

UNITED NATIONS ECONOMIC COMMISSION FOR EUROPE

# Guidelines on Stakeholder Engagement in People-first Public- Private Partnerships for the Sustainable Development Goals



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## Executive Summary

These guidelines sit alongside the UNECE People-first PPP Evaluation Methodology for the Sustainable Development Goals (SDGs) as a practical resource for government authorities that would like to introduce a People-first Public-Private Partnership (PPP) approach into their projects. The People-first PPP has been created in the context of the SDGs as an aid for governments to accelerate their progression towards 100% achievement.

The stakeholder engagement is one of five outcomes of the People-first approach to PPPs, and it captures the range of processes required to achieve meaningful participation and inclusivity to lift the welfare of the wider community long term. No longer will PPP projects be narrowly judged on traditional investment markers such as profitability. In future, with a People-first PPP, the benefits will be integrated into the social, cultural, environmental, and economic growth of the local community.

Stakeholder engagement is the backbone required to realise these goals. This guide takes you through the stages of creating a robust stakeholder plan, understanding who the priority stakeholders are and how to engage with them, and turning feedback and public grievance mechanisms into a positive advantage for project design and acceptance.

Five main messages can be drawn from this guideline. In a best-practice People-first PPP it is optimal to:

1. **Start Early** - Start engagement early in the process, at feasibility stage, and before tendering the project. Continue to meet regularly throughout the project cycle.
2. **Who are the Stakeholders?** - Prioritise the stakeholders based on those that are most affected, including those indirectly affected, and vulnerable people that are often overlooked.
3. **Plan, monitor, share** - Create a detailed plan for engagement, using an oversight committee to ensure that standards are maintained, and that results are shared transparently and monitored for success.
4. **Feedback** - Create efficient mechanisms for feedback and voicing grievances, and make sure that people feel that they have the freedom to share their opinion in an honest and safe environment.
5. **Listen to ideas** - Feedback and innovative ideas should be taken seriously, and integrated into the design wherever possible,

These steps, outlined in more detail throughout the guideline, will provide a pathway for the social, cultural, environmental, and economic benefits that can be achieved with People-first projects.

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## Recommendations

The following list of summarised recommendations are explained in detail in each section of the report, and collected here for easy reference:

### 1.1 STAKEHOLDER MAPPING

1. Conduct a situation analysis, at pre-feasibility stage, to identify affected stakeholders.
2. Identify stakeholders in two groups, duty bearers and rights holders.
3. Prioritise the most vulnerable people and understand their needs.

### 1.2 ENGAGEMENT PLAN

4. Develop an engagement plan with a clear vision to include all stakeholders.
5. Ensure regular engagement throughout the stages of the project, from first concept.
6. Information transfer should be in two directions to capture community benefits.

### 1.3 CLEAR METRICS

7. Track the regularity of meetings, names of people, and their comments.
8. Set up a feedback system to track satisfaction in the meetings.
9. Share results of meetings and follow-up actions publicly and promptly.

### 1.4 INDEPENDENT MONITORING COMMITTEE (IMC)

10. IMC needs to check that the Stakeholder Engagement Plan is being followed.
11. Terms of Reference required to clarify structure, roles and procedures.
12. Members of IMC cannot be directly involved or affected by the PPP.

### 2.1 PROJECT LIFECYCLE

13. Start the engagement process even before the project is funded.
14. Proactive engagement should be tailored for each phase of the project.
15. Ensure that the stakeholder engagement plan is adapted for each phase.

### 2.2 FREEDOM OF EXPRESSION

16. Make sure that people feel encouraged and safe to participate.
17. Identify the special groups that could feel unable to contribute for fear of repercussions.
18. Make special provision for these groups so that they feel safe to participate.

### 2.3 INCORPORATION OF IDEAS

19. Invite stakeholders into the decision-making process.
20. Give the ideas of vulnerable groups the same consideration as other stakeholders.
21. Take steps to reduce inequality and discrimination.

## **2.4 WIDER COMMUNITY BENEFITS**

22. Use the Stakeholder Engagement process to find out what people really want.
23. Build a structured process to identify social, cultural, environmental and economic benefits.
24. Expand the project brief to include as many of these potential outcomes as possible.

## **2.5 SATISFACTION RATING**

25. Collect feedback from stakeholders on their satisfaction with the engagement process.
26. Use the IMC to collect, analyse and report on satisfaction ratings.
27. Check that all relevant stakeholders are providing feedback.

## **3.1 TRANSPARENT AND QUALITY INFORMATION**

28. Select information dissemination processes that maximise the contact with stakeholders.
29. Use a range of different methods to help people to understand fully.
30. Provide information on a continual and timely basis.

## **3.2 REGULAR REPORTING**

31. Ensure that all meetings are recorded accurately and published for public review.
32. Develop a standardised template to ensure that all relevant information is recorded.
33. Track actions to ensure that all issues are brought to the attention of developers.

## **3.3 VERIFICATION**

34. All information that is disseminated by the project should be verified independently.
35. The independent authority is ideally local, reputable and independent and with no stake in the project.

## **4 PUBLIC GRIEVANCE**

36. Public Grievance mechanisms should be simple to use, accessible and respectful.
37. All grievances should be documented and tracked, and responded to quickly.
38. All grievances and resolutions need to be available publicly and transparently.

## Summary checklist of important recommendations

The guidelines provide thirty-eight recommendations for the People-first PPP projects to be aligned with the People-first approach and enhance achievement of the SDGs relevant to stakeholder engagement.

Recommendation	Particulars	Done (✓)
<b>1.1</b>	1. Is a situation analysis being conducted at pre-feasibility stage to identify affected stakeholders?	
	2. Are all affected stakeholders identified and divided into duty-bearers and rights-holder groups?	
	3. Have the most vulnerable people been identified and their needs understood and taken into consideration?	
<b>1.2</b>	4. Has an engagement plan been developed with a clear vision to include all stakeholders?	
	5. Has a strategy been developed within the engagement plan to ensure regular engagement throughout the stages of the project?	
	6. Has a strategy been developed within the engagement plan to ensure that Information transfer is be in two directions to capture community benefits?	
<b>1.3</b>	7. Is there a system set up to track the regularity of meetings, names of people, and their comments?	
	8. Is there a feedback system set up to track satisfaction of affected communities in the meetings?	
	9. Are the results of meetings and follow-up actions shared publicly and promptly?	
<b>1.4</b>	10. Does the Independent Monitoring Committee (IMC) systemically check that the Stakeholder Engagement Plan is being followed?	
	11. Are terms of reference drafted to clarify the structure, roles and procedures of the IMC?	
	12. Are members of the IMC directly involved or affected by the IMC?	
<b>2.1</b>	13. Has the engagement process started even before the project was funded?	
	14. Is proactive engagement tailored to each phase of the project?	
	15. Is the stakeholder engagement plan adapted for each phase of the project?	
<b>2.2</b>	16. Is there a strategy in place to ensure that people feel encouraged and safe to participate?	
	17. Have special groups that may feel unable to contribute for fear of repercussions been identified?	

	18. Have special provisions been made to ensure that these groups feel safe to participate?	
<b>2.3</b>	19. Are stakeholders being invited into the decision-making process?	
	20. Are ideas coming from vulnerable groups being given the same consideration as other stakeholders?	
	21. Are steps being taken to reduce inequality and discrimination amongst and towards vulnerable stakeholders?	
<b>2.4</b>	22. Is the Stakeholder Engagement process being used to find out what people really want?	
	23. Is a structured process being built to identify social, cultural, environmental and economic benefits?	
	24. Has the project brief been expanded to include as many of these potential outcomes as possible?	
<b>2.5</b>	25. Is there a strategy in place to collect feedback from stakeholders on their satisfaction with the engagement process?	
	26. Is the IMC being used to collect, analyse and report on satisfaction ratings ?	
	27. Have you ensured that all stakeholders are providing feedback?	
<b>3.1</b>	28. Have information dissemination processes that maximise the contact with stakeholders been selected?	
	29. Has a range of different methods been used to help people understand fully?	
	30. Is there a strategy in place ensuring the provision of information on a continual and timely basis?	
<b>3.2</b>	31. Are all meetings are recorded accurately and published for public review?	
	32. Has a standardised templated being developed to ensure that all relevant information is recorded?	
	33. Are actions being tracked to ensure that all issues are brought to the attention of developers?	
<b>3.3</b>	34. Is all information that is disseminated by the project should be verified independently?	
	35. Is the independent authority y local, reputable and independent and with no stake in the project?	
<b>3.4</b>	36. Are Public Grievance mechanisms simple to use, accessible and respectful?	
	37. Is there a strategy in place to ensure that all grievances documented and tracked, and responded to quickly?	
	38. Are all grievances and resolutions available publicly and independently?	

## Abbreviations

EPFI	Equator Principles Financial Institution
FPIC	Free, Prior and Informed Consent of affected Indigenous Peoples
HRBA	Human Rights Based Approach
IMC	Independent Monitoring Committee
NGO	Non-Governmental Organisation
NHRI	National Human Rights Institution
PPP	Public-Private Partnership (project)
SDG	Sustainable Development Goal
TOR	Terms of Reference
UNECE	United Nations Economic Commission for Europe
UNEP	United Nations Environment Programme

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## INTRODUCTION

### Purpose and Objectives of the Guidelines

This guide is designed to sit as a practical aid for governments that seek to establish meaningful stakeholder engagement to support the 2030 Agenda for Sustainable Development through a People-first Public Private Partnership (People-first PPP) approach. It complements the People-first Evaluation Methodology for SDGs as developed by UNECE, which can be used as an evaluation checklist and reference to what is required. It effectively outlines the steps required for government officials to design and implement a new Public Private Partnership in a way that is consistent with the People-first approach.

Principle 1 of the UNECE Guiding Principles on People-first PPPs<sup>1</sup> immediately relates to the need to listen to people and their needs with the following statement:

*“Build into infrastructure strategies the People-first transformative agenda, making sure that peoples’ needs are listened to”*

This guide will also provide valuable information on how to identify and meaningfully engage with relevant stakeholders at each stage of the project lifecycle, formulate a Stakeholder Plan, and evaluate the stakeholder engagement success.

Target users of the guidelines will mainly be the Government officials responsible for infrastructure development and project managers in the private sector preparing People-first PPP projects. Investors, including social impact investors, that wish to be assured of a People-first approach will also be interested in the results.

Large infrastructure and industrial Projects can have adverse impacts on people and on the environment. Stakeholder engagement is an inexpensive and efficient way to reduce risks and improve the success of the project. Importantly, it can improve the project concept through a process of assessing how it is adding value to society. It mitigates risk by disseminating information and learning of potential issues through engagement.

### Meaningful engagement

There are a range of assessment tools for ensuring investors that projects will be socially and environmentally sustainable, such as the EPFI Guidelines featured in the Equator Principles<sup>2</sup>, but the description of meaningful stakeholder engagement is widely interpreted and has no universally accepted definition, especially for some marginalised groups such as indigenous

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<sup>1</sup> Guiding Principles on People-first Public-Private Partnerships in support of the United Nations Sustainable Development Goals, UNECE, 2019. [https://unece.org/DAM/ceci/ppp/Standards/ECE\\_CECI\\_2019\\_05-en.pdf](https://unece.org/DAM/ceci/ppp/Standards/ECE_CECI_2019_05-en.pdf)

<sup>2</sup> THE EQUATOR PRINCIPLES JULY 2020 A financial industry benchmark for determining, assessing and managing environmental and social risk in projects [www.equator-principles.com](http://www.equator-principles.com) EPFI Guidelines [The-Equator-Principles-July-2020-v2.pdf \(equator-principles.com\)](https://www.equator-principles.com/Equator-Principles-July-2020-v2.pdf)

peoples (per the FPIC<sup>3</sup>). Stakeholders have built up a wealth of crucial experience and expertise that can be useful in the design and implementation of PPPs.

### **Inclusive and participative**

Effective and inclusive stakeholder engagement and public participation in decision-making processes and throughout the life of the PPP is arguably the most important ingredient for successful project delivery, and yet is often regarded as a fringe activity or one that can be outsourced to business-as-usual functions. “Public participation” is an inclusive concept that covers all stakeholders, including natural or legal persons who are interested or potentially interested in the project and its outcomes, non-governmental organisations (NGOs), local communities, women, vulnerable people, and others.

Project managers depend on people to respond to the outputs and benefits that they deliver. People will only respond if they are engaged. Thus, best practice in stakeholder engagement and public participation is typically about how the government and private sector reach out to all stakeholders (including the public) to make them feel part of the project.

### **Creating incentives for engagement**

Stakeholder engagement and public participation in People-first PPPs is widely considered to be a foundation for ensuring the People-first outcomes. It creates the right incentives for engagement and encouraging investors to recognise the value of effective and inclusive engagement. The values can be wide ranging and long term, connecting the outcomes of the project to a wide range of social, cultural, environmental and economic benefits that otherwise may be overlooked in the project design, implementation, and operation. This engagement is more than an altruistic ideal as it helps to create sustainability through community support, allowing the community to feel ownership and recognise additional benefits.

