

Addressing Natural Resource Conflicts through Dialogue

A GUIDE TO THE
FORESTS DIALOGUE'S MODEL





A dialogue co-chair facilitates discussion in the Kifulu community on Free, Prior, and Informed Consent (FPIC) in the Democratic Republic of Congo. Kifulu is situated on the edge of the Luki Biosphere Reserve, which was considered for a Reducing Emissions from Deforestation and Forest Degradation (REDD) project. The Forests Dialogue convened relevant stakeholders in 2012 to understand how the right to FPIC should be respected in a REDD project given colonial and post-colonial transgressions on community land.



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Dialogue participants learned about the significance of the Lake Lanalhue Valley from Mapuche community members during the Tree Plantations in the Landscape dialogue in Chile. Participants discussed the conflicts between timber companies and communities, and Mapuche representatives explained their vision for the landscape.

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This guide is a product of The Forests Dialogue's (TFD) experiences planning and implementing multi-stakeholder dialogue initiatives around the world. Many of the lessons presented in the guide stem from evaluating these dialogue initiatives. This guide would not be possible without the hundreds of Steering Committee members, co-chairs, dialogue participants, Program Associates, and TFD staff who have implemented TFD's mission over the last two decades.

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Gary Dunning, the founding Executive Director of TFD, provided invaluable support and insight during the writing of this guide. Although not discussed in this document, much of TFD's dialogue process is based on key multi-stakeholder dialogue processes and principles developed for the 7th American Forest Congress in 1996 for which he was the National Roundtable Coordinator. Dunning and TFD's Steering Committee continue to innovate on the TFD process today.

TFD commissioned Ethan Miller to draft and coordinate the editing of this guide. Ethan Miller was a Program Associate with The Forests Dialogue from 2017-2018. During that time Ethan evaluated TFD dialogues, coordinated scoping and field dialogues, and produced TFD reports.

CITATION

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Right: A breakout group during the 2019 Land Use Dialogue in Kilombero Valley, Tanzania discusses challenges, opportunities, and visions for the landscape. The Kilombero Valley landscape is known for its biodiversity and agricultural productivity and is home to many communities. This dialogue sought to develop a shared vision and inclusive implementation plans for the landscape across competing interests.

INTRODUCTION



WHAT IS THE PURPOSE OF THIS GUIDE?

This guide provides an easy-to-follow approach to planning, organizing, and implementing multi-stakeholder dialogue initiatives that result in agreed-upon and actionable outcomes. It describes how to prepare for and structure both multi-stakeholder dialogues and dialogue initiatives, which are a series of related dialogues (see Chapter Two). The approach presented here is best practice derived from the perspective and experiences of The Forests Dialogue (TFD). Over the last 20 years, TFD has developed, implemented, and refined a model for multi-stakeholder dialogue that has addressed many of the world's most contentious forest and environmental issues. While TFD uses the model to address forests and livelihood conflicts, it can easily be applied to other natural resource and social issues such as agriculture, food security, and mining.

WHY IS THIS GUIDE NEEDED?

Many organizations use multi-stakeholder dialogues to gather information, resolve conflicts, and devise solutions for complex situations. While dialogues have become a popular engagement tool, many organizations face challenges with implementation. These challenges may include lack of appropriate stakeholder involvement, reluctance of participants to engage openly, and unfamiliarity with best practices for dialogue.^{1,2} Often, organizations struggle to engage interest groups such as private companies and marginalized communities in multi-stakeholder processes, especially when those groups have negative relationships with one another. When dialogues don't produce outcomes, participants may be less willing to engage with and support future initiatives.

This guide provides best practices for implementing dialogue initiatives that produce outcomes in engaging, inclusive ways. It draws on TFD's experiences and lessons learned from implementing more than 90 dialogues since 2000. TFD's work provides tangible case studies for companies, governments, donors, and non-governmental organizations (NGOs) that are using multi-stakeholder dialogues to address conflict. By candidly documenting the TFD model, this guide can inform and enhance dialogue processes around the world.

WHO IS THIS GUIDE FOR?

This guide is for anyone interested in learning about or implementing multi-stakeholder dialogue initiatives. This includes those wanting to implement long-term initiatives, which are a series of related dialogues, or those looking for guidance on developing a single dialogue event. Organizations that are interested in partnering with, commissioning, or supporting multi-stakeholder dialogues will also find this useful. The guide is a valuable resource for anyone curious about TFD's structure, governance, and methodology.

HOW TO USE THIS GUIDE

This guide is divided into four chapters. Chapter One provides context for the TFD model by reviewing the literature around multi-stakeholder dialogues.

Chapter Two explores the underlying principles and structures that make the TFD model dynamic and effective.

The next two chapters provide actionable steps for implementing multi-stakeholder dialogue initiatives per the TFD model. Chapter Three divides organizing and running a multi-stakeholder dialogue initiative into three parts: Phase 1: Engage; Phase 2: Explore; and Phase 3: Change. Chapter Four details how to run an individual multi-stakeholder dialogue event.

Examples and lessons from TFD's experience are included throughout the guide so readers may build on the successes and learn from the challenges of TFD's past dialogues.

CHAPTER ONE

MULTI-STAKEHOLDER DIALOGUES

Forests provide a wealth of benefits to people and the planet. As such, they are often the source of stubborn challenges.

Many of these challenges, such as achieving deforestation-free operations and curbing illegal logging, are so intractable because the stakeholders whom they involve hold unequal power and conflicting views of the problems and potential solutions.

Organizations that work to resolve environmental and social challenges increasingly use multi-stakeholder dialogues to address these issues.^{2,3} However, dialogues can take many forms and be used for different purposes. Some dialogues may be a single meeting while others a series of engagements. Examples of potential objectives may include to improve decision-making, increase credibility of a decision, build trust, increase ownership of a project, inform a policy design, or directly address conflict.^{4,5}

Regardless of the format, purpose, or number of participants, multi-stakeholder dialogues often share similar characteristics. They typically involve the exchange of opinions and views between people with different perspectives.⁴ They often emphasize building trust, investigating divergent interests, clarifying expectations, learning collectively, and solving problems.⁶ These processes differ from debate in that instead of trying to convince others of a particular view, participants focus on learning together and generating new ideas.⁵

STAKEHOLDER ENGAGEMENT

Stakeholder engagement has become foundational to many companies', organizations', and governments' work. Stakeholders are here defined as people who may impact or be impacted by an issue.

While there are many perspectives on stakeholder engagement, evidence shows that when stakeholders are included in problem definition, program design, and implementation; solutions are more respected, durable, legitimate, and sustainable.*

Dialogue is one form of stakeholder engagement, see Kuenkel et al., 2011 for others.

***O'Hara, P. Enhancing Stakeholder Participation in National Forest Programmes: A Training Manual. (2010).**

Common principles of multi-stakeholder dialogues include:^{7,8}

- ➔ **Inclusion** – Dialogues should include all individuals and groups who impact or are impacted by the issue in question.
- ➔ **Openness** – Stakeholders should be supported to voice their opinions and make their own decisions during the dialogue.
- ➔ **Empowerment** – Participants should be able to affect the outcomes and decision-making of the dialogue process. No participant should be favored over another.
- ➔ **Transparency** – All aspects of the dialogue including the goals, rationale, process, and conclusions should be transparent to all stakeholders.
- ➔ **Accountability** – The organizers and all participants should be accountable for commitments they make and actions they take.

These principles, when implemented appropriately, can lead to constructive and respectful dialogue. However, all dialogues have the potential of devolving into conflict. They often convene stakeholders with different opinions, levels of power, and vested interests in the outcome of the process. Opposing views and personalities can cause the process to break down if not managed appropriately. Thus, dialogues depend on a robust process and skilled personnel to achieve success.⁹

The dialogue process includes ground rules, governance structures, and facilitation techniques that are designed to maintain an environment conducive for collaborative success. These foundations are critical because it provides a stable framework for guiding and managing what can be an unstable network of relationships.

The following sections describe TFD's approach to multi-stakeholder dialogue and provides an outline of the principles and process used to implement successful dialogue initiatives.

Right: Staff from APRIL, an Indonesian forestry company, present the company's conservation plans to dialogue participants in one of their forest concessions. This dialogue on Intensively Managed Planted Forests occurred in 2007 in Riau, Indonesia. Participants discussed the environmental, economic, and social challenges and opportunities for the timber industry in Riau.

CHAPTER TWO

THE TFD MODEL



WHAT IS THE TFD MODEL?

Decades of technological and top-down approaches to manage forests have delivered mixed results at best. Progress on many environmental challenges has been deadlocked by misaligned interests, actions, and powers of various stakeholders.

TFD believes that structured dialogue is fundamental to breaking these deadlocks and creating meaningful change in the forest sector. The organization's mission is to deliver actionable results to forest-related conflicts by building trust, sharing information, and facilitating collaboration among relevant stakeholders. TFD's dialogues achieve results, but these results are proposed, designed, and determined by dialogue participants, not TFD.

TFD implements its mission through initiatives. Initiatives address a global forest issue identified by TFD's Steering Committee (SC) members through a series of dialogues. Dialogues often occur in countries where the issue is or has historically caused conflict. They frequently seek to deliver impact in country and inform global discourse through grounded examples. Country-level dialogues topics and case studies are driven by local priorities, as determined by in-country host organizations and vetted by TFD. TFD strives to hold at least one dialogue in Africa, Asia, and Latin America during each initiative.

HISTORY OF TFD

The Forests Dialogue, as named, officially began operations in 2000. It draws its origin from a series of World Bank meetings in 1998. These meetings convened diverse stakeholders from the forestry community to address conflict over the issue of forest certification. In 1999, a cohort of participants gathered again to further push the initial goal of the World Bank meetings—resolving conflict in the forest sector with dialogue. This group, which included individuals from the World Business Council for Sustainable Development (WBCSD), World Resources Institute, the World Wildlife Fund (WWF), and the International Institute for Environment and Development became the founders of The Forests Dialogue. In 2000, that group reconvened and agreed upon the name The Forests Dialogue, brought the Secretariat to Yale University, and started calling themselves the Steering Committee. TFD's first international dialogue was held in 2002.

Right: Participants brainstorm next steps during a Scoping Dialogue for the proposed Exclusion and Inclusion of Women in the Forest Sector Initiative in Nepal. This dialogue was hosted by the Women Organization for Change in Agriculture & Natural Resource Management and explored the potential benefit of a TFD initiative on women in the forest sector.

Past initiatives have addressed issues such as plantation forestry, Reducing Emissions from Deforestation and Forest Degradation (REDD), and the connection between poverty reduction and forestry (see Annex 1 for a full list).

