

**Draft Guidance Document:
Stakeholder Involvement Policy
for the Governors' Climate and Forests (GCF) Task Force**

**GCF-Stakeholder Involvement Ad-Hoc Group
August 18, 2010**

Governors' Climate and Forests Task Force

The GCF and Stakeholder Involvement

The Governors' Climate and Forests Task Force (GCF) is a unique multi-jurisdictional effort between 14 states and provinces - representing a significant share of the world's tropical forests - that is promoting technical cooperation, building capacity, and developing policy recommendations for Reducing Emissions from Deforestation and Forest Degradation (REDD). Stakeholder involvement is a critical component of the development and implementation of robust REDD programs and activities. The main goal of this proposal is to facilitate the formalization and enhancement of stakeholder participation in GCF activities. The proposal is presented for review by the GCF and its stakeholder community.

At the GCF-Stakeholder meeting in Aceh in May 2010, stakeholders suggested that the GCF develop a draft process for stakeholder involvement before the 4th GCF plenary meeting in Santarém.¹ The GCF Task Force agreed with this suggestion. As a result, over the last few months the GCF Secretariat has worked with an ad-hoc group consisting of the Secretariat, the GCF Country Coordinator for Brazil (Ernesto Roessing) and the NGOs who made the suggestion in Aceh, with input from a GCF consultant (Luis Meneses). The ad-hoc group has been communicating via phone conferences and emails to develop this iteration of the proposed stakeholder involvement process and will incorporate feedback from the Santarém meeting into a final version.

Given the time constraints, we have been selective in choosing and framing the various elements of the GCF stakeholder involvement process. We have also produced supplementary reference material for this draft guidance document that provides an overview of the current structure, goals, and general procedural rules of the GCF Task Force (*see* Background Document for Stakeholder Involvement in the Governors' Climate and Forests Task Force). We hope that this guidance document, if adopted and implemented (and further refined by the GCF), facilitates processes that promote transparency and inclusivity in GCF activities.

This paper does not reflect any official position of the GCF Task Force, nor of any of the organizations that have or will continue to participate in the ad-hoc group.

Draft Stakeholder Involvement Policy for the Governors' Climate and Forests (GCF) Task Force

Governors' Climate and Forests Task Force

This draft stakeholder involvement policy of the GCF Task Force is framed using the following elements: **principles, objective, outcomes, structure, and processes**. Too many rules can inhibit efficiency and productivity in the management of complex coalitions and organizations like the GCF. As a result, in order to promote flexibility and to remain nimble, the proposed stakeholder involvement policy reflects a principle- and goal-oriented process rather than a rule-based stakeholder involvement process. Rules of procedure are nevertheless important and necessary. Rules have thus been included in the policy, but they follow a set of stakeholder involvement principles.

The **principles** are the foundational guidelines used in the development of the policy and rules. The **objectives** represent an action that when performed evidences that the policy has been effectively implemented. The **outcome** is the result expected from the implementation of the stakeholder involvement policy. The **structure** includes the organizational components of the GCF Task Force and their respective specific purposes, roles, and responsibilities. The **processes** are the rules and procedures necessary to ensure the efficient and effective implementation of the policy. Finally, the term **stakeholders** refer to non-governmental organizations, civil society organizations, the private sector, and other individuals.

1. PRINCIPLES

- **Transparency.** GCF information and processes are clearly described, disseminated, and publicly available.
- **Inclusivity.** Relevant stakeholders are engaged in GCF activities.
- **Timeliness.** Information is prepared and disseminated with reasonable time for stakeholder evaluation.
- **Accountability.** Stakeholder's views are accurately captured and their acceptance or rejection in the decisionmaking process is evident.

2. OBJECTIVE

- To make informed decisions that take into account stakeholder input.

3. OUTCOMES

- Stakeholders have access to and can evaluate the GCF's activities and work products.
- Stakeholder input is considered in the development of GCF processes and work products.