### **A collective body**

The ethos of “People-first” stakeholder engagement is to engage directly with the communities affected by the projects and mobilise them through a collective body. The latter can be a conduit for the community’s views on the project and these views can then be addressed by the sponsor in open and transparent dialogues.

### **Transparency and Accountability**

The need for transparency in project planning, and reporting of stakeholder meetings, feedback and grievances, provides a means to creating greater accountability for project developers, and a pathway for improving project sustainability.

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<sup>3</sup> FPIC, Free, Prior and Informed Consent of affected Indigenous Peoples, as per The United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP), OHCHR 2013, [Microsoft Word - FPIC \(final\) \(ohchr.org\)](https://www.ohchr.org/en/docd.aspx?id=12683)

As laid out in the common understanding for the human right-based approach (HRBA)<sup>4</sup>, all programmes of development co-operation, policies and technical assistance should further the realisation of human rights. The human rights principles of participation, non-discrimination and inclusivity, data transparency, accountability and sustainability form an essential path towards realising the Sustainable Development Goals (SDGs).

Based on these human rights principles, the UNECE negotiated the Convention on Access to Information, Public Participation in Decision-Making and Access to Justice in Environmental Matters (Aarhus Convention<sup>5</sup>) and its Protocol on Pollutant Release and Transfer Registers (Kyiv Protocol<sup>6</sup>), which empower people with the rights to access information, participate in decision-making in environmental matters and to seek justice.

### **Which PPPs lend themselves to stakeholder engagement?**

It is important to develop a stakeholder engagement plan for any kind of PPP project, whether in the infrastructure or social sectors, and whether large or small. Clearly, the larger and more complex infrastructure sectors will require more elaborate and robust processes, recognising the potential adverse effects to the local community. All PPPs, whether infrastructure or social, stand to gain huge value in sustainability and local acceptance if People-first.

### **Engagement through all project stages**

And lastly, it is worth noting that the stakeholder engagement is a process that runs throughout the project design, implementation and operational phases. It is an essential process for ensuring the achievement of all the other People-first PPP outcomes as it enables the project team to understand the potential for developing new opportunities for optimising environmental, social, economic and replicability outcomes.

### **Stakeholder Engagement in the context of the 2030 Agenda**

A People-first approach is designed to support the realisation of a wider range of SDGs than a traditional PPP model. For example, infrastructure projects to build energy plants can provide a wider array of social, cultural, economic and environmental benefits than the immediate power and investment returns for the investors. Consideration of local training and employment in the build and operation of the plant can also bring direct benefits to the welfare of the region.

In the testing of the UNECE People-first PPP Evaluation Methodology for the SDGs, it became clear that People-first standards in stakeholder engagement are not easily understood, and it is too easy to overlook some of the critical elements in developing a stakeholder engagement plan and implementation process. This guide therefore sets out to provide clarification on the

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<sup>4</sup> The Human Rights Based Approach to Development Cooperation Towards a Common Understanding Among UN Agencies, 2012, [Attachment 1: \(un.org\)](#)

<sup>5</sup> Aarhus Convention, UNECE 1998, [Introduction | UNECE](#)

<sup>6</sup> Kyiv Protocol on Pollutant Release and Transfer Registers, 2009, [Introduction to the Kyiv Protocol on Pollutant Release and Transfer Registers | UNECE](#)

questions asked and provides some structure for building a robust system of stakeholder engagement for the parties concerned.

These guidelines provide a simple to follow approach for stakeholder engagement, and a checklist of the activities that should be included right from the start of the design process. If conducted well, the benefits will become evident in time through greater sustainability, acceptance by the communities affected, and a wide range of additional benefits that would otherwise have been overlooked.

As an additional resource, the practical guide entitled “Stakeholder Engagement and the 2030 Agenda”<sup>7</sup> is useful for background information for implementation of projects.

### **The Relevance of the Sustainable Development Goals for People-first PPPs**

Meaningful stakeholder engagement, including community representatives that are knowledgeable about the local environment, the culture, and the likely effects and benefits of the PPP on local people, enables a more creative process. The range of SDGs that can be incorporated into the design is huge, using the opportunity for development in one sector to enrich the quality of many others. For example, a new infrastructure project can make a large difference to people’s lives just by the careful selection of location, the positioning of roads, green spaces, and design features. The ability to think outside the box, considering ideas for mitigation, enrichment of lifestyle, and the environment can add enormous potential to the acceptability of the project.

To aid in this concept, there the following table suggests examples of SDG targets that can potentially be achieved with stakeholder engagement.

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<sup>7</sup> Stakeholder Engagement and the 2030 Agenda, A Practical Guide, UN DESA/UNITAR, April 2020, [Stakeholder Engagement and the 2030 Agenda: A Practical Guide: Sustainable Development Knowledge Platform \(un.org\)](https://sustainabledevelopment.un.org/stakeholder-engagement-and-the-2030-agenda)

Table 1. A selection of relevant SDGs for Stakeholder Engagement

SDG	Description of Indicator	Area of Benefit and examples of creative ideas from People-first stakeholder engagement
<b>SDG 1.4</b>	By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance	<b>Equitable economic growth</b> e.g., Ideas for local employment Including local indigenous people in water management teams Educational programs and training for local entrepreneurs
<b>SDG 5.5</b>	Ensure women’s full and effective participation and equal opportunities for leadership at all levels of decision-making in political, economic and public life	<b>Empowerment of women</b> e.g., Inclusion of women in community meetings to gather their opinions
<b>SDG 6.B</b>	Support and strengthen the participation of local communities in improving water and sanitation management	<b>Local management of water resources</b> e.g., Training of local operators
<b>SDG 10.1</b>	By 2030, progressively achieve and sustain income growth of the bottom 40 per cent of the population at a rate higher than the national average	<b>Alleviation of poverty</b> e.g., Supporting local trades in building the new infrastructure, and training them
<b>SDG 16.7</b>	Ensure responsive, inclusive, participatory and representative decision-making at all levels.	<b>Community support</b> e.g., Opportunities for community members to improve the design based on local knowledge
<b>SDG 17.17</b>	Encourage and promote effective public, public-private and civil society partnerships, building on the experience and resourcing strategies of partnerships.	<b>Enabling governance</b> e.g., Ensuring that local laws and policies support a People-first PPP approach

## The People-first PPP Evaluation Methodology for the SDGs

The People-first PPP Evaluation Methodology for the SDGs is a tool developed by UNECE for evaluating PPP projects in terms of the five People-first outcomes, including stakeholder engagement. The UNECE has spearheaded a movement towards a new model of PPPs called “People-first” PPP and in this regard, it has argued for a mechanism to evaluate and score infrastructure and PPP projects and to determine the extent to which they meet the People-first PPP designation.

People-first PPPs are defined in the Guiding Principles<sup>8</sup> and are summarised according to five specific outcomes: access and equity; economic effectiveness and fiscal sustainability; replicability; environmental sustainability and resilience; and stakeholder engagement. To implement the Guiding Principles, these generic outcomes have been carefully analysed, and criteria and indicators were elaborated and added that can be scored to assess the extent to which projects meet the People-first designation.

These guidelines differ from the People-first Evaluation Methodology for the SDGs in that they provide advice and recommendations on stakeholder engagement in the design and preparation steps towards People-first PPP projects. It is important to note that the People-first Evaluation Methodology for the SDGs helps to evaluate PPP projects at the design, construction and implementation stages. As to the guidelines, they are applicable even earlier, at the conceptual stages of a PPP project.<sup>9</sup>

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<sup>8</sup> Guiding Principles on People-First Public-Private Partnerships (PPPs) in support of the United Nations Sustainable Development Goals, UNECE, 2019.

[https://unece.org/DAM/ceci/ppp/Standards/ECE\\_CECI\\_2019\\_05-en.pdf](https://unece.org/DAM/ceci/ppp/Standards/ECE_CECI_2019_05-en.pdf)

<sup>9</sup> For projects at the design stage, it is recommended to have advanced sufficiently in their design and preparation so that the project proponents already have sufficient information to rate them by the respective indicators and criteria.

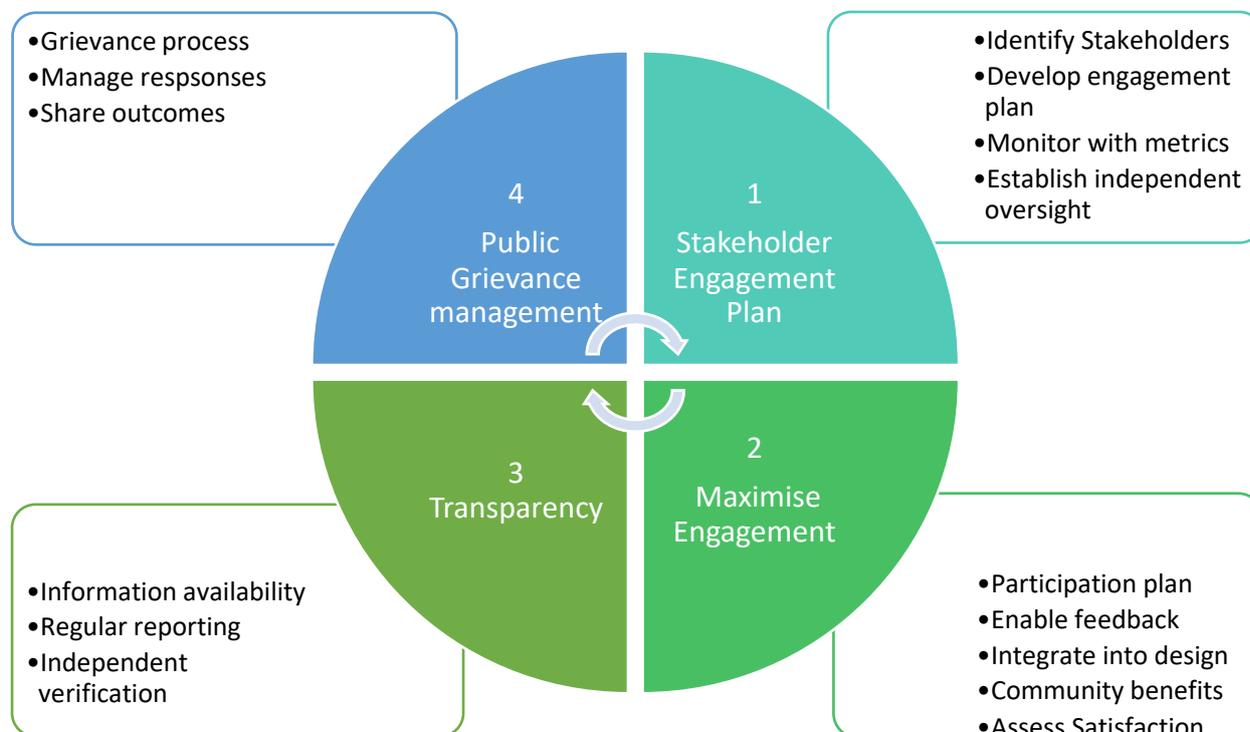
## HOW TO ACHIEVE STAKEHOLDER ENGAGEMENT IN PEOPLE-FIRST PPP PROJECTS?

This section complements the indicators that are included in the Evaluation Methodology, and provides additional information for government officials to:

1. Understand what is required to support meaningful engagement right from the feasibility stage of the project development with guidelines for what should be included in a stakeholder engagement plan, and how to ensure that all the relevant stakeholders have been included.
2. Provide information that will enable the PPP to improve their processes and strengthen stakeholder engagement such that they can truly count themselves as having a People-first approach
3. Check that all aspects have been included in the design of the engagement through a simple checklist approach at the end of each section.

The following diagram shows the four stages that are envisaged in a ‘Best Practice’ process for stakeholder engagement in People-first PPPs depicted as a circular process. Each stage needs to feed back into the process on a regular basis to refine which stakeholders are being included, react to any feedback that is received, and then integrate it into the process of design and development.

Figure 1. Four Stages of the Self-Assessment Tool for Stakeholder Engagement



Stakeholder engagement is a living process that should be constantly reviewed based on feedback throughout the various feedback mechanisms from stakeholders, allowing:

- inclusion of 'forgotten' stakeholders,
- transparency of information throughout the process,
- sharing of designs, reports, and outcomes from the engagement process,
- an accessible mechanism to encourage feedback and public grievance comments, and
- ultimately, improvements in the environmental, social, cultural and economic welfare of the community at large, resulting in a more sustainable project.

These four stages will be covered one at a time in the next chapters of the guide, outlining the recommended steps and approaches needed to achieve People-first stakeholder engagement for PPPs.

