



Convention on
Biological Diversity

Ensuring Inclusive Societal Engagement in the Development, Implementation and Updating of NBSAPs

Module 5 (B Series)

Version 2 – Revised July 2012



About this Series

This module forms part of a training package on the updating and revision of national biodiversity strategies and action plans (NBSAPs) in line with the Strategic Plan for Biodiversity 2011-2020 and the Aichi Biodiversity Targets. The package is intended for National Focal Points of the Convention on Biological Diversity, those responsible for updating and implementing NBSAPs and other biodiversity planners, including those responsible for other biodiversity-related conventions. They are being used in the ongoing second series of regional and sub-regional capacity building workshops on revising and updating NBSAPs. The module and its contents may be freely used for non-commercial purposes, provided the source is acknowledged. The Secretariat would appreciate receiving a copy of material prepared using these modules.

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Introduction

People's entitlement to information on government plans that may affect them, and their right to participate in decision-making processes regarding such plans, is a cornerstone of **democratic governance**. This **principle is enshrined in the Rio Declaration on Environment and Development** adopted at the Earth Summit in 1992, and in an increasing number of global and regional environmental treaties including the Convention on Biological Diversity.

The conservation, sustainable use and equitable sharing of benefits deriving from the use of biodiversity are societal choices. These choices result from negotiations and trade-offs amongst societal groups with different relationships with biodiversity, with different power relations vis-à-vis other groups, and with different economic, social, and cultural needs, interests, and aspirations. In order to attain a **broad societal acceptance of conservation objectives and actions, biodiversity planning and decision-making must be conducted in ways that consider the diverse and uneven composition of societies**.

Public participation figures prominently in the principles of the **Ecosystem Approach**, endorsed by COP 5 as the primary framework for action under the Convention on Biological Diversity. It is also emphasized in recent COP guidance on National Biodiversity Strategies and Action Plans (NBSAPs) (see Boxes 1 and 2). If NBSAPs are to be effective and meet their goals, then all relevant government agencies, levels of government, community organizations, non-governmental organizations, indigenous and local communities, scientific associations and the academic community, business and industry, women, educators and the media need to be involved in their design and implementation.

A recent assessment of NBSAPs reveals that an overwhelming majority of countries have applied a participatory approach involving varying numbers and categories of stakeholders in the processes. However, **the limited effectiveness of many first generation NBSAPs has been attributed to an inadequate public involvement** particularly that of women, indigenous and local communities, and the private sector. Among the common impediments to civil society involvement are the lack of time, funds, skills and capacity, and the overlooking of societal groups' relationships with biodiversity.

This module begins by explaining the benefits of broad public participation in the preparation and revision of an NBSAP. Section 2 explains how to identify, inform and prepare civil society groups to participate in the NBSAP process. Section 3 considers ways of organizing the process and discusses the important issue of the different types, or degrees, of participation that can be used. The module concludes with a list of ten things to keep in mind when organizing a participatory NBSAP process.

Box 1 Public Participation Provisions in COP Guidance on NBSAPs

COP Decision IX/8, the most complete body of guidance on NBSAPs, calls on Parties to “engage indigenous and local communities, and all relevant sectors and stakeholders” in biodiversity planning and implementation and lists several possible activities as follows:

- (i) Preparing, updating and implementing NBSAPs with the participation of a broad set of representatives from all major groups to build ownership and commitment;’
- (ii) Identifying relevant stakeholders from all major groups for each of the actions of the NBSAPs;
- (iii) Consulting those responsible for policies in other areas so as to promote policy integration and coherence;
- (iv) Establishing appropriate mechanisms to improve the participation and involvement of indigenous and local communities and civil society representatives;
- (v) Striving for improved action to encourage the involvement of the private sector;
- (vi) Strengthening the contribution of the scientific community.

Box 2 Public Participation Provisions in COP 10 Decisions

Paragraph 3 (a) of decision X/2, adopting the Strategic Plan for Biodiversity 2011-2020, calls on Parties to “Enable participation at all levels to foster the full and effective contributions of women, indigenous and local communities, civil-society organizations, the private sector and stakeholders from all other sectors in the full implementation of the objectives of the Convention and the Strategic Plan”.

Additional COP 10 decisions on business engagement¹, indigenous and local communities², and sub-national governments, cities and other local authorities³ also emphasize the importance of these groups’ participation in the biodiversity policy process.

¹ **Decision X/21** (Business engagement)

² **Decision X/40** (Article 8(j) and Related Provisions: Mechanisms to promote the effective participation of indigenous and local communities in the work of the Convention)

³ **Decision X/22** (Plan of Action on Subnational Governments, Cities and Other Local Authorities for Biodiversity)

1. Why Public Participation is Important for National Biodiversity Planning

Public participation takes time and money, and is by no means easy, but it pays for itself, so-to-speak, through the benefits it brings to both the process and product of biodiversity planning. These benefits include:

- a) Linking planning and implementation
- b) Accessing a full range of knowledge and information
- c) Raising awareness and building consensus
- d) Maximizing policy coherence and efficiency

a) Linking Planning and Implementation

National biodiversity planning involves planning *and* implementation. It does not suffice simply to make a biodiversity plan; the plan must be implemented in order to make a difference. It is necessary to consider then how a link between planning and implementation can be assured. This is where the participation of stakeholders and other groups comes in.

Implementation of the NBSAP is a responsibility that lies beyond government, in all sectors of society. However, top-down demands for compliance with policy developed at a distance, by ‘experts’ and bureaucrats, almost certainly will not be effective in instigating the type and scale of action necessary to implement the Convention. **It is only realistic to expect members of society (and their groups) to act if they feel they have ‘ownership’ of the NBSAP by having contributed their experience, knowledge, and perspective to its formulation.**

Ownership and buy-in are likely to result in initiative and action on the part of the public. This may mean that a particular economic sector sees its own benefit in conservation action and agrees, for example, to finance the establishment of a marine protected area, to lobby for the removal of biodiversity damaging subsidies, to change the laws relating to the practice of tourism, or to take on any other action in favour of the conservation and sustainable use of biodiversity.

On the flip side, not having the buy-in of key societal groups may result in their being opposed to and, in one way or another, sabotaging the effective implementation of conservation measures. This can lead to societal conflict and to the need to spend extra resources on monitoring and enforcement with no guarantee of success.

b) Accessing a full range of knowledge and information

From the perspective of those leading the development of the NBSAP, public participation is also important because, if done correctly, it **assures that biodiversity planning takes into consideration the full range of issues impacting on, and impacted by, biodiversity policy** (or lack thereof). It also assures that these processes

access and consider biodiversity-relevant knowledges, innovations and practices of the public, particularly those of indigenous and local communities. The solutions to many of the drivers of biodiversity loss can be drawn from indigenous people and local communities with biodiversity-based livelihoods as these groups have been managing their biodiversity resources, in some cases, for generations. Being able to tap into this knowledge can support the identification of innovative responses to biodiversity loss.