4. ROLES AND RESPONSIBILITIES

The roles and responsibilities of each of the GCF bodies and participants with respect to stakeholder involvement is described below.

RESPONSIBILITIES RELATED TO STAKEHOLDER INVOLVEMENT	
Plenary	Approval of stakeholder involvement policy.
Secretariat	Coordination and oversight of implementation of stakeholder involvement policy. Responsible for transparency, timeliness, and accountability processes.
Chair	Responsible for inclusivity and accountability in joint GCF stakeholder meetings.
Members	May designate stakeholders to be state/province representatives and/or to participate in GCF activities.
Stakeholders	May participate in, and provide technical input to, the GCF. Be informed of GCF activities.
Leads of Technical/ Advisory Bodies (i.e. Working and Task Groups)	Responsible for involving relevant stakeholders (and accountability for stakeholders' input) in each technical/advisory subsidiary body. Responsible for circulating/posting documents for review and input by larger stakeholder community.

ROLES RELATED STAKEHOLDER INVOLVEMENT			
	GCF Stakeholder Meeting	Technical and Advisory Bodies	Plenary
Plenary	<ul style="list-style-type: none"> - Takes into account results/recommendations of joint GCF-stakeholder meetings. 	<ul style="list-style-type: none"> - Takes into account recommendations and reports. 	<ul style="list-style-type: none"> - Recommends improvements in stakeholder policy and approves stakeholder related reports. - Guides secretariat and other bodies in implementation of policy.
Secretariat	<ul style="list-style-type: none"> - Works to ensure transparency and timeliness. - Organizes meetings. - Chairs meeting if designated. - Works to ensure accountability. - Publicizes decisions and stakeholders' input. 	<ul style="list-style-type: none"> - Follows- up on stakeholders' involvement. - General coordination support to Leads in stakeholder involvement . 	<ul style="list-style-type: none"> - Coordinates the development of the stakeholder involvement policy and may present options for policy approval. - Reports to plenary the status of stakeholder policy implementation.
Chair	<ul style="list-style-type: none"> - Communicates relevant plenary decisions. - Guarantees effective communication between GCF and stakeholders. - Promotes participation. - Summarizes inputs. 		<ul style="list-style-type: none"> - Ensures that stakeholder input and stakeholder policy are taken into consideration.

ROLES IN STAKEHOLDER INVOLVEMENT PER GCF BODY (continued.)

	GCF Stakeholder Meeting	Technical and Advisory Bodies	Plenary
Members	<ul style="list-style-type: none"> - Communicate and engage with stakeholders in state/province, region, and country. - Submit new stakeholder contact information to Secretariat for inclusion in official contact list. - Recommend to the Secretariat stakeholders that may make relevant presentations at meetings. - Encourage stakeholders to participate and follow-up. 	<ul style="list-style-type: none"> - Recommend stakeholders that might make meaningful contributions. 	<ul style="list-style-type: none"> - May designate stakeholders as their GCF representatives.
Stakeholders	<ul style="list-style-type: none"> - May provide input on GCF processes/activities/work products/policies. - May attend GCF-stakeholder meetings. - May give presentations when invited by Secretariat. - May access GCF information, work products, and policies. 	<ul style="list-style-type: none"> - May provide technical input on draft and final work product. 	<p>Option 1: Open Meetings:</p> <ul style="list-style-type: none"> ▪ Option 1.1. May observe plenary meetings (no floor, no vote). ▪ Option 1.2. May provide input if asked by the chair or a member. ▪ Option 1.3. May observe meetings and participate when floor opened to stakeholders (e.g. at the end of each session). <p>Option 2. Closed Meetings: If designated as a representative by the Governor of a member, may fully participate (need to consider whether can be the one voting member).</p>
Lead of Technical/ Advisory Bodies	<ul style="list-style-type: none"> - Report status of their respective work groups. - Accountable for stakeholder input related to their scope of work. 	<ul style="list-style-type: none"> - Promote stakeholder inclusivity. - Accountable for stakeholder input. 	