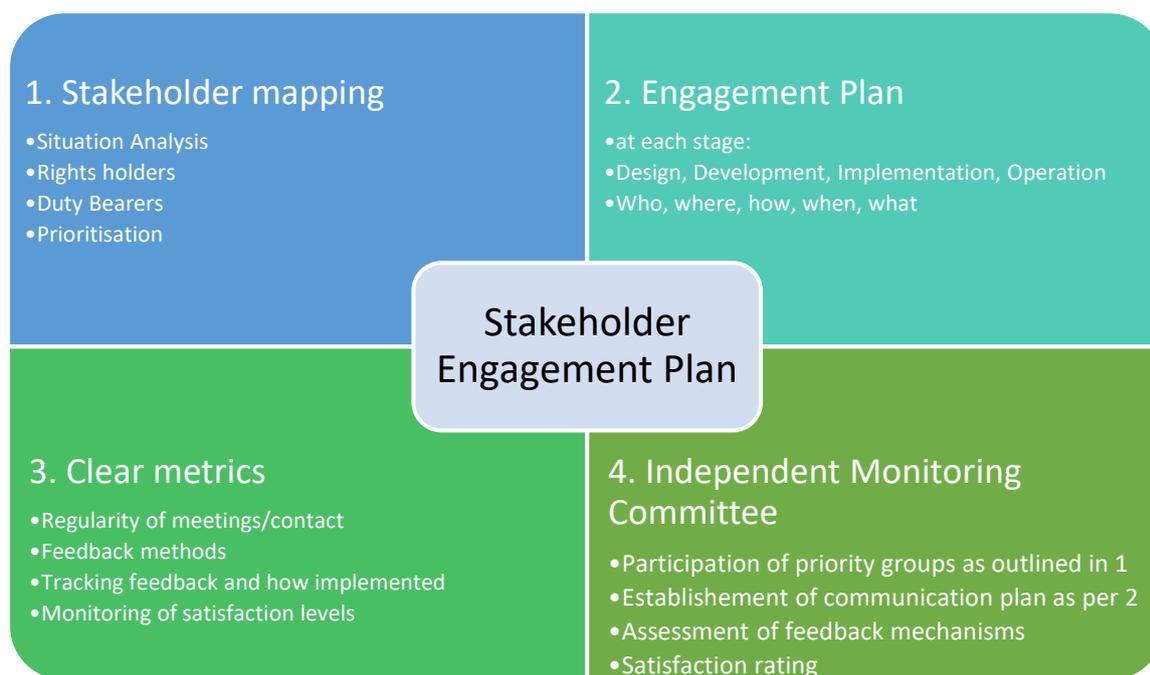
## STAGE 1: Plan for stakeholder engagement and project participation

A stakeholder engagement plan refers to a plan through which consultation and participation methods, medias, and schedules are outlined in a way which assures that all stakeholders are included and involved over the course of the project development.

### What makes a good stakeholder engagement plan?

Best practice per the People-first PPP approach determines that a stakeholder engagement plan should include the following four aspects:

Figure 2. What is included in a Stakeholder Engagement Plan



The following sections in the guide provide practical information to support government authorities to develop best practices in support of the People-first PPP approach.

## 1.1. Stakeholder Mapping

A stakeholder mapping exercise can be described as any activity which helps to define and identify stakeholders as well as their involvement or interest in the project, which will then aid in the development of engagement and participation strategies as the project moves forward. Stakeholders can be any individual, group of individuals, or organization that may be affected by the project, either directly or indirectly, or who may hold an interest in the project either positively or negatively<sup>10</sup>. The most accepted process of mapping is to first identify the stakeholders based on the scope of the project, analyse their involvement, prioritize them, and then engage them meaningfully based on the priority given<sup>11</sup>.

### Step 1: Situation Analysis

Before stakeholders can be mapped, an understanding of the project scope (the situation analysis) will help to identify the people that are affected both directly and indirectly. A systematic approach to assess the project's areas of influence includes the following spheres of influence:

Figure 3. Project spheres of influence

Geographic	Timing	Environmental and Social	Interest Groups
<ul style="list-style-type: none"><li>• primary site</li><li>• associated sites</li><li>• transportation routes</li><li>• areas affected by impacts</li><li>• unplanned/predicatable impacts</li></ul>	<ul style="list-style-type: none"><li>• Near term</li><li>• Future effects</li><li>• Cumulative effects</li><li>• Disruption in construction</li></ul>	<ul style="list-style-type: none"><li>• Economic</li><li>• Political</li><li>• Social</li><li>• Cultural</li><li>• Environmental</li></ul>	<ul style="list-style-type: none"><li>• Special interests</li><li>• Experts</li><li>• Not necessarily local</li></ul>

Mapping the geographic spheres, and the areas affected by the construction, implementation and operation of the project will help to locate directly affected stakeholders. It then needs to consider the affects at different stages of the development, to capture those stakeholders that may be overlooked in the initial design stages.

The People-first PPP approach also takes into consideration the full range of potential environmental and social affects and benefits that can be derived from the project, breaking

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<sup>10</sup> Stakeholder Engagement, A good Practice Handbook for Companies doing business in an emerging market, IFC,2007. [StkhldrCvrSingle \(ifc.org\)](http://StkhldrCvrSingle(ifc.org))

<sup>11</sup> Stakeholder Mapping Tool, FAO, [Stakeholder mapping tool | FAO Capacity Development | Food and Agriculture Organization of the United Nations](http://Stakeholder mapping tool | FAO Capacity Development | Food and Agriculture Organization of the United Nations)

it down into social, cultural, political, economic, and environmental affects and who is likely to be affected (Table 2).

And lastly, it is also wise to map other interested parties. Cost effective means of communication can include newsletters, websites, and targeted public meetings, to maintain and open channels of communication. It is better to be proactive and offer opportunities for constructive dialogue rather than play out their issues in the public media.

*Table 2. Assessment of social and environmental effects for stakeholders*

Sector	Description of the effects	Questions to ask
<b>Economic</b>	Will the project affect: <ul style="list-style-type: none"> <li>· economic activity</li> <li>· an increase in taxes</li> <li>· local and state markets</li> <li>· inflation or devaluation</li> <li>· indirect economic effects and benefits</li> </ul>	<ul style="list-style-type: none"> <li>· Which demographics will see economic changes?</li> <li>· Who could benefit financially from the project?</li> <li>· Who could lose employment?</li> <li>· Who might be affected economically by the project?</li> <li>· e.g., small businesses</li> </ul>
<b>Political</b>	Will the project: <ul style="list-style-type: none"> <li>· Impact any kind of political agenda</li> <li>· encourage public participation in politics</li> <li>· be managed or overseen by government officials</li> <li>· be driven by local politics</li> <li>· have any other possible connections to local politics?</li> </ul>	<ul style="list-style-type: none"> <li>· Which agency is directly involved in the PPP?</li> <li>· Which stakeholders are involved in local politics?</li> <li>· Who might be pursuing a political agenda?</li> <li>· e.g., local authorities</li> </ul>
<b>Social</b>	Will the project impact: <ul style="list-style-type: none"> <li>· social hierarchy in the area</li> <li>· social welfare programs</li> <li>· the daily lives of civilians</li> <li>· implementation of social programs</li> <li>· any other social effects in the area?</li> </ul>	<ul style="list-style-type: none"> <li>· Which social groups will see the most changes after the project is completed?</li> <li>· Which groups will be affected over the course of construction?</li> <li>e.g., local women’s groups</li> </ul>

<b>Environmental</b>	Will the project <ul style="list-style-type: none"> <li>· require deforestation or clearing of land</li> <li>· create pollution of any kind</li> <li>· increase/decrease carbon footprint</li> <li>· encourage sustainability</li> <li>· have any other effect on the local environment?</li> </ul>	<ul style="list-style-type: none"> <li>· Who will be affected by changes to land, water supply and/or air quality?</li> <li>· Which people/groups may have local knowledge to support solutions that minimise environmental damage or suggest mitigation solutions?</li> <li>· e.g., indigenous populations</li> </ul>
<b>Cultural</b>	Will the project: <ul style="list-style-type: none"> <li>· discourage or appropriate local or indigenous culture</li> <li>· counter local cultural beliefs</li> <li>· alienate cultural groups</li> <li>· have any other kind of impact on cultural issues?</li> </ul>	<ul style="list-style-type: none"> <li>· Which cultural groups could be affected?</li> <li>· Which groups or individuals could provide information and consultation to ensure that local cultures are respected?</li> <li>· e.g., leaders of religious groups</li> </ul>

### *Step 2: Identifying the stakeholders by their involvement*

Before stakeholder mapping and engagement can begin, it is helpful to separate the stakeholders into two different groups<sup>12</sup> so that all stakeholders are considered in a systematic way:

1. **Duty-bearers:** those who have an obligation to protect the rights of citizens, for example governments, law enforcement authorities, business owners, and project developers.
2. **Rights-holders:** all people qualify as rights-holders. Emphasis needs to be given to vulnerable populations and groups, whose rights are often overlooked for one reason or another. Vulnerable groups should be given priority in consultation and participation processes, to ensure that the project does not infringe on or negatively affect their rights in any way.

Tables 3 and 4 list the potential list of duty-bearers and rights-holders that could be included in the stakeholder engagement process, dependent on the assessment of the size and scope of the project. Duty-bearers, as listed below, may not themselves be directly affected by the project, but nevertheless have a responsibility to protect and respect the rights of people in

<sup>12</sup> A Human Rights-Based Approach: A practical guide for the realisation of the human rights to water and sanitation through programming, Human Right 2 Water, 2021. [210322-HRBA-Manual\\_2021-FINAL.pdf](https://www.humanright2water.org/210322-HRBA-Manual_2021-FINAL.pdf) ([humanright2water.org](https://www.humanright2water.org/))

their care, and can therefore provide professional advice and expertise into the project design.

Rights-holders include the potential vulnerable groups that may be present. While not all people in these groups will be considered vulnerable, for example in the category of “women”, it is important for the project to identify which women could be considered vulnerable either as a result of the project, or in their existing situation. The process of inclusion therefore requires several steps of consultation to elucidate who is affected in the community, and who can represent their views. These tables provide a checklist of the categories that should be identified.

*Table 3. List of Duty-Bearers to include*

<i>Duty-Bearer</i>	<i>How are they a duty-bearer?</i>
<b>State and local governments</b>	Governments have an obligation to protect and provide for those that they govern. Individuals who work in state and local offices are responsible for maintaining the rights of their citizens.
<b>State departments</b>	Various state departments typically have a responsibility to take care of the basic needs of citizens, such as in the case of human services, the construction of public facilities, and the protection of the surrounding environment.
<b>Civil society organizations</b>	Civil society organizations are entities separate from the government which make promises to certain groups and populations in the pursuit of a better world. These organizations are considered duty-bearers due to the reliance many people have on them for certain services.
<b>Parliamentarians</b>	Parliamentarians are experts who are responsible for advising CSOs and governments. They are considered duty-bearers because they have a responsibility to act in the best interests of the people they represent.
<b>Workers’ organizations</b>	Workers’ organizations, such as state unions, are typically responsible for the protection of labour rights, and are especially important in larger corporate companies.
<b>Businesses</b>	Businesses can hold power over a community depending on the types of services they provide as well as the amount of influence they have in the area, and therefore can be considered duty-bearers to their clients.
<b>Research organizations and academia</b>	Research organizations are considered duty-bearers because of the obligation they have made to the pursuit of and public

	dissemination of knowledge, which is an important part of any consultation process.
<b>Non-Governmental Organizations</b>	NGOs have responsibilities, as they often act as representation for groups that may not have a voice otherwise. These are important duty-bearers to consider, especially when using a human rights-based approach.
<b>National Human Rights Institutions</b>	NHRIs are also considered important duty-bearers in the context of HRBA and can serve as useful consultants or participants in People-First PPPs.
<b>Social programs</b>	Many areas have social programs which people in lower economic classes rely on for survival, making them duty-bearers to the less fortunate.
<b>Health facilities</b>	Health facilities, such as hospitals, nursing homes, and rehabilitation centres, have an obligation to protect the physical health of those under their care.
<b>Educational Institutions</b>	Schools and Universities are duty-bearers to the students that attend them, particularly younger children who may not otherwise be given sufficient representation.
<b>Caregivers</b>	Caregivers, such as parents and guardians, are also duty-bearers to their children or those who are unable to care for themselves and have a responsibility to uphold their rights.

Rights-holders are more likely to be negatively affected by the project, and often are those without strong voices. Although they may not have the economic power to influence easily, their input into the design for increasing acceptability and ideas for mitigating risks can be invaluable.