Furthermore, vulnerable societal groups are often in the best position to determine whether proposed biodiversity policies are likely to negatively affect their livelihoods and well-being. This knowledge is key to avoiding unintended negative consequences of policies designed without their input.

No small group of official or expert ‘biodiversity planners’ will ever have the **understanding, experience and knowledge to be able to successfully identify all the issues** that will arise in such a broad exercise, still less to identify a set of policy proposals that will effectively address the issues. Such a restricted exercise would inevitably be a theoretical, top-down approach to policy development, which, without the input of real life experience from the public, will prove ineffective, and perhaps even counterproductive, when implementation is attempted.

c) Raising Awareness and Building Consensus

It is important to keep in mind that the NBSAP process is as much a social, economic and political process as it is a technical one. The NBSAP process is an **opportunity to bring different societal groups and diverging interests together**, with the possibility that they may learn from one another, be sensitized to one another’s relationship with biodiversity, and ideally work together to develop shared visions and viable strategies to attain them.

Implementing programmes for the conservation and sustainable use of biodiversity, and the equal sharing of the benefits derived thereof, will involve changing perceptions and habits, and adopting new practices and techniques at all levels of society. In some circumstances, it may for example require establishing contacts where none currently exist, involving habitually marginalized groups or local administrations in opposition to the national government. It may also involve addressing difficult and conflict-ridden issues. This will not all happen on the first encounter; however **a genuine participatory process is likely to be instrumental in building trust and collaboration, and eventually moving toward societal cohesion around conservation issues.**

d) Maximizing Policy Coherence and Efficiency

Module 3 discusses the mainstreaming of biodiversity into sectoral and cross-sectoral plans, policies and programs. An important point in that discussion is that **biodiversity policy is not only national environmental policy, but is also, crucially, policy emanating from different sectors of the economy and tiers of government.** The participation of the public and of policy-makers from these different sectors and tiers of

government in the NBSAP process is critical if there is to be coherence and mutual reinforcement between biodiversity and policies at different levels of government, and between biodiversity and other policy areas.

Boxes 3, 4 and 5 present the public participation processes that informed India's NBSAP, Grenada's Forest Policy, and the Brazilian State of Acre's territorial management map, respectively.

Box 3 India's NBSAP: 25,000 Participants Produce 71 BSAPs

Involving 25,000 people, the development of India's NBSAP is the largest biodiversity planning exercise to ever be undertaken. The Indian Ministry of Environment and Forests entrusted the conceptualization and coordination of the process to a non-governmental organization (Kalpavriksh). The NGO in turn established a 15-member Technical and Policy Core Group, comprised of representatives from other NGOs, scientists, and activists in order to manage the process (see Box 10).

A diversity of innovative tools and strategies were used to reach out to thousands of people throughout the country over a period of three years. The process targeted people from all relevant sectors, including the private sector, productive sectors, national and local governments, indigenous peoples, academics, youth, and NGOs. Information, stakeholder feedback, and public education and awareness were coordinated through:

- National, regional, and state-level workshops
- Public hearings (at different levels, including village level, and subgroups within villages)
- Sectoral meetings
- Radio program series
- Community-based biodiversity registers
- Mobile biodiversity festivals
- Village-level consultations
- School projects
- Competitions and nature camps
- Boat racing

In addition to the overall national plan, this decentralized and grassroots approach to biodiversity planning enabled the preparation of 71 state, sub-state, eco-regional and thematic biodiversity strategies and action plans. The process was instrumental in raising stakeholder awareness of biodiversity, in increasing stakeholders' capacity to contribute to biodiversity planning, in building networks, and in empowering people to take action. It challenged the assumption that huge amounts of money are needed for such a process, and demonstrated what is possible to achieve with limited resources.

It is important to note that the draft plan developed through this process was not accepted by the Ministry of Environment and Forests but was rather labeled a 'technical report' in the process of preparing a new national document. An important lesson from this is the need to balance the representation of different sectors of society, including not only marginalized voices, but also other societal actors whose inclusion is necessary in order to produce a realistic and workable

plan. This lesson does not detract from the innovation and creativity of the Indian experience.

Sources:

Apte, T. 2006, A People's plan for biodiversity conservation: creative strategies that work (and some that don't). IIED Gatekeeper Series 130.

<http://www.iied.org/pubs/display.php?o=14538iied>

IIED. 2005. An Activist Approach to Biodiversity Planning: A Handbook of Participatory Tools Used to Prepare India's National Biodiversity Strategy and Action Plan. IIED, London.

TPCG and Kalpavriksh. 2005. Securing India's Future: Final Technical Report of the National Biodiversity Strategy and Action Plan. Prepared by the NBSAP Technical and Policy Core Group. Kalpavriksh, Delhi / Pune.

Box 4 Developing Grenada's 1999 Forest Policy

During the period May 1997 to November 1998, stakeholders in the management and use of Grenada's forests participated in the development of a new national Forest Policy. With the support of facilitating organizations, they identified the need for a new policy and initiated an inclusive process that engaged with a wide range of actors, including community-based organizations. In the course of the process, they undertook a number of sub-sector policy studies. They also designated and implemented a programme of public consultations and sensitization. The process culminated in a consensus building workshop (attended by over 180 people) which developed the basis for a new Vision for Grenada's forests, and for their role in national development, broad forest policy objectives, a framework for implementation, and directions for each of the sub-sectors. Following the adoption of the policy by Cabinet, the Forestry and National Parks Department embarked on a process that led to the production of a new departmental strategic plan and redefined its mission as "to facilitate the participation of institutional, community and individual partners in the sustainable management and wise use of Grenada's forest resources". To achieve this mission, the Department was restructured and developed new approaches and modes of operation (Bass 2000).

Sources

CANARI. 2002. [Assessing Capacity for Participatory Natural Resource Management](#). CANARI Guidelines Series No3 :21pp. (22.9 Kb). Pg 8

CANARI. 2003. [Guidelines for Participatory Planning: A Manual for Caribbean Natural Resource managers and Planners](#). CANARI Guidelines Series No4 :38pp. (415 Kb) pg. 10

Box 5 Acre-Brazil, Ecological-Economic Zoning (ZEE)

Ecological-Economic Zoning (ZEE) emerged in Brazil in the 1980s as a government response to accelerating deforestation and to violent conflicts over resource access in the Amazon region. It aims to conserve the environment while guaranteeing sustainable economic development and an improvement in the population's well-being. A fundamental aspect of ZEE is that it is used as a consensus-building instrument, taking stakeholder participation very seriously, and reflecting the particular realities of each region where it is applied. According to Brazilian federal law, each state must develop an Ecological-Economic Zoning Program.

The State of Acre created its Ecological-Economic Zoning Program in 1999. The first phase was notable for its inclusion of diverse societal groups, and for addressing issues that have frequently been omitted from ZEE programs in the Amazon region, such as agro-forestry potential, biodiversity and ecological services, traditional populations' territories, socio-environmental conflicts, and the potential of non-timber forest products. Results of the first phase include a new paradigm of land zoning in the state through the development of a state land reform program and the institutionalization of integral conservation units, indigenous lands, extractive reserves, and state and national forests.

