

## **Annex 4b: Stakeholder Analysis and Engagement Plan**

### **Stakeholders Analysis and Engagement Plan**

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## Contents

Annex 4b: Stakeholder Analysis and Engagement Plan	1
<b>I. Introduction.....</b>	<b>3</b>
Institutional Policy for key Stakeholders' Participation	3
<b>II. Methodology .....</b>	<b>4</b>
Key Concepts	4
Types of stakeholders	5
Levels of Analysis	5
Use and limitations of this stakeholder's analysis	6
<b>III. Context.....</b>	<b>6</b>
The Project: Strengthening the IWRM in the Binational Watershed of the Sixaola river between Costa Rica and Panama	6
Indigenous Peoples in the Sixaola Binational River Basin	7
Woman empowerment and gender Equality in the SBRB	8
<b>IV. Stakeholders Analysis.....</b>	<b>8</b>
Participatory construction of stakeholder analysis	8
Characterization of the stakeholders in Sixaola river basin	10
Geographic scope	10
Influence, interest and stakeholder's involvement	10
Key Project Stakeholders	12
Relevant stakeholders	12
Regional institutions working in the Sixaola river basin	12
Key stakeholders for pilot interventions	13
<b>V. General Conclusions of Stakeholders Analysis .....</b>	<b>14</b>
Indigenous Peoples	14
Private Producers Organizations	15
Afro-descendant population	15
<b>VI. Strategy and Plan for stakeholders engagement.....</b>	<b>16</b>
Strategy for stakeholders engagement	16
Stakeholder Plan	17
Activities and indicators for adequate stakeholders participation (SAPIs)	19
1. Project beneficiaries	19
2. Project Outcomes	20
3. Project Team	24
<b>VII. Grievance Mechanism .....</b>	<b>25</b>
Mechanism for Sixaola River Basin project	25
<b>VIII. Key concepts.....</b>	<b>28</b>
<b>IX. Bibliography .....</b>	<b>28</b>

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## I. INTRODUCTION

In accordance with UNDP's and GEF's stakeholder engagement policies, public participation is critical to the development of constructive institutional, public-private relations which are key to the design and implementation of robust projects. Effective stakeholder participation often improves project ownership and acceptance and strengthens the social and environmental sustainability and benefits of supported interventions.

For the purpose of a proper integration of stakeholders, this analysis has been carried out to support the future implementation of the project "Towards the transboundary Integrated Water Resource Management (IWRM) of the Sixaola River Basin shared by Costa Rica and Panamá" .

### **Institutional Policy for key Stakeholders' Participation**

**UNDP** believes that effective stakeholder engagement is central to achieving sustainable development. This approach aligns with the Sustainable Development Goals<sup>1</sup>(SDGs)where the principle of "leaving no one behind" is basic in combatting inequality and ensuring equity and non-discrimination across all programming areas.

**UNDP's** commitment to stakeholder engagement arises from internal policies, procedures and strategy documents as well as key international human rights instruments, principles and numerous decisions of international bodies, particularly as they relate to the protection of citizens' rights related to freedom of expression and participation. The United Nations Declaration of the Rights of Indigenous Peoples is highlighted in this commitment that recognizes the importance of participation in decision-making, as well as their rights to be consulted and to provide, if appropriate, their free prior and informed consent.

Besides, the **Global Environment Facility** (GEF) considers in its stakeholder integration policy that effective stakeholder engagement improves transparency, accountability, integrity, effectiveness and sustainability of GEF governance and operations. In particular, GEF Policy on Stakeholders Engagement "sets out the core principles and mandatory requirements for Stakeholder Engagement in GEF governance and operations, with a view to promoting transparency, accountability, integrity, effective participation and inclusion"... "The Policy reaffirms and operationalizes the GEF's commitment, with respect to GEF-Financed Activities, to "full disclosure of all non- confidential information, and consultation with, and participation as appropriate of, major groups and local communities throughout the project cycle" (GEF, 2017).

In addition, effective stakeholder participation promotes the ownership of countries by fostering stronger partnerships, particularly with civil society, indigenous peoples, communities and the private sector, and by leveraging the knowledge, experience and capacities of affected and interested individuals and groups.

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<sup>1</sup><https://www.un.org/sustainabledevelopment/es/objetivos-de-desarrollo-sostenible/>

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## II. METHODOLOGY

The methodology employed in this stakeholder analysis has been adapted from the BiodivERSA<sup>2</sup> methodology, as proposed by Pazmino Montero A. (2020)<sup>3</sup>. The main reference for the development of this document is the stakeholder analysis and plan of the Pacific PACA project.

Stakeholders are characterized into the following categories:

At the descriptive level: types of actor, location (country) and headquarters location(city), geographic scope (local, national or regional);

At the analytical level: level of influence (low, medium or high), level of interest (low, medium or high), level of involvement (low, medium or high) and its corresponding response (explained below).

Moreover, the stakeholder analysis takes into consideration key concepts defined by UNDP as conceptual framework.

### **Key Concepts**

UNDP uses the following concepts<sup>4</sup>:

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

Another important concept is "stakeholder participation" which means a process of involving stakeholder and engagement in planning, information disclosure, consultation and participation, monitoring, evaluation and learning throughout the project cycle, including complaint resolution, and permanent reporting to stakeholders.

In relation to these concepts, aspects of equality and rights approach should be further integrated into the processes that are carried out. In the case of Indigenous Peoples, culturally appropriate consultations should be considered with the aim of reaching agreements, and prior informed consent may be ensured on any matter that may affect their rights, interests, lands, resources and territories. Because of the significant presence of Indigenous Peoples in the Sixaola river basin, an Indigenous People’s Plan is also included in the Sixaola project package.

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<sup>2</sup> The BiodivERSA it is a network of national funding organizations promoting an-European research that offers innovative opportunities for the conservation and sustainable management of biodiversity and ecosystem services. See <https://www.biodiversa.org/>

<sup>3</sup> Pazmiño Montero, Aracely 2020 Stakeholder Analysis, Consultancy for the GEF PPG for the project “Towards joint integrated, ecosystem-based management of the Pacific Central American Coastal Large Marine Ecosystem (PACA)” GEF Project ID 10076 | PIMS 6273

<sup>4</sup> UNDP, 2017.

Similarly, it must be ensured that the analysis and stakeholder participation is conducted in a gender-sensitive, culturally sensitive, non-discriminatory and inclusive manner; this must be done identifying vulnerable and marginalized groups potentially affected, as well as providing them with opportunities to participate.

### **Types of stakeholders**

The following types of stakeholders will be considered in the analysis.

International Cooperation	International financial and technical support institutions to provide bilateral or multilateral support for development and conservation.
Binational Institutions	These are specific institutions created by binational integration efforts between countries.,
National Public Institutions	They are bodies that serve a public interest function assigned within the structures of the national states.
Private Institutions	They are private companies of diverse productive sectors. These include organizations for the articulation and association of a private nature. These integrate second-level social organizations (including chambers, federations, associations, cooperatives, among others).
Research Institutions	They are academic institutions dedicated to research and knowledge generation.
NGOs	They are non-governmental organizations, independent from the public administration.
Binational Organizations	Integration They are either organizations whose main function is political and economic integration at the subregional and binational levels.
Social Organizations	They are bodies formed for organizational purposes and for the exercise of rights. They are established based on common interests.
Indigenous Organizations	Peoples These are officially recognized bodies that represent the interests of specific Indigenous Peoples and defend the cultural, territorial and human rights of different Indigenous Peoples.