*Table 4. List of Rights Holders to include*

<i>Rights-holder</i>	<i>Description</i>	<i>Representation</i>
<b>Women</b>	Women, including transgender women, are often marginalised, particularly in some countries which have still not adopted basic principles of women's rights, such as the right to vote. Also, in some cultures, women are not encouraged to actively participate.	<ul style="list-style-type: none"> <li>In some cultures, local women need to be included in a culturally sensitive way so that they feel confident to speak, e.g., in separate consultation meetings</li> </ul>

		<ul style="list-style-type: none"> <li>· Women’s rights organizations or NGOs</li> </ul>
<b>Children</b>	Children’s rights are also frequently overlooked since this is a group that typically cannot speak for itself.	<ul style="list-style-type: none"> <li>· Mothers, teachers, care workers can be included as representatives</li> <li>· Children’s rights groups and NGOs</li> </ul>
<b>Disabled persons</b>	Disabled persons are also often marginalised with regards to accessibility issues, which is why their consideration should be made a priority.	<ul style="list-style-type: none"> <li>· Accessibility for disabled persons e.g., facilities for wheelchairs, visually impaired, deaf</li> <li>· Representative organisation for disabled rights in the area</li> </ul>
<b>Migrant workers and their families</b>	As migrant workers are often non-citizens, they are frequently left out of public development projects. In many countries, migrant workers play an important role in the economy, and need to be afforded proper consultation status.	<ul style="list-style-type: none"> <li>· Will migrant workers be impacted by the project?</li> <li>· What kind of migrant population is there?</li> <li>· Are there any organizations or social programs to represent them?</li> </ul>
<b>Indigenous communities</b>	Also often overlooked, indigenous communities have certain rights with respect to the land which need to be respected, and it is especially important that they be informed and consulted on any projects that may involve the alteration of said land or water. They can also bring enormous value due to their understanding of the local environment and culture.	<ul style="list-style-type: none"> <li>· Are there any indigenous communities in the area?</li> <li>· Does project construction involve the use of any land that might be under indigenous claims?</li> <li>· How can indigenous leaders be involved <sup>3</sup>?</li> <li>· Ensure that indigenous women are also included and represented.</li> </ul>
<b>Older persons</b>	The elderly community is also easy to exclude but should be given due consideration. Project developers should seriously examine whether the PPP in	<ul style="list-style-type: none"> <li>· Local elderly population? (Numbers, ages, where/ who do they live with)</li> <li>· Are meetings accessible to the elderly?</li> </ul>

	question could affect older and retired persons.	<ul style="list-style-type: none"> <li>· Any elderly communities with whom meetings could be arranged?</li> <li>· What about care homes?</li> </ul>
<b>People living in poverty</b>	Those living in poverty often face accessibility issues and are not given the chance to participate in consultation processes as a result.	<ul style="list-style-type: none"> <li>· What is the economic distribution?</li> <li>· Are meetings accessible to those without Internet or transportation?</li> <li>· Is there outreach to ensure that those in poverty are informed?</li> </ul>

It is suggested to use these lists as a checklist, adding all potentially relevant stakeholders, and the name and contact numbers of the people that would be useful representatives for inclusion in the engagement.

### ***Step 3 Prioritise the Stakeholders that need to be engaged***

Priority should be given to those stakeholders that are directly or adversely affected, although it can be challenging to decide on those that are on the margins on the geographical scope. It is better to be inclusive, rather than define too narrowly. Once consultation with relevant affected groups has been initiated, it is then possible to prioritise which groups are the most likely to be adversely affected.

Figure 4 helps to provide some priority in terms of stakeholder engagement. The basic, or more traditional approach has been to conduct stakeholder engagement and public participation based on legal requirements, and who will be directly adversely affected the most. A more inclusive practice is to also include an analysis of the vulnerable groups (or rights holders), a full review of the different stages of development to capture all the potentially affected stakeholders through the situation analysis, and to also consider those with specific interests that might impact the design of the project.

Figure 4. Best Practice for prioritisation of stakeholders for engagement



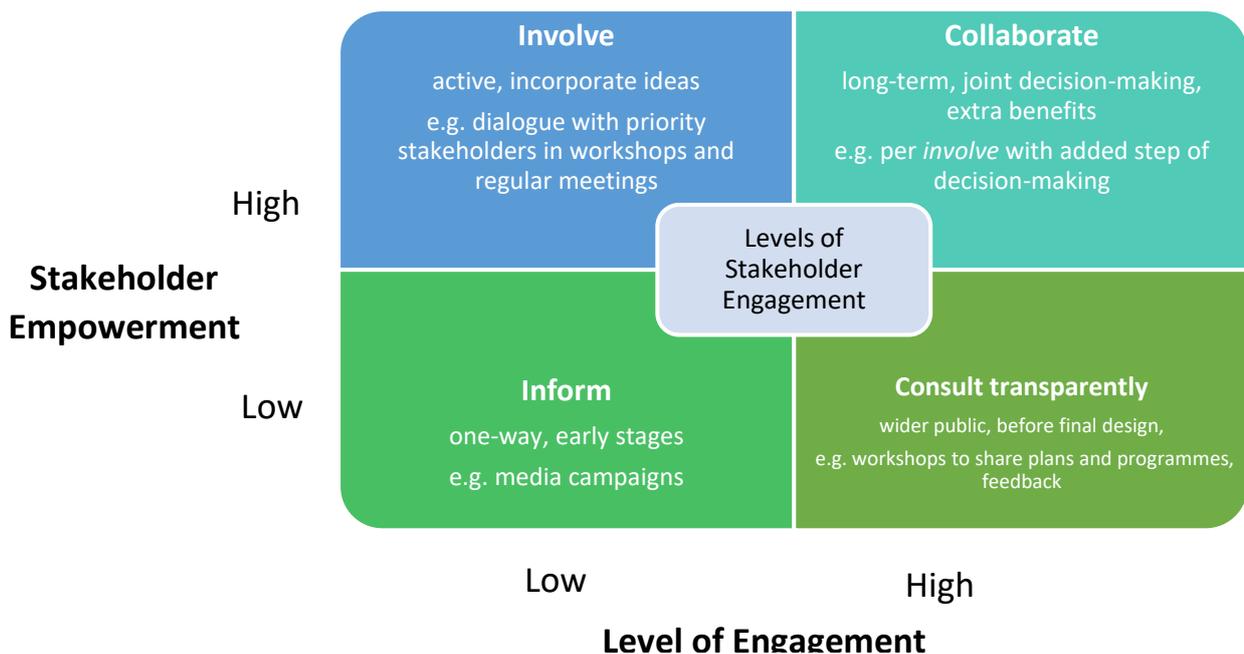
Best practice is to look at all three levels of priority, including those stakeholders that might help to enhance project design and the early scoping of issues and impacts. Also included in this group are the strong supporters or opposition to the project, and anyone that could detrimentally impact its success. From the timing perspective, it is critical to understand who should be engaged first, and the optimal sequence of engagement.

Once the priority stakeholders have been identified, using the combination of situation analysis (Figure 3, Table 2), mapping of duty bearers and rights holders (Tables 3 and 4); and prioritisation considerations (Figure 4), it then remains to consider how to engage with each representative, how often, and in what format.

Figure 5, adapted from established methods of balancing stakeholder empowerment with the level of engagement required<sup>13</sup>, helps determine the level of engagement required based on stakeholder empowerment. Empowerment is related to the influence that the stakeholder can have on the project, positive or negative, through local knowledge, representation of specific groups that need to be heard, political influence, or economic influence.

<sup>13</sup> [Interest-Influence Grid \(changingminds.org\)](https://www.changingminds.org/)

Figure 5. Levels of engagement based on stakeholder empowerment and prioritisation



While there are occasions where it is sufficient to *inform* the public, for example, before design has started, to announce the programme and possibly to call for participation, it is not considered sufficient once the design stage is underway. *Consultation*, which is when the PPP presents plans and options, can be used to share ideas with the public in workshops or events, with the aim of attracting stakeholder feedback before plans are finalised. However, there needs to be engagement to *involve* and/or *collaborate* with the priority stakeholders that ranked as highly empowered beginning at the design stage.

These are the people and organisations that are directly affected, and/or that have the expertise and knowledge to ensure that the project will incorporate design features that will be cognisant of the needs of the community, and especially the most vulnerable and marginalised that cannot always speak for themselves. Involvement is distinguished from collaboration when there is an identifiable benefit to including stakeholders in the decision-making process to encourage ownership. Collaboration is the ideal situation where time and budget allow for the extra effort involved.

As an example, the Stakeholder Engagement Plan for the Finnish Project Nord Stream 2 Pipeline ([Case Study 1](#)) demonstrates the importance of investing in the mapping of all priority stakeholders based on how they are potentially affected and includes them in a detailed communication plan to negotiate acceptable solutions to potential difficulties before they have arisen.

### 1.1 Recommendations for Stakeholder Mapping

1. Conduct a situation analysis, at pre-feasibility stage, to identify affected stakeholders
2. Identify stakeholders in two groups, duty bearers and rights holders
3. Prioritise the most vulnerable people and understand their needs

STAGE 1.1 CHECKLIST for Stakeholder Mapping

Stakeholder Mapping Checklist		
Steps	What is included?	YES/NO?
<b>1. Situation Analysis</b>	<p>Has the situation analysis been conducted?</p> <ul style="list-style-type: none"> <li>· Has the geographic analysis included a review of all the project sites, transport routes and potential impacts?</li> <li>· Have you considered effects in the construction, the near and long term, and cumulative effects?</li> <li>· Have you conducted an analysis of the environmental, social and cultural effects of the project?</li> <li>· Have you considered all the special interest groups or people that might want to be involved?</li> </ul>	
<b>2. Identifying stakeholders</b>	<p>Have you conducted a stakeholder mapping?</p> <ul style="list-style-type: none"> <li>· Does this mapping include a list of relevant duty bearers with contact details for the person/s to be involved?</li> <li>· Does this mapping include a list of relevant rights holders with contact details for the person/s to be involved?</li> <li>· Have you ensured that there are women involved at all levels, at a minimum of 40% representation?</li> </ul>	
<b>3. Prioritising stakeholders</b>	<p>In the prioritisation of stakeholders, have you?</p> <ul style="list-style-type: none"> <li>· Identified the people that are most affected from steps 1 and 2?</li> <li>· Identified the most vulnerable potentially affected groups?</li> <li>· Decided which stakeholders are high priority based on their levels of interest, empowerment, and how they will be affected?</li> <li>· Ensured that women are targeted as one of the priority stakeholders?</li> <li>· Catalogued lists of priority stakeholders with names and contact details for each priority group?</li> </ul>	

## 1.2. Engagement Plan

### *What needs to be included in the engagement plan?*

Following the stakeholder mapping, the stakeholder engagement and project participation plan should be developed to ensure that stakeholder needs, interests and issues can be carefully considered. It is a formal strategy for communication with all relevant stakeholders (and public) to gain their support for the project, and to ensure that they can actively participate in decision making in a meaningful way. It should specify the details of how, when, how often, and where different types of stakeholders will be engaged, and the type of information that should be shared. Table 5 provides an overview of the items to be included in the engagement plan.

*Table 5. Features included in a People-first PPP Stakeholder Engagement Plan (SEP)*

	Features	Description
0	A Vision	The vision, scope and purpose of the SEP should be clear from the start, ensuring that all relevant stakeholders, including marginalised and vulnerable groups, are able to participate meaningfully in the engagement process.
1	Needs assessment	Assess the interests, needs, issues for each stakeholder group identified in the mapping.
2	Project lifecycle	Plan for sustained engagement at each stage, starting early in the design stages, and covering development and implementation. Adapt for each stage as needs change.
3	Identify range of issues	List the social, cultural, environmental and economic issues that should be addressed, and adapt overtime with feedback from the ongoing meetings.
4	Active outreach	Design tailored active outreach programmes for each stakeholder group with a determined approach to reach stakeholders and engage in dialogue based on the empowerment matrix such that they can influence outcomes to the best of their ability and interest.
5	Accessibility and Transparency	Assess accessibility of all vulnerable and disadvantaged groups to ensure that information is provided in a transparent process, ensuring that reports are easy to understand, readily available in different formats, languages, and through different media (not just online), and presented in suitable locations, to reach all disadvantaged groups.
6	Regularity	Create multiple and regular opportunities for each stakeholder to participate in decision-making based on the empowerment matrix.

7	Budget	There needs to be a clear and realistic budget that is dedicated to the processes of engagement. This should be loaded heavily to the first few years with an annual allowance for ongoing feedback and grievance processes for the life of the project.
8	Follow-up	Track the follow-up from these meetings to ensure that they are meaningful and that the feedback is captured. Include metrics (section 1.3), and share the reports of the meetings, and how suggestions have been analysed and integrated into project design.
9	Oversight	The planning process needs to include an agreed process for how it will be monitored by the independent Monitoring Committee (section 1.4).

This stakeholder engagement plan needs to be included in the PPP development strategy and any prefeasibility studies.

The robustness of the plan is outlined in Figure 6, highlighting the additional steps that are recommended to create a robust and participative process that is inclusive of all potentially affected stakeholders, including the most vulnerable and disadvantaged.

From a business perspective, this additional effort in stakeholder engagement from early design stages will help to create added buy-in by the local community, which is augmented by the degree to which their ideas are incorporated. See [Case Study 5](#), Ogal Shiwa, where the community changed from being sceptical of private investment, to fully ‘owning’ the project ideas. The inclusion of social, cultural, environmental and economic benefits for the wider community will create greater long-term sustainability for the project itself, and also support a far wider set of sustainable development goals in the process. It takes seriously the obligations of governments, businesses and other local authorities to protect, respect and fulfil people’s human rights.