TFD's initiative model and theory of change is based on four pre-conditions:

1. The challenge is complex and requires multiple stakeholders to address
2. The problem includes “fracture lines” around which stakeholder opinions are strongly divided
3. The Steering Committee agrees that the topic is relevant and applicable, with committee members willing to lead its development and support its outcomes
4. Stakeholders with legitimate interest in the problem respect and are willing to engage in the dialogue process.

If these pre-conditions are met, TFD will implement an initiative according to a flexible but rigorous process, as outlined in Chapter Three. This process, if facilitated well, will move competing stakeholders from a position of conflict to collaborative engagement and agreement.

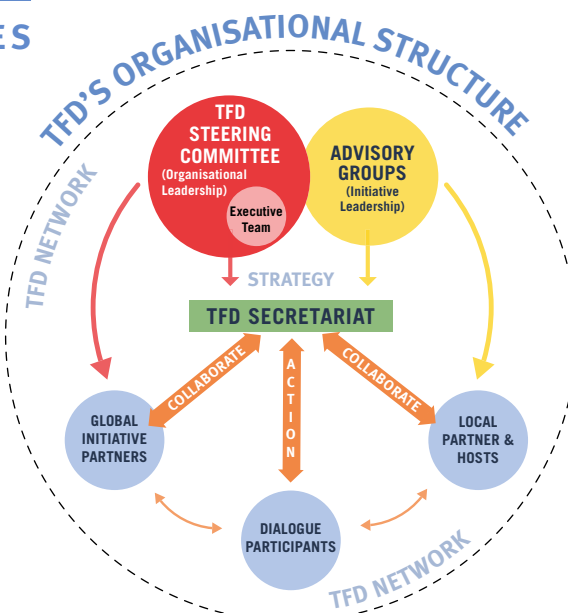
TFD's focus on dialogue as a tool for solving environmental challenges was unique in the forest sector when it began in 2000. Since then many dialogue-focused organizations have emerged. However, TFD remains known for a number of approaches that, when combined, make its model distinct.

TFD's approach recognizes that dialogue is more than what happens within the four walls of a conference hall. The approach includes multi-stakeholder governance bodies, dialogue principles, and a rigorous attention to dialogue process rather than specific outputs. This process includes mixing international and national perspectives, engaging the private sector in all dialogues, combining field discussions with typical meeting facilitation, and giving participants the mandate to determine outputs and outcomes. Together, these components create an environment where stakeholders' concerns are represented and equally balanced in the dialogue process.

GOVERNANCE STRUCTURES

Decision-making and governance structures are fundamental to how initiatives and individual dialogues function. In TFD's experience, if the decision-making and governance is not stakeholder owned and operated, the process itself will struggle to be truly representative, collaborative, and neutral.

TFD's key governance structures are presented in the graphic to the right and described in the sections below. The sections below are organized by overarching, initiative, and dialogue governance bodies.



The governance bodies in each section work closely with each other, despite having different responsibilities. For example, dialogue co-chairs and Initiative Advisory Groups inform the decisions made by the Steering Committee and the Executive Team, which are involved in strategy at implementation of all TFD activities.

Overarching TFD Governance

STEERING COMMITTEE

Unlike other institutions where a steering committee might be consulted only for major decisions or is seen as a formality, TFD approaches its Steering Committee (SC) as the central decision-making body for the organization. The SC is a group of approximately 25 individuals who are chosen as individual leaders in the natural resources sector and are committed to collaborative solutions (see Annex 2). There are no permanent individual or organizational seats on the SC and all members are asked to commit to serve a three-year term, which can be renewed with agreement between the Executive Team and the member. Limiting initial terms to three years aims to create a Steering Committee that is dynamic, diverse, and informed on the latest issues.

Members come from the private sector, non-profits, academia, and marginalized groups; represent the major regions of the world; and are nearly equal in numbers of men and women. They all serve as volunteers and maintain other full-time positions. They are led by two 'Co-Leaders' that represent the private sector and civil society respectively.

Trust and respect between SC members are critical for inspiring collaborative action and setting the tone for an initiative. The group identifies, analyzes, and chooses initiative and dialogue topics; helps in all aspects of implementing dialogues; evaluates TFD initiatives; appoints leaders of the SC and Advisory Groups; and plans the strategy for TFD's work. This model ensures that TFD's direction and activities are mutually agreed-upon across stakeholder groups. Because the Steering Committee represents multiple stakeholder groups, its diversity strives to guarantee that topics will be relevant and impactful for a broad spectrum of forest stakeholders.

The Steering Committee breaks for a photo during their annual meeting in New Haven, Connecticut in March 2018. Members represented non-profits, private companies, indigenous peoples, multilateral organizations, academia, and family and community forest owners from 15 different countries.

SELECTING INDIVIDUALS ABOVE INSTITUTIONAL REPRESENTATION

When Steering Committee members, Advisory Group individuals, and dialogue participants are identified, they are selected based on their individual merits before their institutional representation. TFD has found that individuals who are committed to dialogue principles and knowledgeable about the issue contribute more to initiatives and dialogues than institutional representatives or figureheads. In practice, this means that all SC members and dialogue participants are personally invited. If they cannot commit, they can suggest someone else from their organization, but that replacement needs to still go through an approval process.



EXECUTIVE TEAM

The Executive Team (ET) is a sub-group of SC members tasked with overseeing the implementation of the SC's decisions. In a practical sense, this means liaising closely with the Secretariat and the SC on managing the day to day business of TFD. The ET membership includes the SC's two current leaders, the Executive Director of TFD, and a few other SC members. This team ensures that all SC perspectives are considered when making decisions.

SECRETARIAT

The Secretariat is hosted at the Yale School of the Environment (YSE), formerly the Yale School of Forestry and Environmental Studies, in the United States. The Secretariat coordinates and oversees TFD's activities. Its primary function is to implement the strategies and initiatives agreed upon by the Steering Committee. It is led by an Executive Director and supported by a team based at Yale. Secretariat staff organize logistics, manage programs, and implement dialogues across the world.

The Secretariat ensures initiatives and dialogues adhere to TFD's principles, such as being inclusive, respectful, agile, and forward-focused.

After dialogues, the Secretariat advocates for outcomes decided-upon by participants. This differs from many dialogue platforms in which

hosts have specific goals or outcomes to achieve. Through this impartiality, the Secretariat seeks to implement initiatives that are transparent and shaped by stakeholders' priorities.

THE ROLE OF YALE UNIVERSITY

Effective dialogue conveners are both credible and unbiased. TFD is hosted by Yale University, and is thus affiliated with the reliable reputation of the school. This reputation provides a neutral ground for all TFD stakeholders.

TFD coordinates with the Yale School of the Environment (YSE) through a Faculty Liaison Group made of three to five YSE faculty. These faculty have expertise that relates to and informs TFD's work. As such, they leverage TFD's initiatives to engage students through coursework, internships, and other opportunities. The faculty have no voting or decision-making power in TFD's governance but they do attend SC meetings and review major decisions.

Apart from the Executive Director, Program Administrator, and Program Manager, all Secretariat staff are full or part-time graduate students at YSE. These students play a large role in organizing both the process and logistics of dialogues while getting professional experience and exposure.

Right: A local Chief discusses how benefits are shared between Kakum National Park and his community during a REDD+ Benefit Sharing dialogue in Ghana in 2013. The dialogue explored existing benefit sharing mechanisms to inform how such mechanisms can be developed under future REDD+ projects in Ghana.

TFD Initiative Governance

INITIATIVE ADVISORY GROUPS

These are groups that are formed to advise and guide an initiative. Advisory Groups usually consist of 10 to 15 people who are knowledgeable on the issue. Often 50-75% are Steering Members and the remaining are external. All members are selected based on their interest and familiarity with the issue, commitment to dialogue principles, and influence in their own organization or network.

Advisory Groups provide input on the timing, participants, agenda, content, and process of dialogue. Because they are content experts and represent multiple stakeholder groups, they lend credibility to initiatives while ensuring initiatives address the diversity of concerns around

an issue. They liaise with the Secretariat and dialogue co-chairs to plan individual dialogues within a given initiative.

USE OF ADVISORY GROUP TO INCREASE STAKEHOLDER INCLUSION

The Advisory Group strives to maintain the inclusivity of TFD's initiatives and dialogues. The Advisory Group reviews dialogue themes, participants lists, and background papers. Furthermore, this Advisory Group is overseen by the Steering Committee, which is itself a multi-stakeholder group. In this way, no one vested interest can dictate the content of the dialogue.



TFD Dialogue Governance

DIALOGUE CO-CHAIRS

Successful dialogues need a core group of dedicated people who will feel collectively responsible for the process. This group needs to act as a source of energy for progress and must keep the dialogue on track. In the TFD process, dialogue co-chairs, together with the Secretariat, take this role. They lead the implementation of dialogue objectives and are responsible to the participants for its quality and outcomes.

Typically, a dialogue will have four co-chairs, at least one of which needs to be a Steering Committee member and two of which are nationals to the location of that dialogue. The co-chairs team should include at least one private sector representative and one civil society representative.

The co-chairs work with the Secretariat to ensure content, logistics, and organizational matters are handled. Co-chairs facilitate dialogues and capture the diversity of perspectives in a *Co-chairs' Summary Report*, published after the dialogue. It is important that these Co-chairs can work together informally and trust and respect one another as the tone they set will reverberate throughout the dialogue. The more they can provide collective leadership, the better off the dialogue will be.

PRINCIPLES OF OPERATION

TFD's core principles guide every aspect of the TFD model. Without them, dialogue processes can be corrupted by power imbalances, used to further individual or organizational agendas, and fail to deliver meaningful change.⁴ The principles listed below were established by TFD to prevent undue influence in the process and to guide the organization's work.¹⁰ Select examples of how these principles play out in the TFD model are presented in the text boxes.

- ➔ **Inclusive of stakeholders** – TFD involves primary and secondary stakeholders in every dialogue. Primary stakeholders are those who have direct decision-making power or are directly influenced by decisions on the issue. Secondary stakeholders are groups that may wish to influence those decisions. TFD identifies these groups with local organizations who know the national context. For example, TFD worked with local host organizations WWF Chile and the International Labour Organization while planning the Chile dialogue of the Tree Plantations in the Landscape initiative to identify relevant stakeholders. This included Mapuche community members and Arauco Forestry as primary stakeholders, and the Forestry Stewardship Council Chile as a secondary stakeholder, among many others.

PRINCIPLES IN ACTION: NATIONAL AND INTERNATIONAL STAKEHOLDERS INCLUDED

Dialogue participants represent both international and national perspectives. International participants may represent other countries or global institutions that have a stake in the dialogue issues (typically secondary stakeholders). These participants can provide case studies and potential solutions from a global context. National and local-level stakeholders (typically primary stakeholders) can inform international participants of local context and issues, helping to calibrate international discourse on local realities.