### **Levels of Analysis**

For the purposes of stakeholder analysis, the *BiodivERSA*<sup>5</sup> methodology has been used. Four levels of involvement are used (figure 1): collaboration, information, involvement and consultation.

At the highest level, the category of “collaboration” describes a totally active commitment when actors are effectively partnering in the process and contribute with resources and support.

At the lowest level, providing access to “information” to the most passive actors should be designed for the project to communicate effectively the results. At this level information is a

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<sup>5</sup> The *BiodivERSA* it is a network of national funding organizations promoting an-European research that offers innovative opportunities for the conservation and sustainable management of biodiversity and ecosystem services.

one-way information flow, but it should be included as a form of project engagement tailored to the actor or stakeholder.

There are two intermediate levels of participation whereby those stakeholders that are "consulted" (e.g. asked for opinions or information); and those with whom "involvement" occurs (e.g., more committed and can also provide resources or data).

Most projects require at least the first level of participation, i.e. "inform", but different levels are likely to be appropriate for different projects and situations. The Sixaola project will include a combination of the four levels of commitment.

#### ***Use and limitations of this stakeholder's analysis***

This analysis was based on information gathered during the PPG phase of the project, which may vary by the time the project starts. Although it is unlikely that the principal stakeholders identified will change over project review and approval period. Nonetheless, it is important to mention that this analysis should undergo periodic review.

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### **III. CONTEXT**

#### **The Project: Strengthening the IWRM in the Binational Watershed of the Sixaola river between Costa Rica and Panama**

The Sixaola project seeks to impact the long-term management of water resources in the Sixaola river basin between two neighboring countries: Costa Rica and Panama.

The scope of the project is binational and its purpose is to strengthen institutional capacities for the integrated water resource management of this shared river basin, by strengthening of binational governance institutions and local productive practices and conservation efforts.

The project integrates four components:

1. Governance Instruments improved at the binational level for the integrated water resources management of the Sixaola river basin. This component involves the development of a Transboundary Diagnostic Analysis (TDA) of the threats to the sustainable management of this shared watershed, their immediate and root causes; and the Strategic Action Programme (SAP) of legal, policy and institutional reforms, for the long term integrated water resources management in the Sixaola river basin.
2. Initial on-the-ground pilot active actions to address common key issues and develop best practices that can help to advance collaborative work and replication. The project will implement four pilot interventions in key aspects of IWRM. It will also generate lessons and best practices to manage this binational watershed and inform the elaboration of the SAP.
3. A risk management component.

4. A knowledge management component will contribute to systematize best practice and lessons learned from the pilot interventions. This analysis along with other technical inputs from the TDA phase, will create the conditions and inputs necessary for the SAP implementation in the Sixaola river basin.

#### **Indigenous Peoples in the Sixaola Binational River Basin**

The majority of the population located in the basin has an indigenous origin. Moreover, there are migrant populations of Jamaica, China and the Arabian Peninsula. The basin is inhabited by four indigenous peoples: Ngäbe, Bribri, Naso and Cabécar, whose territories cover 36.2 percent of its surface. These Indigenous Peoples live mainly in the middle and upper part of the Sixaola basin. Indigenous groups face lower social indicators compared to other populations; recent studies on food security showed that 60% of households in indigenous territories live in food-insecure conditions for 3 months of the year. The data and conclusions used in this analysis were developed during the project PPG phase by Carlos Camacho Nassar (2020). The full study can be found in the draft Indigenous Peoples Planning Framework analysis (annex 4c).

On the Costa Rican side, two Indigenous Peoples live in four territories:

People	Territories	Population	Area (Hectares)
Bribri	Talamanca Bribri	7,772	43,690
	Kéköldi	1,062	5,538
Cabecar	Talamanca Cabecar	1,408	22,729
	Telire	533	16,260

Source: Instituto Nacional de Estadística y Censos. X Censo Nacional de Población y VI de Vivienda 2011. Territorios indígenas. Principales indicadores sociodemográficos y socioeconómicos. San José, INEC, 2013.

In the Panamanian side, three Indigenous Peoples inhabit the Sixaola basin: Naso, Bribri and Ngäbe:

#### Indigenous peoples in the Sixaola river basin

People	Population	Area (Hectares)
Naso	4,046	160,616 (121,141 in La Amistad International Park and 21,722 in the Palo Seco Protected Forest)
Bribri	1,068	28,204
Ngäbe	4,000*	2,000*

\*Calculations of the Local Indigenous Congress. Interview with Arsenio López, president, 27 November 2019.

Transboundary indigenous peoples are increasingly vulnerable because of their spatial location: clandestine activities, trafficking in goods and people, trafficking in illicit substances and arms are some of the factors that should be carefully considered, particularly in areas where the border has not been physically delimited.

The fact that the borderline limits spaces of transit and ancestral use, which exist well before the border treaties, can constitute an important barrier to traditional exchanges and land management, thus increasing their vulnerability to risk.<sup>6</sup>

<sup>6</sup> International Labour Organization (ILO) Convention 169 concerning Indigenous and Tribal Peoples in Independent Countries states in article 32 that "Governments shall take appropriate measures, including through international agreements, to facilitate contacts and cooperation between indigenous and tribal peoples across borders, including activities in the economic, social, cultural and environmental fields".

## ***Woman empowerment and gender Equality in the SBRB***

This section is based on the Gender Action Plan and the Gender Equality Assessment developed during the PPG Phase (See the Gender Action Plan in Annex 4d).

The analysis shows how gender gaps persist in Panama and Costa Rica for indigenous, Afro-descendant and rural women living around the Sixaola River Basin. For example, they have higher rates of unemployment or informal work, despite the fact that they dedicate their work to agricultural production, their capacities to formalize in the market are limited, given the limited access to health and education services, they are more exposed to Impacts of natural disasters, rates of teenage pregnancy and intra-family violence prevail, less participation in local water resource management, among others.

It is worth mentioning that targeted actions are fundamental to ensure gender equality and the empowerment of Afro-descendant, indigenous and rural women. However, it is vital to consider that during the project implementation process, especially with the results of the integral baseline study that complements to the formulation of the Transboundary Diagnostic Analysis, other gender gaps will be identified that must be taken into account in the implementation of the Gender Action Plan.

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## **IV. STAKEHOLDERS ANALYSIS**

### **Participatory construction of stakeholder analysis**

During the PPG phase meetings with focal points and project partners, there was a clear impression that stakeholder analysis exercises had already been conducted in previous years in the framework work of the Binational Commission of the Sixaola River Basin. Therefore, a comprehensive review of documents provided was a critical source of this analysis.