Best Practice for stakeholder engagement in People -first PPPs can be achieved by moving beyond typical PPP practices, and developing needs assessments for each stakeholder group and planning for regular engagement at each stage of the project lifecycle. To ensure best practice, there also needs to be active outreach to individual groups, clear and transparent information sharing that is accessible to everyone, and a system for tracking and following up on engagements.

Figure 6. Best practice for stakeholder engagement and public participation



### 1.2 Recommendations for Engagement Plan

4. Develop an engagement plan with a clear vision to include all stakeholders
5. Ensure regular engagement throughout the stages of the project, from first concept
6. Information transfer should be in two directions to capture community benefits

### 1.3. Clear Metrics

To ensure effective engagement, a metric or monitoring mechanism is helpful to establish areas of improvement, and check that the Engagement Plan is being followed in a proactive and meaningful way.

The metrics selected need to be clearly understood, simple to measure, and designed to assess the success of the Engagement Plan at every stage of the life of the project. In a People-first PPP, the effectiveness and inclusiveness of engagement are critical.

**Effectiveness:** Are stakeholders satisfied with the direction of the project? Do they feel as though their ideas and comments are being heard and valued? Are stakeholders engaging and participating as expected? Are there tangible benefits that can be captured from this process?

**Inclusiveness:** Are all stakeholders participating? Do vulnerable groups have voices and are they included in consultation processes? Is there representation of all affected parties? Are there sufficient opportunities for people to get involved? And are the methods of communication made open to all kinds of people, including those that cannot read, or do not own a computer?

These are all questions that should be asked by the Independent Monitoring Committee as stakeholder engagement progresses. If these standards are not being met at any point during project development, immediate action should be taken to resolve it.

In considering which indicators that should be measured, it is critical to consider the scope and challenges for the project based on the stakeholder engagement plan.

Figure 7. Examples of key metrics for tracking effectiveness

How disadvantaged groups have been involved	Regularity/transparency	Satisfaction Rating	Benefits achieved
<ul style="list-style-type: none"> <li>•No. women/women's groups</li> <li>•No. people from marginalised communities, e.g. indigenous peoples, rural or urban poor</li> <li>•Representatives of vulnerable groups or communities, e.g. elderly, disabled</li> </ul>	<ul style="list-style-type: none"> <li>•No. Meetings</li> <li>•How often?</li> <li>•Inclusion of each identified stakeholder group?</li> <li>•Have results of these meetings been made public?</li> </ul>	<ul style="list-style-type: none"> <li>•Ratings from each stakeholder group</li> <li>•Interest in the project</li> <li>•Have their ideas been implemented?</li> <li>•Do they feel involved in the process?</li> <li>•No. survey responses obtained?</li> <li>•Response times for follow up tasks</li> </ul>	<ul style="list-style-type: none"> <li>•Have there been any environmental benefits as a direct result of the engagement?</li> <li>•Social benefits?</li> <li>•Cultural benefits?</li> <li>•Economic welfare of local community?</li> </ul>

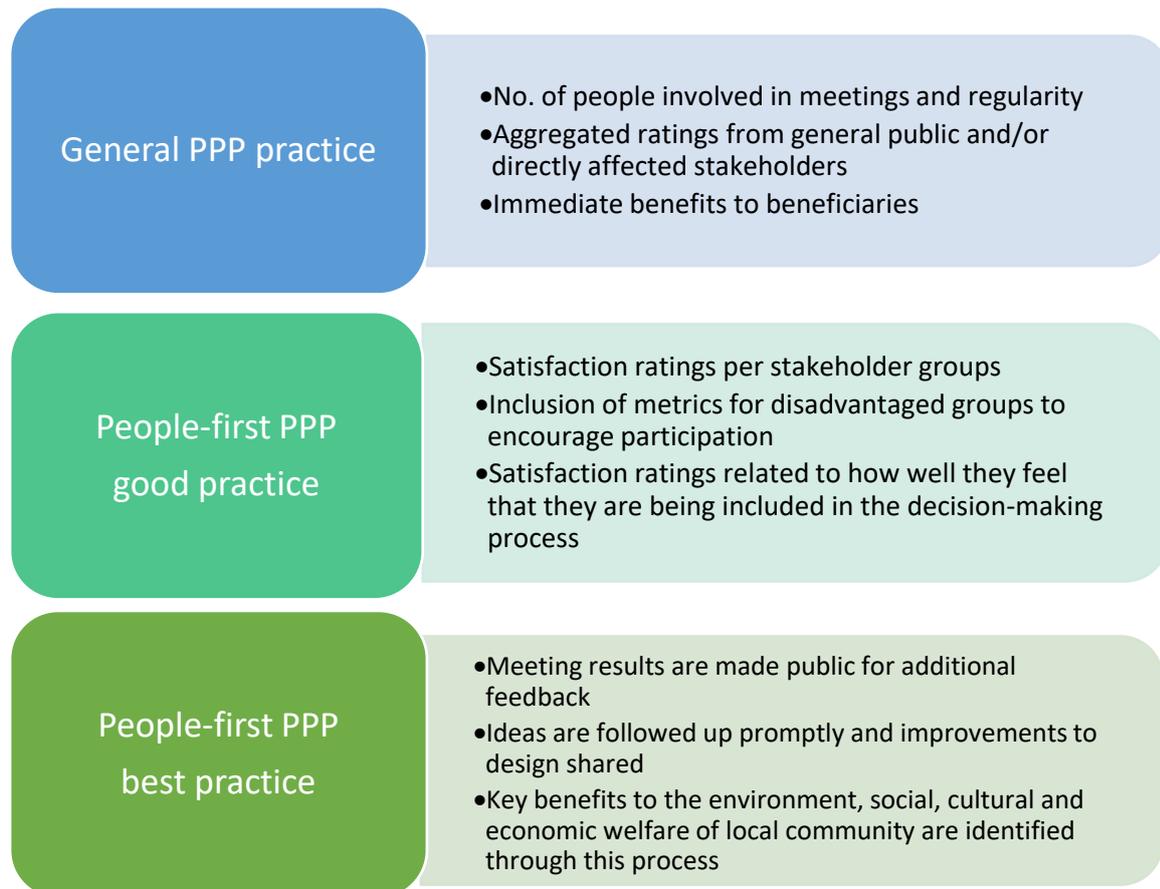
The differentiation between People-first and traditional PPP evaluation methodologies is highlighted by the emphasis on the process of inclusivity and participation. The effectiveness and resulting sustainability of the project are measured through the more qualitative questions based on satisfaction ratings from each stakeholder group, and the extent to which their ideas have been translated into action, the way that they have been treated and if they feel involved in the process (Figure 8).

It is also critical to use this monitoring to establish whether the process has been non-discriminatory, inclusive of all the represented marginal groups and especially the people that are often left behind. For the purposes of achieving the SDGs, the inclusion of the vulnerable

and disadvantaged in the decision-making process is essential to the design and implementation of the PPP.

Best practice determines that all ideas are followed up promptly, that results are shared with opportunity for feedback, and that economic, social, cultural and environmental benefits are determined.

Figure 8. Best Practice for developing metrics



One example of a PPP project that has tracked the social, economic and environmental benefits of including vulnerable groups in the project design is the Metro Tenerife Light Rail transportation system in Tenerife ([Case Study 3](#)), which designed the rail routes around people's needs for accessibility.

### 1.3 Recommendations for Clear Metrics

7. Track the regularity of meetings, names of people, and their comments
8. Set up a feedback system to track satisfaction in the meetings
9. Share results of meetings and follow-up actions publicly and promptly

## 1.4 Independent Monitoring Committee

An independent monitoring committee should be established under People-first PPP principles to be responsible for determining the effectiveness of engagement and for the dissemination of information and project updates to the public. Even in a small, social PPP, the additional of an independent reviewer is recommended to support adherence to the guidelines for People-first PPPs.

It can be formed from a group of experienced and knowledgeable individuals who can act as a neutral party to stakeholders and project developers as they evaluate the effectiveness and inclusiveness of stakeholder engagement activities. The International Labor Organization has a good reference committee with example terms of reference.<sup>14</sup>

Independence from the project is highly important to ensure that there is no bias among the committee members and helps to:

1. Ensure that the People-first aspects of inclusion and participation are being upheld
2. Avoid the risk that those involved directly with the project act in their own economic interests rather than considering the wider gains in SDGs for the local community.
3. Protect individual rights (for example, to a healthy environment, to clean drinking water, to health) that may be violated through the project.
4. Assure complete neutrality.

Overall, the presence of an independent oversight committee increases accountability and fidelity in the project. It is possible for project developers to lose sight of the larger picture while working on a project, which is why an external authority can help to keep development on the right track. It also helps to ensure that engagement is effective and that feedback from stakeholders is being taken seriously, rather than letting stakeholders feel that they are just being paid lip service. A useful reference is found at the Internal Oversight Division at WIPO for an example.<sup>15</sup>

The minimum standard for setting up this committee should include:

- An initial structure terms of reference (TOR)
- Definition of roles and responsibilities
- Term limits
- Potential members and make-up of the committee (% women, local stakeholders etc)

Its responsibilities should include:

- Overseeing and monitoring the effectiveness of stakeholder engagement process
- Publication and dissemination of project information, especially related to People-first PPP outcomes

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<sup>14</sup> Independent Oversight Advisory Committee, International Labour Organisation. [Independent Oversight Advisory Committee \(ilo.org\)](https://www.ilo.org/independentoversight)

<sup>15</sup> Internal Oversight Division, World Intellectual Property Organisation, [Internal Oversight Division – Providing independent oversight \(wipo.int\)](https://www.wipo.int/ipo-oversight/)

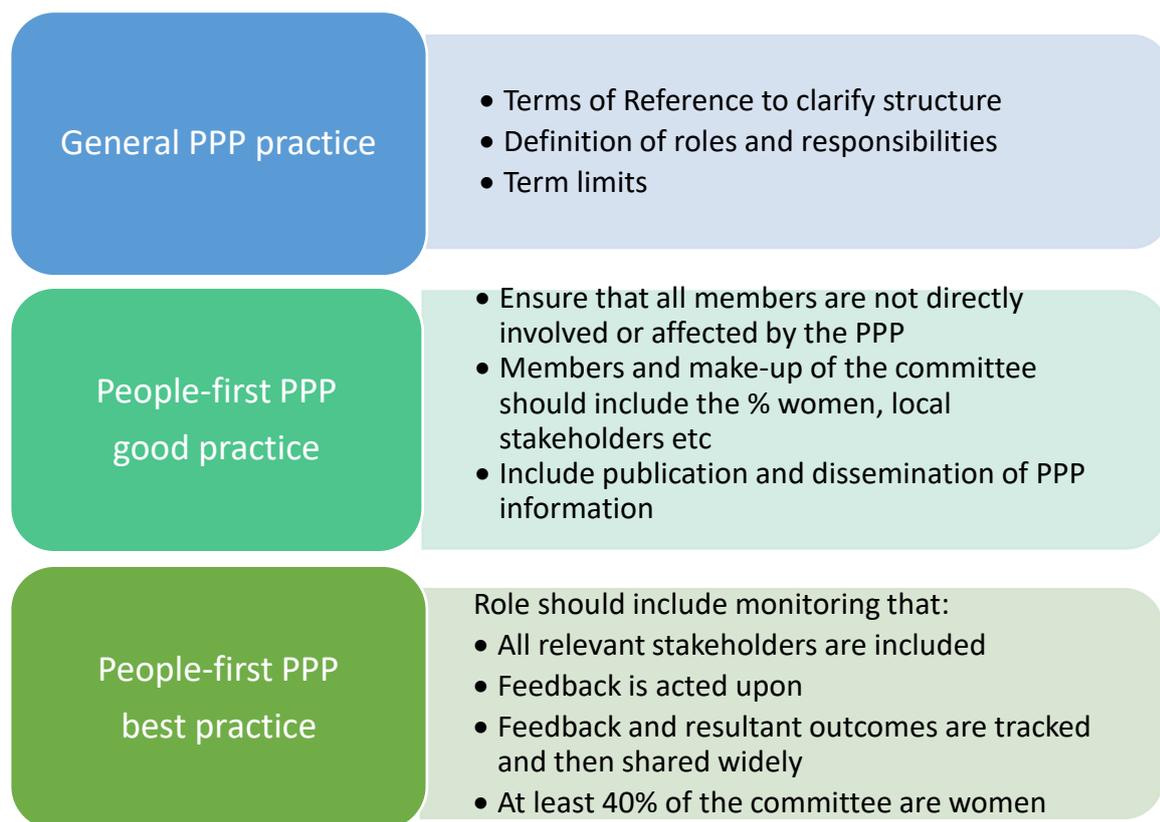
These commitments and TOR should be included in the Strategic Plan and the PPP development strategy, concept documents, and prefeasibility study.

The list of potential committee members could include:

- Independent investigators and/or contractors
- Professionals in the field related to the PPP
- Human rights advocates (could include the National Human Rights Institute, or other representative body that protects the rights of specific marginalized groups)
- Individuals with past People-first PPP experience
- Community leaders not directly affected by the project
- Local authorities not directly affected by the project
- At least 40% of the committee members should be women.