- ➔ **Respectful and consent-based** – TFD respects all stakeholders consulted and never associates specific opinions or quotes with individuals. Dialogue participants are informed of Chatham House Rules (see box below) and are given the opportunity to consent. TFD respects all sensitivities about stakeholder rights, knowledge traditions, integrity, opinions, and histories; and honors needs for confidentiality where requested.

PRINCIPLES IN ACTION: CHATHAM HOUSE RULE TO ACHIEVE RESPECTFUL AND CONSENT-BASED DIALOGUE

TFD dialogues operate under the Chatham House Rule, which reads as follows: “When a meeting, or part thereof, is held under the Chatham House Rule, participants are free to use the information received, but neither the identity nor the affiliation of the speaker(s), nor that of any other participant, may be revealed.”¹² The Chatham House Rule can help address a typical challenge of dialogue: participants fear that their statements could be used to misrepresent those of their organization. This rule enables participants to speak without their comments being made public, moving beyond official statements and facilitating creative solutions.

- ➔ **Pro-active in engaging with the issues of marginalized groups** – TFD explicitly engages with issues facing currently or historically marginalized groups such as poor or indigenous peoples. These steps include pre-dialogue research to understand marginalized groups’ perspectives on the initiative’s issue, allowing marginalized groups to select representatives to attend dialogues, financing participation by such groups, and creating safe space for deliberation.

PRINCIPLES IN ACTION: ENGAGING WITH GENDERED PERSPECTIVES

TFD makes sure that all dialogues are gender sensitive and responsive. TFD includes representatives from local women’s groups and aims to have at least 40% women participants in every dialogue. At least one co-chair for every dialogue is a women and, when relevant, dialogues include female-only breakout groups.

- ➔ **Learning-based** – TFD believes that learning about an issue is linked to improved decision-making. This includes drawing from current knowledge systems and identifying problems, opportunities, and lessons from stakeholders' experiences both before and during dialogues. TFD researches issues before dialogues (see box below) and features presentations at the start of each dialogue from different stakeholders to present problems, opportunities, and lessons for discussion.

PRINCIPLES IN ACTION: IN-DEPTH RESEARCH TO INFORM PARTICIPANTS

Before and throughout initiatives, TFD coordinates research on the issue. This involves assessing key challenges, areas of disagreement, and knowledge gaps. Research on the global issue is published as a *Scoping Paper* before the initiative begins and research on national and local contexts is published as a *Background Paper* before individual dialogues. In this way, dialogue participants share a baseline understanding of the various perspectives.

- ➔ **Building on existing knowledge and capability** – Prior to and throughout a dialogue, TFD seeks to incorporate existing analyses, form partnerships, and share capabilities, thus avoiding duplicating the work of other institutions.
- ➔ **Shaped by local priorities** – Local stakeholders play a critical role in planning and carrying out in-country dialogues. TFD works with local host organizations to decide where dialogues should be held; what sites should be visited; how to assure participant security during and after meetings; who should facilitate; and how inputs, discussions, conclusions, and results are reported.

PRINCIPLES IN ACTION: FIELD DISCUSSIONS SHAPE DIALOGUES

Most in-country dialogues incorporate discussions in the field. The field component is included to ensure all participants understand and experience the various perspectives of a given issue. Field visits allow individuals who cannot attend the meeting portion of the dialogue, who may be marginalized, to contribute their perspectives. This way, when the indoor meeting begins, participants can better visualize and understand the context for the challenges to be discussed and various viewpoints raised during the visit.

PRINCIPLES IN ACTION: OUTPUTS ARE DEFINED BY PARTICIPANTS

TFD has a unique policy of deliberately not designing nor proposing dialogue outputs or solutions upfront—this role is held by the participants themselves. In this way, participants are not limited by TFD in how they address problems and identify solutions. It is important to note that TFD is driven by a mandate to achieve results, however those results are determined by the participants, not TFD.

- ➔ **Transparent** – TFD is transparent about what, why, where, and with whom it implements dialogues. TFD discloses the range of opinions voiced in dialogue and the dialogue's main conclusions in the *Co-chairs' Summary Report*. These reports give readers the relevant information about the dialogue's credibility, rigor, and legitimacy.
- ➔ **Efficient, agile and rapid** – TFD is light, quick, and effective in its decision-making and management. Dialogues are not tied to specific outcomes nor do they operate on strict negotiation protocols. Participants and co-chairs frequently update agendas during dialogues and re-direct discussions to cover issues raised by participants. Outside of individual dialogues, TFD also adjusts the direction and content of initiatives based on participant feedback.
- ➔ **Focused on practical ways forward** – TFD dialogues and outputs are as forward-looking and impact-focused as possible. This is achieved practically by facilitating participants to clarify and buy into a common vision, understand the incentives and risks that others face, and plan joint activities during dialogues.

PRINCIPLES IN ACTION: ONGOING AND BUILDS RELATIONSHIPS

TFD's initiatives are not 'one-off' events. They are designed to host multiple dialogues which build on lessons from earlier dialogues, pave the way for future conversations, and deepen relationships between participants. Considering that a desired outcome is fostering collaboration to implement agreed-upon solutions, strengthening relationships over multiple dialogues is a fundamental component of TFD's model.

- ➔ **Reviewed and adapted** – TFD optimizes impact by tracking the effects of its work and adapting objectives and operations accordingly. TFD monitors and evaluates its dialogues and its initiatives through surveys at the end of every dialogue and annual reviews of initiatives.

CHAPTER THREE

RUNNING AN INITIATIVE



A co-chair of the Tanzania Land Use Dialogue in Iringa, Tanzania facilitates a breakout discussion on future priorities for work in the Ihemi Cluster. The Ihemi Cluster comprises three districts in southern Tanzania and is a priority area for agricultural and infrastructure investments. This dialogue convened government, private sector, community representatives, and civil society organizations to plan for sustainable land use, food security, and improved livelihoods in the Ihemi Cluster.

TFD operationalizes its work through initiatives. TFD's initiatives explore internationally-relevant issues, such as deforestation-free agriculture or plantation forestry, that are often divided along 'fracture lines.' Initiatives comprise a series of dialogues that provide local perspectives and context. This chapter describes how to implement such multi-stakeholder dialogue initiatives, which result in agreed-upon and actionable outcomes to resolving natural resource conflicts. Chapter Four describes how to implement an individual dialogue.

TFD's initiatives are divided into three phases and are represented as a wheel. Each phase has its own core objective:

- ➔ **Phase 1 – Engage:** Build trust among leaders
- ➔ **Phase 2 – Explore:** Seek agreement
- ➔ **Phase 3 – Change:** Facilitate collaborative action

The flow of a TFD initiative is displayed as a wheel to communicate its non-linear and iterative nature. Each phase has distinct steps (displayed in blue) for achieving its objectives (displayed as arrows). The objectives are displayed as arrows because they should be achieved in sequence. For example, leaders and participants must trust one another before they can productively seek agreement. TFD considers these objectives to be process-oriented rather than content-oriented, as

TFD does not advocate for outcomes until agreed upon by dialogue participants. By participating in a dialogue initiative, participants agree to follow these process-oriented objectives while pursuing their own content-oriented objectives.

While the objectives should be achieved in order, the sequence of steps within each phase should be adapted based on the local context. At times, the initiative may need to go back before moving further around the wheel. Other times, two steps may be implemented simultaneously. Annex 3 presents a timeline of a typical initiative.

TFD's initiative flow is grounded in achieving core objectives and outputs rather than achieving any given number of meetings. As such, it has the flexibility to meet TFD's principles and the structure to afford initiatives legitimacy and credibility.



FRACTURE LINES

A ‘fracture line’ is an issue of conflict between stakeholder groups that, if not addressed, can cause a rift between sides. This rift can become so deep that solutions are impossible to reach. The fracture line metaphor illustrates that a dialogue issue may run through multiple disagreements or power imbalances.

For example, multiple fracture lines ran through the forest certification debate in the 1990s and 2000s; issues around accreditation, chain of custody, etc.; which threatened to divide the certification community so deeply as to prevent progress. In its first international dialogue in Geneva in 2002, TFD addressed these issues by convening supporters on either side of the fracture lines. The dialogue built trust between certification bodies that did not previously exist, leading to agreements to collaborate on new certification tools.

PHASE 1: ENGAGE

Build Trust among Leaders

The core objective of Phase One is to build trust between

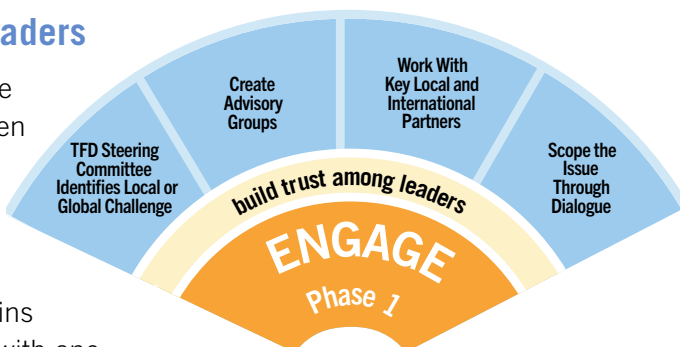
leaders of the initiative, who represent different stakeholder groups and different interests. Trust

is often the glue that sustains participants’ relationships with one

another. These relationships are key to the

durability and success of a dialogue. However, if trust erodes during an initiative, the group should return to this phase and re-focus on strengthening those bonds between groups.

Another goal of this phase is to generate collective commitment to the initiative and understand, and re-orient if needed, the issue. The following actions illustrate what needs to happen to achieve these objectives. It is important to note that this is not a rigid step-by-step process but should be implemented and adapted as needed.



The **bolded** words in this chapter indicate specific TFD outputs from each step.



A Yale School of the Environment student facilitates a breakout group discussion on obstacles to tenure reform during the Land and Forest Tenure Reform Scoping Dialogue in New Haven, Connecticut.

TFD STEERING COMMITTEE IDENTIFIES LOCAL OR GLOBAL CHALLENGE

The dialogue process begins with a SC member or members proposing an issue, and corresponding fracture lines, that need solving. These issues are often ones that their organizations or partners on the ground face regarding forests and livelihoods. This often occurs through formal presentations or informal conversation during the annual SC meeting.

If the SC is interested in the idea, one SC member will draft a **concept note** that explains and justifies how the proposed challenge would benefit from a TFD initiative. The SC as a collective then reviews the concept note and the topic based on a set of standard criteria:

- The issue's significance and priority relative to TFD's purpose, mission, and goal
- The dialogue's potential—based on information available, willingness of stakeholders to engage, existing analysis, and clear possibilities to achieve impact and change
- Comparative advantage of TFD on the issues and in possible locations
- Indication of interest from local partners and country offices of Steering Committee members' organizations
- Likely ability of local, regional, and global partners to reach and engage stakeholders
- Availability of financial and logistical support

While evaluating an issue, the Steering Committee will also review the full suite of current initiatives to ensure balance across geography, content matter, and stakeholder engagement.