The stakeholder analysis involved a review of grey literature and a process of information and consultation with key stakeholders.

The review of grey literature on the Sixaola river basin, included previous stakeholder analysis conducted by previous GEF-funded projects, binational cooperation projects and IGO/NGO projects. Relevant previous exercises were conducted by Epypsa in 2009 as part of the GEF funded BID-MAG project and by IUCN in 2012 as part of the design of the Bridge project<sup>7</sup>.

Subsequently, participating stakeholders were identified based on information gathered in the PPG design process. Several coordination meetings with the CBCRS coordinator and validated by the partners and national focal points during stakeholder information workshops.

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<sup>7</sup> EPYPSA-INCLAM-CEDARENA 2009 Componente I -Fortalecimiento Institucional -Análisis de Partes Interesadas en la Cuenca del Río Sixaola Pdf-B: Preparación del Proyecto Manejo Integrado de Ecosistemas de la Cuenca Binacional de Sixaola (GEF-BID. ATN/FM-9072-RS); EPYPSA 2009 Caracterización de Actividades Económicas en La Cuenca Binacional del Río Sixaola, en su vertiente Costarricense; UICN-ORMA 2012 Mapeo y análisis de actores de la cuenca binacional del Río Sixaola, Informe de Consultoría, Solano F..



A first Information Workshop of the project was held in Hone Creek, Costa Rica in July 2019; a Information Workshop was held in Changuinola, Panama in August 2019. Two binational consultation workshop were held: one in Changuinola and a final one in Cahuita (See Appendix 1). All activities were carried out in close coordination with the Binational Commission for the Sixaola River Basin (CBCRS), to identify relevant stakeholders and send or facilitate invitations. Moreover, two national consultation workshops were held with governmental partners in Panama (September 2019) and Costa Rica (October 2019).

National and Binational workshops were held in both Costa Rica and Panamá. The workshops and meetings were a means to present initially the PPG phase objectives and the main components of the PIF. Both the Inception Workshop and the Final Design Workshop were geared receiving inputs for the initial design and for sharing the final draft design with a broad range of binational, national and local stakeholders. There were a total 5 workshops and meetings held during the by UNDP offices, in coordination with both UNDP Costa Rica CO and UNDP Panama and with government authorities and with the focal points designated for the project in each country. While the initial meeting with Costa Rican Authorities was held as early as June 20<sup>th</sup> 2019, due to national elections in Panama, the meeting with incoming national authorities was held to discuss final project arrangements on November 8<sup>th</sup> 2019 (See table 1) The first presentation workshop with a cross section of key stakeholders from Costa Rica and Panama was held in Hone Creek, Talamanca, Costa Rica on July 5<sup>th</sup> 2019. And the Binational Inception Workshop was held in Changuinola on September 5<sup>th</sup> 2019 with a large number of participants (40 persons).

**Information workshops** had the objective to present information on the project concept (PIF), to identify the barriers that limit the governance management of international river basins such as the Sixaola watershed and to define common and cross-border problems.

**Binational Consultation Workshops'** objective was to present the project design, causal chain, theory of change, and to get inputs regarding pilot interventions.

The workshops were held on the following places and dates:

Country	Information Workshop	Binational Consultation workshops
San Jose, Costa Rica	June 20th 2019*	
Hone Creek, Costa Rica	July 5th, 2019	
Changuinola, Panama	September 5th, 2019	
Ciudad de Panama, Panama	November 8th, 2019*	
Changuinola, Panama		October, 2019 (1 <sup>st</sup> consultation)
Cahuita, Costa Rica		November 26th, 2019 (2 <sup>nd</sup> consultation)

\*With UNDP and National authorities of Coata Rica or Panama

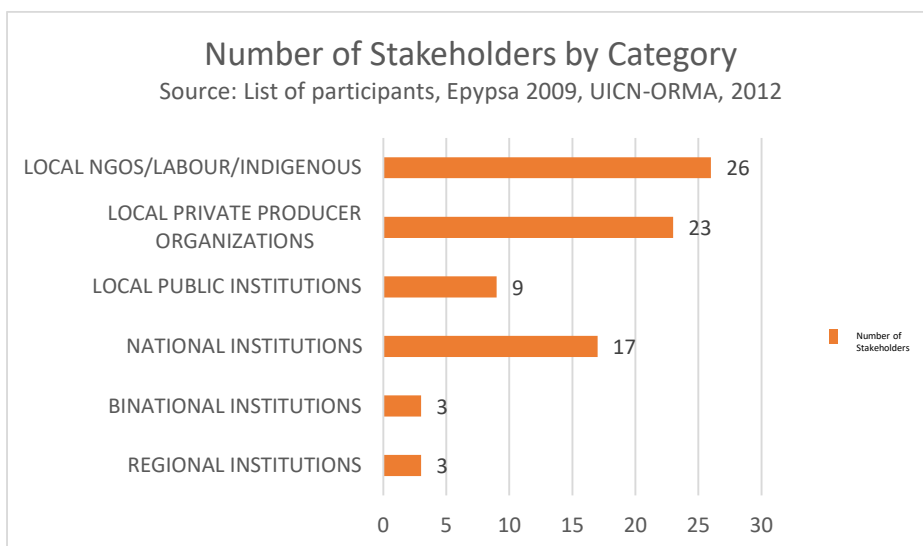
Each of the workshops has an aide-memoire with the results achieved and the sexually disaggregated list of participants (see Appendix 1).

### Characterization of the stakeholders in Sixaola river basin

Based on previous stakeholder analyses conducted in the Sixaola river basin, and other studies, and also based on the participants log of national and binational workshops conducted during the PPG phase, a total of 77 actors were identified in the Sixaola river basin, in both Costa Rica and Panamá (see Appendix 1 of the Stakeholder Analysis for the list of participants).

Figure 1 details the most representative types of actors, among which, the main ones are public institutions; it is followed by NGOs at the national and regional levels, and then private initiatives. The least represented in this segment are private institutions and international cooperation.

**Figure 1. Levels of stakeholder participation**



### ***Geographic scope***

In the binational river basin, actors have been identified in terms of their geographical scope of intervention. In the information gathering for this analysis, special attention was given to local institutions, both public and private, as well as NGOs, Labour and Indigenous Peoples' Organizations. It should be understood that binational institutions are identified as most relevant due to the importance of binational governance issues over shared international waters in the Sixaola river basin.

### ***Influence, interest and stakeholder's involvement***

Beyond participation, there is the degree to which a stakeholder can influence local processes, due to the scale of its actions or the particularities of its interests. In the case of the Sixaola binational river basin, high, medium and low levels were identified for both influence and interest and subsequently placed within the four categories: Collaboration, Information, Involvement and Consultation. These were placed in the quadrants as follows (table 1).