Figure 9 outlines a summary of good and best practice for People-first PPP approaches to setting up the oversight committee.

Figure 9. Best Practice for Oversight Committee



#### 1.4 Recommendations for Independent Monitoring Committee (IMC)

10. IMC needs to check that the Stakeholder Engagement Plan is being followed
11. TOR required to clarify structure, roles and procedures
12. Members of IMC cannot be directly involved or affected by the PPP

STAGE 1.4 CHECKLIST for Stakeholder Engagement Plan

Stakeholder Engagement Plan Checklist		
Steps	What is included?	YES/NO?
<b>1. Planning</b>	<p>Does the plan include:</p> <ul style="list-style-type: none"> <li>· A needs assessment for each stakeholder group with active involvement and/or collaboration with priority groups?</li> <li>· Sustained engagement at each stage of the project lifecycle?</li> <li>· Sharing of information to all marginalised groups in a transparent and accessible way?</li> <li>· Regular engagement tailored to different stakeholder groups?</li> </ul>	
<b>2. Clear Metrics</b>	<p>Are there clear metrics to assess the following?</p> <ul style="list-style-type: none"> <li>· Establish how well vulnerable groups and marginalised communities have been included in the engagement?</li> <li>· To monitor the regularity of meetings, and the implementation of suggestions?</li> <li>· How satisfied people are with the engagement process, and the response times?</li> <li>· The capturing of social, economic, environmental and cultural benefits that would otherwise have been overlooked?</li> </ul>	
<b>3. Independent Monitoring Committee</b>	<p>Does the Independent Monitoring Committee include a system to:</p> <ul style="list-style-type: none"> <li>· Oversee the monitoring of the effectiveness of the Stakeholder Engagement process according to People-first PPP standards?</li> <li>· Publicise project information, specifically related to the outcomes of the engagement.</li> <li>· Include people that are independent from the PPP and that are qualified to assess that People-first standards are being met?</li> <li>· Ensure that 40% of the committee are women?</li> </ul>	

## STAGE 2: Maximise Stakeholder Engagement and Public Participation

### 2.1 Project Lifecycle

Stakeholder engagement and public participation need to start at the pre-design stage of the project, during feasibility studies, and must continue throughout the life of the project, through design, planning, construction, implementation and operation. The type of engagement will need to change over time, but the most important factors are that it can be demonstrated to be effective and inclusive of all stakeholders regardless of power or influence level.

#### Engagement should start early

The earlier that stakeholders are engaged, the better it is for the project. There is value to sharing the initial ideas with the affected stakeholders even before the tender for private funding has been made, inviting as much local feedback as possible while the project design is still fluid and potential difficulties can be identified, avoided or mitigated. It creates a much higher level of acceptance by the affected stakeholders and encourages ownership of the project by the community.

#### Be inclusive

Inclusivity is the principle of ensuring that everyone that has an interest can participate in the engagement. The mapping and prioritising of stakeholders (Section 1) is the surest way to include everyone. It is important to remember that people can only get involved if they know about the project, if they are invited, and if they feel comfortable about being present and contributing to the conversation.

As demonstrated by the Regional Development Programme in Caraga, Mindanao ([Case Study 4](#)), the engagement of local farmers and fishermen in the early stages helped to identify new areas for investment that would create employment and local economic growth, while also maintaining cultural sensitivities.

According to the United Nations Institute for Training and Research (UNITAR) and the United Nations Department of Economic and Social Affairs (DESA)<sup>2</sup>, the quality of engagement can be captured as purposeful, inclusive, transformative and proactive. They build engagement into every phase, planning, delivery and follow up and review.

#### 2.1 Recommendations for Project Lifecycle

13. Start the engagement process even before the project is funded
14. Proactive engagement should be tailored for each phase of the project
15. Ensure that the stakeholder engagement plan is adapted for each phase

## 2.2 Freedom of expression

In some communities, certain groups may find it difficult to express their concerns or opinions due to a lack of recognition from the state, local unpopularity, or lack of influence and visibility, among other reasons. It is the responsibility of the project developers to identify these groups during the mapping and engagement process and ensure that they are given safe places to express their views, or whatever else they may need to feel comfortable during participation processes. Groups that most commonly have these difficulties may include:

- Women
- Environmental defenders
- LGBTQ+ community
- Indigenous groups
- Minority populations
- Human rights defenders

### How to make the public feel safe?

In order to ensure that stakeholders feel safe and able to express their views over the course of project development, it is important to provide a method of communication for groups who may feel that their views will be ostracized or who may fear persecution by local governments.

This can be accomplished by providing separate consultation meetings for these groups, anonymous ways for them to express concerns or complaints, or by keeping close contact with local representatives or organizations that specialize in the rights of said groups, if possible. PPP developers will need to perform robust research into the local area to accommodate the individual cultures of local communities.

### 2.2 Recommendations for Freedom of Expression

16. Make sure that people feel encouraged and safe to participate
17. Identify the special groups that could feel unable to contribute for fear of repercussions
18. Make special provision for these groups so that they feel safe to participate

## 2.3 Incorporation of Ideas

Stakeholder engagement is more than just collecting feedback; there needs to be clear evidence that this feedback has been taken seriously and incorporated into the development where it is possible. Stakeholders and affected groups should have as much right to a say in the decision-making processes as project developers and should be treated according to the principles of social and environmental justice: access, equity, diversity, participation, and human rights<sup>16</sup>.

Figure 10 highlights the main considerations to ensure that participation is meaningful and that all ideas are taken seriously for consideration and incorporated into the project design where it can add value supporting the SDGs.

Figure 10. Meaningful participation

Include in project design	Influence decision-making	Fair and equitable	Respect for social and environmental justice
<ul style="list-style-type: none"> <li>•Is feedback taken seriously?</li> <li>•Are there concrete actions to address concerns?</li> <li>•Do they result in changes to development?</li> <li>•Are people satisfied with the implementations?</li> </ul>	<ul style="list-style-type: none"> <li>•Are stakeholders included in decision making processes?</li> <li>•Can they vote or voice their ideas regarding important decisions?</li> </ul>	<ul style="list-style-type: none"> <li>•Is all feedback treated equally?</li> <li>•Have all stakeholders been allowed to participate?</li> <li>•Has feedback been evaluated by a neutral party?</li> <li>•Are vulnerable populations given extra consideration to enable participation?</li> </ul>	<ul style="list-style-type: none"> <li>•Are measures being taken to decrease or eliminate inequality?</li> <li>•Are processes based on mutual respect for all people?</li> <li>•Are the processes non-discriminatory?</li> <li>•Do the solutions aim to be protective of environmental destruction?</li> </ul>

### 2.3 Recommendations for Incorporation of Ideas

19. Invite stakeholders into the decision-making process
20. Give the ideas of vulnerable groups the same consideration as other stakeholders
21. Take steps to reduce inequality and discrimination

<sup>16</sup> <https://onlinedegrees.kent.edu/political-science/master-of-public-administration/community/five-principles-of-social-justice>

## 2.4 Wider community Benefits

People-first PPPs are focused on improving the lives of those who live in the community. The PPP, as well as the stakeholder engagement surrounding it, should give benefits back to the community upon completion, and should see positive effects from engagement.

Examples of positive effects could include a reduction of carbon emissions, increase or improve upon social programs, creation of jobs, or the preservation of cultural landmarks or traditions. They can be divided into social, cultural, economic or environmental benefits, and all of these need to be systematically considered in the engagement process.

Figure 11. The range of community benefits to be considered in the engagement process



The Ogal Shiwa rural development PPP ([Case Study 5](#)) demonstrates the range of such benefits that can be achieved when the community is fully engaged. The design of the PPP incorporated all of these elements, which collectively created a social environment that attracted young families to remain in the area, boosting the economy while creating a more pleasant and attractive area to live.

### 2.4 Recommendations for Wider Community Benefits

22. Use the Stakeholder Engagement process to find out what people really want
23. Build a structured process to identify social, cultural, environmental and economic benefits
24. Expand the project brief to include as many of these potential outcomes as possible

## 2.5 Satisfaction Rating

Stakeholder engagement does not mean much if stakeholders are not satisfied with the way they have been included in the project, as well as the actions that were taken based on the feedback they have given. It is the responsibility of both the stakeholders and corporate project developers to be willing to consider changes in behavior, actions, priorities, organizational structure, staffing, training, product development, and interaction with markets.

Feedback regarding the engagement process should be directly sought out from the stakeholders. To determine whether or not stakeholder engagement has been effective, the satisfaction of the stakeholders is paramount; therefore, evaluation of engagement should seek out as much information regarding the satisfaction of stakeholders as possible. This information can be gathered in a range of different ways:

- Direct stakeholder communication
- Complaints and grievances
- Questionnaires and surveys
- Focus groups
- Media reports

The independent monitoring committee should be responsible for collecting this feedback and analyzing it in order to determine whether or not stakeholders feel as though they have been included and heard over the course of the project.

During and towards the end of the project's development, feedback on engagement and participation should be sought from **all** relevant stakeholders. This is essential for People-first.

### 2.5 Recommendations for Satisfaction Rating

25. Collect feedback from stakeholders on their satisfaction with the engagement process
26. Use the IMC to collect, analyse and report on satisfaction ratings
27. Check that all relevant stakeholders are providing feedback

STAGE 2 CHECKLIST for Maximising Engagement

Maximising Stakeholder Engagement Checklist		
Steps	What is included?	YES/NO?
1. Project Lifecycle	<p>Does the engagement:</p> <ul style="list-style-type: none"> <li>· Start before initial design stages?</li> <li>· Change over time, based on stakeholders needs at each stage?</li> </ul>	
2. Freedom of Expression	<p>Are there processes in place to:</p> <ul style="list-style-type: none"> <li>· Understand the cultural situation to identify which people might need sensitive approaches?</li> <li>· Ensure that all people can find a safe place to engage such that they feel comfortable to share opinions?</li> </ul>	
3. Incorporation of Ideas	<p>Are there mechanisms to collect feedback such that:</p> <ul style="list-style-type: none"> <li>· It results in changes to the project design</li> <li>· People are satisfied with the outcomes</li> <li>· Are all ideas given equal respect?</li> </ul>	
4. Wider Community Benefit	<p>Is the process structured to encourage feedback related to:</p> <ul style="list-style-type: none"> <li>· Social improvements related to health and wellbeing</li> <li>· Cultural sensitivities and faith</li> <li>· Environmental protection or investment</li> <li>· Economic benefits for the local community, such as job creation, training and women workers?</li> </ul>	
5. Satisfaction Rating	<ul style="list-style-type: none"> <li>· Is satisfaction measured for the engagement process?</li> <li>· Are there allowances made for local languages?</li> <li>· Are there systems to accommodate for people who are:                             <ul style="list-style-type: none"> <li>· disabled,</li> <li>· unable to read,</li> <li>· or without internet access?</li> </ul> </li> </ul>	

## STAGE 3: Provide Transparent and Quality Project Information

### 3.1 Access to Information

Information regarding project developments and changes must be made publicly available within a reasonable timeframe. Following UNECE’s Aarhus Convention<sup>5</sup>, project developers should recognize that it is critically important to disseminate and make accessible documentation concerning the work or development of the project in question as widely as possible. Accordingly, transparency, accountability, and openness can be catalysts for achieving a greater impact and protect every person’s right to live in an environment adequate to his or her health and wellbeing.

Based on the earlier establishment of stakeholder empowerment, there are a range of appropriate information dissemination techniques that suit different situations (see Figure 12). The People-first best practice is to involve and collaborate with priority stakeholders and to use the first two categories for the less impacted members of the public. A selection of methods from each category are important to provide sufficient information to all potentially affected stakeholders and interested parties.

*Figure 12 Information dissemination related to level of empowerment*

Inform	Consult	Involve and Collaborate
<ul style="list-style-type: none"> <li>• Public meetings</li> <li>• Briefings</li> <li>• News media</li> <li>• Public Presentations</li> <li>• Info Kiosks</li> <li>• Hotlines</li> <li>• Newsletters</li> <li>• Bulletins</li> <li>• Social media</li> <li>• Websites</li> <li>• Fact sheets</li> <li>• Arts and entertainment</li> </ul>	<ul style="list-style-type: none"> <li>• Public meetings, hearings, workshops</li> <li>• Focus groups</li> <li>• Study circles</li> <li>• Interviews</li> <li>• Surveys</li> <li>• Opinion polls</li> <li>• Questionnaires</li> <li>• Social Media</li> <li>• Suggestion boxes</li> <li>• Comment forms</li> </ul>	<ul style="list-style-type: none"> <li>• Consensus workshops</li> <li>• Charrettes</li> <li>• “World Cafes”</li> <li>• Study groups</li> <li>• Focus groups</li> <li>• Task Force</li> <li>• Think Tanks</li> <li>• Advisory boards, committees</li> <li>• Citizen panels or juries</li> <li>• Polling</li> <li>• Votes, referenda</li> <li>• Social media</li> </ul>

When considering the choice of dissemination, it is critically important to view it in the context of the accessibility of each of the different stakeholder groups, and how they will be able to understand the information. It is usually helpful to have a mix of pictorial displays, photographs and written text to appeal to different audiences, with a range of different levels of understanding.