CREATE ADVISORY GROUP

Successful dialogue initiatives need a way to ensure effective and varied representation of stakeholder perspectives, build credibility, and maintain neutrality. In the TFD governance structure, this group is referred to as the **Initiative Advisory Group** (or “Advisory Group”). See the previous ‘Governance Structures’ section for more information on this group.

WORK WITH KEY LOCAL AND INTERNATIONAL PARTNERS

Once the Advisory Group has been formed, the next step is to work with key local and international partners to analyze the situation, map stakeholders, and develop buy-in for the initiative. In TFD’s model the researcher conducting the analysis may be a member of the Advisory Group, a commissioned researcher or consultant, or an in-house staff member. The output of this research is a **Scoping Paper** that outlines the context of the issue and the ways in which dialogue can be useful for moving toward solutions.

The research analyzes the issue’s dimensions, the state of understanding and response, stakeholders involved, and critical tensions that can be addressed through dialogue. The analysis should explore formal and informal structures that have facilitated the current situation and examine which structures are impeding solutions. Through the process, the researcher should identify countries that could provide effective case studies of the

WHEN TO ADDRESS AN ISSUE

Choosing issues to explore in dialogue can be a delicate matter. Some conflicts are so new that stakeholders want to fight and stake their positions more than find common ground. On the other hand, issues that are too entrenched may produce intractable conflict. The most productive dialogues are built on conflicts that have “matured” for long enough that a coalition has formed that wants to find agreement. All issues can be polarizing, but if stakeholders are enthusiastic about seeking agreement, the initiative can be productive.

issue. These are explored later in the process to determine feasibility and appropriateness for hosting a dialogue.

The researcher will have produced a list of potential stakeholders. The Advisory Group should discuss this list and add or modify with additional stakeholders as needed. This list may also form the initial draft of a participants list for the dialogues. The Advisory Group begins to approach these stakeholders to gather input, discuss the issue, and pave the way for future involvement.

SCOPE THE ISSUE THROUGH DIALOGUE

Together, the *Scoping Paper* and the Advisory Group lay a strong foundation for the beginning of an initiative. However, these outputs are the products of a relatively small group of people. Before entering Phase Two, it is critical to create resonance for the initiative with

a larger and more representative group of stakeholders. Expanding the group of stakeholders also helps to refine the concept, focus attention, and clarify the context and fracture lines.

TFD often achieves these goals through **Scoping Dialogues**. A TFD Scoping Dialogue is usually the first multi-stakeholder dialogue in an initiative.

Typical objectives of a Scoping Dialogue include understanding an issue's fracture lines, information gaps, and the role (or lack thereof) of dialogue in addressing the issue. These dialogues orient the initiative, build trust for future dialogues, and improve understanding of the issue. At this early stage, they do not seek solutions. For details on running a Scoping Dialogue, see Chapter Four.

Following the Scoping Dialogue, the co-chairs, with the support of the Secretariat, produce a **Co-chairs' Summary Report**, capturing the key perspectives, discussions, agreements, and next steps from the dialogue. The Advisory Group and SC review the Scoping Dialogue's outputs and create a tentative plan for the initiative. This may

WHERE TO RUN FUTURE DIALOGUES

If Scoping Dialogue participants suggest holding country-level dialogues in the future, the Advisory Group or the Steering Committee will decide upon and verify the proposed locations. These locations may be proposed during the Scoping Dialogue, or through subsequent discussions.

The countries are often chosen based on challenges in addressing the issue at hand, previous success in dealing with the issue, presence and strength of local host institutions, or other unique characteristics that make the country a particularly strong representation of the issue.

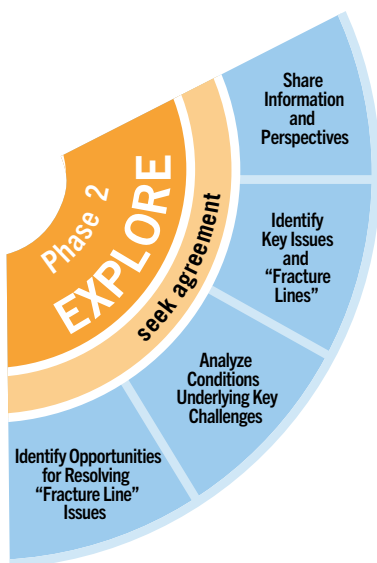
include dialogues in specific countries to explore country-level scenarios or it may include more globally focused dialogues. See descriptions and use cases for types of dialogues outlined in Chapter Four.

Participants synthesize key issues during a Scoping Dialogue for the Land and Forest Tenure Reform initiative in New Haven, Connecticut.



Addressing Natural Resource Conflicts through Dialogue

PHASE 2: EXPLORE



Seek Agreement

If implemented appropriately, Phase One will have generated collective commitment to the initiative, built trust among leaders, and refined understanding of the issue. The Advisory Group and Steering Committee then plan subsequent dialogues within the initiative. These dialogues entail Phase Two and are structured to seek agreement among participants through productive discussion and deliberation.

SHARE INFORMATION AND PERSPECTIVES

From this step, dialogue participants will acquire a common understanding of the different perspectives on the issue. This step often occurs before and at the beginning of a dialogue event.

An SC member, consultant, or other knowledgeable stakeholder drafts a **Background Paper** for a dialogue. This paper provides local context on the issues and shares information about the issue with participants. It is similar to a *Scoping Paper*, but it focuses on the local context of the global issue, to be explored during the dialogue.

During dialogue, participants share their perspectives through field visits and presentation. Field visits give participants a view into each other's experiences and encourage informal conversation. By exploring the tensions between their lived

AGREEMENT VS. CONSENSUS

It is important to note that the TFD process is set up to seek agreement, not necessarily consensus. When reaching consensus, every participant typically has to approve the final decision. This tends to result in compromises that may not effectively address the problem. Furthermore, reaching consensus requires formal and often lengthy procedures such as collaborative review, word-smithing, and voting that would hamper TFD's agility and flexibility. Instead, agreement is sought among the co-chairs and participants regarding the content of the dialogue and the proposed solutions. This is presented in a **Co-chairs' Summary Report**.

experiences and worldviews, participants can have productive dialogue rather than simply advocating their own stance.

IDENTIFY KEY ISSUES AND “FRACTURE LINES”

Once participants understand the local context, they should identify local fracture lines and examine those identified from the Scoping Dialogue. This can be done through plenary discussions or breakout groups during dialogue.

ANALYZE CONDITIONS UNDERLYING KEY CHALLENGES

Participants should then analyze the conditions that cause and underlie the issues. This analysis may be disaggregated by stakeholder group as various groups or sectors may hold different views of the underlying

conditions. Any solutions must address the underlying causes of the fracture lines for those solutions to be sustainable and impactful.

IDENTIFY OPPORTUNITIES FOR RESOLVING “FRACTURE LINE” ISSUES

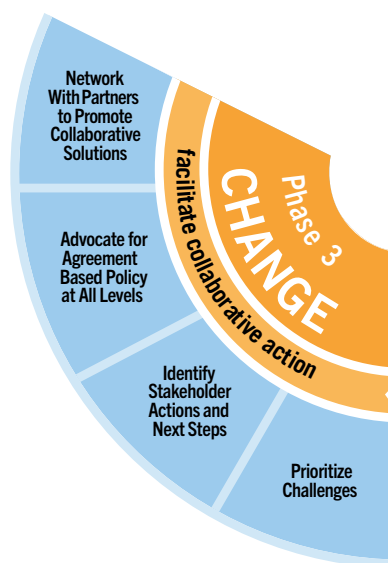
Participants should identify opportunities for resolving the issues previously discussed. These opportunities can operate at a national or international level and may be implemented by any or all the stakeholders involved.

This step requires strong facilitation as it can cast responsibility to individual organizations or actors. This step seeks agreement, not consensus. By the end of the step, the group should have produced a list of potential solutions.

Members of the Ejido Felipe Carrillo Puerto show images of deforestation in the Yucatan Peninsula during the 2014 REDD+ Benefit Sharing Dialogue in Mexico. This dialogue explored mechanisms for sharing benefits through existing and proposed REDD+ actions in Southeastern Mexico.



PHASE 3: CHANGE



Facilitate Collaborative Action

Every TFD initiative seeks to facilitate collaborative action at multiple scales. Phase Three is when participants and institutions push for change based on the potential solutions decided-upon in Phase Two. Collaborative action can occur at the international, national, local, or institutional level. This phase is typically conducted during a dialogue, after an individual dialogue has finished.

PRIORITIZE CHALLENGES

During dialogue, participants need to prioritize potential solutions. Facilitators use dot polling, mediated discussion, and in-seat voting to assist participants.

Stakeholders should reflect on field visits, reports, and conversations from the dialogues. Through this process, facilitators need to encourage common solutions but leave space for discussion if participants starkly disagree.

WHEN DIALOGUE CAN'T SOLVE THE ISSUE

Dialogues can sometimes fail. This may occur when conflicts are more entrenched or politically charged than originally understood. In TFD's experience, this occurred during an initiative on Genetically Modified Trees. Unbeknownst to TFD and the co-chairs, many stakeholders were not ready to seek agreement, as the issue was rooted deeply in core beliefs. Thus, there were no actors who were able to bridge the divide and TFD ended the initiative. While the initiative produced new data and insights, its early termination emphasizes the importance of clearly assessing stakeholders for their willingness to engage in dialogue and move toward change before implementing.

IDENTIFY STAKEHOLDER ACTIONS AND NEXT STEPS

In the later phases of an initiative or dialogue, participants should decide who will implement which activities to achieve the prioritized solutions. The group should make informal agreements together, thereby increasing the transparency, trustworthiness, and perceived fairness of the agreements.

If conflict is highly entrenched, participants may not be ready to agree on specific actions. The next step in these situations may be to hold another dialogue or forgo future dialogues.

The results from each dialogue are captured in a *Co-chairs' Summary Report*. All participants can give input but the co-chairs have the responsibility of reflecting the key challenges, solutions, and areas of disagreement in the report. Because of its collaborative nature, the *Co-chairs' Summary Report* is an integral document for advocating for solutions at multiple governance levels.

ADVOCATE FOR AGREED-UPON CHANGE AT ALL POLICY LEVELS

The results of a dialogue represent a powerful contribution to most policy discussions: agreed-upon recommendations. Based on TFD's experience, policy change from dialogues often happens at three levels: sub-national and national, international, and institutional.

At the sub-national and national level, host organizations and other local stakeholders leverage the *Co-chairs' Summary Report* to advocate for national and sub-national-level change. This change has taken the shape of policy reform, augmented private sector-community engagement, and increased representation of marginalized voices in formal processes.

