that may require further attention in the conduct of the assessment.
<i>Undertaking assessment studies and development of management plan</i>	Components of the assessment studies may require targeted consultations with project-affected stakeholders. Stakeholder input may assist in “designing out” activities that may give rise to adverse impacts. Also, participatory assessment techniques may be employed (see below). A key output of the assessment process is a management plan to mitigate and manage residual adverse impacts (typically an Environmental and Social Management Plan, or ESMP). The management plan needs to be developed in close consultation with project stakeholders. Consultations should aim to enhance mitigation and agree on project benefits.
<i>Draft assessment findings and management plans</i>	<p>Once the draft assessment and management plan are developed, organized consultations with project-affected stakeholders should be undertaken in order to ensure that they adequately respond to potential issues and concerns. The draft assessment and management plan are to be disclosed (see Annex 3). At a minimum a summary of the draft assessment and management plan should be translated into local languages and made accessible with appropriate lead-time before consultation meetings. A summary of the consultation should be produced and disclosed and the draft assessment and management plan should be revised as appropriate per input from project-affected stakeholders.</p> <p>It should be noted that the management plan is to include an updated stakeholder engagement plan to promote meaningful, effective consultations during project implementation and should include identification of milestones for consultations, information disclosure, and periodic reporting on project implementation and issues of concern to project stakeholders. The plan should also include a description of effective processes for receiving and addressing stakeholder concerns and grievances regarding the project’s social and environmental performance.</p> <p>Also, the assessment and management plan must address the requirements of applicable SES Project-level Standards, which may include further and more extensive stakeholder engagement (e.g. FPIC requirements per Standard 6 Indigenous Peoples, stakeholder participation in development of Livelihood Action Plans per Standard 5 Displacement and Resettlement)</p>
<i>Final assessment and management plans</i>	Stakeholders should be properly notified on the availability of the final assessment documents, and access facilitated.

Throughout the assessment process it may be necessary to undertake targeted consultations to ensure that marginalized or disadvantaged groups and individuals affected by the project also have the opportunity to participate. Gender-inclusive methods should be employed (see section 3).

Careful documentation of stakeholder consultations can demonstrate to stakeholders that their input has been considered and incorporated into the project. Summary reports of each consultation should be produced, circulated to participants, and publicly disclosed. Any commitments made to stakeholders should be carefully recorded. In addition, stakeholders should be provided regular updates as the social and environmental assessment studies progress and project design is modified.¹⁷ It is important for project implementers to log and track meetings, communications, exchanges, responses, disclosures, responses to grievances, summary reports, etc. This is particularly important if/when disputes arise regarding the extent to which stakeholders were engaged in project development and implementation.

Participatory assessments. Participatory assessment methods and approaches have been developed to better understand the social and cultural context of development and to design interventions for local conditions. The approach enables stakeholders to examine their own concerns and problems. The technique uses local knowledge, strengthens stakeholders' influence on decision making, and encourages ownership by people whose lives the project will affect. Participatory assessment includes a spectrum of approaches that vary in their level and extent of participation. Core principles of participatory assessment include the following (i) involves stakeholders as active participants – not just passive sources of information; (ii) promotes learning between project developers and stakeholders; (iii) strengthens local people's capacities to analyze, reflect, and act; and (iv) catalyzes commitment into actions.¹⁸

4.3 Management

The assessment process leads to the development of appropriate management plans and measures to address any remaining potential adverse social and environmental impacts that could not be avoided through changes in project design. Stakeholders, especially project-affected groups and individuals, need to be closely involved in the development of management plans and measures. In addition, it is equally important for stakeholders to be involved in monitoring any anticipated potential impacts throughout project implementation.

Address Stakeholder Engagement Requirements in Action Plans and Management Measures

Mitigation and management measures need to be developed for each potential adverse impact and risk identified in the social and environmental assessment. The SESP and scoping phase of the assessment determine and confirm which Project-level Standards are applicable to the project. Tailored management plans – typically integrated into the project's overall Environmental and Social Management Plan, or ESMP – may be required. For example, projects with significant adverse impacts (e.g. High Risk projects, some complex Moderate Risk projects) may require a Biodiversity Action Plan (Standard 1), a Cultural Heritage Management Plan (Standard 4), a Resettlement or Livelihood Action Plan (Standard 5), an Indigenous Peoples' Plan (Standard 6), or plans related to wastes or hazardous materials (Standard 7).

Stakeholder input is required in the elaboration of project management plans. Consultations with stakeholders should be utilized to broaden and discuss the range of options available to eliminate and reduce potential adverse social and environmental impacts. The local knowledge of directly affected stakeholders and the wider experiences of many non-governmental organizations and the scientific

¹⁷ IFC, Stakeholder Engagement, p. 124.

¹⁸ Asian Development Bank, "Participatory Assessment" in Strengthening Participation for Development Results: An Asian Development Bank Guide to Participation (2012), pp. 37-40. See [SES Toolkit](#) for further references on participatory assessment.

community may help identify innovative approaches and make mitigation measures more effective. Consultation is also an essential tool for coming to agreement with project-affected stakeholders on the key measures to be adopted as well as on the design of benefits programs that are targeted and culturally appropriate.¹⁹

The project's stakeholder engagement plan should be updated and modified to reflect the key actions, decisions, and timelines developed as part of the management plan. The plan should define when, how, and about what matters stakeholders shall be consulted, and how information relevant to the management plans should be shared with stakeholders (see Annex 2). Stakeholders should also be made aware of those project activities that must not be undertaken until appropriate management measures are in place.

Stakeholder consultations should be utilized to verify whether the draft management plan appropriately reflects concerns of project-affected groups and individuals.

