



# Guide for Stakeholder Consultation COLCX

Version 2.0



# Guide for Stakeholder Consultation COLCX

Version 2.0

® Canal Clima – COLCX

No part of this document may be reproduced or used in any form or by any means, electronic or mechanical, including scanning, photocopying, and microfilming, without the permission of Canal Clima - COLCX. All rights reserved.

## CONTENT

<b>1</b>	<b>INTRODUCTION .....</b>	<b>4</b>
<b>2</b>	<b>DESCRIPTION OF STAKEHOLDER CONSULTATION .....</b>	<b>4</b>
2.1	General Aspects .....	4
2.2	Purpose of stakeholder consultation.....	5
2.3	Aspects prior to stakeholder consultation.....	5
2.3.1	Period for stakeholder consultation .....	5
2.3.2	Stakeholders to be consulted .....	5
2.3.3	Invitation of interested parties to consultation .....	6
2.3.4	Documentation available to stakeholders.....	7
2.3.5	Ongoing information for stakeholders .....	7
2.4	Stakeholder consultation process .....	8
2.4.1	Meeting with stakeholders .....	8
2.4.2	Stakeholder Feedback.....	8
2.4.3	Treatment of contributions and comments received.....	8
<b>3</b>	<b>ONGOING COMMUNICATION WITH STAKEHOLDERS .....</b>	<b>9</b>

## Acronyms and abbreviations

<b>DNA</b>	Designated National Authority
<b>UNFCCC</b>	United Nations Framework Convention on Climate Change
<b>PDD</b>	Project Design Document
<b>GHG</b>	Greenhouse Gases
<b>SDG</b>	Sustainable Development Goals
<b>UN</b>	The United Nations
<b>VVB</b>	Validation and Verification Bodies
<b>GHGMP</b>	Greenhouse Gas Mitigation Projects
<b>PCCA</b>	Petitions, Complaints, Claims and Appeal
<b>PMR</b>	Project Monitoring Report

## 1 INTRODUCTION

The guide for stakeholder consultation orients the proponent, within the framework of the process of ideation, formulation and development of a mitigation initiative to be certified under the COLCX Program, to make a broad, clear and sufficient presentation of the activities to be developed and the expected results of its mitigation initiative, to interested and impacted parties such as individuals, organizations, communities and/or public or private entities.

This guide complements the requirements established in the *COLCX Certification Program*, which is the general framework that links the rules and requirements governing the certification of mitigation initiatives and their results.

## 2 DESCRIPTION OF STAKEHOLDER CONSULTATION

### 2.1 General Aspects

Stakeholder consultation is carried out within the framework of good practices and applicable national and international regulations, ensuring transparency, access to information and the responsibilities of those involved. Thus, any mitigation initiative that seeks certification of its results before the COLCX program, regardless of its nature or stage of development, must apply this guide, considering that:

- It is a participatory process that allows the concerted and temporal gathering of interested parties to provide input and receive feedback in the form of comments, concerns, observations and opinions on the mitigation initiative throughout its useful life.
- Stakeholders include individuals, groups of individuals, communities, organizations and public or private entities that have a direct or indirect involvement or interest in the activities of the mitigation initiative. These parties may be affected by or have an interest in the initiative, as well as the ability to influence its outcomes.
- It covers all the activities that will be carried out within the area of influence, understood as the area where the impacts (positive and negative) on the abiotic, biotic and socioeconomic environment components will be evident, derived from the implementation of the works or activities in any of its phases and that constitutes the proposed mitigation initiative.
- It includes the processes of stakeholder identification, stakeholder participation planning, disclosure of relevant information, consultation and participation, follow-up mechanisms, ongoing feedback, and the reception and attention of PCCA throughout the life of the mitigation initiative.



Prior to stakeholder consultation, any mitigation initiative seeking certification by the COLCX Program must verify, evaluate and apply the existing policy and regulatory framework of the host country related to stakeholder consultation and consent.