At the international level, dialogue results are most impactful when they are combined with the results of other dialogues within the same initiative. At the end of an initiative, the Advisory Group, co-chairs, select leaders, and the Secretariat synthesize the initiative's conclusions into a **TFD Review** initially drafted during a **Writer's Workshop**. Workshops are limited to 10-15 people.

TFD Reviews ground the initiative's focal issue in local scenarios and conflicts and reflect deep analysis from multiple dialogues.

NATIONAL IMPACT IN CHINA

In 2005, TFD hosted a dialogue in Hong Kong on illegal logging, attended by leaders from business, NGOs, associations, academia, and more. Following the dialogue and inspired by a presentation made by the Environmental Investigation Agency, the Chinese government shut down a number of sawmills in Guangdong Province that were alleged to be importing and processing around 300,000 cubic meters per year of illegal timber from Indonesia.

The TFD Secretariat, Steering Committee, and other stakeholders can use *TFD Reviews* and co-chairs' summaries to advocate for change at global forums, within other partnerships, and among other international partners. In the past, initiative results have influenced REDD policy, created new alliances of rights holders, and changed processes around illegal logging.

Change also occurs within and across institutions. TFD's SC members have leveraged results within their organizations. Following a TFD initiative on Intensively Managed Planted Forests, WWF implemented the initiative's outcomes through

the New Generations Plantations platform. Similarly, the World Bank has integrated TFD outcomes into past programs and policy-reforms.

The three levels of change; sub-national and national, international, and institutional; are levels at which TFD outcomes often make an impact.

THE BRAZILIAN FORESTS DIALOGUE

In 2003, TFD facilitated a field dialogue in Porto Seguro, Brazil on Forests and Biodiversity Conservation. Prior to the dialogue, companies and NGOs were deeply divided over the future of forest plantations.

Following the dialogues, participants took it upon themselves to continue to build trust between sectors. Thus, in 2005, three NGOs and three companies formed the Brazilian Forests Dialogue (BFD) to extend the dialogue independently and in perpetuity. Since that time, the BFD has influenced new forest law, changed corporate practices, and developed tree farming guidelines in several states.

NETWORK WITH PARTNERS TO PROMOTE COLLABORATIVE SOLUTIONS

Steering Committee members can advocate for change individually however, doing so misses a significant value of dialogues. Dialogues convene stakeholders representing many industries, perspectives, and interest groups who, when working in coalition, can leverage significant change across sectors. TFD and its Steering Committee work with participants to facilitate collaborations among themselves to implement the actions decided-upon during initiatives.

REEVALUATE AND REDIRECT WORK

TFD evaluates its initiatives at three different points: at the end of a dialogue, during the annual Steering Committee meeting, and at the end of an initiative. These evaluations enable TFD to proactively reflect, learn from others, and adapt its practice. For example, TFD adjusts initiatives based on demand, effectiveness, and feedback. This includes adjusting solutions and outputs of initiatives. While TFD finds that this process produces better results, it can conflict with some donors' needs for specific outputs.

All participants complete a survey at the end of a dialogue (see Annex 4). This survey assesses the dialogue process, field visits, facilitation, and other process points. The TFD Secretariat uses these results



Following the REDD Readiness initiative, co-chairs of the dialogues synthesized the initiative's key lessons during a Writer's Workshop in Switzerland. The initiative's conclusions were summarized and published as a *TFD Review*.

primarily to adjust future dialogues and processes within the initiative.

The Steering Committee reviews and evaluates all initiatives during their annual meetings. These evaluations are based on qualitative reflections and observations. SC members assess: what phase each initiative is in, if the initiative is on track to producing solutions, if field dialogues are exemplifying the issue, and what are the greatest challenges for each initiative.

The last formal evaluation process occurs at the end of every initiative.

REDIRECTING WORK

Between 2005 and 2008 TFD convened an initiative on Intensively Managed Planted Forests (IMPF). This initiative examined important factors for successful IMPF policy, projects, and practice. In 2015, TFD evaluated the IMPF initiative and its effect. From that evaluation, a multi-stakeholder group decided that another initiative on plantation forestry was needed given the increasing geographic coverage of plantations and their social and political complexity. Thus, TFD began a new initiative, *Tree Plantations in the Landscape*, focused on current issues in the field.



A community member criticizes timber company staff about company-community conflict during the Intensively Managed Planted Forests dialogue in Indonesia. The community and company did not have a strong history of open communication prior to the dialogue. Field dialogues encourage productive discussions between otherwise competing stakeholders due to the presence of external participants, the focus on solutions, and the use of Chatham House Rule.

At the next Steering Committee meeting following the end of the initiative, the entire Steering Committee reflects on the initiative—what was accomplished, what challenges remain, and what’s next?

These questions are also discussed during the Writers’ Workshop. The learnings from this evaluation are incorporated in the initiative’s *TFD Review* and are used to redirect work if needed.

TFD uses these evaluations to inform, adapt, and reevaluate dialogues and initiatives. Learnings from one initiative feed directly into the design and planning of the next initiative. In this way, TFD is always updating dialogues based on the latest knowledge and upholding their credibility and legitimacy.

Right: Participants discuss lessons from Finland’s experience managing multi-functional forests as part of the Food, Fuel, Fiber, and Forests (4Fs) dialogue in Punkaharju, Finland. After two days of field visits, participants spent two days in meetings, including plenary and breakout sessions. In plenary, participants use name cards to encourage conversation.

CHAPTER FOUR

RUNNING A DIALOGUE



As a part of any initiative, TFD employs multiple types of dialogues to advance its mission and reach the initiative’s objectives. The type of dialogue used depends on the initiative’s objectives, the nature and scope of the issue, and the number of participants. TFD has five different types of dialogue, as explained in the table below: Scoping, Scoping with Field, Field, Thematic, and Mini.

TFD DIALOGUE TYPES

Type of Dialogue	Objective	Role in an Initiative	Typical Location	Typical Structure	Number of Participants
Scoping	Analyze and isolate how and where an issue can benefit from dialogue. Is used to decide on the future of an initiative.	Used to assess and begin an initiative	Major city or capital	Two days in meeting rooms	25-35
Scoping with Field	Same as Scoping, though includes a field component.	Used to assess and begin an initiative	Secondary or major city with proximity to field sites	One day in the field, two days in meeting rooms	25-30
Field	Inform, enrich, and deepen discussion around the global issue through national context and deliver impacts within the country.	Used to ground a global issue in local context and find solutions to both a local and global issue	City or town in an area where the challenge persists, with proximity to field sites	One or two days in the field, two days in meeting rooms	40-60
Thematic	Inform, enrich, and deepen discussion around a global issue through international dialogue.	Used to find solutions to an issue when the issue is not tied to a specific location (e.g., REDD Finance)	Major global capital	Two days in meeting rooms	40-60
Mini	Inform, enrich, and deepen discussion around a global issue in a compressed format and timeline.	Used to explore or find solutions to an issue when the issue can be discussed in a short time. Can be used to reach a wider audience than was possible in a previous dialogue.	Can be anywhere as it is normally limited in size and duration	One day in field, one day in meeting room or just one day in meeting room	25-30

Despite their differences, all TFD dialogues try to accomplish the same things: engage, explore, and change. This is accomplished by building trust, sharing information, and facilitating collaborative action. This section outlines the standard set of steps that are followed for all individual dialogues. When dialogue types differ in process, those adjustments are described in the text.

BEFORE THE DIALOGUE

Many things must happen to prepare for a dialogue. A few key steps are listed below, a full checklist of 'To-Do' items is provided in Annex 5.

Select Host and Co-chairs

The Advisory Group and Steering Committee select a single or multiple in-country host organizations to guide the dialogue. The host oversees all in-country planning including identifying field sites for Field and Scoping with Field dialogues, developing the participants list, and identifying local co-chairs.

Local host organizations are critical to the success of a dialogue. Effective hosts are ones that are credible, open to the dialogue process, and inclusive of all stakeholders.

As with any organization, hosts can hold biases regarding problems, solutions, and dialogue processes. TFD mitigates these biases by developing multi-stakeholder checkpoints with the other co-chairs and TFD on key decision points, such as the finalization of field visits.

The Advisory Group and local host choose co-chairs for the dialogue; typically three to four. Ideally, one co-chair is from the host organization, two are from the Steering Committee (one from an NGO and one from a company), and the others are from the dialogue location.

Stakeholder Mapping

TFD maps stakeholders to assess which organizations are working on, thinking about, or interacting with the issue. Potential stakeholders are assessed relative to the goals and scales of the dialogue.

When mapping stakeholders, TFD asks the following questions:

- ➔ Who is involved (at any scale)?
- ➔ Who needs to be involved to work on this problem?
- ➔ Would they participate and under what conditions?
- ➔ Who else should we talk to?
- ➔ Who has not participated/has been excluded in the past? Why?
- ➔ What needs to be on or off the table for people to participate?

DIALOGUE AS A TOOL FOR INCLUSION

Mapping stakeholders provides a framework for identifying marginalized stakeholders. Historically, many underserved groups have not been included in development and environment projects and some have contacted TFD to become more involved. Special attention is given to include these groups.

Participants List

Once the stakeholders are identified, the Secretariat creates a list of potential invitees for the dialogue. TFD strives to maintain participant numbers according to the previous table of dialogue types. The participants list needs to balance the number of representatives from the various stakeholder groups.

It is important to invite people who will actively participate in the dialogue than to have someone merely because of their institutional affiliation.

Conduct Background Research

The Advisory Group shapes a *Background Paper*, which provides local context for the dialogue. The paper should be translated to local languages and shared with all participants before the dialogue.

Create Agenda

The co-chairs and the Secretariat develop the dialogue's agenda. An example agenda is given in Annex 6.

All dialogues employ plenary and breakout group discussions and are facilitated by co-chairs and Secretariat staff. TFD typically limits breakout groups to seven people or fewer to facilitate collaborative discussions. Dialogues include very few presentations as not to prioritize select perspectives or stifle conversation.

Agendas will change based on the schedules and needs of individual dialogues. However, dialogues often cover the following general flow, as outlined in the bullets below. Any items in **blue** only occur during Scoping Dialogues while any items in **orange** only occur in field-based dialogues. All other items occur in all dialogues.

- ➔ **Field visits to sites that illustrate the perspectives of the challenge**
- ➔ Establish common understanding of process points and ground rules
- ➔ Present highlights from the *Scoping Paper* or *Background Paper*
- ➔ **Synthesize lessons from the field visits**
- ➔ Hear from stakeholder representatives about their perspective on the topic
- ➔ Delve into the issues raised in the paper and prioritize key challenges to resolving the issue, often in breakout groups
- ➔ Discuss and prioritize solutions
- ➔ Discuss, in groups or in plenary, next steps to ensure change
- ➔ **Assess the role of future dialogues**
- ➔ Assess next steps and potential stakeholder actions



Community members operate a small sawmill in Guarayos, Bolivia. Dialogue participants visited this sawmill, and other examples of pro-poor commercial forestry, during the Forests and Poverty Reduction dialogue in Bolivia in 2007. This dialogue was the third in the initiative, which produced a set of recommendations for incorporating pro-poor considerations into commercial forestry operations.