Involve Stakeholders in Monitoring

It is critical to involve affected stakeholders in monitoring the project's anticipated impacts and management measures throughout implementation. With the launch of project activities (potentially including construction), coupled with an urgency to complete work on schedule, there are risks that impact mitigation measures or employment and other intended benefits may not be as effective as anticipated. Engagement during project implementation is essentially about involving stakeholders in assessing whether previously agreed measures are being implemented and working as intended, being responsive to grievances, and identifying alternatives where there are failings.²⁰

UNDP's Monitoring Policy requires the active participation of stakeholders in monitoring activities (see Box 5). The SES also calls for direct participation of affected stakeholders in project monitoring, particularly for projects with potentially significant adverse risks and impacts.²¹

Box 5. UNDP Monitoring Policy requires stakeholder involvement

UNDP's Monitoring Policy for projects and programmes requires stakeholder involvement in monitoring activities (para. 10):

- *“Monitoring activities must be carried out with the active participation of relevant stakeholders including national and international government agencies, NGOs and CSOs, the private sector, and representatives of local communities including representatives of indigenous peoples, where relevant. The use of real-time monitoring and collection of beneficiary feedback should be deployed when justified and feasible to track effects (good or bad), perceptions, unintended consequences, specific bottlenecks to results for disadvantaged communities, and to engage citizens in monitoring.”*

The project's stakeholder engagement plan should include mechanisms for inclusion of key stakeholders in monitoring project implementation. Various mechanisms can be considered. Stakeholder representatives, including for project-affected groups, may be included as members of monitoring committees and bodies. This is particularly important for projects with potentially significant adverse social and environmental risks and impacts. Mechanisms should be in place for stakeholders to verify monitoring results.

Participatory monitoring techniques may be employed. Participatory monitoring means more than mere stakeholder access to monitoring data. Typically it involves stakeholders themselves defining meaningful monitoring indicators and processes and participating actively in field visits and elaboration of monitoring reports and recommendations. Participatory approaches focus on building stakeholder capacity, ownership

¹⁹ IFC, Stakeholder Engagement, p. 123.

²⁰ IFC, Stakeholder Engagement, p. 136.

²¹ UNDP SES, Policy Delivery Process, Monitoring, Reporting and Compliance, para. 26.

and commitment to implement any corrective actions. A range of methods may be utilized, for example community-based monitoring, citizen report cards, and social audits.²²

Complex projects and those with potentially significant adverse impacts may require engaging independent third-party monitors. If it is determined that an independent advisory panel is needed for the project, it may be composed of stakeholder representatives as well as internationally recognized independent experts.²³

Reporting. For projects with significant social and environmental risks and/or impacts (i.e. High Risk projects, some complex Moderate Risk projects), the SES require that affected communities be provided periodic progress reports on implementation of project management plans and mitigation measures and on issues of concern to stakeholders. Any material changes or additions to the mitigation measures or action plans must also be communicated through the periodic reports, the frequency of which should be proportionate to the level of stakeholder concerns, but not less than annually.²⁴

It is also good practice as part of the engagement process to report back periodically to communities and other stakeholder groups as to how the project implementer has been responding to grievances it may have received.

²² See the SES Toolkit for references to participatory monitoring techniques.

²³ The SES requires the use of independent advisory panels during preparation and implementation of projects that are highly risky or contentious. SES, Policy Delivery Process, Assessment and Management, para. 10.

²⁴ UNDP SES, Policy Delivery Process, Monitoring, Reporting and Compliance, para. 25.

Annex 1. Stakeholder Analysis

Stakeholder analysis (also referred to as stakeholder mapping) is the process of identifying a project's key stakeholders and assessing their interests in the project. Stakeholder analysis provides the foundation for development of the project's stakeholder engagement plan and facilitates prioritization of engagement activities with particular stakeholder groups and individuals.

Stakeholder analysis seeks answers to the following fundamental questions:

- Who are the key stakeholders of the proposed project?
- What are the interests of these stakeholders related to the project?
- How will stakeholders' interests be affected (positively/negatively) by the project?
- Which stakeholders are the most vulnerable and subject to potential adverse impacts?
- Which stakeholders wield the most influence to affect project outcomes?
- Whose capacity needs to be supported to enable them to participate?

A systematic approach is needed to ensure that all potential stakeholders are identified and their interests well understood so that they will be appropriately engaged throughout the project. Various methodologies exist for undertaking stakeholder analysis.²⁵ This annex outlines common key steps for undertaking stakeholder analysis in development projects.²⁶

While the stakeholder analysis can initially draw on secondary data (e.g. desk study, review of past consultations), direct collaboration with key stakeholder groups is required in order to accurately identify stakeholders, their interests, and to plan for their participation. Workshops, public meetings, focus group discussions, in-depth interviews, surveys and other methods can be used to gather primary data on stakeholders. In many countries, experienced national institutes, research centers, government officials, social scientists, academics, or NGOs can be recruited to assist in carrying out stakeholder analysis.²⁷

Stakeholder analysis typically involves three main steps: identifying stakeholders, specifying stakeholder interests, mapping power relations and influence, and prioritizing engagement across different stakeholder groups. These steps are outlined below and in the following tables. Of course, the ultimate goal of stakeholder analysis is to identify those entities, groups and persons that may be most impacted by the project or who may influence its success so that their engagement in the project can be sought, prioritized, and tailored to ensure maximum benefits, minimal harms, and project success. The stakeholder engagement plan is critical to this success, outlining the specific engagement activities to be carried out over the course of the project. The stakeholder engagement plan is addressed in **Annex 2**.

Step 1 – Stakeholder identification

The first step of stakeholder analysis is to identify relevant stakeholder groups. Key questions to ask are:

- Who are the project's targeted beneficiaries?
- Who might be adversely impacted (directly or indirectly)?
- Will the project impact (positively or negatively) any marginalized groups?
- How will the project affect women and men stakeholders?

²⁵ For example, the World Bank has outlined a game-theoretic model to better understand potential stakeholder dynamics in complex policy reforms. See

<http://www1.worldbank.org/publicsector/anticorrupt/PoliticalEconomy/stakeholderanalysis.htm>.