## **2.2 Purpose of stakeholder consultation**

The purpose of this consultation is for the proponent of the mitigation initiative to communicate its content to stakeholders, evaluating the positive and negative impacts of its implementation, stakeholders' interests, expectations and expected benefits, generation of free, prior and informed consent, and compliance with rights. This process will improve the design of the initiative and strengthen stakeholder participation.

The proponent of the mitigation initiative must demonstrate how it complies with the stakeholder consultation, without this granting it the status of an approved initiative by the COLCX Program, this process being a prerequisite to apply for certification and registration with the program.

## **2.3 Aspects prior to stakeholder consultation**

The stakeholder consultation process considers the development of a series of preparatory activities, for which the following aspects should be considered:

### **2.3.1 Period for stakeholder consultation**

Stakeholder consultation shall be conducted prior to the start date of the mitigation initiative, ensuring their early consent for the implementation of related actions. When stakeholder consultation takes place after the start date of the mitigation initiative (e.g. retroactive mitigation initiatives), the proponent shall explain in its project document the reasons for its postponement. This late implementation does not imply that the consultation is inclusive and participatory, involving all stakeholders.

When the consultation of the parties has not been carried out on projects that have already been validated, it must be carried out in the most immediate term, corresponding to the following certification period.

### **2.3.2 Stakeholders to be consulted**

Prior to consultation, the proponent shall identify stakeholders in the area of influence of the mitigation initiative, including, but not limited to:

- a. Individuals, communities and/or their representatives, which are directly or indirectly benefited or affected by the mitigation initiative.

- b. Individuals, communities and/or their representatives who may have an interest in the mitigation initiative or its results.
- c. Individuals, communities and/or representatives thereof, which have land ownership rights in the area where the mitigation initiative will be carried out or its adjacent areas.
- d. Individuals, communities and/or their representatives who have been marginalized.
- e. People or entities that are responsible for the formulation of local public policies.
- f. Representatives of local authorities.
- g. National government officials, including the Designated National Authority (DNA) or its designee in each host country where the initiative is being developed.
- h. Local Non-Governmental Organizations (NGOs), including community groups or organizations working on issues related to the mitigation initiative.
- i. Local non-governmental organizations (NGOs), including community-based groups or organizations working with communities that may be affected by the mitigation initiative.
- j. Multilateral and cooperation agencies that work or have a presence in the area of the mitigation initiative.

The proponent shall provide evidence that relevant stakeholders have been properly identified, establishing whether there is direct or indirect interest in the mitigation initiative. Where an identified stakeholder has been established as not interested, the proponent shall provide a justification for this in the project documents, which will be evaluated by VVB or the program to determine if the reason is valid.

### 2.3.3 Invitation of interested parties to consultation

The proponent must invite the stakeholders it has identified, in an open and transparent manner, considering equal conditions and opportunities to participate in the meetings that are held; the same consideration applies for the related feedback.

To carry out the consultation, the proponent must send the invitation to the interested parties at least 20 days prior to the physical meeting, using the appropriate convening methods for the context of the mitigation initiative, taking into account the local and national circumstances of the host country and using the appropriate language, always ensuring effective communication.

As part of the process, the proponent must ensure, with appropriate support, that stakeholders were invited, making efforts to confirm attendance and increase their participation.

Under the COLCX Program, consultations must always be open to participation by any party wishing to attend, and the proponent shall not deny access to the consultation to any interested party. If participation is denied, the decision must be reported and

justified in the various project documents, which will be evaluated by VVB and the program to determine if the reason is valid.

#### 2.3.4 Documentation available to stakeholders

The proponent must make available to stakeholders the information on the initiative that allows them to understand what it is about and how it benefits and/or impacts them. The proponent must share it through the defined communication channels, considering the guidelines of the host country's regulatory framework. The information that the mitigation initiative must make available includes at a minimum:

- a. Non-technical summary of the mitigation initiative, describing its objectives, activities, actors involved, technologies to be employed, location of its areas of influence, duration and implementation plan.
- b. Summary of the economic, social and environmental impacts of the mitigation initiative in consideration of the applicable safeguard's principles and requirements.
- c. Summary of the contributions to the Sustainable Development Goals (SDGs) expected from the mitigation initiative.
- d. Explanation of the benefits and impacts that the mitigation initiative contemplates.
- e. Additional information on the design, implementation and operation of the mitigation initiative and the different stages that will be addressed during the execution of the initiative.