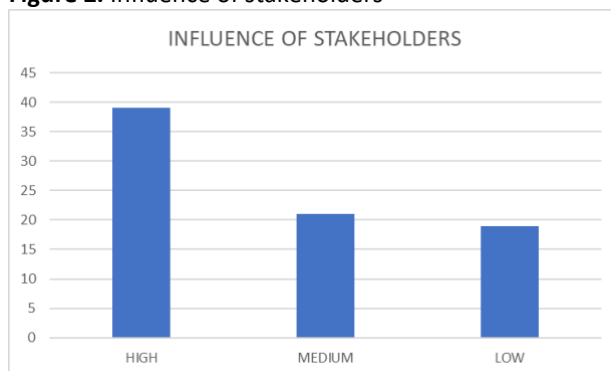
**Table 1.** Levels of influence and levels of participation

Influence	Interest	Levels
High	High	Collaborate
High	Low	Involve
Low	High	Consult
Low	Low	Inform
Medium	Medium	Involve & Consult
Medium	High	Involve & Consult
Medium	Low	Involve& Consult

Relevant actors for both Costa Rica and Panama have been identified in relation to the implementation of this project; as well as, the implementation of pilot projects will involve mainly local stakeholders which being local and binational in scope.

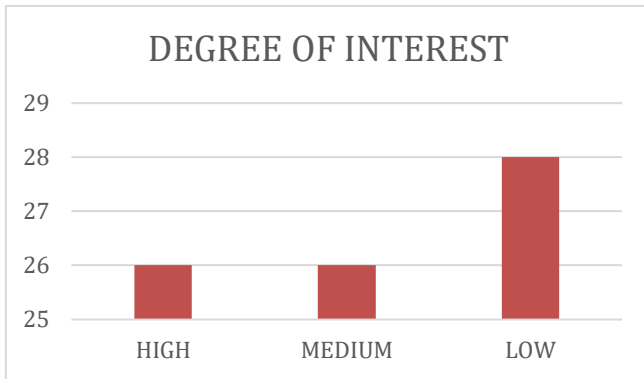
Figure 2 identifies the actors that have **influence** over the project. High, medium and low influence levels have been determined. At the general level, more actors with high influence on the project are evident. There is a need in this regard to respond to these actors so that their influence on the project can be beneficial.

**Figure 2.** Influence of stakeholders



Also, actors who have shown interest in the development of the project have been identified. Figure 3 identifies a large majority of actors who have expressed a high interest in the project. For this purpose, the high, medium and low levels have also been determined.

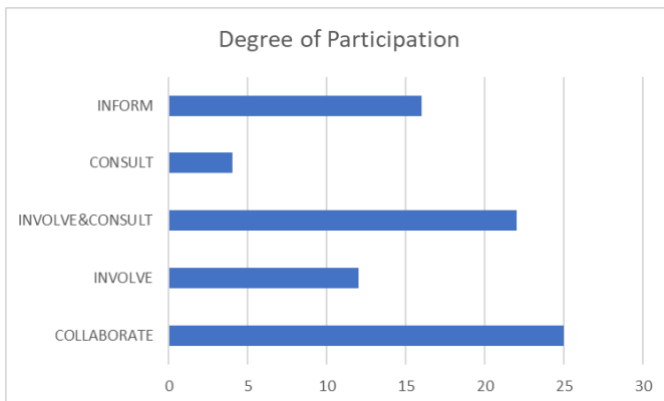
**Figure 3.** Degree of interest



The determination of the level of involvement of the different stakeholders is based on the combination of criteria of influence and interest.

In Figure 4, the graph shows the distribution of stakeholders according to their degree of potential participation in the project. On the one hand, the category “low influence” combined with “low interest” corresponds to the level of response “to inform”; in the “medium level of involvement” (two levels: consult, involve or a combination of consultation and involve). On the other hand, the most relevant level, the level of collaboration where 25 of the most relevant stakeholders were identified, which is detailed in the next section.

**Figure 4.** Degree of participation.



## Key Project Stakeholders

### *Relevant stakeholders*

During the analysis of key stakeholders during the PPG Phase, some 77 institutions and local actors institutions were listed as relevant to its implementation in both countries. Of these, most are private institutions and local NGOs. The least represented are social organizations and public local institutions and international cooperation. Both Costa Rica and Panama have national key stakeholders represented but there are existing binational institutions or instances, such as the Secretariat of the Binational Agreement for the Development of the Boarder Region between Costa Rica and Panama, and the Binational Commission for the Sixaola River Basin (CBCRS) identified as relevant to the scope of incidence of the project.

### *Regional institutions working in the Sixaola river basin*

The scope of implementation of the Sixaola project revolves around binational governance between Costa Rica and Panama for the long term Integrated Water Resources Management of the watershed. Two binational and 7 national institutions have been identified that have different levels of interest and influence in relation to the project. They are listed below in Figure 5 and it is detailed the level of involvement to be granted to each of them.

**Figure 5.** Key Institutional Stakeholders and Level of Involvement

STAKEHOLDERS	Degree of participation			
	INFORM	CONSULT	INVOLVE	COLLABORAT
Secretariat of the Bilateral Agreement for Border Region Development				
Binational Commission for the Sixaola River Basin (CBCRS)				
Ministerio de Economía y Finanzas (MEF)				
Ministerio de Planificación y Política Económica (MIDEPLAN)				
Ministerio de Ambiente y Energía (MINAE) Costa Rica				
Ministerio de Ambiente (Mi Ambiente)				
Comisión Nacional de Prevención del Riesgo y Respuesta a Emergencias (CNE)				
Sistema Nacional de Protección Civil (SINAPROC)				

**Key stakeholders for pilot interventions**

Four pilot interventions will be carried out in the Sixaola Project through interventions that will contributing practical solutions IWRM such as improved solid waste, a multi-stakeholder platform for promoting agrochemical reduction in bananas and plantain production, and by restoring the river margins and biological corridors in the Sixaola river basin. The pilots will require the participation of different stakeholders.

Pilot No. 1 seeks to achieve improved waste management practices in riverine communities in Panama and Costa Rica. The relevant actors in this pilot project are mostly local public institutions with 2 main actors which are the Municipalities of Changuinola and the Municipality of Talamanca. Other key stakeholders will also be involved such as the Urban and Domiciliary Sanitation Authority (AAUD) (National Institution), the Ministry of Health of Costa Rica (National Institution), Indigenous Authorities, the Talamanca-Caribe Biological Corridor (NGO), as well as other women organizations to be identified as indicated by the Gender Action Plan.

In the case of the Pilot No.2, the restoration of banks implemented to reduce erosion and pollution will require the close involvement of the two ministries of environment (MINAE and Mi Ambiente), and in particular of the National Parks Service (SINAC in Costa Rica) in charge of managing wetlands and other coastal protected areas. Other key stakeholders for this pilot include the International Union for the Conservation of Nature (IUCN) and the local NGO of the Asociación de Amigos y Vecinos de la Costa y la Naturaleza (AAMVECONA) in Panama. As indicated in the GAP, other women organizations will be identified and strengthened to take active rol in this pilot.