²⁶ This Annex utilizes information outlined in UNDP, Handbook on Planning, Monitoring and Evaluating for Development Results (2009); IFC, Stakeholder Engagement; World Bank, Participation and Social Assessment: Tools and Techniques (1998); African Development Bank, Handbook on Stakeholder Consultations and Participation in ADB Operations (2001); Inter-American Development Bank, Meaningful Stakeholder Consultation (2017).

²⁷ African Development Bank, Handbook on Stakeholder Consultations, p. 25.

- Who are the projects main supporters and opponents?
- Who is responsible for carrying out planned activities?

Projects will typically involve a broad range of stakeholders. General categories of stakeholders include those listed below, noting however sub-categories and specific stakeholder groups will need to be identified:

- Intended beneficiaries
- Adversely affected groups and individuals
- Project workers and their representatives
- Government ministries, implementing agencies, regulators and consultants
- Local authorities
- Community and traditional leaders
- Civil society groups (community based, local or international NGOs)
- Women’s organizations
- Organized interest groups (business associations, trade unions, others)
- Project-related private sector companies
- Academia and research institutions
- Donors and financing institutions

The stakeholder analysis needs to be initiated early in order to identify key stakeholder groups and individuals to be involved in the project planning process. Since the full scope of project activities and potential stakeholders are not yet defined at this stage, an initial list of stakeholders – encompassing government, civil society, and, where relevant, the private sector – should be generated, relying on a desk review and expert input from the country focal points as well as governmental and civil society groups. Special care must be taken at this stage to ensure that the stakeholder identification exercise is an expansive one so that relevant groups are not inadvertently excluded.

To emphasize: Stakeholder identification should be as specific as possible. Use of overly general categories – such as “local communities,” “CSOs,” “indigenous peoples groups” – should be avoided, as they tend to communicate a lack of outreach and engagement.

The initial list of identified stakeholders should be verified, modified, and enhanced through interviews with key informants (e.g. government officials, donor representatives, issue/sectoral experts, NGO staff, community leaders), consultations/workshops with already identified stakeholders, and site visits. The list should be disseminated with an explanation on how other groups may be suggested or put themselves forward. It is important to not just rely on known entities, and to reach out to groups who typically may be excluded from decision-making processes, in particular women and marginalized groups that may be affected by the project.

Box 6. A gender responsive stakeholder analysis should respond to the following questions

- Who are the different stakeholders?
- Are men and women represented?
- What are their interests?
- What are the project priorities for men and women?
- How will men and women be affected differently by the proposed project?
- What is the capacity for men and women to participate in the project, particularly at the decision-making level?
- What are the key constraints to women’s participation?
- Who does what work? How does the work differ for men and women?
- Who has access to and who has control over environmental resources?

From Guide to Gender Mainstreaming in UNDP Supported GEF Financed Projects, p. 8.

Gender responsive analysis. Gender is often a key factor in determining access to project benefits and vulnerability to potential adverse impacts. It is vital that the stakeholder identification and analysis process be gender responsive in order to determine how and when women and men stakeholders should be involved and to address potential existing gender gaps in participation and decision-making. Stakeholder identification should be informed by the project’s gender analysis which should provide insights regarding (a) the distribution of tasks, activities, and roles associated with the division of labour among women and

men, and (b) the relative position of women and men in terms of representation, influence and decision-making. The gender analysis should provide key information on the number of men and women potentially affected by the project, literacy levels and access to and control over resources. Cultural norms may exist that make gender differences more pronounced, or difficult to interpret, and identifying these allows for a more successful implementation of an inclusive stakeholder engagement plan. **Box 6** outlines some key gender-related questions that should be addressed in the stakeholder analysis. To strengthen identification and participation of women stakeholders, it may be necessary to consult with civil society organizations focused on women's rights and areas of work related to the project, local committees, and relevant coalitions of women's organizations as well as ministries of women's affairs or equivalent institutions, and gender focal points in other ministries who may have a role in the project.

It is important for the stakeholder identification process to also encompass groups and individuals with other sexual and gender identities (e.g. lesbian, gay, bisexual, transgender) where relevant in the project context. Certain sexual and gender identities may be subject to discrimination and exclusion. Targeted outreach may be necessary to ensure that these groups and individuals are engaged where relevant.

In addition, groups and individuals that may face exclusion due to disabilities or health status (e.g. people living with HIV) should be appropriately identified among stakeholder groups.

Indigenous Peoples.

Additional due diligence may be required in identifying potential indigenous peoples stakeholders. Although indigenous groups may be clearly recognized by national governments, this is not always the case. There is no universally accepted definition of indigenous peoples. SES Standard 6 Indigenous Peoples sets out criteria for identifying distinct collectives as "indigenous peoples" even in the absence of State recognition or the use of other terms to refer to such groups. See the SES Guidance Note 6 for more information on identification of indigenous peoples.

Box 7. Who represents stakeholders?

The stakeholder analysis should seek to understand how stakeholder groups are represented, from their decision-making structures, specific constituencies, and accountability. This is especially important for civil society organizations.

Generally self-selection should be supported. The rights of key stakeholders, such as indigenous peoples, to organize themselves and be represented by the institutions and individuals of their choosing needs to be respected. Attention must also be given to who represents the respective stakeholders at the national level versus the local level (not necessarily the same). Support may need to be provided to ensure that representatives of certain stakeholder groups can meaningfully participate.

The representativeness of stakeholder participants should be verified. One way to do this is by talking directly to a sample of project-affected people. 'Ground-truthing' is not about "exposing" or undermining a stakeholder's position. It is about understanding how information is being relayed and processed, and assessing the extent to which the project can rely on the inputs received. Where gaps are identified, the project team should determine if greater capacity, resources, information, or expertise could fill the void. Verification measures should not overstep cultural boundaries (e.g. seeking access to groups that should not be spoken to in private or undermine the decision making structure put in place by the stakeholders themselves).

