

#### IV. Actor Engagement Framework for CAF-GEF Financed Projects

Stakeholder participation in CAF-GEF financed projects is a key component for ensuring sound management of environmental and social impacts and risks, enhancing benefits and project sustainability, building trust with project affected populations and stakeholders, and increasing overall project results and effectiveness. Stakeholder participation should provide informed, timely, effective and transparent participation of project affected persons and other stakeholders, with special attention to women, disadvantaged and vulnerable groups.

There are various potential actors relevant to project stakeholder participation which needs to be defined for each specific project. Individuals or groups that are affected or likely to be affected by the project are project-affected parties and other individuals or groups that may have an interest in the project are other interested parties. Stakeholder identification starts during the project environmental and social assessment and should pay attention to identifying disadvantaged or vulnerable groups. Depending on the societal context, women, children, youth, and the elderly or other groups may need to be considered as stakeholder groups of their own. The project proponent should identify individuals or groups who may have different concerns and priorities about project impacts, mitigation mechanisms, and benefits, and who may require different, or separate, forms of engagement and levels of participation.

The concept of a public participation spectrum<sup>1</sup> is to assist with the selection of the level of participation in terms of the public's role in a community (stakeholder) engagement program. The spectrum presents a range of potential public influence levels on the decision or action being considered. As the level of public participation increases, there will be more public engagement which should lead to improved project outcomes.

This document presents general guidance for an Actor Engagement Framework associated with CAF-GEF financed products. Table 1 presents the framework based upon the four participation categories (Inform, Consult, Collaborate and Empower) and some selected key stakeholder actors associated with CAF-GEF financed projects. The framework is designed to help specific CAF-GEF financed projects establish goals and objectives on the appropriate levels of different stakeholders (actors) participation related to the level of their potential influence on the outcome of a specific aspect related to project environmental and social aspects.

The following provides a summary overview of the four level of participation categories used in Table 1 as suggested for use in CAF-GEF financed projects (note: each successive level includes actions under all previous levels; for example, Consult includes Inform actions, Collaborate implies necessary information disclosure (Inform) and consultation would also be performed, etc.)(see CAF-GEF Project Environmental and Social Safeguards for additional information on stakeholder participation):

- Inform. Provide the public (actor) with the accurate information they need to fully understand the project, or some specific aspect of the project, so that they can adequately develop their own conclusions. The information should not be designed to persuade or manipulate the public. Information sharing is primarily a one-way communication and should be provided in a transparent and accessible manner and with a way to request additional information or to convey

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<sup>1</sup> Public participation spectrum was developed by IAP2 (<https://iap2.org.au/resources/spectrum/>) and has been adapted by various entities such as the USEPA <https://www.epa.gov/international-cooperation/public-participation-guide-selecting-right-level-public-participation>

their concerns and recommendations. Information should be tailored to different groups' interests, needs, and likely concerns, and in a manner and format that is understandable, easily accessible, and culturally appropriate.

- Consult. Requests public (actor) opinions and then uses this information as input in decision making. Public (actor) is invited into the process, usually from the beginning, and can be provided multiple opportunities for input as decision-making progresses; and public (actor) will have access to receive direct feedback on how their input influenced the decision<sup>2</sup>. Consult needs to take into consideration specific issues or limitations of specific actors, such as women, disadvantaged or vulnerable groups, or indigenous peoples. Consultation is a two-way dialogue which involves information sharing, engagement, and dialogue, and should be in appropriate locations, formats, and local languages.
- Collaborate. Working together with the public (actor) directly engaged in decision-making process with the explicit attempt to find consensus solutions. However, the project proponent is still the ultimate decision-maker. Collaborate may be considered similar to the concept of informed participation which involves a more in-depth exchange of views and information, leading to joint analysis and decision-making. This level of involvement of participation tends to generate a shared sense of ownership in a process and its outcomes.
- Empower. Public (actor) is provided the opportunity to make informed decisions for themselves. For purposes of this actor engagement framework, negotiated agreements may be included in this level; for example, when seeking rights to land and other resources.