The second phase of the EEZ was completed in 2007 and was innovative in its addition of cultural and political dimensions (identity, value systems, lifestyles, and local people's projects) to those of natural resources and socio-economic aspects of land use. The main result of the second phase is the Territorial Management Map of the State of Acre, at a scale of 1:250,000. This map is a legal document, which establishes land use zones and obligatory rules and criteria of sustainable management. Societal participation was fundamental to the decisions made in the design of the map. Technical and institutional meetings were held with stakeholders to define the methodology to be used, and discussions were held in all the municipalities of the State. Deliberative meetings with relevant state bodies followed these meetings, and stakeholder suggestions and commentaries were incorporated, thus building consensus.

Sources:

ACRE. Governo do Estado do Acre. Programa Estadual de Zoneamento Ecológico-Econômico do Estado do Acre. Zoneamento Ecológico-Econômico do Acre Fase II: documento Síntese – Escala 1:250.000. Rio Branco: SEMA, 2006. 354p.

Acre's Environmental Policy based in Economic-Ecological Zoning. Presentation given by representative of Acre at Regional and Sub-Regional Capacity-Development Workshop on Implementing NBSAPs and Mainstreaming Biodiversity – South America, 31 March to 4 April 2008 in Rio Branco, Acre, Brazil.

2. Who Should Participate in Biodiversity Planning?

In some counties, many stakeholders and other groups will identify themselves and expect to be included in the NBSAP process. In countries that have already implemented (or are presently implementing) a first or second NBSAP, a number of groups will already be actively involved in implementation, monitoring and reporting. However, in almost all countries, certain societal groups will be marginalized and/or reluctant to participate and will need to be sought out and encouraged to take part.

There can be no pre-determined list of the societal groups relevant to the NBSAP process. The specific list of relevant societal groups may differ in each country because each has different sets of institutions, different legal and administrative arrangements, different traditions and forms of participation – not to mention different biodiversity, all of which will affect who should participate.

COP guidance outlines five major groups:

- Government ministries (including from different levels of government, sectoral ministries, and ministries responsible for education and social affairs)
- Scientific community
- NGOs
- Private sector
- Indigenous and local communities

It is important not to forget that the group “government ministries” includes the **ministry responsible for the environment and for the development and implementation of the NBSAP**. These government actors should not be treated as actors outside or above the multi-stakeholder process. The government’s focal points for the different Programmes of Work, initiatives and cross-cutting issues of the Convention, and those responsible for planning and implementation relative to other multilateral environmental agreements/conventions, should also be included.

It is also particularly important to include **indigenous and local communities**, which have a unique status under the Convention (Box 6). The input and collaboration of these groups is imperative, as conservation measures need to be formed in ways that respect their livelihoods, practices and knowledges. In some instances, these groups may not have ready access to mass media and Internet networks, and thus may not be aware of the commencement of the NBSAP process. Special consideration must be taken in contacting and inviting them to the table.

Among the representatives of the societal groups listed above, there should be an **adequate representation of women**, and of the **range of gender issues** relevant to the Convention. The vital role that women play in the conservation and sustainable use of biological diversity, and thus the need for women’s participation at all levels of biodiversity policy-making and implementation, is recognized in the Preamble of the Convention text. In countries where there exists a Ministry of Women’s Affairs or equivalent institution, or, in its default, where there exists a locally reputable non-governmental organization working towards women’s equity in society, a representative should be invited to participate in the NBSAP process. Several Parties to the Convention, including Niue, Jordan and Marshall Islands, have taken such initiatives (Module 9 explains in more detail how to mainstream gender issues into the NBSAP; further guidance can also be found in CBD Technical Series No. 49).

Another important group to involve in the NBSAP process are **sectoral and cross-sectoral ministries and actors**. Some among this large group may perceive

biodiversity planning to be a low priority, a threat, or irrelevant to their activities and may not initially want to participate. In these cases, the steering committee will need to invest some time and effort in building relationships with key actors, and to inform and communicate with them in order to raise their awareness of the importance of biodiversity to their sector and to the broader society with a view of spurring their interest and participation (Module 3 discusses the mainstreaming of biodiversity into sectoral and cross-sectoral plans, policies and programs; Module 7 goes into more detail on communication strategies). Suffice it to say here that the participation of these actors, and hence their buy-in and cooperation with the process, is essential for the implementation of the Convention and of the Strategic Plan for Biodiversity.

It is important to remember that the identification and inclusion of participating societal groups is likely to be an imperfect and iterative process with groups being identified throughout. Furthermore, as different groups have different capacities, flexibility in the process can be important to allow for those with limited capacity to target their contributions. In attempting to include all relevant groups, the main guideline is to ask:

Who has an interest in this issue:

- ✓ Who uses or impacts on the resource, in what ways, and at what rates?
- ✓ Who benefits and who does not?
- ✓ Who wishes to benefit but is unable to do so?
- ✓ Who would be affected by a change in the status, form or outputs of management?

Box 7 lists a range of stakes, interests and/or rights that stakeholders and other groups may have in biodiversity planning. Box 8 explains the use of the concept of biodiversity-derived ecosystem services as a useful tool to identify participants.

Box 6 The Unique Status of Indigenous and Local Communities under the CBD

The Convention on Biological Diversity (CBD) recognizes the unique status of indigenous and local communities in issues pertaining to the conservation, sustainable use, and equitable sharing of benefits arising out of the use of biodiversity. Unlike other societal groups, indigenous and local communities often depend on biological diversity for their livelihoods and cultural integrity, and they often have pre-existing customary and/or statutory rights of access and use of biodiversity components. Moreover, indigenous and local communities' biodiversity knowledges and practices are considered important sources of know-how for biodiversity conservation and sustainable use.

As such, indigenous and local communities' "stake" or "interest" in biodiversity issues is of another order than that of other societal groups' and should be considered *rights*. Consequently, indigenous and local communities are increasingly referred to as "rights holders" in the context of public participation in biodiversity policy and programming.

The recognition of indigenous and local communities' unique role and status is enshrined in both the preamble and the key provisions of the Convention. As part of the UN System, the Convention on Biological Diversity holds to the United Nations Declaration on the Rights of

Indigenous Peoples which highlights, among other things, the importance of indigenous participation in decision-making on the full spectrum of matters that affect their lives, as a basis for the fulfillment of the full range of human rights.

One of the five objectives of the Second International Decade of the World's Indigenous Peoples (2005-2015), adopted by the UN General Assembly, is to promote the full and effective participation of indigenous peoples in decisions which directly or indirectly affect their lifestyles, traditional lands and territories, their cultural integrity as indigenous peoples with collective rights, or any other aspects of their lives, considering the principle of free, prior and informed consent (A/60/270, para. 9 (ii)).