4. PROCESSES

This session describes the processes and rules related to stakeholder involvement. It is grouped under the following general areas:

- General Communication Process
- Technical/Advisory Bodies
- GCF Plenary Meeting
- Joint GCF-Stakeholder Meeting.

GENERAL COMMUNICATION PROCESS	
Participation Process	The GCF proactively and regularly encourages stakeholder input on how to enhance stakeholder involvement in the GCF structure and activities and how to more effectively disseminate information to the stakeholder community. Stakeholders should direct this input to the GCF Secretariat. The GCF accurately captures stakeholder input and communicates its consideration of this input in GCF decisions.
Transparency and Accountability	<ul style="list-style-type: none">- All event notices, GCF contacts, GCF documents, and other relevant information is free, available and regularly updated for the general public at www.gcftaskforce.org.- To the extent feasible, information is prepared, updated, and disseminated with reasonable time for stakeholders to make informed evaluations and decisions related to GCF activities.- The GCF provides translations of key documents and communications in the GCF languages (English, Indonesian, Portuguese, and Spanish). This information is posted on the GCF website. Key documents are circulated to the GCF's stakeholder contact list via email in as timely a manner as is possible.- The GCF may invite new stakeholders to participate in the GCF activities. This may be done by the Secretariat, technical/advisory bodies, and GCF members. The contact information for all new stakeholders must be provided to the Secretariat.

TECHNICAL/ADVISORY BODIES

Participation Criteria	GCF members of technical/advisory bodies can request that specific stakeholders formally participate in the development of technical/advisory body work product if they meet minimum criteria, such as: capacity to contribute to the group's objectives; knowledge of the relevant issues; and time and venue limitations. Once developed, any stakeholder can comment and provide input on technical/advisory body working drafts and final products, which will be disseminated and posted on the GCF website.
Selection Process	The Secretariat and Technical/Advisory Body Leads may invite stakeholders to participate in the Technical/Advisory Bodies. Members of the Technical/Advisory Body can also make suggestions to the Secretariat and Leads to include specific stakeholders. Stakeholders may also submit letters of interest to participate to the Technical/Advisory Body Leads.
Participation Process	<p>Option 1. The GCF may delegate to each Technical/Advisory Body Lead the flexibility to decide, depending on the group's specific needs, how and to what extent interested stakeholders are integrated in their respective work.</p> <p>Option 2. The GCF may establish specific <i>Terms/Rules of Participation</i> for stakeholder participation in Technical/Advisory Bodies. The Terms of Participation may include:</p> <ul style="list-style-type: none"> - Limit on number of participants allowed per Technical/Advisory Body. - Limit on the length of time of participation (which may or may not be renewed). - Confidentiality (i.e. Chatham House rules - non attribution to any one person) - Standards of Conduct. - Open/Closed meeting policy (<i>see</i> GCF Plenary Meetings section below).
Transparency and Accountability	<p>Option 1. The Technical/Advisory Body Lead is responsible for clearly conveying in a timely manner to all interested stakeholders the group's decision pertaining to the scope of the stakeholder's participation and the reasons behind each decision.</p> <p>Options 1 and 2.</p> <ul style="list-style-type: none"> - The Technical/Advisory Body Lead provides draft and final documents to the stakeholders for review and input. - Stakeholders are invited to provide input to the Lead. - Stakeholders are invited to participate in the group's discussions. - The Technical/Advisory Body Lead will capture the input of the participating stakeholders, acknowledge the stakeholders' input, and take it into account in the decision-making process. - Each Technical/Advisory Body will keep minutes of its meetings or prepare a report from its meetings that will be available to interested stakeholders. - Each Technical/Advisory Body Lead is responsible for documenting stakeholder input and how the Technical/Advisory Body has taken it into account. If a comment or view is not incorporated, an explanation will be provided that explains why such comment or view was not followed. Comments and responses can be grouped to simplify this process.