In the case of the Pilot No 3 which focuses on a Multistakeholder Platform on banana and plantain with national and local private producers organizations, such as CORBANA in Costa Rica and COBANA in Panama. However, the stakeholder engagement analysis shows the need for further involvement and consultation of key producer organizations in both Costa Rica and Panamá. A total of 5 private producers' organizations are earmarked for collaboration under this pilot. The pilot will also design a program focusing on women farmers to be implementing low toxicity practices for the production of banana.

In the case of the Pilot No.4, which seeks to scale up organic cocoa production in the basin, private sector organizations, Indigenous Peoples organizations and NGOs will be involved. In particular, APPTA in Costa Rica and COCABO in Panamá that have worked in organic cocoa in the region will be key stakeholders, but also with the involvement of the ACBTC and its partners.

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## V. GENERAL CONCLUSIONS

Within the stakeholder analysis carried out, a total of 25 actors who require a higher level of involvement in the project have been identified in the segment of greatest influence and interest. Of these 25 stakeholders, 9 are binational and national institutions, 7 Indigenous Peoples organizations, 5 Local producer's organizations, 3 NGOs and 2 local public institutions. Notably, as indicated by the Gender Analysis, there are very few formal women organizations in the SBRB. The project will identify and strengthen when possible these organizations.

They distributed among both countries, with 12 institutions in Costa Rica and 12 in Panama.

Most of these actors have an average influence on the project, just as most have a high interest in its implementation.

Within the 77 stakeholders identified, there are 3 most relevant groups, who should be given attention and establish a specific strategy for their follow-up during the different phases of project execution. The groups identified as key players are the following:

- Relevant actors (77) due to their level of influence and interest
- Binational instances and national institution present of in Sixaola River Basin
- Relevant local actors for the implementation of pilot interventions in each site.

These three groups are diverse and composed of public and private entities, and they have been grouped together for establishing monitoring mechanisms within this plan.

In this regard and according to the methodology used in the analysis of stakeholders, the following can be concluded:

### **Indigenous Peoples**

This project is located in a bi-national river basin, 36% of the project area has been declared or is claimed as indigenous territories. 55% of the area is constituted by protected area, most of their surface can be considered ancestral indigenous territories. There are 7 Indigenous Peoples organization involved with the project in the binational river basin of the Sixaola. According to the PPI, over half of the population in the basin are indigenous according to national census of Costa Rica and Panama.

On the basis of national and international regulations regarding consultation and FPIC, a mechanism for participation and consultation is proposed that allows an agile execution of project activities, but also a permanent feedback. In the basin, there is a permanent institutional commission involving public institutions and civil society organizations, the Binational Commission of the Sixaola River Basin (CBCRS). This commission constitutes a public policy entity at the regional level that has incorporated indigenous peoples into its structure.

### **Private Producers Organizations**

The lower Sixaola river valley is also an area of intensive agricultural production, mostly of banana and plantain. This activity also involves a number of private producers organizations, both large and small. **These organizations account for almost a third (24) of the total of 77 stakeholders identified in the Sixaola river basin.** These range from large international companies with similar production operations in other part of the region, to medium sized cooperative and associations of small holder producers.

The diversity of agricultural systems range from large monocropping intensive export oriented production, through medium and small holder monocropping of banana plantain. These systems co-exist with, particular in the middle and upper sections of the Sixaola river basin, with small holder indigenous and afro-descendant traditional policulture of cacao, banana, plantain and fruit trees. These agroforestry systems are also increasing adopting modern techniques, including pesticide and fertilizer use. These small community-based producers are also critical for strengthening existing traditional systems of agroforestry based on limited external inputs, organic and endemic varieties.

The intensive production practices in the lower Sixaola valley account for the greatest emissions of toxic agrochemicals in the watershed. Thereby, working with agricultural producer organizations will be critical to reduce the toxic footprint and POPs emissions in the basin. Especially in the large monocropping operations in the lower Sixaola river valley.

In the upper river valley, there are important opportunities for working with existing small holder organizations and Indigenous Peoples organizations to restore and defend traditional agroforestry systems and organic cacao production. These may constitute the strongest potential for providing environmental benefits in the medium term for the Sixaola river basin, thanks to important co-benefits in biodiversity conservation and water quality.

### **Afro-descendant population**

This population does not have a space for participation in this Commission, but the proposal has been launched and approval is expected at the next regular meeting. The project would support the participation of Afro-descendant representatives in the CBCRS.

Clearly the Stakeholders Analysis provides an overview of what is a complex set of relationships between institutional actors in a border region, where binational and government agencies have a key role.

There are approximately 77 actors linked to the Sixaola Project in Costa Rica and Panama. Most of them public institutions and private producers organizations because of the relationship these bodies have on the agricultural production themes of the project. The least represented are social organizations and international cooperation. Indigenous peoples's organizations are in and of themselves a key stakeholder group due to their demographic importance and geographic distribution in the middle and upper Sixaola river basin.

A specific analysis of the composition and risks facing indigenous peoples in the Sixaola river basin, both in Costa Rica and in Panama is included in the SESP, and concrete proposals for dealing with these challenges can be found in the Indigenous People Plan.

The Sixaola river basin is also an area of intense agricultural production under an monocropping export-oriented model, where the greatest source of rural employment is found. But there are also a number of small holder producers and indigenous peoples involved in subsistence agriculture throughout the watershed. The relationship between access to employment, land tenure and ethnic affiliation is a critical aspect of social and economic relations in the Sixaola river basin.

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## VI. STRATEGY AND PLAN FOR STAKEHOLDERS ENGAGEMENT

### Strategy for stakeholders engagement

Stakeholder involvement in project activities can be determined a priori. However, this exercise will need to be reviewed and enhanced during the TDA phase, once the project starts.

All activities related to the implementation of this project must integrate gender equality related activities. They are outlined in the gender action plan designed as integral part of the PPG.

According to the methodology used in the analysis of actors, the following four levels of stakeholder involvement (according to the BiodivERSA<sup>8</sup> methodology) were identified and will be used in this action plan. The following is proposed as a response and involvement strategy:

**Information:** For this segment of actors, the project's communication strategy will establish general and one-way mechanisms for information about its results. It is proposed to use the project website, general information bulletins and project results.

**Consultation:** This segment must be provided with appropriate information and keep such information up-to-date to maintain interest. Periodic information must be submitted through newsletters with general information. Occasionally, invitation to meetings.

Consultation with targeted women groups will be facilitated, as indicated by the Gender Action Plan (GAP).

**Involvement:** This segment requires to be adequately informed when necessary. It is proposed to use targeted information to maintain regular contact and send newsletters with general information. Occasionally, invitation to meetings.

**Collaboration:** This segment of actors whose participation is central to the implementation of the project, considers the use of various means such as: periodic technical reunions or workshops; targeted and culturally appropriate communications (newsletters, among others); monitoring mechanism for appropriation, generation of alliances and participation.

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<sup>8</sup> The BiodivERSA it is a network of national funding organizations promoting Pan-European research that offers innovative opportunities for the conservation and sustainable management of biodiversity and ecosystem services.