## Confidentiality protection

Although transparency and information access are important, it should also be recognized that some information may be sensitive and sometimes may need to be kept temporarily or permanently confidential. The United Nations Environment Programme (UNEP) Handbook for Stakeholder Engagement,<sup>17</sup> defines such examples of this type of information:

- Documents received or sent with the expectation of confidentiality which has been expressly stated orally or in writing.
- Documents whose disclosure is likely to endanger the safety or security of any individual, violates his or her rights, or invades his or her privacy.
- Documents covered by legal privilege or related to internal investigations.
- Internal documents and other communications, including draft documents, the disclosure of which would undermine the process of free and independent decision-making.
- Documents containing commercial information, the disclosure of which would harm the financial interests of the project or other parties involved.

## Information requests

Project developers are required by information access policies to honor requests for information which is not freely available on public websites or documents. Request submission forms and/or points of contact for information requests should be made known to the public and should be honored within a timely manner and free of charge.

It is acceptable to deny a request for information partially or wholly if the demands made are deemed unreasonable or if the requester seeks information which has been determined must be kept confidential by the project developers. In this case, however, a reason for the denial should be provided.

### 3.1 Recommendations for Transparent and Quality Information

28. Select information dissemination processes that maximise the contact with stakeholders
29. Use a range of different methods to help people to understand fully
30. Provide information on a continual and timely basis

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<sup>17</sup> Handbook for Stakeholder Engagement, UN Environment, 2020 [HandBook-2020.pdf \(unep.org\)](https://www.unep.org/handbook-2020)

### 3.2 Regular Reporting

An important aspect of transparency is the frequent publishing of reports and recordkeeping of meetings and consultations with stakeholders. By accurately recording the outcomes of meetings and making them available for public view, project developers establish a culture of trust and transparency, which can help mitigate the possibility of conflicts or grievances further down the line.

A good way to keep the public updated on stakeholder meetings is by keeping track of meeting minutes and what is being discussed and making those minutes easily accessible on public websites. A good example of this is from the United States Department of Agriculture (USDA) Forest Service, which keeps a detailed record of stakeholder meetings including presentations, discussion topics, the names of people who spoke or aired grievances, as well as information on the next meeting. A template for public meeting minutes can be found in [Annex 2](#).

If the minutes themselves are not available, a report which summarizes the engagement activities should be in its place. A report of this nature might include:

<b>Stakeholder Engagement Report</b>	An attendance list
	Any photographs that may have been taken during the activity
	The purpose of the meeting
	Expectations of the participants
	The schedule of topics that were discussed
	Names of speakers
	Any problems or issues that were addressed or resolved
	Actions: Any problems or issues that were brought to the attention of developers
	Any vote outcomes
	Any decisions that were reached

#### 3.2 Recommendations for Regular Reporting

31. Ensure that all meetings are recorded accurately and published for public review
32. Develop a standardised template to ensure that all relevant information is recorded
33. Track actions to ensure that all issues are brought to the attention of developers

### 3.3 Verification

As a final way to ensure complete transparency and maximum access to information, all information that is disseminated by the developers of the PPP should be verified by an outside source with no stake in the project, which can provide an objective and neutral assessment of the facts that project developers are sharing.

This independent source depends heavily on the size and scope of the project, and who it will affect. In the case of larger projects on national or even international levels, it may be difficult to find unbiased sources of information, as there may be few individuals or organizations who do not have a direct or indirect stake in the project. Particularly in an era where many people are inclined not to trust publicly distributed information, it is important to develop a system for analyzing and ensuring that the facts provided by the PPP are accurate and reliable. In some cases, the media can fill this role, but are not always reliable as accurate fact-checkers.

The best choice for filling this role will likely be a local, reputable, and independent organization which is not involved in project development and will be able to look at the facts provided from an unbiased point of view, such as:

1. Human and civil rights organizations
2. Known fact-checkers (such as Washington Post<sup>18</sup>, Politifact<sup>19</sup>, Snopes<sup>20</sup>, etc.)
3. Community-led organizations and leaders
4. Environmental groups

#### 3.3 Recommendations for Verification

34. All information that is disseminated by the project should be verified independently

35. The independent authority is ideally local, reputable and independent and with no stake in the project

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<sup>18</sup> <https://www.washingtonpost.com/news/fact-checker/>

<sup>19</sup> <https://www.politifact.com/truth-o-meter/>

<sup>20</sup> <https://www.snopes.com/>

STAGE 3 CHECKLIST for Transparent and Quality Information

Transparent and Quality Information Checklist		
Steps	What is included?	YES/NO?
1. Access to Information	<ul style="list-style-type: none"> <li>· Are there a range of dissemination methods based on the prioritisation of stakeholders, and their specific needs?</li> <li>· Have the methods considered the accessibility needs of people :               <ul style="list-style-type: none"> <li>· with disabilities</li> <li>· that speak a local language</li> <li>· that cannot read and/or write</li> <li>· without internet access</li> <li>· that are culturally excluded from normal channels of communication</li> <li>· that are typically excluded based on race, age, poverty, situation</li> </ul> </li> </ul>	
2. Regular Reporting	<ul style="list-style-type: none"> <li>· Are all public meetings, workshops and consultations recorded with minutes and action points?</li> <li>· Are these reports made available to other stakeholders?</li> <li>· Are the dates of meetings made readily available?</li> </ul>	
3. Verification	<ul style="list-style-type: none"> <li>· Are the reports and data that is shared verified as true and accurate by an independent body?</li> <li>· In cases where this is not possible, is there a system for fact and accuracy checking, e.g. by the people present, the media, or other experts?</li> </ul>	

## STAGE 4: Manage Public Grievance and End User Feedback

### 4.1 Process for Public Grievance

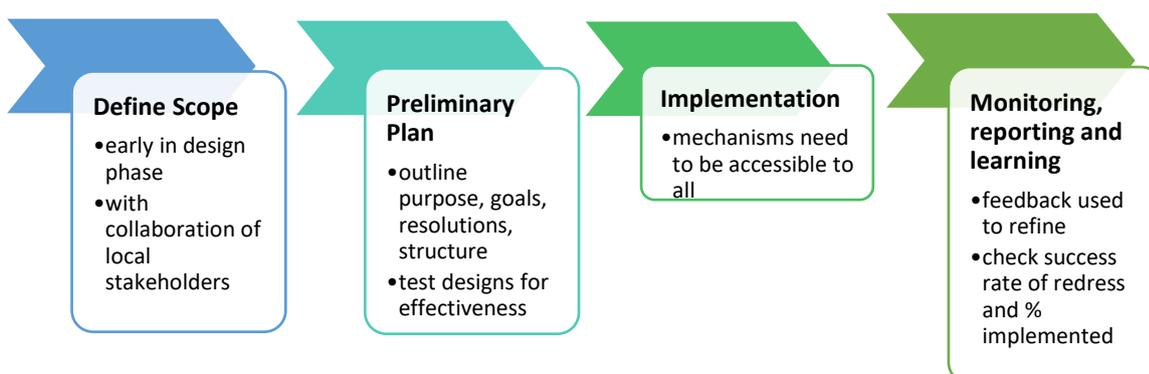
Having a reliable and organized public grievance management system is necessary to ensure that all possible issues or rights violations are addressed thoroughly and in a timely manner. Contrary to popular belief, well administered grievance mechanisms can actually create value, and provide benefits for the project. They can help to reduce inefficiencies, provide an opportunity to address issues while they are still in the control of the PPP, potentially reduce costs of problems by catching them before they become exacerbated and require more resources to resolve, and can act as a trusted broker in situations where there is division.

The Office of the Compliance Advisor Ombudsman for the World Bank Group<sup>21</sup> suggests that the objectives of a public grievance system should include:

<b>Specific Objectives of Grievance System</b>	establishing a timely, consistent, structured, and trusted procedure for receiving and addressing community concerns and complaints
	ensuring that complainants are treated with respect
	ensuring proper documentation and disclosure of complaints and any resulting corrective actions
	contributing to continuous improvement in the company's performance by analysing trends and learning from complaints received

A typical grievance mechanism has four distinct phases, as shown in Figure 13.

Figure 13. Four stages of designing a public grievance system



<sup>21</sup> Grievance Mechanism Tool, The Office of the Compliance Advisor Ombudsman (CAO), the independent accountability mechanism for the International Finance Corporation (IFC) and Multilateral Investment Guarantee Agency (MIGA), the private sector members of the World Bank Group [Purpose, Design & Implementation • Grievance Mechanism Toolkit \(cao-grm.org\)](#)

Keeping the People-first approach to PPPs in mind, the following practices are advised (Figure 14), making sure that the process starts early on in the design phase, that the design of the system is developed with the collaboration of local stakeholders, and that it reflects the human rights-based principles of non-discrimination, inclusivity and participation, data transparency, and data accessibility.

#### **4.2 Resolution of grievances**

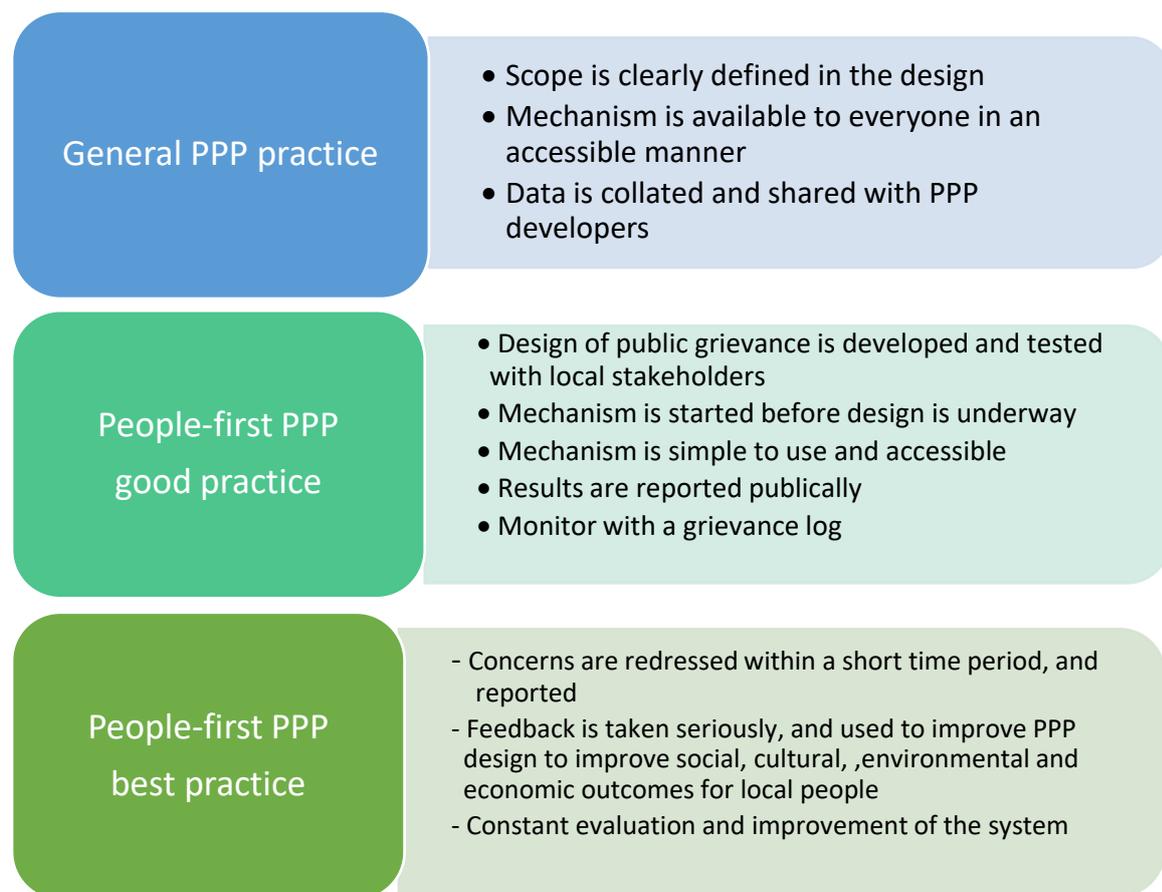
There should be a tracking system in place to monitor the percentage of suggestions that are implemented, the satisfaction rating of the stakeholders that have given feedback, and the resolution rate of public grievances. Additionally, a rating system for the efficacy and ease-of-use of the grievance and feedback mechanisms allows for improvements to the system to encourage more participation and more constructive suggestions.

It is important to remember that complaints are an early warning system for the future sustainability of the final project, and that they provide a very valuable system for testing the project at an early stage of development, potentially saving investment and costs later in the process.

#### **4.3 Availability of results**

Transparency of outcomes builds trust and empathy with local stakeholders, and encourages them to participate further, provide more valuable ideas, and gain ownership of the final product. This ownership is essential for long term sustainability and should be actively encouraged. The results from grievance reports should therefore be made available to the public on a timely and easily accessible basis.