It should be noted that even when a higher level of participation is selected for one aspect, the project still can perform lower levels of participation for other aspects. Thus, a single project can be operating at four different levels of public participation. For example, while a project will empower people who will be physically displaced to select their desired resettlement/compensation option, the project would inform and consult on some other resettlement aspects.

For the purposes of Table 1, the following categories of actors (stakeholders) are used: (i) Project affected persons or groups and other stakeholders which is a general all-inclusive category, and (ii) the following more specific actor categories (a) Project affected communities, including associated governmental agencies/entities, (b) Project affected indigenous peoples or communities, (c) Project affected persons by physical or economic displacement, or restrictions on land rights or land use or access to natural resources, (d) Project affected women, (e) Project affected disadvantaged or vulnerable groups, (f) Project workers, and (g) Independent Technical Experts.

It is important to understand that the entries in Table 1 are subjective in nature, in that an assigned entry could vary in a specific project based upon its characteristics and desired goals and outcomes. Also, for a specific actor, some entries may not be applicable to a specific CAF-GEF financed project and all potential entries may not be included in the Table to avoid excessive repetition. For example, informing and consulting on project environmental and social instruments (ESIA, ESMPs, etc.) listed under Project affected people or groups and other stakeholders is applicable to all other actors listed. Table 1 should be used as an indication or guide to the potential opportunities for levels of participation in a specific CAF-GEF financed project. Some Table 1 entries represent a desired overall aching goal of continued improvement in the level of participation. For example, various entries under Collaborate represent a goal of moving actions from only consultation, as often conceived in regulatory and financing safeguards requirements, to an increased level of stakeholder participation which should lead to improved

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<sup>2</sup> Concepts are from Involve stage of public participation spectrum

environmental and social risk management and sustainability. Table 1 does not establish obligatory requirements for CAF-GEF financed projects.

The development of an actor engagement framework for a specific project should consider that the extent of the stakeholder engagement is based upon the significance of the environmental and social risks and impacts of the project and also the level of concern expressed by project affected population and other stakeholders. A project specific actor engagement framework should be used to define project-related goals thus providing guidance during project development and implementation. When developing a project-specific framework, Table 1 should be used in conjunction with the CAF-GEF Project Environmental and Social Safeguards related to stakeholder participation requirements.

**Table 1. Generic Actor Engagement Framework for CAF-GEF financed projects.**

ACTOR <sup>a</sup>	LEVEL OF PARTICIPATION <sup>b</sup>			
	INFORM	CONSULT	COLLABORATE	EMPOWER
Project affected persons and other stakeholders	<ul style="list-style-type: none"> <li>• CAF-GEF Project Environmental and Social Safeguards</li> <li>• CAF-GEF financed project environmental and social (ES) risk rating</li> <li>• Ongoing ES project monitoring/supervision reports</li> <li>• For projects with potentially significant greenhouse gas emissions, quantification of direct emissions due to project</li> </ul>	<ul style="list-style-type: none"> <li>• Environmental and social evaluation/assessment instruments (ESIA, ESMPs, etc.)</li> <li>• Stakeholder participation strategy/plan</li> <li>• Project alternative analysis</li> <li>• For projects in areas that have elements or practices considered cultural heritage, consultation on the nature, extent and significance of cultural heritage</li> </ul>	<ul style="list-style-type: none"> <li>• Potentially some project-specific environmental and social impact/risk mitigation measures</li> <li>• Develop and implement community (project affected people) monitoring program</li> <li>• System/mechanism for addressing grievances and complaints</li> <li>• Measures to share in the project development benefits and opportunities</li> <li>• Measures to reduce emissions of greenhouse gases</li> <li>• Measures for improving efficient consumption of water, energy, raw materials and other resources</li> <li>• For projects where there are no licensed hazardous waste disposal options/sites that are being operated to acceptable standards, measures to reduce hazardous waste generation and alternative disposal options</li> <li>• Develop and implement biodiversity offset measures/plan</li> <li>• Measures to manage risks from a project that involves risk of introduction of exotic species</li> <li>• Measures related to access and benefit sharing in the utilization of genetic resources</li> </ul>	<ul style="list-style-type: none"> <li>• Measures to guarantee fair and equitable participation of the benefits from projects that involve access and use of traditional knowledge</li> </ul>