Develop Field Itinerary

This step only applies to dialogue types that include a field component: Scoping with Field, Field, and occasionally Mini Dialogues.

The host organization works with TFD to develop the field itinerary. An example field itinerary can be seen in Annex 6.

The field days should highlight the most prominent examples of the issue in the country. Visits can include common or representative situations, but they can also feature unusual scenarios.

BREAKING BREAD TOGETHER

A common feature of every TFD field dialogue is one group dinner with all participants, hosted by a local community or organization. By sharing a meal and spending an evening together, participants often develop closer and more personal relationships. TFD has found that in many cultures, hosting a dinner builds respect for the institution and, by association, the dialogue and its participants.



THE POWER OF THE BUS RIDE

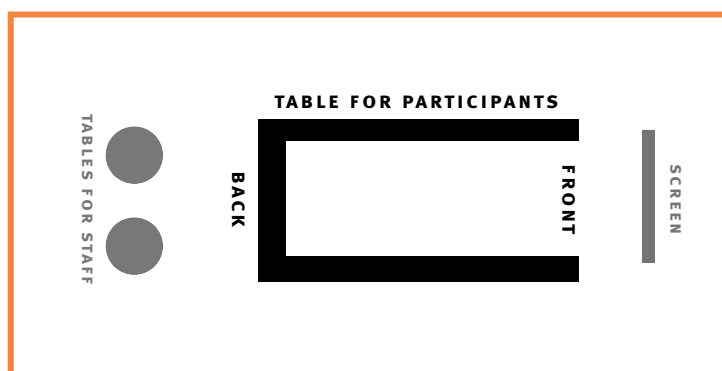
Rarely do people think fondly of 1-2-hour bus rides on dirt roads. However, the bus rides, and the field days they are a part of, play an often-overlooked role in the dialogue process. Spending a day seeing new places and meeting new people is a good way to break the ice among a group of strangers. A key foundation to effective dialogue is trust and respect between people. Even if people disagree, if they respect and trust each other personally, they can work together in dialogue and in problem-solving. TFD has found that spending long days in the field together is a great way to jumpstart the process for people who have never met.

Participants converse as they pass through an oil palm plantation during the Understanding Deforestation-Free dialogue in Gabon in 2017. Bus rides give participants the space to meet each other, candidly share their thoughts, and survey the surrounding landscape.

The host organization should plan most of the field itinerary but TFD maintains a few principles when scheduling and organizing field trips:

- Field visits should feature the perspectives of all relevant stakeholders
- Avoid an “eco-tourism” type of program—highlight perspectives over scenery
- Ensure each stop has time for participants to ask questions and converse
- Field stops should primarily center on questions and discussion rather than lengthy presentations
- Avoid any travel over two hours between stops
- Ensure there are drinks, snacks, and meals throughout the trip
- Nominate a conversation facilitator for every stop

TFD and the host organization ensure that the site locations do not bias one stakeholder group over another or present a skewed perspective of an issue. This requires TFD staff to visit the field and the sites at least once before the dialogue. TFD has found that pre-dialogue field visits are a crucial factor in a dialogue’s success.



Ensure Seating is Conducive for Dialogue

Though often overlooked, the physical space in which the dialogue occurs significantly impacts how people communicate with each other. Through its many dialogues, TFD has found that an open U-shape table configuration is ideal for plenary discussions (see figure above). This type of arrangement allows all individuals to address one another, see each other's eyes and name cards, and collaborate in discussion (see full room arrangement in Annex 7).

As with any event, there are a wealth of other logistical concerns to attend to in planning a dialogue. You can see a full checklist of items in Annex 5.



One of the dialogue co-chairs welcomes participants to the Land Use Dialogue in Kilombero, Tanzania.

DURING THE DIALOGUE

The following steps outline the key principles and processes for running a dialogue, though these are not exhaustive. For a complete list of all logistical considerations, see Annex 5.

Ground Rules and Expectations

TFD dialogues are implemented in a manner that encourages deep discussion among participants. TFD sets the tone for these discussions through a few ground rules that all participants have to agree to:

- ➔ Dialogue operates under the Chatham House Rule as described in Chapter Two
- ➔ No video with audio, but video without sound and pictures without quotes are okay
- ➔ Only use laptops and phones during break
- ➔ Stand name tents upright to make an intervention
- ➔ Cultivate a spirit of participation by:
 - Active listening
 - Voice constructive, solutions-oriented interventions
 - Participate as an individual
 - Help define and own the outcomes
 - Do not monopolize the speaking time

At the beginning of the dialogue, participants should describe their goals and expectations so co-chairs and participants can address each others' concerns during the dialogue.

Facilitation

Co-chairs facilitate TFD dialogues. The benefit of this model is that the co-chairs are knowledgeable on the content so they can gauge if all viewpoints are covered in discussion. National co-chairs are often known and trusted locally so they inspire participants to engage.

TFD selects co-chairs who are recommended as strong facilitators by their peers. They must be able to put their personal views aside and faithfully represent all stakeholders in managing the dialogue. The Secretariat supports co-chairs' facilitation through pre-dialogue and mid-dialogue check-ins and guidance. One form of guidance is a Dialogue Facilitation Plan, a template of which is in Annex 8.

Rapporteurs and Reporting

During the dialogue, there is always at least one rapporteur for plenary sessions and one for each breakout group. Typically, these are participants. Following the Chatham House Rules, rapporteurs do not indicate who said what, they focus solely on recording the content.

Right: Members of the Kiobo community discuss their concerns with the management of the Luki Biosphere Reserve during the FPIC dialogue in the DRC. Kiobo members lost portions of their land to the reserve and had concerns about planned activities. This dialogue facilitated discussions between dialogue participants to identify ways to mitigate and address these challenges.

Rapporteurs and co-chairs synthesize and communicate key themes back to the group at the end of each day, giving participants the chance to challenge the conclusions. This way, participants drive the content and outputs of the dialogue.

Evaluation

At the conclusion of a dialogue, participants fill out an evaluation form (see Annex 4). These are collected and analyzed by the Secretariat after the dialogue.

AFTER THE DIALOGUE

Once the dialogue is complete, the co-chairs, with the support of the Secretariat, produce a *Co-chairs' Summary Report*, capturing the key perspectives, discussions, agreements, and next steps from the dialogue.

Meanwhile, Secretariat staff review the evaluation reports collected from participants during the dialogue. These are reviewed to improve how TFD executes the dialogue process and inform any future dialogues within the same initiative. See the earlier 'Reevaluate & Redirect Work' for more information.



CONCLUSION



KEY TAKEAWAYS

Running a productive and impactful multi-stakeholder initiative is more than just what happens during the meeting. It requires careful foresight, collaborative governance, and significant planning.

This guide is written so that you can refer to the steps as you implement your own multi-stakeholder dialogues and initiatives. We hope you will take away a few key messages from this guide, which can be implemented in your own programs:

- ➔ **The importance of a neutral convener during this process**
Throughout the dialogue process, TFD retains its neutrality at every step. As the convener of a dialogue, neutrality is critical to ensuring the process is trusted by all stakeholders and the outcome is driven by the participants and not a single entity or perspective. For many organizations that host their own multi-stakeholder dialogues, this can be a challenge as their institution may have a brand that resonates with some values more than others. If this is the case, include process points or governance bodies, such as the ones described here, to enhance credibility and neutrality. Furthermore, it is critical to both the neutrality and the success of the dialogue that all relevant stakeholders are involved in the process.
- ➔ **Emphasize a process-driven, rather than outcome-determined, approach**
A core tenet of the model presented here is that successful dialogue happens through deliberate process facilitation rather than a determination to achieve a specific outcome. This allows participants the space to voice their own perspectives and identify appropriate solutions without the constraints of institutional agendas or donor-tied output requirements. Facilitators are not allowed to steer discussions towards specific endpoints. This principle means that stakeholders are more likely to feel ownership of the solutions and the solutions are more likely to address the problem at hand.
- ➔ **The power of individuals in driving and inspiring change**
Over the course of TFD's experience, TFD has seen the importance of working with individuals who are committed to change and willing to engage. It is critical that participants are willing to work towards solutions or else the dialogue will struggle to progress. These individuals are typically mid-level staff

Left: Dialogue participants visited Ibetí Emberá-managed lands to understand their goals and the potential for reforesting degraded land. The Investing in Locally Controlled Forestry dialogue in Panama in 2009 examined the challenges and opportunities faced by small scale (both indigenous and non-indigenous-owned) forestry enterprises and developed best practices and operational models. The lessons from this dialogue were synthesized with conclusions from the initiative's other dialogues and published as a *Guide to Investing in Locally Controlled Forestry*.

who have bright ideas and a passion for the issue but are not over-burdened by high-level mandates and bureaucracy. By focusing on individuals rather than institutions, TFD has facilitated meaningful personal relationships between participants, which is the first step in constructively solving a multi-stakeholder conflict.

➔ **Impact is greatest when dialogues intersect with external policy processes**

Both at the international and national level, dialogues have the greatest impact when their results can inform an existing policy process. For example, the REDD dialogues occurred as the global community was defining the future of REDD following the Bali Climate Conference in 2007. Based on the results of the dialogue, the REDD community expanded its focus from forests as merely carbon sinks to understanding their role in reducing poverty and sustaining livelihoods through forest management. Similarly, at the national level, impact is maximized when participants can use an existing policy process as a case study or as a key point of consideration during the dialogue.

➔ **Timing is critical for maximizing impact**

Dialogues may have little impact if they are not implemented at the right time. There are often narrow windows of opportunity for engagement in and with complex policy processes and it is critical to synergize dialogue activities with those windows. An example of this is ensuring that a stakeholder group gets a “seat at the table” before policies are finalized. To maximize impact, the “when” is just as important as the “what.”

DO IT YOURSELF

The approach presented in this guide is one that you can, and we hope you do, replicate yourself. While every organization has its own governance bodies and institutional brand, the process used to implement a flexible, open, and representative dialogue that results in agreement-based outcomes is one that can be transferred across organizations and sectors. The steps presented here represent the necessities for a strong multi-stakeholder dialogue.

Dialogue is a powerful tool for resolving contentious issues and creating collaborative solutions when done correctly. We hope this guide can help you facilitate and achieve your own multi-stakeholder solutions.

Right: Orange ribbons indicate trees that have been ordained and protected from logging by Buddhist Monks in Monks Community Forest in Cambodia. This forest, located in Oddar Meanchey province, was part of the country's first REDD project site. TFD facilitated a REDD Readiness dialogue in Cambodia in 2010 to exchange experiences and offer insights into how to prepare nationally and locally for REDD+ projects.