Box 7 Stakes, Interests and Rights in Biodiversity Planning

Societal groups may want to participate in the NBSAP process for a number of reasons:

- **They may have customary or statutory rights to biodiversity components** (genes, species or landscapes) that may be affected by other societal groups' actions.
- **They may be affected, directly or indirectly**, in positive or negative ways, by the status and trends of biodiversity and by the outcomes of the NBSAP process. For example, establishing protected areas under the NBSAP will have consequences for populations living in or around these areas, and for other actors using, or wanting to use, resources in or around these areas.
- Activities they carry out **may have an impact on biodiversity**. For example, agencies with responsibility for, and entities engaged in, agriculture, transport, forestry, regional planning, or urban development.
- They may **possess experience, knowledge and/or expertise** that are relevant to biodiversity and that can assist the NBSAP to obtain better outcomes or avoid negative outcomes. It is important to involve all those who have knowledge and expertise of the issue, without distinction. The knowledge held by research institutions, the public and private sectors, and that held by indigenous people and local communities, are equally important.
- They may have a **direct legal or administrative responsibility** for aspects of biodiversity. For example, the ministry of environment; the national environment agency; agencies responsible for forests, water resources, or coastal management; the national patent office or intellectual property agency (for ABS-related matters); sub-national governments, cities and other local authorities, among others.
- Measures and policies adopted under the NBSAP **may have an impact on their work**. For example, environmental impact assessment requirements will affect the way an energy ministry plans for and licenses new energy generation projects or the way the transport ministry or highway agencies plan and license projects.

Box 8 Ecosystem Services Approach for Identifying Stakeholders

Ecosystem services can be a useful starting point for identifying stakeholders because they help us to understand the linkages between biodiversity on the one hand, and development and human well-being on the other. Starting with any one of the ecosystem services identified by the Millennium Ecosystem Assessment, an effort to seek out relevant stakeholders could ask:

- a) What are the status and trends of this ecosystem service?
- b) Who (i.e. which societal actors) are contributing to these status and trends?
- c) Who is impacted by these status and trends? Or who depends on this ecosystem service?
- d) What needs to be done to change the status and trends of this ecosystem service (presuming it is in decline)?

The response to question “d” may provide various avenues for change, each of which will have its pros and cons in terms of its effectiveness for reversing the status and trends. For each of these avenues, the following questions could be asked:

- e) Who can contribute to making this change occur?
- f) Who will be affected (positively / negatively) by this change?

Sources:

Biodiversity in EIA and SEA. Background Document to CBD Decision VIII/28: Voluntary Guidelines on Biodiversity-Inclusive Impact Assessment.

<http://www.cbd.int/doc/publications/cbd-ts-26-en.pdf>

Ecosystem Services: A Guide for Decision Makers (World Resources Institute, 2008)

http://pdf.wri.org/ecosystem_services_guide_for_decisionmakers.pdf

One thing to keep in mind when identifying societal groups to participate in the biodiversity planning process, is that the **individuals chosen to represent a particular societal group must belong to that group and/or have sufficient knowledge of, and experience with, the group’s concerns. Most importantly, the representative must have an adequate mandate from the group in order to represent its members.**

Each societal group participating in the NBSAP process must speak for itself and only for itself. For example, the views of small farmers should be put forth by representative organizations of small farmers and not by agriculture ministry officials, extension agency staff or NGOs speaking on their behalf. The views of indigenous and traditional communities should be their own views, enunciated by their own representatives. Outside actors such as anthropologists, NGOs or religious organisations should not be asked to participate on their behalf, however sympathetic and well-informed they may be.

NBSAP Steering Committee

An important first step in preparing and/or revising an NBSAP is the establishment of a steering committee that includes representatives of different agencies of government, sectors of civil society (including women, indigenous and local communities, the private sector and sectoral interests, non-governmental organizations), areas of scientific expertise and national biomes or geographical regions (Box 9 outlines the composition of Brazil's National Biodiversity Commission). It is envisaged that **the NBSAP steering committee will coordinate and oversee the NBSAP process** and thus its membership should be willing to be engaged throughout the development of the NBSAP, and preferably into the implementation, monitoring, and reporting phases.

Most Parties will already have identified and engaged a steering committee for the elaboration of the first NBSAP. As discussed in Module 2, **the membership of the existing steering committee should be reviewed at the beginning of the NBSAP revision process in order to ensure that original members are still willing to be engaged, and that all relevant stakeholders and civil society groups are represented.** It is particularly important, given the need to mainstream biodiversity into all areas of society, that the steering committee include **representatives from the sectors that depend, and impact on biodiversity in the country.** It is likely that the steering committee became aware of additional relevant societal groups during the implementation of the previous NBSAP. This would be a good moment to engage them.

The main distinction between the stakeholders and other groups that are included in the steering committee, and those that are invited to participate in the broader consultation process, is that those on the steering committee will have a responsibility to guide the NBSAP process through to fruition whereas stakeholders and other groups in the broader process will be able to choose the intensity and duration of their commitment. Also, depending on the form that the process takes, groups participating only in the broader process may participate in specific thematic or regional fora rather than on a national scale as will members of the national steering committee.

Once the steering committee has been established, it should **devise a strategy/plan for a broader participatory process** for the revision or development of the NBSAP. This strategy/plan could include:

- A preliminary list of societal groups to involve
- An idea of the relationship between participants, and the roles of the steering committee and the broader set(s) of participants
- A plan of the techniques and formats that will be used to engage participants, and to maintain their interest and engagement throughout the longer NSBAP process
- An idea of how participants' inputs will be managed and kept track of
- A timeline
- A budget

Box 9 Brazil's National Biodiversity Commission

The National Biodiversity Commission (CONABIO) has the responsibility of implementing the National Biodiversity Policy, through the promotion of synergies between government and civil society. It is organized along seven thematic components (as reflected in the NBSAP) and seven bio-geographic components (corresponding to Brazil's major biomes).

The Commission comprises a representative of each of the following:

Federal government	Ministry of the Environment Ministry of Science and Technology Ministry of Agriculture and Livestock Ministry of Health Ministry of Foreign Affairs Ministry of Planning, Budget and Management Ministry of Agricultural Development Ministry of National Integration Secretariat of Aquaculture and Fishing Brazilian Institute for the Environment and Renewable Natural Resources (IBAMA)
State governments	Brazilian Association of State Environmental Authorities (ABEMA)
Academic community	Brazilian Society for the Advancement of Science (SBPC) Brazilian Academy of Sciences (ABC)
NGOs and social movements	Forum of NGOs and Social Movements for Environment and Development (representing environmental NGOs) Social Forum of NGOs and Social Movements (representing social movements)
Indigenous communities	Coordination of Indigenous Organizations of Amazonia (COIAB)
Workers' organizations	National Confederation of Agricultural Workers (CONTAG)
Business sectors	National Confederation of Agriculture (CNA) National Confederation of Industry (CNI)

Source: <http://www.parquenahuelbuta.cl/central/documentos/34e18170fa9d6399b6fe030655689fb3.pdf>

Organizing and Categorizing Participants

It is quite common for organizers of multi-stakeholder processes to attempt **categorizing participants** in order to simplify management. Often the ways in which they are expected to participate, and the timing of their participation, will be determined by the category to which they are assigned. One way of organizing participants is **by the priorities and areas of focus of the NBSAP**. There may be different stakeholders and rights holders for different areas of action. These may be broken down by biome, province, sector or economic activity, ecosystem services or any other relevant theme.