The identification process must then be updated and refined as the design of the project takes shape and the full scope of the project's activities – and range of potential stakeholders – is better understood. This should occur during the social and environmental assessment process (for Moderate and High Risk projects) whereby the project's full social and geographical scope (e.g. "area of influence") will be identified and provide a more comprehensive view of who may be affected – either directly by project components or

indirectly by associated activities or potential cumulative impacts.²⁸ At times this may involve groups far beyond planned project areas.

Where stakeholder groups may be represented by a leader or spokesperson, their representativeness needs to be understood in order to design effective engagement approaches. Verifying that certain representatives actually speak for a given stakeholder group can be a tricky process. (see Box 7).

For projects that may involve a large number of stakeholder groups or require the development of highly tailored engagement approaches, a stakeholder log or database may need to be developed in order to collect and organize useful information.²⁹

Step 2 – Identify stakeholder interests in the project

Once relevant stakeholder groups have been identified, the next step is to discern their interests in the project and how their interests may be affected. Identification of stakeholder interests can help illuminate the motivations of different actors and how they may influence the project, including potential project opponents.

Key questions to be answered include, at a minimum:

- How does each group of stakeholders perceive the problem at hand and proposed solutions?
- What are stakeholders' expectations of the project?
- What does each group of stakeholders stand to gain/lose as a result of the project?
- Would the rights of some stakeholders be adversely affected?
- Do some stakeholders face greater risks than others?
- What stakeholder interests conflict with project goals?
- What resources might the stakeholder be able and willing to mobilize?

Some stakeholder interests are less obvious than others and may be difficult to define, especially if they are "hidden," multiple, or in contradiction with the stated aims or objectives of their own stakeholder group, organization or representative. Interests may be quite diverse and extend far beyond potential material project benefits, such as maintenance of cultural practices and livelihoods.

The above questions can guide the inquiry into the interests of each key stakeholder or group. It is critical to understand potential perceptual differences among women and men regarding the project and its potential benefits and impacts.

To increase consensus and ownership, these questions are best answered by stakeholders themselves, typically in the context of a stakeholder workshop (and/or through focus groups and interviews).

Step 3 - Stakeholder Prioritization

The group of potential stakeholders and their interests will naturally be quite diverse. It is not practical nor warranted that the same level of engagement be sustained for each stakeholder group throughout the project. Prioritization between stakeholders, especially in complex projects with multiple phases and impacts, will likely be necessary. ***To be clear, prioritization is not tantamount to exclusion or discrimination but is objectively based on the identified rights, interests, and influence of each stakeholder.*** Prioritization facilitates identifying appropriate forms of engagement for different stakeholder groups.

²⁸ A Project's area of influence encompasses the primary Project site(s), associated facilities, areas and communities potentially affected by cumulative impacts, and areas and communities potentially affected by project-induced impacts. See SES, ft. nt. 98. For projects with a physical footprint, mapping the project's key components, identifying broad "impact zones," and overlaying the stakeholder groups may be helpful. See IFC, Stakeholder Engagement, p. 15.

²⁹ For example, see IFC, Stakeholder Engagement, Appendix 4.

Key questions to address include:

- What is the degree influence of each stakeholder group to affect project outcomes?
- What is the importance of each stakeholder group to the success of the project?
- What type of stakeholder engagement is mandated by national law, international obligations or other requirements?
- Who are the project's targeted primary beneficiaries?
- Who may be adversely impacted by the project?
- Who is it critical to engage with first, and why? (e.g. enhance project design, assist in early project scoping, avoid adverse impacts)
- Are special measures needed to protect the interests of marginalized stakeholder groups?
- Does opposition from any of the stakeholders or stakeholder groups put the project at risk? If so, are there ways to engage with them to ensure that their concerns are being addressed?

A common tool to assist in prioritization is creation of a matrix that organizes stakeholders according to their "importance" and "influence" (see Table 3 and 4).³⁰ **Importance** in this respect relates to who the project is most likely to affect (adversely or positively), which may be different from the level of **influence** they may have to affect project outcomes.

The results of the first three steps of stakeholder analysis can be summarized in table form (see Table 3 below) to provide an overview of stakeholder interests, importance and influence. Completion of the table should be undertaken as a participatory exercise with stakeholders.

Tables 5 and 6 provide a simplified, illustrative example of a stakeholder analysis for an election support project.

The stakeholder analysis facilitates development of tailored engagement approaches for specified stakeholder groups. This is outlined in the project's stakeholder engagement plan, which is discussed in Annex 2.

³⁰ The 'interest-influence matrix' is one tool to help prioritize stakeholder engagement, and has been recommended in other UNDP guidance. Others tools may also be appropriate and will be identified in the SES toolkit.

Table 3. Identification of stakeholders and their interests				
Stakeholders	Interests at stake in relation to project	Effect of project on interests (+ 0 -)	Importance of Stakeholder for Success of Project 1=Little/No Importance 2=Some Importance 3=Moderate Importance 4=Very Important 5=Critical player	Degree of Influence of Stakeholder over Project 1=Little/No Influence 2=Some influence 3=Moderate Influence 4=Significant Influence 5=Very Influential

Table 4. Stakeholder importance and influence matrix		
Importance low----->high	Group 1: High Importance/Low Influence Stakeholders	Group 2: High Importance/High Influence Stakeholders
	Group 3: Low Importance/Low Influence Stakeholders	Group 4: Low Importance/High Influence Stakeholders
	Influence low----->high	

From UNDP Handbook on Planning, Monitoring and Evaluation (2009)

Group 1 stakeholders are very important to the success of the activity but may have little influence on the process. For example (see Tables 5 and 6), the success of an electoral project will often depend on how well women and minorities are able to participate in the elections, but these groups may not have much influence on the design and implementation of the project or the conduct of the elections. In this case, they are highly important but not very influential. They may require special emphasis to ensure that their interests are protected and that their voices are heard.

Group 2 stakeholders are central to the planning process as they are both important and influential. These should be key stakeholders for partnership building. For example, political parties involved in a national elections project may be both very important (as mobilizers of citizens) and influential (without their support the project may not be possible).