GCF PLENARY MEETING

Participation Criteria	<p>Option 1. Closed Meetings. Only official representatives of member states and provinces, the Secretariat, and invited consultants working on specific Technical/Advisory Bodies.</p> <p>Option 2. Open to stakeholders, subject to reasonable standards of conduct and venue and time limitations.</p> <p>Option 3. Mixed Open and Closed Sessions.</p>
Selection Process	<p>Option 1. Closed Meetings. As decided by the GCF at the Belém meeting, only NGOs that are appointed by the Governor of a GCF state/province to serve as that state/province’s representative to the GCF would be able to attend and participate in closed plenary meetings.</p> <p>Option 2. Open Meetings.</p> <p>Option 2.1. The meeting is open to all interested stakeholders.</p> <p>Option 2.2. The meeting is open to a limited number of stakeholders. Stakeholders are selected:</p> <ul style="list-style-type: none"> - Based on date of expression of interest in attending (i.e. first to RSVP basis). - Based on participation in Technical/Advisory Bodies. - Though nomination by representatives. - A combination of any of the above.
Participation Process	<p>Option 1. No participation.</p> <p>Option 2.</p> <p>Option 2.1. Stakeholders only observe.</p> <p>Option 2.2. Stakeholders observe, but where stakeholders are actively participating on a Technical/Advisory Body they may be asked to provide input by the GCF Chair, members, or Technical/Advisory Body Leads. The chair may also ask some observer stakeholders to provide input.</p> <p>Option 2.3. Stakeholders observe and at the end of each session of the meeting there is an open time period for stakeholder comments and questions. Where stakeholders are actively participating on a Technical/Advisory Body they may be asked to provide input by the GCF Chair, members, or Technical/Advisory Body Leads. The chair may also ask some observer stakeholders to provide input.</p>

Transparency and Accountability	<p><i>Proposed GCF Open/Closed Meeting Policy:</i></p> <ul style="list-style-type: none"> - As part of the GCF’s policy to engage all relevant stakeholders, the GCF, to the extent possible, will convene open meetings. - When meetings are closed to the public, the GCF will publicly announce the topic of the closed meeting. - The GCF may decide to provide summaries of closed meetings to the public with Chatham House/confidentiality rules (non attribution to any one person). - The level of public versus private meetings and involvement should be decided and communicated in a way that provides reasonable notice for stakeholders to be able to decide their degree of participation. - The GCF may hold closed meetings during which sensitive, strategic, and confidential information will be discussed pertaining to the GCF as an organization and to GCF members and personnel.
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JOINT GCF-STAKEHOLDER MEETING	
Participation Criteria	Open to individuals and CSO and private industry representatives, subject to reasonable standards of conduct and venue and time limitations.
Selection Process	<p>Option 1. Admission is open to all interested stakeholders.</p> <p>Option 2. In the event that space limitations do not permit attendance of all interested stakeholders, stakeholders may be given a fixed number of seats to attend the joint GCF-stakeholder meeting. This quota may be filled:</p> <ul style="list-style-type: none"> - Based on date of expression of interest in attending (i.e. first to RSVP basis). - Based on participation in Technical/Advisory Bodies. - Though nomination by representatives. - A combination of any of the above.
Participation Process	Stakeholders will have full participation in all joint GCF-stakeholder meetings, subject to reasonable standards of conduct and venue and time limitations. The GCF Chair or the Secretariat (if so designated by the Chair) will conduct the meetings.
Transparency and Accountability	<p>The GCF will accurately capture the input of the participating stakeholders, to acknowledge stakeholder input, and to take it into account in the decision-making process.</p> <p>The Secretariat or the host state/province will be responsible for publicly documenting stakeholder input and how this input is taken into account (summary of comments by subject matter and responses acceptable). If a comment or view is not incorporated by the GCF, an explanation will be provided that explains why such comment or view was not followed.</p>

¹ GCF Task Force, 3d plenary mtg, May 20th GCF-Stakeholder mtg (2010).