For each category of stakeholders, a specific response is given to achieve the appropriate participation in project execution. It is described in the following table:

**Table 2.** Strategies of stakeholder involvement.

<b>Method of involvement</b>	<b>Description</b>	<b>Tools</b>
Information	Requires general and one-way mechanisms for information on project results.	Project websites, general information bulletins and project results.
Colaboration	It requires constant participation and is central to the execution of the project.	Periodic technical meetings or workshops; culturally addressed and appropriate communications (newsletters, among others); monitoring mechanism for appropriation, partnership generation and participation.
Involvement	Requires properly been informed when needed	Regular targeted information, general information bulletins. Occasionally, invitation to meetings.
Consultation	It requires appropriate information and keeping such information up-to-date to maintain interest and to comply with the requirements of FPIC(Free Prior Informed Consent) particularly in the case of Indigenous peoples and Afro-descendants	Periodic information, general information bulletins. Occasionally, invitation to meetings. Meetings for specific consultations.

According to this table, the three groups of key stakeholders have been assigned according to their interests, a method and a participation tool, which is detailed below:

### **Stakeholder Plan**

The Stakeholder Engagement Plan is a management tool aimed to achieve the successful engagement and participation of relevant stakeholders linked to the design and implementation of the Sixaola River Basin Project. Particular attention will be given to each group of stakeholders and in order to design actions and guide their involvement in the project implementation phase. .

This plan establishes two levels of intervention, on the one hand, a strategy adopted in response to the three groups identified by their relevance in the implementation of the Sixaola River Basin project, and on the other hand, actions and indicators geared to specifically promote participation of key stakeholders during the project implementation phase (Stakeholders Action Plan Indicators- SAPI).

**Table 3.** Participation tools per type of stakeholder

Number	Stakeholder group	Why included (interests)	Participation methods	
			Method	Tools
1	Key stakeholders (77 institutions)	Public institutions, both national and local, private producers organizations, indigenous peoples organizations and Local NGOs). They have high interest and their influence is high on the project.	They must set a level of COLLABORATION with the project. It requires constant participation and is central to the execution of the project.	Periodic technical meetings or workshops; culturally addressed and appropriate communications (newsletters, among others); monitoring mechanism for appropriation, partnership generation and participation.
2	Regional institutions	Binational and national institutions interested and actively linked to binational governance issues between Costa Rica and Panama. They have high interest and their influence is high on the project.	They must set a level of COLLABORATION with the project. It requires constant participation and is central to the execution of the project.	Periodic technical meetings or workshops; culturally addressed and appropriate communications (newsletters, among others); monitoring mechanism for appropriation, partnership generation and participation.
3	Key stakeholders from pilot interventions	Local public and private institutions related to the themes of the proposed pilot projects (solid waste management, sustainable low toxicity footprint export agriculture, community based organic agriculture, landscape restoration, disaster risk management and adaptation to climate change)) in the intervention areas. They have a medium level of involvement.	It should be established a level of CONSULTATIONS <sup>9</sup> and INVOLVEMENT. The stakeholders influence in the field is direct so it requires particular attention.	Focused and regular information, and general information bulletins. Occasionally, invitation to meetings. Meetings for specific consultations.

<sup>9</sup> In the case of the pilot activities, the project will create an Committee for Indigenous Peoples, which will be charged with organized as needed consultations meetings with the indigenous peoples authorities of the Ngäbe, Bribri, Cabécar, and Naso as well as the Afro-descendants from both Costa Rica and Panama.

### Activities and indicators for adequate stakeholders participation (SAPIs)

The plan integrates stakeholder’s participation indicators (*SAPI- Stakeholder Action Plan Indicator*), a target, a baseline (to date), specific budget intended for its implementation, timeline, and the person responsible for the activity within the project team.

#### 1. Project beneficiaries

<b>Project Objective:</b> Strengthen transboundary multi-stakeholder action in the Sixaola River Basin shared by Costa Rica and Panama to restore riverine and coastal ecosystems, reduce pollution from agricultural production and reduce risks from hydrometeorological disasters						
<b>Stakeholder Participation - related activity</b>	<b>Stakeholders Action Plan Indicator (SAPI)</b>	<b>Target</b>	<b>Baseline</b>	<b>Budget</b>	<b>Timeline</b>	<b>Responsibility for data collection</b>
Identify beneficiaries from pilot interventions and project activities (directly and indirectly).	SAPI 1. Number of direct project beneficiaries disaggregated by gender ( <i>corresponds to Results Framework Indicator 1</i> ).	<u>Mid-term Target:</u> 2000 CR: women: 800; men: 800 PAN: women: 200; men: 200 <u>End of Project Target:</u> 4000 CR: women: 1,600; men: 1,600 PAN: women: 400; men: 400	<b>Total: 0</b> CRI: women: 0; men: 0 PAN: women: 0; men: 0	<b>0</b>	Annually	Project consultants Project Coordination Unit Monitoring and evaluation specialist UNDP Country office
	SAPI 2. Number of indirect project beneficiaries disaggregated by gender ( <i>corresponds to Results Framework indicator 2</i> ).	<u>Mid-term Target:</u> 5000 CR: women: 2000; men: 2000 PAN: women: 500; men: 500 <u>End of Project Target:</u> 16,788 CR: women: 6,296; men: 6,296 PAN: women: 2,098; men: 2,098	<b>Total: 0</b> Costa Rica: women: 0; men: 0 Panama: women: 0; men: 0	<b>0</b>	Annually	Monitoring and evaluation specialist.
Total budget allocation USD				<b>0</b>		

## 2. Project Outcomes

<b>Project Component 1.</b> Governance instruments improved for joint integrated management of the Sixaola Binational River Basin.						
<b>Project Outcome 1.1.</b> Common understanding of the transboundary water and environmental issues, challenges and opportunities with gender perspective affecting the Sixaola river basin and agreed strategy for basin restoration and protection						
<b>Stakeholder Participation - related activity</b>	<b>Stakeholders Action Plan Indicator (SAPI)</b>	<b>Target</b>	<b>Baseline</b>	<b>Budget</b>	<b>Timeline</b>	<b>Responsibility</b>
Participation of stakeholders in the TDA development process	SAPI 3. Percentage of participants from non-state entities (independent of the government such as civil society organizations, farmers associations or community groups) in the TDA Development process ( <i>corresponds to indicator 6 of Results Framework</i> )	At least 40% of non-state entities in the TDA development process.	0	0	Year 1 and 2	Monitoring and evaluation specialist  Project Consultants  Gender Specialist
Total budget allocation USD				0		

**Project Outcome 1.2.** The Binational Commission of the Sixaola River Basin (CBCRS) role as a facilitator of IWRM actions by public and private sector stakeholders is strengthened and builds upon an and agreed strategy to attend the environmental issues, challenges and opportunities affecting the SBRB.