Group 3 stakeholders are not the central stakeholders for an initiative and have little influence on its success or failure. They are unlikely to play a major role in the overall process. One example could be an international observer group that has little influence on elections. Similarly, they are not the intended beneficiaries of, and will not be impacted by, those elections.

Group 4 stakeholders are not very important to the activity but may exercise significant influence. For example, an informal political leader may not be an important stakeholder for an elections initiative aimed at increasing voter participation, but she or he could have major influence on the process due to informal relations with power brokers and the ability to mobilize people or influence public opinion. These stakeholders can sometimes create constraints to project implementation or may be able to stop all activities. Even if they are not involved in the planning process, there may need to be a strategy for communicating with these stakeholders and gaining their support.

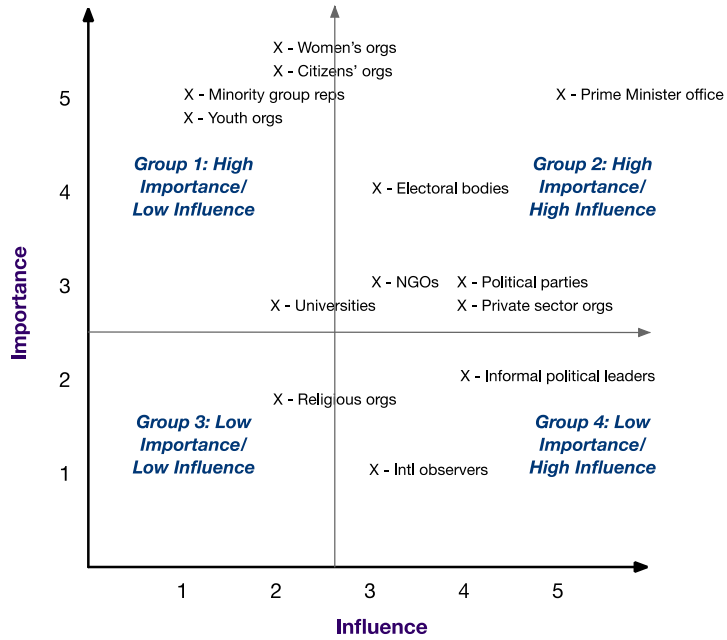
Simplified example of stakeholder analysis: Election support project

From UNDP, *Handbook on Planning, Monitoring and Evaluation (2009)*

Table 5. Identification of key stakeholders and their interests, importance and influence for electoral support project					
	Stakeholders (examples)	Interests at stake in relation to project	Effect of project on Interests (+ 0 -)	Importance (scale 1 to 5, 5 = highest)	Influence (scale 1 to 5, 5 = highest)
1	Office of the Prime Minister	Greater citizen participation	+	5	5
2	Universities	Political culture and civic behaviour	+	3	2
3	Main political parties	Free and fair elections, opportunities for greater influence?	+ +/-	5	4
4	Religious umbrella organizations	Ethics in politics, fairness	+	3	2
5	NGO groups (e.g. a watchdog NGO)	Fairness, greater influence	+	3	3
6	Private sector organizations	Opportunities for influence, fairness	+/-	3	4
7	Minority group representatives	Opportunities to participate	+	5	1
8	Youth umbrella organizations	Opportunities to participate	+	5	1
9	Electoral administrative body	Maintain own neutrality	+	4	3
10	International observer group	Fairness	+	1	3
11	Citizens' organizations	Rights of citizens, fairness	+	5	2
12	Women's organizations	Rights of women, fairness	+	5	2
13	Informal political leaders	Threats to their power	-	2	4

The ratings regarding stakeholder importance and influence can be mapped out on a simple grid, resulting in the following table:

Table 6. Stakeholder importance and influence matrix for electoral support project



Annex 2. Stakeholder Engagement Plan

Appropriately scaled plans. No one type or format of a stakeholder engagement plan will accommodate all projects. Its content will depend on various factors, including the nature, scale, location, and duration of project; the diverse interests of stakeholders; the scale of the project’s potential positive and adverse impacts on people and the environment; and the likelihood of grievances.

For a relatively small project with few if any potential adverse social and environmental impacts or initial stakeholder concerns (e.g. Low Risk project, straightforward Moderate Risk project), it is likely that only a “simplified” stakeholder engagement plan would be needed, focusing primarily on initial consultations, information disclosure and periodic reporting (see Box 8). In such cases, the “plan” would be relatively simple and easily described in the body of the Project Document (that is, no separate plan would be needed).

A project with greater complexity and potentially significant adverse social and environmental impacts (complex Moderate Risk project or High Risk project) should elaborate a more strategic plan. A “comprehensive” plan would outline mechanisms that buttress not just disclosure and good communications, but iterative consultations and possibly consent processes over the course of the social and

Box 8. Triggering the appropriate scale of stakeholder engagement plans

- *Simplified stakeholder engagement plan:* Project funding aimed at providing technical support (training in survey equipment) and materials (office space, computers, GPS equipment) to a national land and survey commission will likely have minimal impact on stakeholders other than the government.
- *Comprehensive stakeholder engagement plan:* Project funding to the same land and survey commission to actually conduct land titling in indigenous and forest-dependent communities across the nation, however, would require a comprehensive plan.

environmental assessment process, development of mitigation and management plans, monitoring project implementation, and evaluation. A separate, detailed stakeholder engagement plan should be appended to the Project Document (see outline below).

All stakeholder engagement plans – whether simplified or comprehensive (see below) – should address basic minimum criteria. The following checklist (Table 7) will help ensure that the plan addresses key issues and components.