Mitigation initiative information should be made available to stakeholders at least 10 calendar days prior to implementation. In special situations, when there is difficulty in accessing mitigation initiative information that has been shared (e.g. communities in rural or high-risk areas), the minimum lead time for sharing information is 30 calendar days.

The proponent must ensure that the mitigation initiative information was made available to interested parties prior to the face-to-face exercise.

#### 2.3.5 Ongoing information for stakeholders

The proponent must make permanently available to stakeholders, a direct channel for communication, where an effective response is guaranteed, such as a telephone line, official email, call center, among others.



## 2.4 Stakeholder consultation process

The stakeholder consultation process considers the development of at least one physical meeting in the area of influence of the mitigation initiative, for which the following aspects should be considered:

### 2.4.1 Meeting with stakeholders

The proponent must hold a physical meeting, the purpose of which is to present to stakeholders the information mentioned in **¡Error! No se encuentra el origen de la referencia. ¡Error! No se encuentra el origen de la referencia.**, allowing them to provide feedback and guidance on the design, formulation, implementation and operation of the initiative. During the meeting, the proponent should consider the following aspects:

- a. Update mitigation initiative information.
- b. Enabling space to understand stakeholder perceptions and expectations of the mitigation initiative and its benefits.
- c. Identify risks, impacts, management plans and mitigation mechanisms.
- d. Recording stakeholder input and comments.
- e. Define future actions.

For the meeting, the proponent must ensure that the venue and time provided for the consultation are adequate and allow for effective participation. The proponent may split the consultation into multiple meeting spaces (e.g. focus groups, roundtables, among other methods), to ensure the widest possible stakeholder participation.

### 2.4.2 Stakeholder Feedback

In any consultation process carried out by the proponent, feedback should be given to stakeholders on how their input and comments are received and addressed in the different phases of the development of the mitigation initiative.

The proponent must establish mechanisms for direct and periodic contact and communication with the stakeholders, allowing the receipt of contributions and comments, as well as their consolidation, analysis and treatment.

### 2.4.3 Treatment of contributions and comments received

As part of the certification process of the mitigation initiative and its results under the COLCX Program, the proponent must ensure that all stakeholder comments, which were received during consultations or other mechanisms, have been properly recorded.

Based on such consolidation and analysis, the proponent shall prepare a stakeholder consultation report specifying the comments received and the treatment given within

the mitigation initiative, including a justification for comments that have not been addressed or incorporated. This document is a constituent part of the documentation for the application for certification and registration of a mitigation initiative with COLCX.

If comments are received after the registration of the initiative, the proponent must treat them in the same way as the comments received during the consultation processes, in accordance with the guidelines of this guide, documenting the receipt and treatment given throughout the documentation submitted during each of the certification processes of the initiative.

### 3 ONGOING COMMUNICATION WITH STAKEHOLDERS

Any mitigation initiative should establish an ongoing communication mechanism to provide stakeholders with the opportunity to provide input, comments or feedback on the mitigation initiative. This mechanism will also serve to record stakeholder PCCA during the implementation of the mitigation initiative.

The proponent must agree with the stakeholders on the most appropriate communication mechanism, considering within these, the options that allow the proponent to receive comments either verbally, by telephone, email and/or through third parties. Likewise, when applicable, the proponent must agree on an appropriate place for the consolidation of observations, comments, among others, resulting from the consultation and interaction with stakeholders (e.g., a comment logbook, email, among others). Each of these elements should be described throughout the documentation of the mitigation initiative, ensuring constant monitoring of the established communication channels. It is suggested to provide an acknowledgement of receipt to the stakeholder, ensuring effectiveness in the management of comments.

---

#### History of the Document

<b>Version</b>	<b>Date</b>	<b>Description</b>
1.0	13/07/2023	Initial version.
2.0	30/04/2025	Update of Version 1.0