			<ul style="list-style-type: none"> <li>• For projects located within a legally protected area or an internationally recognized area, measures to demonstrate the project is legally permitted, consistent with any government recognized management plans for such areas, and implement additional programs, as appropriate, to promote and enhance the conservation aims and effective management of the area</li> <li>• Measures associated with pest management control</li> <li>• Measures to provide fair and equitable benefit sharing in projects that involve the commercial use of cultural heritage</li> <li>• For projects located within a legally protected cultural heritage site, measures to demonstrate the project is legally permitted, consistent with any government recognized management plans for such areas, and implement additional programs, as appropriate, to promote and enhance the conservation aims and effective management of the area</li> <li>• In certain situations, capacity-building programs to enable affected stakeholders (particularly local communities, women and disadvantaged or vulnerable groups) to be able to participate</li> </ul>	
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			fully and effectively in the ES evaluation process and stakeholder engagement	
Project affected communities, including associated governmental agencies/entities		<ul style="list-style-type: none"> <li>• If used in a project, any governmental assigned security personnel shall take appropriate actions as defined in CAF-GEF Project Environmental and Social Safeguard S01 (annex 4)</li> </ul>	<ul style="list-style-type: none"> <li>• Project emergency response plan, especially related to relevant parties that have a role in plan implementation</li> <li>• For projects located in countries in conflict or post-conflict, a social and conflict analysis including, where applicable, mitigation and monitoring measures</li> <li>• For project where specific diseases are endemic in communities in the project area of influence, opportunities during the project life cycle to improve environmental conditions that could help minimize the disease incidence</li> </ul>	
Project affected indigenous peoples or communities	<ul style="list-style-type: none"> <li>• Results of all free, prior informed consultation and free, prior and informed consent activities (process and results)</li> </ul>	<ul style="list-style-type: none"> <li>• Consultation in language of indigenous community, in a participatory, inclusive and culturally appropriate manner</li> <li>• Alternative analysis to avoid or minimize negative impacts</li> </ul>	<ul style="list-style-type: none"> <li>• Stakeholder engagement plan</li> <li>• Evaluation of potential positive impacts and benefits and measures to ensure equitable distribution independent of gender and age</li> <li>• Evaluation of potential negative project impacts and identification of associated mitigation and monitoring measures</li> <li>• Planning and management of park or protected area when a project restricts access to these areas</li> <li>• System/mechanism for addressing grievances and complaints</li> </ul>	<ul style="list-style-type: none"> <li>• Measures to guarantee that a project will not impact any indigenous peoples that have not been contracted or live in voluntary isolation</li> <li>• Measures to ensure free, prior and informed consent, including associated mitigation measures, when (i) project impacts on indigenous territory, associated natural resources or cultural heritage, or (ii) project that causes any obligatory displacement</li> <li>• Measures to provide compensation and culturally sustainable development alternatives when a project</li> </ul>