Table 7. Key questions for developing a stakeholder engagement plan ³¹	
<i>Who</i>	<ul style="list-style-type: none"> ✓ Which stakeholder groups and individuals are to be engaged based on the stakeholder analysis? ✓ Have potentially marginalized groups and individuals been identified among stakeholders?
<i>Why</i>	<ul style="list-style-type: none"> ✓ Why is each stakeholder group participating (e.g. key stakeholder objectives and interests)?
<i>What</i>	<ul style="list-style-type: none"> ✓ What is the breadth and depth of stakeholder engagement at each stage of the project cycle? ✓ What decisions need to be made through stakeholder engagement?
<i>How</i>	<ul style="list-style-type: none"> ✓ How will stakeholders be engaged (strategy and methods, including communications)? ✓ Are special measures required to ensure inclusive participation of marginalized or disadvantaged groups?
<i>When</i>	<ul style="list-style-type: none"> ✓ What is the timeline for engagement activities, and how will they be sequenced, including information disclosure?

³¹ As modified, see Asian Development Bank (ADB), Strengthening Participation, p. 43.

<i>Responsibilities</i>	<ul style="list-style-type: none"> ✓ How have roles and responsibilities for conducting stakeholder engagement been distributed among project partners (e.g. resident mission, executing agency, consultants, NGOs)? ✓ What role will stakeholder representatives play? ✓ Are stakeholder engagement facilitators required?
<i>Resources</i>	<ul style="list-style-type: none"> ✓ What will the stakeholder engagement plan cost and under what budget?

Building mutual trust and ensuring meaningful and effective engagement is facilitated by stakeholder ownership of the relevant processes. All efforts should be made to work with the relevant stakeholders to design by mutual agreement the engagement and consultation processes, including mechanisms for inclusiveness, respecting cultural sensitivities, and any required consent processes.³² Cultural understanding and awareness is central to meaningful stakeholder engagement.

Moreover, a general solicitation of feedback or input cannot be relied upon, nor accepted as the sole method of consultation. Information laden questions presenting various options, the reasons for those options, and their consequences may be a better method in that it presents information in a relationship-building manner, does not assume full stakeholder knowledge of the project plans, and solicits input on specific project instances instead of placing the impetus on the stakeholder to make seemingly high-level suggestions.

Recall that stakeholder engagement may be minimal at certain times and intense at others, depending on the issues and particular project phase. Also, targeted input from select stakeholder groups may be needed at key points in project development and implementation.

As project information changes – perhaps from subsequent risk assessments, the addition of project activities, stakeholder concerns – the stakeholder engagement plan should be reviewed and modified accordingly to ensure its effectiveness in securing meaningful and effect stakeholder participation.

The stakeholder engagement plan should also anticipate if/when professional, neutral facilitators might be needed to lead key engagement activities. For projects where the stakeholder engagement process is likely to be complex or sensitive, social advisors or other expert staff should help design and facilitate the process and assist with participatory methodologies and other specialized techniques.³³

Grievance redress processes for the project need to be described in the stakeholder engagement plan. Section 3.4 above elaborates on relevant SES requirements.

The plan should also outline a reasonable budget for stakeholder engagement activities, including potential support for groups to facilitate their participation where necessary (noting that meeting locations should be as convenient as possible and stakeholder acceptance of such support should not be interpreted as endorsement of the project).

Table 8 below provides a rough outline for a simplified stakeholder engagement plan. Many approaches exist, and this is one example of outlining key elements. It is important to not simply list stakeholders and say they will be consulted, but to identify **why** they are being engaged, **how** engagement will proceed, **who** will do it, **when**, and **how** it will be financed/supported.

³² Practical Approaches to Ensuring the Full and Effective Participation of Indigenous Peoples in ReDD+ (September 2013), BMZ, FPCP, UN-ReDD, p.12.

³³ IFC Stakeholder Engagement, p. 101.

Table 8. Rough template of simplified stakeholder engagement plan					
Stakeholder Group	Why included (interests)	Participation methods		Timeline	Cost est.
		Method	Responsibility		

Below is an example of elements that should be addressed in a comprehensive stakeholder engagement plan. The scope and level of detail of the plan should be scaled to fit the needs of the project.

Outline of a Comprehensive Stakeholder Engagement Plan³⁴

1. Introduction

- Briefly describe the project including design elements and potential social and environmental issues. Where relevant, include maps of the project site and surrounding area.

2. Regulations and Requirements

- Summarize any legal, regulatory, donor/lender requirements pertaining to stakeholder engagement applicable to the project. This may involve public consultation and disclosure requirements related to the social and environmental assessment process as well as relevant international obligations.

3. Summary of any previous stakeholder engagement activities

- If any stakeholder engagement activities had been undertaken to date, including information disclosure and/or consultation, provide the following details:
 - Type of information disclosed, in what forms and languages (e.g., oral, brochure, reports, posters, radio, etc.), and how it was disseminated
 - Locations and dates of any meetings undertaken to date
 - Individuals, groups, and/or organizations that have been consulted
 - Key issues discussed and key concerns raised
 - Responses to issues raised, including any commitments or follow-up actions
 - Process undertaken for documenting these activities and reporting back to stakeholders

4. Project Stakeholders

- List the key stakeholder groups who will be informed about and engaged in the project (based on stakeholder analysis). These should include persons or groups who:
 - Are directly and/or indirectly affected by the project
 - Have “interests” in the project that determine them as stakeholders
 - Have the potential to influence project outcomes or operations
 - [Examples of potential stakeholders are beneficiaries and project-affected communities, local organizations, NGOs, and government authorities, indigenous peoples; stakeholders can also include politicians, private sector companies, labor unions, academics, religious groups, national environmental and social public sector agencies, and the media]

³⁴ Outline relies on content provided in IFC, Guidance Note 1: Assessment and Management of Environmental and Social Risks and Impacts (2012), Annex B.