Stakeholder Participation - related activity	Stakeholders Action Plan Indicator (SAPI)	Target	Baseline	Budget	Timeline	Responsibility
Promotion of stakeholder's participation in consultation processes for SAP.	SAPI 4. Percentage of non-state entities in SAP consultation meetings. <i>(corresponds to Results framework indicator 7)</i>	At least 50% of non-state entities on consultation meetings.	0	0	Years 2 and 3	Monitoring and evaluation specialist  Gender Specialist  CBCRS and Indigenous Consultation Commission
Promotion of stakeholder's participation in consultation processes for SAP.	SAPI 5. Number of meetings in consultation processes for SAP in the participating countries.	16 national consultation meetings.	0		Years 2 and 3	Monitoring and evaluation specialist  Gender Specialist  CBCRS and Indigenous Consultation Commission
Total budget allocation USD				xx		

<b>Component 2. Demonstrative pilot projects stimulate collaborative work, replication and implementation and build capacity, experience and support for SAP implementation.</b>						
<b>Project outcome 2.1</b> Demonstrative pilot interventions implemented by local stakeholders and community-based organizations advance targets of the SAP and generate global environmental benefits in the SBRB.						
<b>Stakeholder Participation - related activity</b>	<b>Stakeholders Action Plan Indicator (SAPI)</b>	<b>Target</b>	<b>Baseline</b>	<b>Budget</b>	<b>Timeline</b>	<b>Responsibility</b>
Discuss and agree with the Indigenous Consultation Commission on the project interventions following the recommendations of the draft Indigenous Peoples Planning Framework.	SAPI 6. Number of meetings with the Indigenous Consultation Commission to discuss the interventions of the project	At least one discussion/meeting proceedings per pilot intervention.		Included in draft IPPF	Years 1, 2, 3, 4.	Monitoring and evaluation specialist  Gender Specialist  CBCRS and Indigenous Consultation Commission  Project coordinator
Total budget allocation USD						

<b>Component 3. Flood and Risk Management improved</b>						
<b>Project Outcome 3.1</b> Capacity of communities and local organizations to respond to flood risks in the Sixaola river margin is strengthened						
<b>Stakeholder Participation - related activity</b>	<b>Stakeholders Action Plan Indicator (SAPI)</b>	<b>Target</b>	<b>Baseline</b>	<b>Budget</b>	<b>Timeline</b>	<b>Responsibility</b>
Participation of key stakeholders as beneficiaries of flood risk management and early warning systems in the Sixaola River Basin	SAPI 7. No. of local organizations on both sides of the border trained under the EWS skills training program. <i>(Related to Results Framework indicator 18)</i>	At least 10 organizations	0	XXXX	Permanent	Risk Management Specialist  Gender and Participation Specialist
Total Budget Allocation (USD)						

<b>Component 4. Knowledge Management</b>						
<b>Project Outcome 4.1.</b> Improved knowledge, practice and aptitudes of key stakeholders regarding binational collaborative action to restore coastal and riverine ecosystems; control pollution and reduce vulnerability to flood risks						
<b>Stakeholder Participation - related activity</b>	<b>Stakeholders Action Plan Indicator (SAPI)</b>	<b>Target</b>	<b>Baseline</b>	<b>Budget</b>	<b>Timeline</b>	<b>Responsibility</b>
Adequate provision of information of the initiation of the project to relevant stakeholders in both Costa Rica and Panama.	SAPI 8. Number of initiation and/or closing workshops with national stakeholders.	At least 5 workshops	0	XXXX	Year 1 and Year 4	
Disseminating project lessons	SAPI 9. Corresponds to Results Framework indicator 19	5000 users	0	XXXX	Year 4	Knowledge management specialist
Total budget allocation USD						

### 3. Project Team

Project Team conformation						
Stakeholder Participation - related activity	Stakeholders Action Plan Indicator (SAPI)	Target	Baseline	Budget	Timeline	Responsibility
Integration of appropriate advice for the implementation of the project through a person specialized in gender and participation.	SAPI 10. One gender and participation specialist is part of the project management unit	One person	0		During the whole implementation of the project	Project Coordinator
Integration of appropriate advice for sharing knowledge and learnings from the project implementation through a person specialized in knowledge management and communications	SAPI 11. One knowledge management specialist is part of the project unit	One person	0		During the whole implementation of the project	Project Coordinator
Total budget allocation USD						

#### Roles and responsibilities of Project Management for implementing the Stakeholder Engagement Plan

The project management unit, and in particular the Binational Project Coordinator, will be charged with supervising and monitoring the implementation of this Stakeholder Engagement Plan, This oversight task will also be conducted in close coordination with national project counterparts, particularly when convening no-state actors and other public institutions from both Costa Rica and Panama .

In addition, the project coordinator (or other designated member of the PMU) will be responsible of the plan and in charge of following up the implementation of Stakeholder Engagement Plan , The project coordinator (or other designated member of the PMU) will be responsible for monitoring the plan's implementation, and report periodically to the senior management of the project . All project staff will be fully briefed on the contents and goals of the Stakeholder Engagement Plan and in particular of its grievance mechanism and will channel accordingly any complaints from local actors and/or affected communities and inform project coordinator.



## VII. GRIEVANCE MECHANISM

This Stakeholder Engagement Plan has included—in accordance with the UNDP policies and environmental and social safeguards (SES)—<sup>10</sup> a response mechanism for the concerned interested parties or a grievance mechanism to guarantee that persons, indigenous peoples and communities impacted by projects have access to adequate procedures for claim resolution to listen to and address complaints and disputes related to the project.

Therefore, according to the Response Mechanism for the UNDP stakeholders<sup>11</sup>, a mechanism of claim response has been designed to complement the proactive participation of the project stakeholders and implementing partners throughout the Sixaola River Basin project cycle. “This effective participation of stakeholders creates opportunities to solve problems that would otherwise lead to conflict. If they are not solved, major problems may emerge, generating conflicts that delay a project, increase costs and, sometimes, stop the project”. In this context, any person or group of people who believe they are negatively affected by the Sixaola River Basin project, or at risk of adverse impacts, may file a claim<sup>12</sup>.

The UNDP and project implementation partners are responsible for defining mechanisms to receive and address stakeholder complaints during project design and for these groups to be aware of the existence of such mechanisms. However, in the event that the grievance processes, following due process, have not reached a solution after the process set out in this document, with the highest instance of the Project Board, they may submit an application directly to the staff of the UNDP responsible for the operation of the Response Mechanism in the host country.

### **Mechanism for Sixaola River Basin project**

For the context of the Sixaola River Basin project the following grievance mechanism has been designed. It integrates various levels for the reception, evaluation and management of solutions on the claims or complaints that arise and that fall within the scope of the project.

Levels of reception and claim reparation procedure: The procedure consists of four levels (see Figure 1), which should resolve the submitted claims and –based on the difficulty or complexity of its resolution or reparation– escalate to the next decision-making instance of the project until the Project Board is reached.