Another common way of organizing participants is by the **degree of their stake** in biodiversity issues - whereby stakeholders are categorized as *direct*, *indirect*, and sometimes *distant* stakeholders. While this may seem like a straightforward exercise, it is also one **potentially wrought with confusion and possible conflict** as stakeholders may be categorized in ways not to their liking and may take exception to the rules and definitions used in the categorization. One possible way to circumvent this risk is to **allow stakeholders to categorize themselves**. It is to be expected that different stakeholders will have varying levels of commitment and time to be involved.

It must be stressed, that there are no correct or incorrect ways of organizing a multi-stakeholder process. **Each national manager responsible for NBSAP development and each national steering committee will need to use flexibility and creativity to identify the relevant stakeholders and other relevant societal groups, in accordance with national circumstances and with the form and evolution of the NBSAP process.** Boxes 9 and 10 suggest who might need to be involved in questions relating to agricultural biodiversity and ABS, respectively.

Since decisions on NBSAP priorities and topic breakdown will probably only be taken after the steering committee is in place, has identified a broader set of participants, and reviewed available biodiversity information, it may be necessary to add relevant groups as they are identified.

Box 10 Possible Stakeholders in Mainstreaming Biodiversity into Agriculture

Possible stakeholders in mainstreaming biodiversity into agriculture may include the following:

- Ministry of Environment
- Ministry of Agriculture
- Public and private agricultural research bodies
- Agricultural extension agencies
- Agricultural colleges or training establishments
- The national focal point(s) for FAO-related matters, including for the International Treaty on Plant Genetic Resources for Food and Agriculture
- Agro-biotechnology industry associations
- University or other research bodies
- Associations of peasants or small farmers
- Agribusiness associations
- Indigenous and local community associations
- Agricultural economists
- Germplasm and seed bank managers
- Specialist non-governmental organizations
- Associations of bee-keepers or other sectors relating to pollinators
- Plant and animal breeding bodies
- CBD national focal point for ABS (access to genetic resources and benefit sharing)

These are only the 'direct' agricultural stakeholders. However, given that the agricultural sector in most countries plays an important role in food security, foreign trade and export earnings, and

is often supported by policies for agricultural credit, land reform, education and vocational training, and science and technology, relevant stakeholders in this case could include not just those directly involved in agricultural biodiversity issues, but the full range of organizations whose mandates relate to the issue.

These could include ministries and government agencies relating to health, trade and commerce, planning and finance, education and training, science and technology and others. It also includes those civil society sectors that work on these issues, for example, rural credit unions, organizations working on health and nutrition issues, economists and analysts with expertise in identifying new markets for traditional products of agricultural biodiversity, and others.

Box 11 Possible Stakeholders for issues pertaining to the fair and equitable sharing of the benefits arising out of the utilization of genetic resources

Those within the country who hold genetic resources need to be identified and brought into the process of developing this aspect of the NBSAP. These could include:

- Representative organizations of indigenous and local communities (and farmers' groups)
- Relevant government agencies (for example, those with responsibility for environment, science and technology, trade, intellectual property matters and industrial development)
- The private sector (for example, the biotechnology, pharmaceutical and cosmetics sectors)
- Scientific community, ex-situ collection holders
- Academics, legal specialists and others

2.2 Communication, Information, and Preparation of Participants

Communication and information management are key to effective multi-stakeholder processes. It is to be expected that different groups of stakeholders will have different levels of understandings of CBD processes, different relations to biodiversity, different capacities to participate, different languages, and different access to information media. Therefore it is important that **thought and planning go into catering communication – the language, the content/message, and the media** - to different stakeholders so as they may participate on as equal a footing as possible. (Module 7 goes into more detail on communication issues and strategies for NBSAPs).

While many of the participants will already be familiar with the CBD and its processes, they **may need to be informed of recent developments and COP decisions and of the NBSAP process**. New participants in particular will need to be given some **background on the CBD and its processes** so as they may participate meaningfully.

Efforts should be made to provide all the necessary information to participants at the start of the process and to make emerging information available throughout. Those Parties that have already established a national Clearing-House Mechanism may be able to use it for this purpose. Those that do not have a CHM could use a designated space on the website of the agency leading the NBSAP process, or other electronic media. Some

Parties, such as Samoa, have found it useful to publish an NBSAP newsletter that is distributed to stakeholders periodically in order to keep them up-to-date and interested in the process.

Transparency is fundamental to the trust and legitimacy of the process in participants' eyes and will be crucial to the outcome of the process. It is important to make clear how the process will proceed, **what is expected of participants, and what they can expect from the process** (including the level of influence they can expect to have on decisions made). Some form of commitment from the NBSAP Steering Committee or from the Ministry responsible for the Environment that recommendations emerging from the process will be included in the NBSAP can go a long way in securing the participation of certain groups. Managing expectations can include, among other things, making it clear that the participatory process is likely to involve negotiating, and making compromises and trade-offs.

3. Carrying Out a Multi-stakeholder Process

In addition to selecting and/or convening stakeholders and other groups to participate in the planning process, it will be necessary to decide **when and how – which formats, techniques, methodologies will be used** - to engage them, to coordinate their participation, to ensure the most effective dynamics among them, and to maintain their interest and engagement in the implementation and further steps of the NBSAP process.

Again, there are many possible mechanisms and there are no universal answers. If the country already has consultation procedures for public policy discussions, or if there are existing forums for broad-based discussion of environmental or development policy, then a sensible decision will be to build on these procedures and mechanisms – using the same structures, or establishing a new structure modeled on procedures that have proven to work in the national context. However, if there are no previous national models, or if those that exist are felt to be inadequate or inappropriate, then new arrangements will need to be decided upon.

The decision of what type of mechanism to set up will depend on the size of the country, the number of stakeholders and participants foreseen, the range of biodiversity issues to be covered, and ultimately on social, political, institutional, and cultural factors specific to each country. **It is up to the national steering committee to consider what is the most effective mechanism for involving stakeholders in the development of an NBSAP that represents the realities and concerns of the country and its people, and for coordinating implementation.**

Methodologies

As important as decisions on **format**, are decisions to be taken on the **methodologies** used for participation. It is important that all participants in the NBSAP process are made to feel comfortable that they are equal partners in the process, that their experience and knowledge are important, and that their views will be considered on an equal basis. It is

also important to recognize probable inequities among participants and to make the necessary accommodations so that the more powerful groups do not dominate and/or manipulate the process.