- Consider capacities of various stakeholder groups to effectively participate in the stakeholder engagement activities, and include measures to support them where capacity is limited

5. Stakeholder Engagement Program

- Summarize the purpose and goals of the stakeholder engagement program
- Briefly describe what information will be disclosed, in what formats and languages, and the types of methods that will be used to communicate this information to each of the stakeholder groups identified in section 4 above. Methods used may vary according to target audience, for example:
 - Newspapers, posters, radio, television
 - Information centers and exhibitions or other visual displays
 - Brochures, leaflets, posters, non-technical summary documents and reports
- Briefly describe the methods that will be used to engage and/or consult with each of the stakeholder groups identified in section 4. Methods used may vary according to target audience, for example:
 - Interviews with stakeholder representatives and key informants
 - Surveys, polls, and questionnaires
 - Public meetings, workshops, and/or focus groups with specific groups
 - Participatory methods
 - Other traditional mechanisms for consultation and decision-making
- Describe how the views of women and other relevant groups (e.g. minorities, elderly, youth, other marginalized groups) will be taken into account and their participation facilitated
- Where relevant, define activities that require prior consultation and FPIC from indigenous peoples (and refer to Indigenous Peoples Plan and FPIC protocols)
- Outline methods to receive feedback and to ensure ongoing communications with stakeholders (outside of a formal consultation meeting)
- Describe any other engagement activities that will be undertaken, including participatory processes, joint decision-making, and/or partnerships undertaken with local communities, NGOs, or other project stakeholders. Examples include benefit-sharing programs, stakeholder-led initiatives, and training and capacity building/support programs.

6. Timetable

- Provide a schedule outlining dates/periodicity and locations where various stakeholder engagement activities, including consultation, disclosure, and partnerships will take place and the date by which such activities will be undertaken

7. Resources and Responsibilities

- Indicate who will be responsible for carrying out the specified stakeholder engagement activities
- Specify the budget and other resources allocated toward these activities
- [For projects with significant potential impacts and multiple stakeholder groups, it is advisable to hire a qualified stakeholder engagement facilitator to undertake all or portions of the stakeholder engagement activities]

8. Grievance Mechanism

- Describe the process by which people concerned with or potentially affected by the project can express their grievances for consideration and redress. Who will receive grievances, how and by whom will they be resolved, and how will the response be communicated back to the complainant? (see [Guidance Note on Grievance Redress Mechanisms](#))
- Ensure reference is made to and stakeholders are informed of the availability of UNDP's Accountability Mechanism (Stakeholder Response Mechanism, SRM, and Social and Environmental Compliance Unit, SECU) as additional avenues of grievance redress.

9. Monitoring and Reporting

- Describe any plans to involve project stakeholders (including target beneficiaries and project-affected groups) or third-party monitors in the monitoring of project implementation, potential impacts and management/mitigation measures

- Describe how and when the results of stakeholder engagement activities will be reported back to project-affected and broader stakeholder groups. Examples include newsletters/bulletins, social and environmental assessment reports; monitoring reports.

Annex 3. Supplemental Guidance: Disclosure of Project-related Social and Environmental Screenings, Assessments, and Management Plans

1. Introduction

Transparency is essential to building and maintaining public dialogue, increasing public awareness, enhancing good governance, accountability, and ensuring programmatic effectiveness. UNDP is committed to ensuring that relevant information about UNDP programmes and projects will be disclosed to help affected communities and other stakeholders to understand the opportunities and risks of proposed activities and to facilitate meaningful, effective and informed participation of stakeholders in project formulation and implementation.

UNDP's [Information Disclosure Policy](#) establishes a presumption in favor of disclosure whereby information concerning UNDP programmes and operations is made available to the public unless there is a compelling reason for confidentiality.³⁵ The Policy stipulates that general project information and project documents are to be disclosed.³⁶

UNDP's [Social and Environmental Standards](#) (SES) stipulate further requirements regarding disclosure of project-related information concerning stakeholder engagement, social and environmental screening, assessments, management plans, and monitoring reports. This note provides guidance on addressing these SES requirements.

2. Timely, accessible, and appropriate disclosure

UNDP is committed to ensuring meaningful, effective participation of stakeholders in its projects. Stakeholders require access to relevant project information in order to understand potential project-related opportunities and risks and to engage in project design and implementation.

For projects with potential adverse social and environmental impacts, stakeholders need access to screening reports, draft and final assessments and management plans. This information is to be disclosed in a timely manner, in an accessible place, and in a form and language understandable to affected persons and other stakeholders. These elements of effective disclosure are briefly elaborated below:

- **Timely disclosure:** information on potential project-related social and environmental impacts and mitigation/management measures should be provided in advance of decision-making. Draft screenings, assessments and management plans should be provided in advance as part of the stakeholder consultation process. In all cases, draft and final screenings, assessments and management plans must be disclosed and consulted on prior to implementation of activities that may give rise to potential adverse social and environmental impacts.

³⁵ The Information Disclosure Policy defines a range of exceptions to disclosure in Part III.

³⁶ UNDP Information Disclosure Policy, Annex 1, para. 9.1: (e) General UNDP Project Information: General information on UNDP development projects worldwide, including funding and implementing organization, actual start and end dates, status of the project, recipient country and subnational geographic location, is available in [UNDP Transparency Portal](#); (f) Project Documents: Project Documents, Country Programme Action Plans and Annual Work Plans, constitute the legal agreement between the programme country Government and UNDP to implement a project. Project documents are available in [UNDP Transparency Portal](#) and on UNDP Country Office websites.

- **Accessible information:** Stakeholders need to be able to readily access information regarding assessments and management plans. While local regulatory requirements might mandate availability of environmental assessments in government offices, this may not be sufficient to ensure that local stakeholders can access the information. Other means of dissemination may need to be considered, such as posting on websites, public meetings, local councils or organizations, newsprint, television and radio reporting, flyers, local displays, direct mail.
- **Appropriate form and language:** Information needs to be in a form and language that is readily understandable and tailored to the target stakeholder group. Summary information from assessments and management plans may need to be translated and presented by various means (e.g. written, verbal). Level of technical detail, local languages and dialects, levels of literacy, roles of women and men, and local methods of disseminating information are important considerations in devising appropriate forms of disclosure. A general solicitation of feedback on project documents may not be an appropriate form of information sharing and solicitation of input. Rather, the material may need to be presented in a contextual manner, such as the presentation of options with key information and questions designed to solicit feedback. Appropriate forms of proactive disclosure should be utilized beyond web posting of information. These may include radio broadcasts, brochures, community postings, SMS, oral presentations, etc. Also, it is vital to ensure that appropriate communication methods are devised to reach potentially marginalized and disadvantaged groups.