Figure 14 Best Practice for Public Grievance and Feedback Mechanisms



CHECKLIST for Public Grievances and Feedback

Public Grievance and Feedback Checklist		
Steps	What is included?	YES/NO?
1. <b>Process for Public Grievance</b>	<p>Is there a well-administered public grievance mechanism?</p> <ul style="list-style-type: none"> <li>• Are people treated with respect?</li> <li>• Is there documentation of complaints and any resulting corrective actions?</li> <li>• Is it accessible to in a simple and non-threatening way?</li> <li>• Is the system being evaluated and improved regularly?</li> </ul>	
2. <b>Resolution of Grievances</b>	<ul style="list-style-type: none"> <li>• Is there a way to track resolution of grievances?</li> <li>• Is there data to check how quickly they are redressed? (in a short time frame)</li> <li>• Is there a record (shared publicly) of the percentage that are implemented?</li> </ul>	
3. <b>Availability of Results</b>	<ul style="list-style-type: none"> <li>• Are the grievances and their resolutions shared publicly in a transparent way (e.g., online, in public meetings, on notice boards)?</li> <li>• Are people satisfied with the way that their grievances are handled? (Through questionnaires, polls or surveys?)</li> </ul>	

#### 4 Recommendations for Public Grievance

36. Public Grievance mechanisms should be simple to use, accessible and respectful

37. All grievances should be documented and tracked, and responded to quickly

38. All grievances and resolutions need to be available publicly and transparently

## ANNEX 1: Case Studies of Good Practices in Stakeholder Engagement

### ***Case Study 1: Adjatistsqali Hydropower Cascade Project<sup>22</sup>, GEORGIA***

#### EARLY ENGAGEMENT AT PRE-DESIGN PHASE IMPROVED DESIGN

The Adjatistsqali Hydropower Cascade Project is a part of the Government of Georgia's plan to achieve economic independence as well as sustainability in the energy sector. The project has been designed to supply hydroelectric power to both Georgia and Turkey and was being developed by Mott MacDonald Limited and Gamma Consulting Limited.

This Stakeholder Engagement process has been chosen as a good example because it started at the early feasibility stage, and before construction design. The engagement process, which included detailed stakeholder mapping and an outline of different forms of communication for each stakeholder was very successful in identifying significant economic and environmental risks at an early stage for the Khertvisi scheme, due to part of the construction falling within the Machakhela National Park. The project subsequently focussed on two other areas in Shuakhevi and Koromkhetias as a result.



<sup>22</sup> Environmental and Social Impact Assessment, Stakeholder Engagement Plan, GEO: Adjatistsqali Hydropower Project, 2013. <https://www.adb.org/sites/default/files/project-document/80546/47919-014-esia-05.pdf>

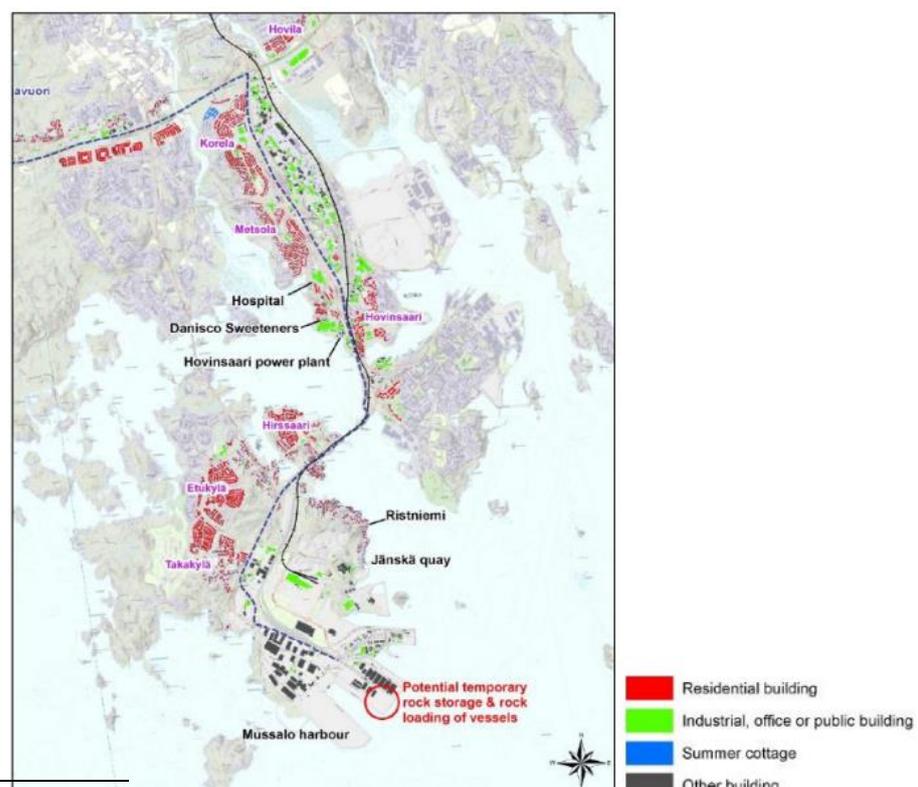
## Case Study 2: Nord Stream 2 Pipeline<sup>23</sup>, FINLAND

### TRANSPARENT SHARING OF PROJECT DETAILS, AND MAPPING OF VULNERABLE PEOPLE

The Nord Stream 2 Pipeline was a PPP to develop a twin subsea pipeline connecting European consumers with Russian gas fields. The pipeline was being developed and constructed by the corporation “Nord Stream 2 AG”. This project developed a stakeholder engagement plan, the purpose of which was to determine the environmental and social impacts of the project, and to build the necessary relationships for the successful management of the project.

The stakeholder engagement was successful in uncovering three potential areas of conflict at a very early stage, all of which were then discussed in depth with the concerned parties such that solutions could be found. These included environmental impacts, effects on fisheries and effects on underwater cultural areas. Each of these could have been a major hurdling block if they had not been handled through meaningful engagement at the feasibility stages.

Of particular note here is that the stakeholder engagement plan identified a wide range of vulnerable and potentially affected populations with very detailed plans for tailored meetings and topics to be discussed. Feedback was also monitored and reported transparently, as seen in their stakeholder report. The plans were also made very clear through detailed maps to demonstrate the areas affected at each stage of the project.



<sup>23</sup> Nord Stream 2 Stakeholder Engagement Plan- Finland, 2019 <https://www.nord-stream2.com/media/documents/pdf/en/2019/04/stakeholder-engagement-plan-finland.pdf>  
Figure 4 Potential Project Affected Communities of the City of Kotka

### ***Case Study 3: METROTENERIFE Light Rail Train Line <sup>24</sup>, TENERIFE***

#### **SOCIAL BENEFITS FOR VULNERABLE GROUPS**

METROTENERIFE strove to create “the highest number of local jobs possible” during implementation and was also the employer of many local construction and engineering firms. The project provided affordable transportation services to populations that did not previously have access to them, including most vulnerable groups. The promotion of public transportation has a positive long-term effect on the environment as it contributes to the reduction of greenhouse gases. Socially, it provided improved access to other public services, such as health and education institutions and creation of benefits for women and those with young children.

Projects such as METROTENERIFE are considered People-first PPPs because they are not only good for local economies, but also environmentally friendly and will likely have positive long-term benefits. Stakeholder engagement helped to improve the direction of the project as it established which groups would most benefit from public transportation, and where public access was most needed.



<sup>24</sup> Finalist in UNECE Build Back Better Infrastructure award 2021 [UNECE Building Back Better infrastructure award 2021 - PPP Projects - UNECE Wiki](#)

#### ***Case Study 4: Regional Development Programme in Caraga, Mindanao<sup>25</sup> PHILIPPINES***

##### **ROBUST STAKEHOLDER ENGAGEMENT PLAN & ENVIRONMENTAL/ECONOMIC GAINS**

The Regional Development Programme consists of renewable energy projects, water supply projects, agriculture improvements, and industrial area development. One of the goals of the project is to provide easy, affordable, and accessible energy and water supply to the local community. The project also includes agriculture and aquaculture projects to help improve food security in the region and help local farmers and fishermen. According to project developers, the program is expected to generate at least 50,000 direct jobs and 250,000 indirect jobs. The project intends to reduce carbon footprints and waste through the use of biomass energy, fed from rice husks from the rice mills.

The Caraga Regional Development Programme is a combination of several different projects, all of which have the intention of improving the community through the creation of jobs, the improvement of the economy, and the development of renewable energy plants which will reduce the carbon footprint of the area. A robust and detailed Stakeholder Engagement Plan in the early stages, and the mapping of all the stakeholders including the most vulnerable, provided local knowledge to enable creation of a project that was inclusive. Examples include rice farming and eel production to enrich the lives of farmers and fishermen. The industrial park will provide direct employment for 50,000 people and indirect employment for 250,000, helping to alleviate poverty in the region.



<sup>25</sup> Finalist in UNECE Build Back Better Infrastructure award 2021 [UNECE Building Back Better infrastructure award 2021 - PPP Projects - UNECE Wiki](#)

### **Case Study 5: Ogal Shiwa<sup>26</sup> – Real Estate Development, JAPAN**

#### MEANINGFUL PARTICIPATION OF LOCAL COMMUNITY AT PLANNING STAGES

Ogal is a real estate development in a small rural town. The town had faced accumulated debt, people's demands for a library, an aging town hall that was not earthquake proof, and a declining population. The social challenges were solved by a PPP that combined more accessible public services with local employment opportunities, especially for the younger generation. It provided help to parents with children, diversification of farmer income, and activities for all generations. This successful project led to population growth and improved the town finance and strengthened the circular economy.

Notably, despite public scepticism about private involvement, the town held more than 100 public meetings to discuss the plans and understand what was needed. They also conducted a large market research programme to elucidate the requirements of the community - to find an enjoyable and balanced rural life. The end result was a very integrated solution that has kept young people working and living in the neighbourhood and a strong sense of community ownership.



planning, design and operation have made them 'own' the place and become future leaders

<sup>26</sup> Finalist in UNECE Build Back Better Infrastructure award 2021 [UNECE Building Back Better infrastructure award 2021 - PPP Projects - UNECE Wiki](#)



Meeting/Project Name:					
Date of Meeting:	(MM/DD/YYYY)	Time:			
Minutes Prepared by:		Location:			
<b>2. Agenda and Notes, Decisions, Issues</b>					
<b>Topic</b>	<b>Decision</b>				
<b>Purpose of Meeting</b>					
<b>Topic 1</b>					
<b>Topic 2</b>					
<b>Topic 3</b>					
<b>Problems that have been resolved</b>					
1.					
2.					
3.					
<b>Final Comments</b>					
<b>3. Action Items</b>					
<b>Actions (to be brought to attention of the developers)</b>			<b>Owner</b>	<b>Due Date</b>	
1.					
2.					
<b>4. Next Local Work Group Meeting</b>					
<b>Date:</b>	(MM/DD/YYYY)	<b>Time:</b>		<b>Location:</b>	
<b>Objective:</b>					

## ANNEX 3. Further Reading

The following documents are useful for further reading. Further references can be found in the footnotes.

1. Guiding Principles on People-First Public-Private Partnerships (PPPs) in support of the United Nations Sustainable Development Goals, UNECE, 2019.  
[https://unece.org/DAM/ceci/ppp/Standards/ECE\\_CECI\\_2019\\_05-en.pdf](https://unece.org/DAM/ceci/ppp/Standards/ECE_CECI_2019_05-en.pdf)
2. THE EQUATOR PRINCIPLES JULY 2020 A financial industry benchmark for determining, assessing and managing environmental and social risk in projects  
www.equator-principles.com EPFI Guidelines [The-Equator-Principles-July-2020-v2.pdf \(equator-principles.com\)](http://www.equator-principles.com)
3. Stakeholder Engagement and the 2030 Agenda, A Practical Guide, UN DESA/UNITAR, April 2020, [Stakeholder Engagement and the 2030 Agenda: A Practical Guide: Sustainable Development Knowledge Platform \(un.org\)](https://www.un.org/kp/2030agenda/2030agenda-practical-guide)
4. A Human Rights-Based Approach: A practical guide for the realisation of the human rights to water and sanitation through programming, Human Right 2 Water, 2021.  
[210322-HRBA-Manual\\_2021-FINAL.pdf \(humanright2water.org\)](https://www.humanright2water.org/210322-HRBA-Manual_2021-FINAL.pdf)
5. Stakeholder Engagement, A good Practice Handbook for Companies doing business in an emerging market, IFC,2007. [StkhldrCvrSingle \(ifc.org\)](https://www.ifc.org/guides/stakeholder-engagement)
6. Grievance Mechanism Tool, The Office of the Compliance Advisor Ombudsman (CAO), the independent accountability mechanism for the International Finance Corporation (IFC) and Multilateral Investment Guarantee Agency (MIGA), the private sector members of the World Bank Group [Purpose, Design & Implementation • Grievance Mechanism ToolKit \(cao-grm.org\)](https://www.cao-gram.org/)