Instilling this level of comfort, which is essential for generating the overall desired outcome of a shared sense of ownership of the process by all participants, is no easy task. It may involve breaking with tradition and ingrained habits by, for example, thinking about how to **really promote interactive roundtable discussions and not fall into the trap of organizing a lecture series, where ‘experts’ talk from the podium to a room full of passive ‘listeners’**. This will require skills such as facilitation, animation, negotiation, conflict management, communication and mobilization – that the NBSAP committee members will not necessarily possess, and should not attempt to fill in themselves. As members of the stakeholder groups participating in the process, the steering committee members are not neutral and stand to damage the process if other stakeholders perceive them as having too much influence on the direction of discussions. Similarly, as the Indian case (Box 3) shows, the NBSAP that emerges from the multi-stakeholder process must be accepted, first and foremost, by the government actors whose mandate it is to develop it. Therefore, their buy in, as stakeholders, is as important as that of the other stakeholders. For these reasons, it is **recommendable that the steering committee hire the services of a professional and neutral facilitator** who can help to plan and implement the different forms of interaction among the stakeholders involved.

Stakeholder Analysis

Multi-stakeholder processes, by definition, bring actors with different interests together to work on a common challenge. While some of these interests may be different but complementary, such processes will inevitably from time to time bring conflicting interests into contact. In many cases, this is precisely what is needed in order to develop an NBSAP that is truly a reflection of a societal consensus, so there is much to be lost from shying away from such interactions.

Rather, it is important that some thought go into **how to keep the interaction among stakeholders respectful and productive**. One way of doing this is by conducting a **stakeholder analysis** in order to **understand, as best as possible, each participating societal group**, its stakes, rights or interests in biodiversity, its expectations from the planning process, its relative power and the sources thereof, its networks, the room it has to manoeuvre and change, the potential areas of agreement and disagreement with other groups, etc. There are many methods that can be used to do such an analysis; while some are listed among the resources at the end of this module, a professional facilitator may also have ideas of how to conduct stakeholder analysis.

What needs to be decided by the NBSAP managers is whether stakeholder analysis should be conducted:

- a) As part of the preparation for the multi-stakeholder process whereby the facilitator and NBSAP manager(s) may become as familiar as possible with the stakeholders in order to be able to anticipate, avoid and/or manage conflicts as need be. This option is recommendable if acutely conflicting interests are being brought together; OR
- b) As part of the multi-stakeholder process itself, with the involvement of stakeholders. The advantage of this approach would be that the exercise itself could be used as a negotiation and conflict management tool whereby participants are sensitized to one another's stakes and encouraged to look for common ground.

It is up to the NBSAP manager and Steering Committee to decide what is best give the country's circumstances.

Box 12 Methodological Guidance for the Participatory Planning Process in India

The following is an excerpt from the “methodological notes” distributed by the Indian Ministry of Environment and Forests to the agencies conducting the participatory planning process in that country.

“It is critical that, in all these activities, there be maximum participation of all sectors (governmental agencies, local communities, independent experts, private sector, armed forces, politicians, etc.), especially through:

1. Making the process of working fully transparent
2. Inviting public inputs at every step
3. Making all relevant information available to the public
4. Using local languages in all key documents and events
5. Respecting the output of ‘lower’ level (e.g. sub-state) action plans and information, and integrating them into ‘higher’ level (e.g. state and national) action plans
6. Allowing for a diversity of opinions and approaches to be reflected in the process and in the final BSAPs”

Source:

Apte, T. 2006, A People's plan for biodiversity conservation: creative strategies that work (and some that don't). p. 5 IIED Gatekeeper Series 130.

<http://www.iied.org/pubs/display.php?o=14538iied>

Workshops

In small countries it may be logistically easy and cost-effective to bring all participants together in **national biodiversity planning workshops** in the national capital. Many large countries, especially those with federal structures and/or strong sub-national

authorities, have opted to organize and **break down the thematic, sectoral** (i.e. ecosystems, sectors), **geographic** (i.e. coastal, mountains, forests, urban, rural, etc.), **and/or political** (i.e. sub-national jurisdictions) **coverage of the NBSAP process into smaller pieces** and to have **separate workshops and/or processes for each**. This can be a cost-effective way of involving a large number of participants and ensuring that the NBSAP is informed to the fullest extent possible by the experiences and demands of stakeholders throughout the national territory. The experiences of India and France are particularly instructive in this regard (see Boxes 13 and 14). Some countries may find it valuable to combine these three types of breakdown; however, this will depend on the particular circumstances of each country, and efforts will need to be made in order to avoid duplication and overlap. It may also be necessary, again, depending on the size of the country, **to delegate the management of smaller pieces to relevant sub-national entities**.

There are **distinct advantages to breaking down the content of the NBSAP process** and having smaller, more focused discussions. One advantage is that such processes often result, as in India (see Box 3 above), **in sub-national and/or sectoral biodiversity strategies and action plans (BSAPs)**, which are important **vehicles for vertical and horizontal mainstreaming** of biodiversity, **and for ensuring implementation** (Module 8 goes into more detail on local BSAPs). Another advantage may be the enabling of quality interactions among participants. While a national scale meeting on various subjects might be conducive to participants sticking to and interacting with their own group, a small meeting on a shared concern may be conducive to more interaction between groups. Such interaction is important for a societal consensus on biodiversity issues to emerge.

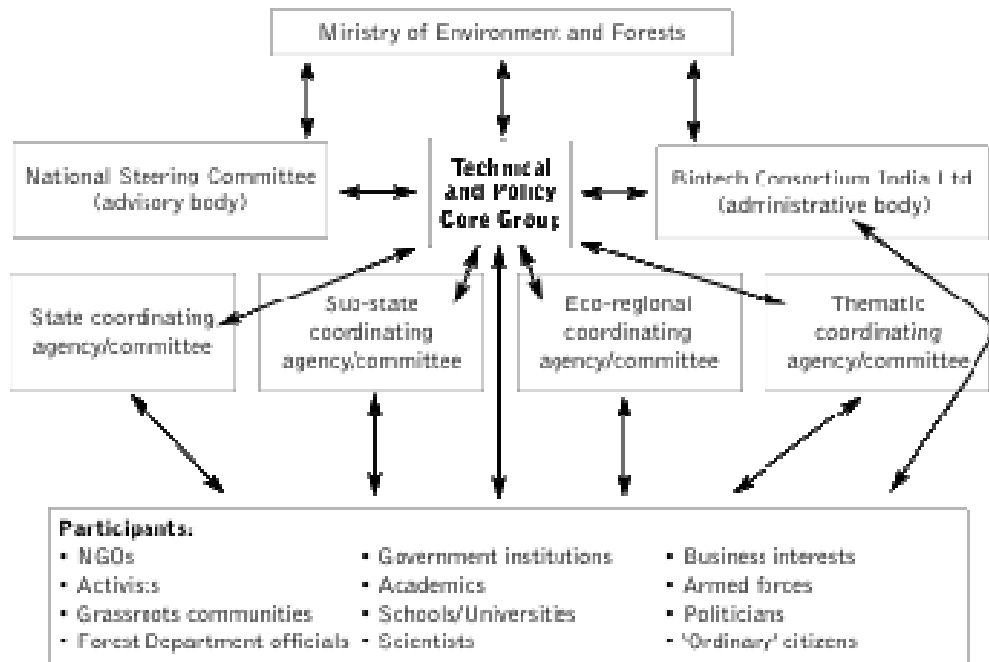
If the content of the NBSAP process is divided into smaller pieces, it will be necessary to **determine how the pieces will be brought back together to form a national biodiversity strategy and action plan**. Some countries have begun their processes by having a national workshop followed by sub-national, thematic and/or sectoral workshops (and other activities), followed again by a final national workshop to synthesize and structure the sub-national, sectoral and/or thematic experiences and recommendations into a national policy framework.