The stakeholder engagement process is an excellent moment to solicit from stakeholders the types of information they want and need and the most appropriate formats and languages and mechanisms for dissemination.

3. SES disclosure requirements

As part of the stakeholder engagement process, UNDP's SES require that project stakeholders have access to relevant information. Specifically, the SES (SES, Policy Delivery Process, para. 21) stipulates that, among other disclosures specified by UNDP's policies and procedures, UNDP will ensure that the following information be made available:

- Stakeholder engagement plans and summary reports of stakeholder consultations
- Social and environmental screening reports with project documentation
- Draft social and environmental assessments, including any draft management plans
- Final social and environmental assessments and associated management plans
- Any required social and environmental monitoring reports.

As outlined in the SES and [UNDP's Social and Environmental Screening Procedure](#) (SESP), the type and timing of assessments and management plans vary depending of the level of social and environmental risk associated with a project as well as timing of the social and environmental assessment. Table 9 below outlines various scenarios for disclosing both draft and final screenings, assessments and management plans.

TABLE 9. SES/SESP DISCLOSURE GUIDANCE

WHAT to Disclose		WHEN to Disclose	HOW to Disclose
<u>Draft</u> Social and Environmental Screening Procedure (SESP)		<ul style="list-style-type: none"> • During project design stage stakeholder consultations, gathering input to SESP • If assessment takes place during project design, then the SESP can also be shared and consulted as part of scoping process for assessment 	<ul style="list-style-type: none"> • Appended to Project Concept Note and/or draft Project Document and distributed to project stakeholders
<u>Final</u> Social and Environmental Screening Procedure (SESP)		<ul style="list-style-type: none"> • Post PAC, when Project Document disclosed (SESP included as an Annex) 	<ul style="list-style-type: none"> • As an Annex to the Project Document, the SESP will be disclosed on open.undp.org once it is uploaded in the Corporate Planning System.
<u>Draft</u> social and environmental assessments, including any draft management plans			
<ul style="list-style-type: none"> • Moderate Risk Project with <u>no</u> stand alone assessment 	<p>When no separate assessment is needed,³⁷ a summary of the analysis contained in the SESP and ProDoc, together with the documents and proposed management measures, should be shared with project-affected stakeholders, and revised per relevant stakeholder feedback prior to finalization.</p>	<ul style="list-style-type: none"> • At least 30 days prior to PAC • Part of stakeholder consultations 	<ul style="list-style-type: none"> • Summary should be translated in local language and distributed locally • Disclose draft ProDoc • Posted on UNDP unit (e.g. CO) website³⁸

³⁷ “In cases where potential adverse impacts are limited in number, well understood, clearly circumscribed, and can be easily avoided or mitigated (where avoidance is not possible), the assessment may consist of the analysis of social and environmental risks and impacts conducted as part of the SESP and incorporated in the Project Document (with management measures/plans incorporated into budget, risk log, and monitoring framework).” UNDP Draft Guidance Note on Social and Environmental Assessment, sec. 4.3.

³⁸ This is now standard practice for UNDP projects that seek support from the Global Environment Facility (GCF). To address the GCF requirements, UNDP discloses the ESMP for Moderate Risk projects at least 30 days before GCF Board consideration on the relevant UNDP country website in both English and the local language(s). UNDP completes the GCF “Environmental and Social report(s) disclosure” template with the relevant weblinks to the posted documents and submits the template together with the GCF proposal.

<ul style="list-style-type: none"> Moderate Risk Project with stand-alone assessment and management plan 	<p>Drafts of any stand-alone targeted assessments and management plans</p>	<ul style="list-style-type: none"> At least 30 days prior to PAC if assessment conducted as part of project preparation If undertaken as part of project, must be disclosed and consulted on at least 30 days <u>prior</u> to implementation of any activities that may cause adverse social and environmental impacts 	<ul style="list-style-type: none"> At a minimum, ensure that a summary report of the draft assessment and management plan is translated into local languages and made available in an accessible location together with the draft assessment and management plan Disclose draft ProDoc Posted on UNDP unit (e.g. CO) website
<ul style="list-style-type: none"> High Risk Project 	<p>Disclose draft ESIA or SESAs including any draft management plans. ESIA and SESAs also require that a summary report be prepared in order to provide an adequate, accurate and impartial evaluation and presentation of the issues and conclusions of the technical assessment. This report must be presented in an understandable format and in an appropriate language(s), including a non-technical summation that can be understood by many stakeholders in order to facilitate and encourage comments.</p>	<ul style="list-style-type: none"> At least 120 days prior to PAC if assessment conducted as part of project preparation If undertaken as part of project, must be disclosed and consulted on at least 120 days prior to implementation of any activities that may cause adverse social and environmental impacts 	<ul style="list-style-type: none"> At a minimum, ensure that a summary report of the draft assessment and management plan is translated into local languages and made available in an accessible location together with the draft assessment and management plan Disclose draft ProDoc Posted on UNDP unit (e.g. CO) website
<p>Final social and environmental assessments and associated management plans</p>	<p>Stand-alone targeted assessments for Moderate Risk projects and ESIA/SESAs for High Risk Projects</p>	<ul style="list-style-type: none"> Upon receipt. Needs to be prior to the PAC if assessment conducted as part of project preparation, or if undertaken as part of project, before implementation of any activities that may cause adverse social and environmental impacts 	<ul style="list-style-type: none"> At a minimum, ensure that a summary report of the final assessment and management plan is translated into local languages and made available in an accessible location together with the final assessment and management plan Posted on UNDP unit (e.g. CO) website