				involves the commercial development of lands or natural resources central indigenous livelihoods or commercial use of indigenous groups cultural heritage
Project affected persons due to physical or economic displacement, or restrictions on land rights or land use or access to natural resources	<ul style="list-style-type: none"> <li>• Eligibility criteria and cut-off date for eligibility for resettlement related compensation and benefit measures</li> <li>• Census of affected persons, excluding all confidential information</li> <li>• Monitoring and evaluation of Resettlement Action Plan and results on affected persons</li> </ul>	<ul style="list-style-type: none"> <li>• Analysis of alternatives to avoid or reduce displacement or restrictions on land use</li> </ul>	<ul style="list-style-type: none"> <li>• Design and implementation of Resettlement Action Plan in a participatory manner that includes alternatives and options</li> <li>• Measures to improve, or restore, the livelihoods and standards of living of displaced persons</li> <li>• System/mechanism for addressing grievances and complaints</li> </ul>	<ul style="list-style-type: none"> <li>• Measures to undertake and obtain good faith negotiated settlements with affected people</li> <li>• Measures to allow affected people to make an informed selection of their desired resettlement related compensation measure</li> </ul>
Project affected women		<ul style="list-style-type: none"> <li>• Gender analysis, including disaggregated assessment of impacts and risks and, as needed, definition of mitigation measures for negative impacts</li> </ul>	<ul style="list-style-type: none"> <li>• Inclusive strategy for women involvement in project stakeholder participation/engagement, including the development of the gender analysis</li> <li>• Measures to prevent discrimination against women and provide gender equity regarding project benefits and opportunities (economic, work, training, property rights, etc.)</li> <li>• Measures to prevent, monitor and report gender-based violence and sexual exploitation and abuse</li> </ul>	

Project affected disadvantaged or vulnerable groups		<ul style="list-style-type: none"> <li>• Differentiated risks and potential impacts on persons with disabilities</li> </ul>	<ul style="list-style-type: none"> <li>• Measures to prevent discrimination or prejudice in accessing project benefits and resources to these groups</li> <li>• Differentiated mitigation measures so risks and impacts do not fall disproportionately on these groups</li> </ul>	
Project workers	<ul style="list-style-type: none"> <li>• Clear and understandable information on project requirements to comply with the fundamental principles and worker rights related to freedom of association and collective bargaining, forced or compulsory labor, child labor, discrimination in respect of employment and occupation, and migrant workers</li> </ul>	<ul style="list-style-type: none"> <li>• Worker health and safety plan</li> <li>• Measures to provide fair treatment, without discrimination, and with equal opportunities</li> </ul>	<ul style="list-style-type: none"> <li>• Measures to provide safe and healthy working conditions given the project worker occupation health and safety risks, including worker and company rights and responsibilities, risk prevention and control measures, monitoring, training, emergency procedures and reporting</li> <li>• System/mechanism for addressing worker grievances and complaints</li> </ul>	
Independent Technical Experts		<ul style="list-style-type: none"> <li>• For projects in areas that have elements of practices considered cultural heritage, consultation on the nature, extent and significance of cultural heritage</li> </ul>	<ul style="list-style-type: none"> <li>• Measures for improving efficient consumption of water, energy, raw materials and other resources</li> <li>• Development of biodiversity offset measures/plan</li> <li>• Measures to manage risks from a project that involves risk of introduction of exotic species</li> </ul>	<ul style="list-style-type: none"> <li>• Independent experts or advisory panels to support ES-related preparation and implementation of high ES risk projects</li> <li>• Design of structural elements of components in high-risk locations and which their failure may threaten community safety</li> <li>• Design, construction, operation and maintenance of dams and associated works</li> <li>• Identification and implementation of dam safety measures commensurate with the project</li> </ul>



				characteristics and associated potential risks
Governmental agencies				<ul style="list-style-type: none"> <li>• Projects that imply the use of live modified or transgenic organisms, the competent governmental authority shall certify such use is permitted</li> </ul>

- a) All potential actors for a specific CAF-GEF financed project may not be presented
- b) For a specific CAF-GEF financed project, all entries for each level of participation may not be applicable, additional applicable entries may not be included, and some entries may vary in terms of the level of participation based on a project's characteristics and desired outcomes. The entries should be considered as an indication or guide to the potential opportunities for levels of participation in a CAF-GEF financed project, thus serving as a goal. The table does not establish obligatory requirements for CAF-GEF financed projects.