Box 13 Coordination of India's 25,000-Participant NBSAP Process

In order to coordinate public participation in India's NBSAP process, Kalpavriksh (the NGO entrusted with this task) created a 15-member Technical and Policy Core Group comprised of NGOs, activists and scientists. It appointed a coordinating agency for each of four groups dividing the country, and the content of the NBSAP process, geographically and thematically:

1. State (in 33 states and union territories)
2. Sub-state (at 18 selected sites to create more detailed local level plans)
3. Inter-state eco-regions (in 10 eco-regions cutting across state boundaries)
4. Thematic (13 themes relating to biodiversity, such as 'Economics and Valuation of Biodiversity')

These coordination agencies were NGOs, government departments or academic institutions. Each would be responsible for developing a biodiversity plan for the group they coordinated, based on broad, multi-sector, public participation and using a range of participatory tools. Each coordinating agency was assigned a committee of relevant persons and organizations that would provide support. Throughout the process, information and communication flowed, between the public and the four groups, and to and from the Technical and Policy Core Group, the National Steering Committee, and the Ministry of Environment and Forests. NBSAP newsletters, national and regional workshops and a compendium of guidelines and concept papers were used to facilitate communication.



Source:

Apte, T. 2006, A People’s plan for biodiversity conservation: creative strategies that work (and some that don’t). p. 7 IIED Gatekeeper Series 130.

<http://www.iied.org/pubs/display.php?o=14538iied>

Box 14 France’s Environment Round Table: Grenelle Environnement

In 2007, France’s President initiated the Grenelle de l’Environnement, a round table that brings together, for the first time, France’s government and civil society in order to draw a sustainable development roadmap.

The first step in this new multi-stakeholder process was the creation of six thematic working groups with representatives from five major stakeholder groups: the state, sub-national governments, non-governmental organizations, employers and unions.

Six workgroups had the following themes:

- Fight climate change and control energy demand
- Preserve biodiversity and natural resources
- Create an environment conducive to health
- Adopt sustainable modes of production and consumption
- Construct a green democracy
- Promote green development favoring employment and competitiveness

Each working group met for three months in order to propose concrete action to be implemented at national, European and international levels. These proposals were then opened for public consultation on the Internet and through 19 regional meetings attracting thousands of responses. This was followed by a series of round-tables resulting in a series of 268 environmental commitments.

The Ministry of State then launched 34 operational committees, each piloted by a parliamentarian or a public figure, with the aim of defining guidelines and objectives for programmes in relation to the environmental commitments. In 2008, the French Parliament adopted the environmental commitments as law.

The Grenelle de l'Environnement played a key role in the development of France's 2009-2010 NBSAP consisting of 10 sectoral biodiversity action plans (see Box 3 "Sectoral Biodiversity Strategies Compose France's NBSAP" in Module 3).

Since its inception, the Grenelle de l'Environnement has had a monitoring committee composed of representatives from the five major stakeholder groups. The committee meets every two months and has played a key role in maintaining stakeholders informed and engaged in the implementation of the environmental commitments. This committee was formalized in 2010 as the National Sustainable Development and Grenelle Environnement Committee and has been expanded to include representatives of organizations working in domains such as youth, families, consumer advocacy, solidarity, and social re-insertion.

Source:

Web page of the Grenelle Environnement <http://www.legrenelle-environnement.fr/spip.php?rubrique1>

E-conferences

Another possible form for participation is to organize Internet or email-based interaction. However, these should only be organized if a significant and representative proportion of stakeholders and other groups are able to participate. If, for example, only urban groups have e-mail access, or if indigenous and local communities are unfamiliar with, or have poor access to the necessary technology, then this option should be approached with caution, as it may result in unequal participation by these groups. Where e-conferences and other electronic options are used, they **should be seen as a complement to, and not a substitute for, workshops and other live, face-to-face interactions.** This does not preclude the use of electronic media, such as the national Clearing-House Mechanism, for gathering and making information available to stakeholders.

Types of Participation

In thinking about methodologies, it is important for those coordinating the multi-stakeholder process to consider the degree and intensity of participation they are seeking, and that which is most appropriate to their context. Participatory processes can range from relatively superficial participation whereby the public is simply consulted, to full engagement whereby participants not only provide input but are also involved in the design of the process and in making decisions. There are numerous typologies of participation that reflect the fact that **not all participation is the same**. In fact, many processes described as “participatory” only scratch the surface of stakeholder involvement and thus do not obtain the results and benefits expected from such processes. Box 15 provides two of many depictions of the different degrees of the public involvement spectrum. What is important to keep in mind is that each point embodies a **tradeoff between the time and effort dedicated to participation, and the engagement and buy-in of participants to the NBSAP**. Generally speaking, the more time and effort are spent, the more participation and buy-in is achieved.

Box 15 The Spectrum of Public Participation

There can be different degrees of stakeholder involvement in public policy making. The International Association for Public Participation (iPA2) outlines five as follows:

Informing - Provide the public with balanced and objective information to assist them in understanding the problem, alternatives, opportunities, and/or solutions

Consulting - Obtain public feedback on analysis, alternatives, and/or decisions

Engaging - Work directly with the public throughout the process to ensure that public concerns and aspirations are consistently understood and considered