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ADDITIONAL RESOURCES

- ➔ ANNEX 1: PAST AND CURRENT TFD INITIATIVES, JANUARY 2020
- ➔ ANNEX 2: TFD STEERING COMMITTEE MEMBERS, JANUARY 2020
- ➔ ANNEX 3: TIMELINE OF A TYPICAL INITIATIVE
- ➔ ANNEX 4: EXAMPLE OF DIALOGUE EVALUATION FORM
- ➔ ANNEX 5: DIALOGUE CHECKLIST
- ➔ ANNEX 6: EXAMPLE OF DIALOGUE AGENDA AND FIELD ITINERARY
- ➔ ANNEX 7: DIALOGUE ROOM ARRANGEMENT DIAGRAM
- ➔ ANNEX 8: TEMPLATE FOR A DIALOGUE FACILITATION PLAN

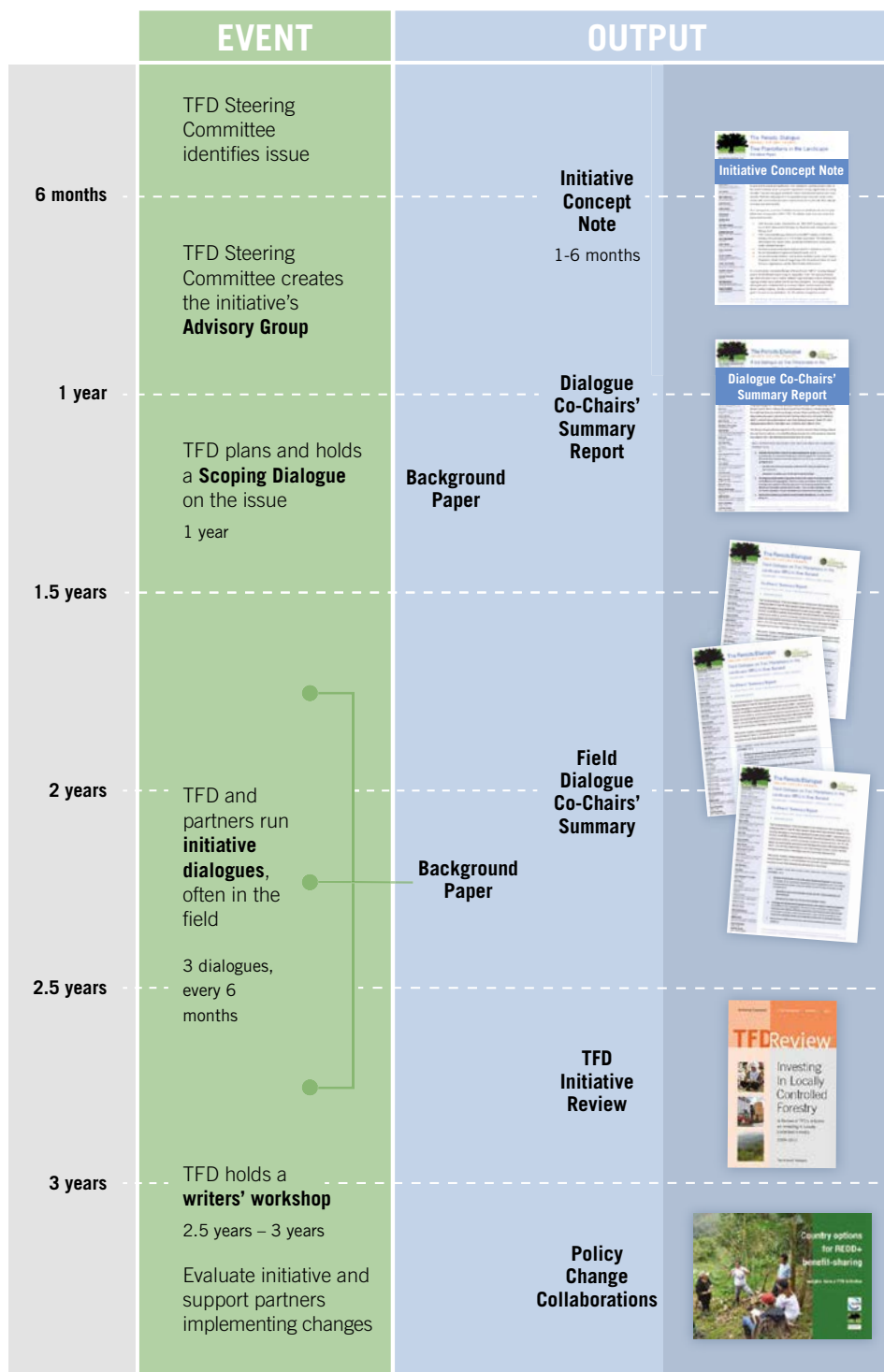
ANNEX 1: PAST AND CURRENT TFD INITIATIVES, JANUARY 2020

TFD INITIATIVES	NUMBER OF DIALOGUES
1. Forest Certification	5
2. Forests and Biodiversity Conservation	5
3. Illegal Logging	4
4. Intensively-Managed Planted Forests	4
5. Forests and Poverty Reduction	5
6. Investing in Locally Controlled Forestry/Small Forest Owners and Sustainable Forest Practices	12
7. Forests and Climate	4
8. REDD Finance	3
9. REDD Readiness	6
10. Free, Prior, and Informed Consent	3
11. Food, Fuel, Fiber, and Forests	5
12. Genetically Modified Trees	3
13. Exclusion & Inclusion of Women in the Forest Sector	1
14. REDD+ Benefit Sharing	6
15. Understanding Deforestation-Free	3
16. Tree Plantations in the Landscape	3
17. Land Use Dialogues	4
18. Sustainable Wood Energy	1
19. Land and Forest Tenure Reform	1

ANNEX 2: TFD STEERING COMMITTEE MEMBERS, JANUARY 2020

STEERING COMMITTEE MEMBER	ORGANIZATION
Chris Buss	IUCN - International Union for Conservation of Nature
Kerry Cesareo	WWF
Marcus Colchester	FPP - Forest Peoples Programme
Yulia Cuthbertson	IFSA - International Forestry Students Association
Crystal Davis	WRI - World Resources Institute
Gerhard Dieterle	ITTO - International Tropical Timber Organization
Gary Dunning	TFD - The Forests Dialogue
José Carlos Fonseca	Iba - Indústria Brasileira de Árvores
David Ganz	The Center for People and Forests
Paula Guimarães	The Navigator Company
Paul Hartman	GEF - The Global Environment Facility
Juan Carlos Jintach	COICA - Coordinadora de las Organizaciones Indígenas de la Cuenca Amazónica
Victor López	Ford Foundation
Antti Marjokorpi	Stora Enso
Ivone Namikawa	Klabin
Mary Ndaró	Care - Tanzania
Cecile Ndjebet	REFACOF - African Women's Network for Community Management of Forests
Milagre Nuvunga	Micaia Foundation
Sarah Price	Sappi
Kittisak Rattanakrangsri	AIPP - Asia Indigenous Peoples Pact
Fernanda Rodrigues	Diálogo Florestal - Brazilian Forest Dialogue
Francisco Rodríguez	CMPC
Christopher Stewart	Olam
Ruth Thomas	GAA - Global Agribusiness Alliance
Mark Wishnie	TNC - The Nature Conservancy

ANNEX 3: TIMELINE OF A TYPICAL INITIATIVE



ANNEX 4: EXAMPLE OF DIALOGUE EVALUATION FORM

SECTION ONE: GENERAL COMMENTS

Did TFD's Field Dialogue on REDD+ Benefit Sharing in Mexico help to advance your own thinking on the challenges and opportunities related to REDD+ Benefit Sharing?

[☐] YES [☐] NO

What was the most significant aspect of the Dialogue that made this a successful experience for you?

SECTION TWO: FIELD TRIP COMMENTS *(only rank the field site your group visited)*

Please rank the field trip components based on their learning value.

[1] (highest value) [2] [3] [4] [5] (least value)

- [☐] Field Trip Briefing (Monday morning, June 2nd)
- [☐] Visit and discussion at Biosphere Reserve of Calakmul, CONANP (Monday mid-morning, June 2nd)
- [☐] Visit and discussion at Charcoal Production Area (Monday afternoon, June 2nd)
- [☐] Visit and discussion at Pepper Plantation (Monday afternoon, June 2nd)
- [☐] Visit and discussion at Ejido Noh Bec (Tuesday morning, June 3rd)
- [☐] Visit and discussion at Chicza Cooperative Factory (Tuesday morning, June 3rd)
- [☐] Visit and discussion at Ejido de Felipe Carrillo Puerto (Tuesday afternoon, June 3rd)
- [☐] Visit and discussion at Chicza Cooperative Plantation Area (Tuesday afternoon, June 3rd)

Please tell us how we can improve the field tour.

SECTION THREE: DIALOGUE COMMENTS

Please rank the dialogue components based on the quality of interaction.

[1] (highest value) [2] [3] [4] [5] (least value)

- [☐] Presentations on International and Mexico Contexts of REDD+ Benefit Sharing (Wednesday morning, June 4th)
- [☐] Plenary Discussion on Key Challenges of REDD+ Benefit Sharing in Mexico (Wednesday mid-morning, June 4th)
- [☐] Breakout Session 1: Stakeholder Perspectives on Key Challenges in Benefit Sharing in Mexico (Wednesday afternoon, June 4th)
- [☐] Breakout Session 2: Stakeholder Perspectives on Ways Forward (Thur. morning, June 5th)
- [☐] Plenary Discussion: Next steps for REDD+ BS in Mexico and Internationally (Thursday afternoon, June 5th)

How effective was the leadership/guidance provided by the Dialogue Co-chairs and Organizers in the above sessions?

[☐] 1 (very) [☐] 2 [☐] 3 [☐] 4 [☐] 5 (not at all)

Did the context setting and background paper presentations provide you with the information you needed to further discussions during the dialogue?

☐ YES ☐ NO

If not, what was missing?

Please tell us how we can improve the presentations.

SECTION FOUR: LOGISTICS

How does the organization of this dialogue compare to that of other field events you have attended?

☐ 1 (much better) ☐ 2 ☐ 3 (about the same) ☐ 4 ☐ 5 (much worse)

What suggestions do you have for improving our event organization?

SECTION FIVE: NEXT STEPS

How useful are the experiences you have gained at this dialogue to your future work?

☐ 1 (very) ☐ 2 ☐ 3 ☐ 4 ☐ 5 (not at all)

In your country, is there a space or platform to talk about these issues? If so, what is it?

Which individuals or organizations not present at this dialogue do you think would be valuable participants at future dialogues? (Please feel free to give names and organizations/emails for our reference)

Which publications on REDD+ Benefit Sharing do you think are important for informing future dialogues?