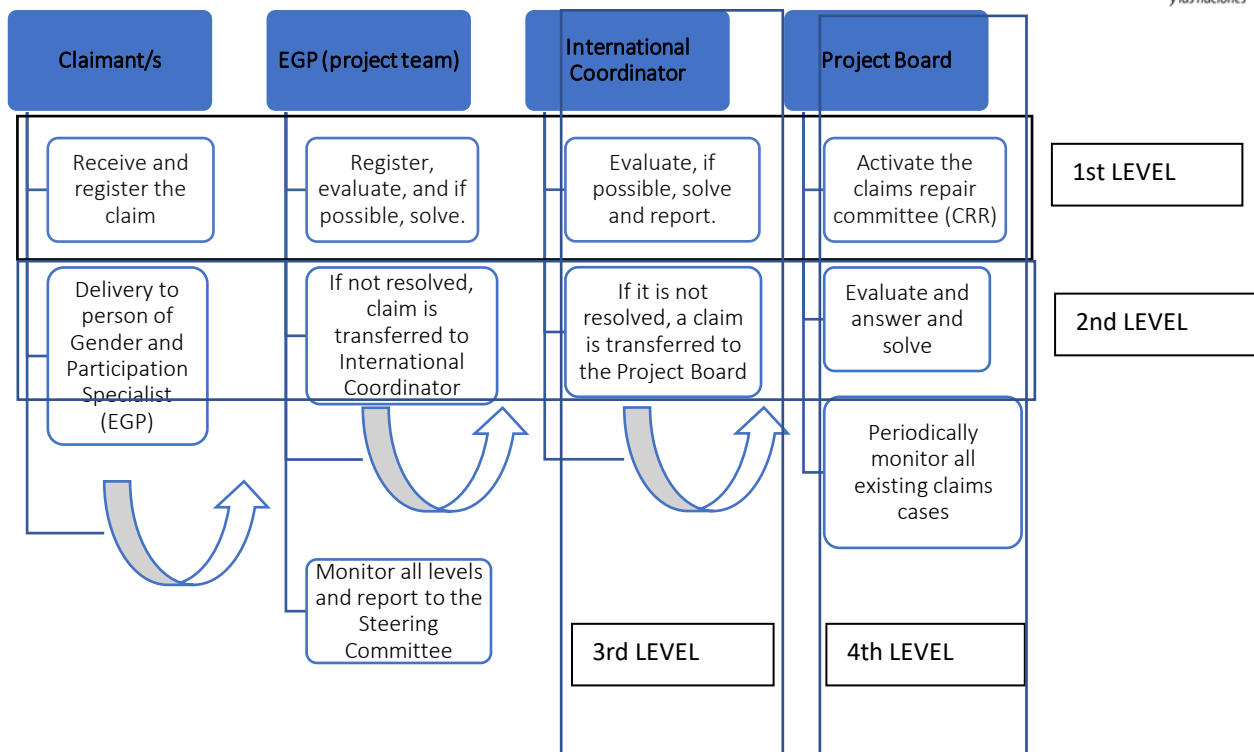
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<sup>10</sup> UNDP. (2017). Guidance notes. UNPD Social and Environmental Standards. Standard 6: Indigenous Peoples.

<sup>11</sup> UNDP. Stakeholders Response Mechanism: Overview and Guidance. (2014)

<sup>12</sup> UNDP. Stakeholders Response Mechanism: Overview and Guidance. (2014).

**Figure 6.** Levels of reception and claim reparation procedure



The following is detailed in each of the levels:

**1st level:** reception of the claims: The difficulties or claims must be presented to:

A) To the Gender and Participation Specialist (GPS) in written form:

- A function of the GPS, acting as a key point of contact will be to receive the concerns and / or claims of the project.
- Claims must be made in writing and signed and dated by the people or communities affected by the project.
- Claims received verbally must be documented, verified and signed by the people or communities affected by the project, so that it can be given a due process.
- The GPS will establish a record of all claims received and this record of complaints must specify the name of the persons or communities affected by the project, the reason for the claim and the date of receipt.

B) Complaint received in written form through written communications submitted to the project's governing bodies through the means established for this purpose (email to the GPS, International coordinator, or an email from a UNDP delegate official (who is linked to the execution of the project) or in a space generated on the website of the project etc.). This is given in case the complaints are minor.

C) Anonymous complaints will also be receivable through written form submitted to the project's governing bodies through the means established for this purpose (Email to the GPS, international coordinator or an email from an UNDP delegate official (who is linked to the implementation of the

project) or in a space generated on the website of the project, etc.). These anonymous complaints will be processed as a minor complaint.

**2nd level:** The person in charge of GPS receives the corresponding claims presented through a written communication and gives it due process:

- At this level, the person in charge receives and evaluates the type of claim presented.
- In this instance, they must provide a written acknowledgment of receipt within 5 business days of receiving the request and indicate that they will complete the review within 15 business days of receipt of the claim.
- If the application is lacking the required information it must be returned to the applicant within 3 business days of receipt, with a clearly specified request to provide the missing information.
- In all claims, an answer of eligibility or no of the same one is offered.
- In all cases, the GPSP must monitor said action at a later date, and report periodically to the claims repair committee (CRR) (See 4<sup>th</sup> Level below).

In case of not being able to provide an appropriate response, the claim must be followed to the next level of decision making.

**3rd level:** The person acting as International Coordinator receives the claims presented through the GPS that could not be managed or solved.

In addition, complaints can be received directly through electronic means designed for this purpose (email, website of the project, others).

**4th level:** Project Claims Reparation Committee (CRR): This body receives complaints that project personnel have not been able to solve or manage since they were received. It is not a permanent committee, but it is activated once claims are received to be served at this level; since only those claims that involve risks to the beneficiaries and their rights, or they can represent potential significant risks for the execution will arrive to this committee

- The project's board establishes the CRR, which will be chaired by the International Coordinator and will include representatives from national counterparts and UNDP Costa Rica as lead agency. It will be responsible for receiving and resolving, in a fair, objective and constructive way, complaints raised by the people or communities affected by the project that involve risks important for its execution, but especially those that put at risk the beneficiaries and partners, or their rights.
- The CRR must be chosen at the beginning of the execution of the project.
- The CRR must be informed periodically about the minor claims cases that the staff has solved.
- It is part of the function of the CRR to disclose the claims management procedures in addition to monitoring and evaluating compliance with the agreements reached through the mechanism for repairing claims.
- When a resolution is not reached at the CRR level, or if the people or communities affected by the project do not receive a response or are not satisfied with the result within the agreed time, they can appeal to the Project Board.

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## VIII. KEY CONCEPTS

### Stakeholders:

Stakeholders are persons, groups, or institutions with an interest in the project or the ability to influence the project outcomes, either positively or negatively. Stakeholders may be directly or indirectly affected by the project.

### Stakeholder analysis:

Stakeholder analysis is the process of identifying a project's key stakeholders and assessing their interests in the project and the ways in which these stakeholders may influence the project's outcomes.

### Stakeholder engagement:

Stakeholder engagement is an overarching term that encompasses a range of activities and interactions with stakeholders throughout the project cycle.

### Types and levels of stakeholder participation:

The nature, scope and frequency of stakeholder engagement needs to be proportionate to the nature and scale of the project, its potential risks and impacts, and the level of stakeholder concern. The extent to which the project may impact various stakeholder rights and interests and the power and influence of certain stakeholders will affect needed engagement strategies and approaches.

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## IX. BIBLIOGRAPHY

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