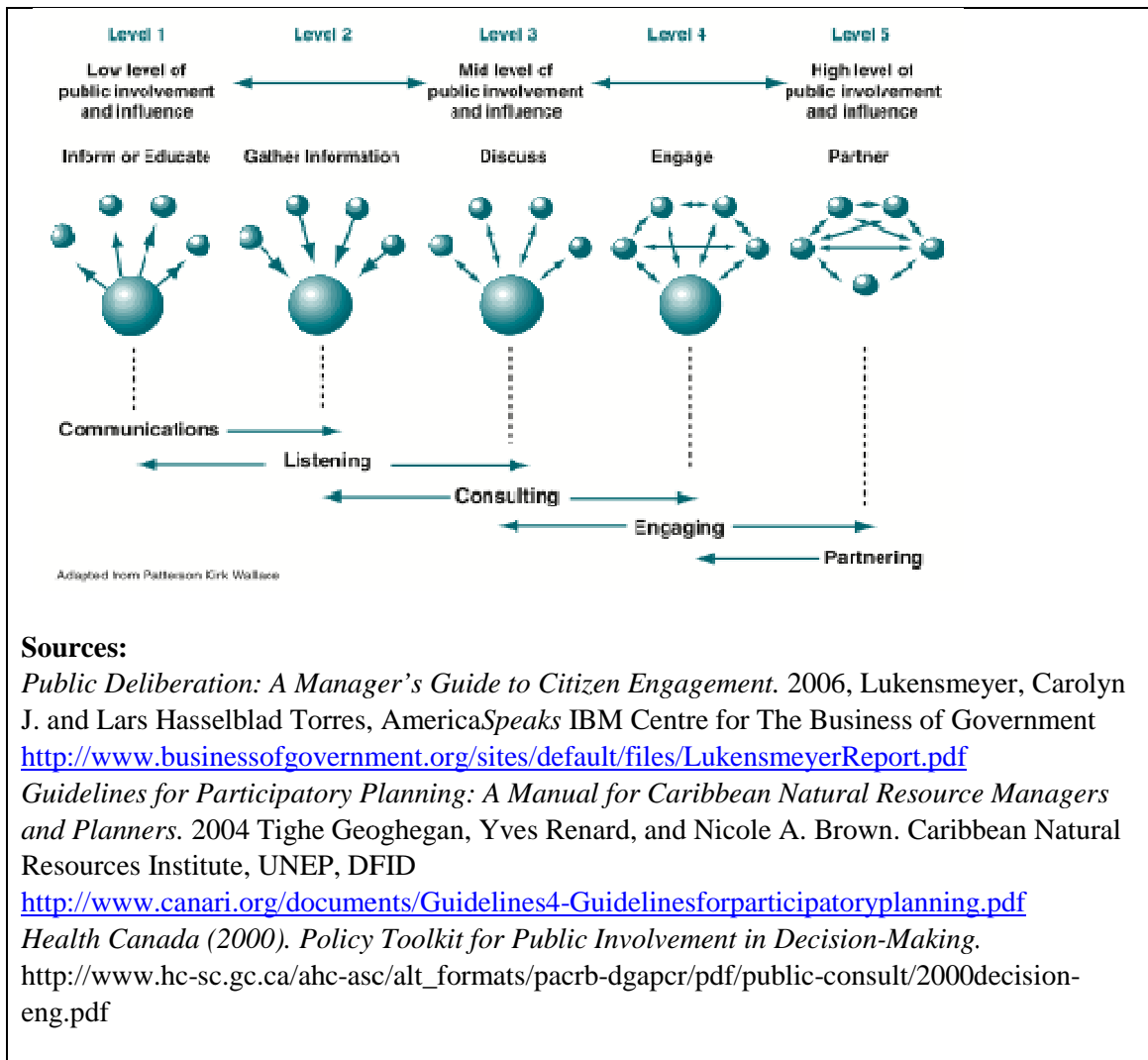
Collaborating - Partner with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution

Empowering- Place final decision-making authority in the hands of citizens

The general consensus among participation experts is that the first two points – informing and consulting – are largely insufficient to be considered participation and to reap the benefits of participation. The next two degrees – engaging and collaborating – begin to involve stakeholders in a meaningful and motivating way. Collaboration and empowerment allow for deliberation among stakeholders such that they may become educated about one another’s views and may eventually come to a societal consensus.

The most effective processes start from the earliest stages of planning, and involve stakeholders in the identification of problems, the definition of a vision, and the setting of objectives. Where stakeholders are brought in after these steps have been taken without their input, it is difficult to secure or maintain their participation, as the objectives of the process may be ones that are of little interest, or even damaging, to them.

Health Canada’s Public Involvement Continuum



4. Sustaining Interest Beyond the Planning Phase

Creating and maintaining a working multi-stakeholder national coordination structure in the implementation of the NBSAP has been a challenge for many Parties who have developed their NBSAPs through participatory processes. In many of these cases, the momentum built during the planning phase waned considerably in the implementation phase, and has been blamed for the weak implementation of some NBSAPs. Even those Parties that did create national coordination structures have found that they have not been as effective as they hoped, in part because stakeholders and other groups did not sustain their participation. Some second-generation NBSAPs have established more sophisticated and broader coordination structures than those used in the first generation, however, their effectiveness remains to be determined.

While there are no easy and universal solutions to this challenge, it is important that the NBSAP steering committee make every effort to instill in participants the idea that **biodiversity planning is an adaptive and ongoing process that does not end with the**

development of the NBSAP. One way of keeping people engaged is by developing a participatory monitoring system for the NBSAP. The possible institutional structures for sustaining communication among stakeholders should also be explored as part of the multi-stakeholder process.

Conclusions

This module has explained the importance of public participation in the preparation and updating of NBSAPs. There are many important benefits and advantages to be gained from allowing effective participation in biodiversity planning processes and there can be no replacement for such a process. For this reason, every effort should be made so that the adequate range of societal groups be included, and that their participation be encouraged in a genuine and transparent manner. This cannot happen as an afterthought or only at the very end of the NBSAP development and updating process; it needs to be planned and given sufficient time and resources in order to yield the benefits it promises.

In closing, it is important to stress that biodiversity planning inevitably implies trade-offs where there will almost always be winners and losers. The **prime objective in engaging the public in the NBSAP process is to come to some form of societal consensus** around strategies and actions to conserve biodiversity, to use it sustainably and to equitably share the benefits of its use. While it is true that participation alone will not guarantee effective implementation, endorsement for this societal consensus will be sought in the form of political and financial support from government and donors in order for there to be an implementation of the action plan.

Resources

Guidelines for Participatory Planning: A Manual for Caribbean Natural Resource Managers and Planners. Caribbean Natural Resources Institute, UNEP, DFID This document presents an introduction to the subject of participatory planning and shares some of the methods that have been used effectively in the Caribbean. It also provides advice and tips based on CANARI's own experience in participatory planning in many countries of the region. 2004.

<http://www.canari.org/documents/Guidelines4Guidelinesforparticipatoryplanning.pdf>

Public Deliberation: A Manager's Guide to Citizen Engagement. America Speaks for IMB Centre for the Business of Government. This report documents a spectrum of tools and techniques developed largely in the nonprofit world in recent years to increase citizens' involvement in their communities and government. It also highlights ways in which public managers can develop an active approach to increasing citizens' involvement in government at all levels. 2006.

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Health Canada (2000). Policy Toolkit for Public Involvement in Decision-Making.
http://www.hc-sc.gc.ca/ahc-asc/alt_formats/pacrb-dgapcr/pdf/public-consult/2000decision-eng.pdf

Participation in strategies for sustainable development. International Institute for Environment and Development. Environment Planning Issues No. 7. 118 pp. Bass, S., B. Dalal-Clayton and J. Pretty. 1995. <http://pubs.iied.org/pdfs/7754IIED.pdf?>

Protected Area Participation. CBD Program of Work on Protected Areas e-learning curricula module 7 <http://www.cbd.int/protected/e-learning/>

Guidelines for Mainstreaming Gender into National Biodiversity Strategies and Action Plans. CBD Technical Series No. 49. <http://www.cbd.int/doc/publications/cbd-ts-49-en.pdf>

Communication, Education and Public Awareness (CEPA): A Toolkit for National Focal Points and NBSAP Coordinators
<http://www.cbd.int/cepa/toolkit/2008/doc/CBD-Toolkit-Forewards.pdf>