What specific issues should continuing REDD+ Benefit Sharing dialogues in Mexico focus on?

Besides this issue, what are other forest-related issues that you would recommend as a focus for future TFD Dialogues?

Any other comments?

ANNEX 5: DIALOGUE CHECKLIST

This document is intended to cover the details that need to be accounted for in preparing and executing a dialogue. Your organization will likely handle these details differently, but we hope this can serve as a guide.

MONTHS BEFORE DIALOGUE

- ☐ Identifying the Field Dialogue main ally or host.
- ☐ If applicable, elaborate TOR and financial arrangement with host.
- ☐ Send invitations to join the Advisory Board of the Scoping Dialogue, composed by Steering Committee members and/or external stakeholders.
- ☐ Once it's confirmed, communicate periodically and collectively with them to share update on participants list, background paper, etc.
- ☐ Work with host and Advisory Board to elaborate conceptual Agenda.
- ☐ Contract for background paper (allow for time for translation if necessary).
- ☐ Draft final invitation and final participant list with SC and local partners.
- ☐ Make sure the participants list has a balanced representation of communities, private sector, non-profit sector, academia, etc.
- ☐ Send first a “save the date” email out to the participant list and closer to the date a formal invitation email.
- ☐ Keep meticulous track of excel sheet of participants list.
- ☐ Finalize participants list based on responses and stakeholder balance, report back with clear list of who has responded, who has said no, sponsorship requests, etc.
- ☐ Coordinate with host to prepare invitation in appropriate local language(s)
- ☐ Prepare Logistics Information Sheet
- ☐ Elaborate the detailed itinerary with host.
- ☐ Identify language needs for translation. Arrange for translators to accompany IN the field.
- ☐ If possible, Secretariat staff will travel to visit field sites and meet with local partners, officials, and sponsors.
- ☐ Background paper should be finalized in time to allow for translation and design, and to be sent with enough time to participants.
- ☐ Identify Co-chairs
- ☐ Reach out collectively and individually to the Co-chairs to go over their roles during the dialogue, as well as to agree on the final agenda, guiding questions, format of breakout sessions, and logistics.
- ☐ Secretariat: Email background paper and documents to participants
- ☐ Secretariat: Email Agenda to participants

DAY BEFORE DIALOGUE

- ☐ Secretariat: arrange to arrive one full day before to meet with host, hotel staff and meeting venue staff.
- ☐ Set up all equipment to make sure everything works, battery is full and keep track of all cables.
- ☐ Make sure all packets have been assembled
- ☐ Keep track of the participants that have arrived to the hotel.
- ☐ Identify table where the packets will be placed for pickup.
- ☐ Prepare Evaluation Form and Sign-in Sheet.
- ☐ Send again transportation information to participants to make sure they know how to get to the venue.

DURING DIALOGUE

- ☐ Arrive with enough time to setup laptop, projector and printer.
- ☐ Collect business cards, PowerPoint presentations, working group presentations.
- ☐ Take photographs.
- ☐ Update participants' contact info in main excel sheet.
- ☐ Hand out the Evaluation Form on the last day and make sure participants know where to leave it on their way out.
- ☐ Hand out printed participants list with emails, once it is approved by all participants.
- ☐ Make sure to schedule a time during lunch or breaks to reimburse sponsored participants.
- ☐ Make sure there is a room available during lunch for the co-chairs to have lunch.

AFTER DIALOGUE

- ☐ Put business cards and contacts into database.
- ☐ Write up notes/summary and send to co-chairs right away.
- ☐ One week after: Send participants email including:
 - ☐ Participants list without emails (only given with emails when handed out printed during the dialogue)
 - ☐ Agenda
 - ☐ Breakout sessions presentation
 - ☐ Power point presentations (with prior consent from presenter)
 - ☐ Background material
- ☐ Inform on status of co-chair summary.
- ☐ Coordinate with co-chairs to finish paper on time.
- ☐ Send participants final co-chair summary.

ANNEX 6: EXAMPLE OF DIALOGUE AGENDA AND FIELD ITINERARY



TPL BRAZIL HOSTS



**Fórum Florestal
Extremo Sul da
Bahia**

THE FORESTS DIALOGUE

ENGAGE! EXPLORE! CHANGE!



Field Dialogue on Tree Plantations in the Landscape in Brazil

12-16 March 2018 – Porto Seguro to Vitória, Brazil

Field Visit Locations

- Porto Seguro; Teixeira de Freitas; São Mateus; Aracruz

Dialogue Location

- **Bourbon Vitória Residence Hotel**
Av. Dante Michelini, 435 - Praia de Camburi, Vitória - ES, 29060-235, Brazil

Dialogue Objectives

- Incorporate experiences from Brazil to add to the international discussion on tree plantations on key themes, such as:
 - Landscapes
 - Land use
 - Sustainable intensification
 - Climate change adaptation and mitigation
 - Social impact mitigation
- Revisit issues raised in the IMPF dialogue in 2008, noting any resulting outcomes including changes by companies and new or remaining concerns.
- Develop alliances, gather and share learnings with partners on the sustainable management of tree plantations.

Dialogue Co-Chairs

- **Maurem Alves** – CMPC Celulose
- **Marcus Colchester** – Forest Peoples Programme
- **Skip Krasny** – Kimberly-Clark Corporation
- **Beto Mesquita** – Independent
- **Miriam Prochnow** – Brazilian Forest Dialogue

Field Visit Agenda

Monday, 12 March

- 08:30** Meet at Shalimar Hotel; depart for field
- 09:00** Opening, introductions, and overview of TPL Dialogue
- 11:00** Visit Veracel's conservation area
- 12:30** Lunch
- 13:00** Visit tree farm
- 17:30** Travel to Teixeira
- 20:00** Group dinner at Lord Hotel, Teixeira

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ANNEX 6: (CONTINUED)

EXAMPLE OF DIALOGUE AGENDA AND FIELD ITINERARY

Agenda: Field Dialogue on Tree Plantations in the Landscape in Brazil
Porto Seguro to Vitória, Brazil
12-16 March 2018

Tuesday, 13 March

- 08:00** Depart hotels for field
- 08:30** Visit agriculture school supported by the Landless Movement
- 11:00** Lunch
- 13:00** Visit to Suzano's restoration area
- 16:00** Travel to São Mateus
- 20:00** Group dinner at IBIS, São Mateus

Wednesday, 14 March

- 07:30** Depart hotels for field
- 08:00** Visit Quilombolasites
- 12:00** Lunch and travel to Aracruz
- 15:00** Field visits with indigenous groups and Fibria
- 20:00** Arrival at Hotel Bourbon in Vitória

Dialogue Agenda

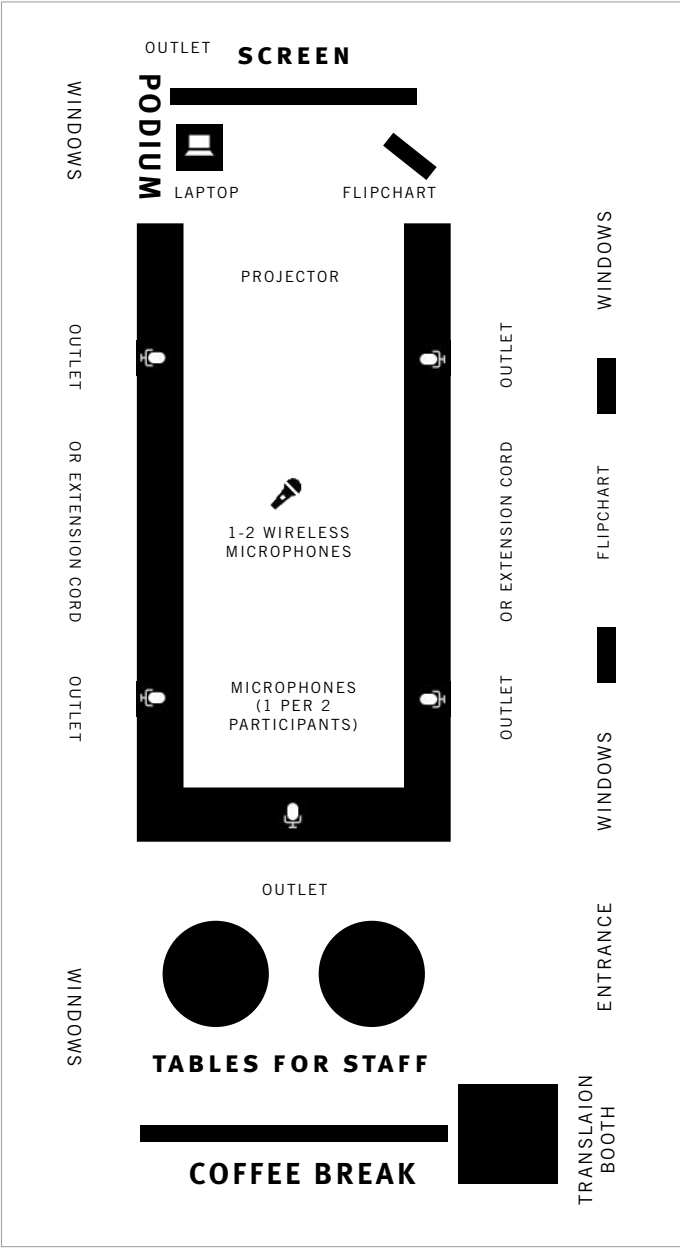
Thursday, 15 March

- 08:00** Registration at Bourbon Hotel, Vitória
- 08:30** Opening, welcome and participant introductions
- 09:00** Field visit reflections
- 09:30** **Plenary discussion:** Past developments, successes, and current key challenges
 - Key stakeholder presentations around challenges
- 10:30** Break
- 11:00** **Discussion continues:** Prioritize current challenges
- 12:30** Lunch
- 13:30** **Breakout group session 1:** Stakeholder perspectives on key challenges
- 15:30** Break
- 16:00** Breakout group reports and plenary discussion
- 17:00** Adjourn for the day
- 18:30** Group dinner

Friday, 16 March

- 09:00** Co-chair reflections and discussions
- 09:45** Breakout group
- 11:45** Lunch
- 13:00** Breakout group reports and plenary discussion
- 14:30** **Plenary discussion:** Next steps for TPL in Brazil and internationally
- 16:00** Adjourn

ANNEX 7:
DIALOGUE ROOM ARRANGEMENT DIAGRAM



ANNEX 8: TEMPLATE FOR DIALOGUE FACILITATION PLAN

The below facilitation plan template provides a tool for organizers and facilitators to track the logistics, key questions, and progress against outcomes for each activity during a dialogue meeting.

THEME:	[Overall Dialogue Theme]	[Insert Date]
MORNING:	[Morning Dialogue Theme]	
AFTERNOON:	[Afternoon Dialogue Theme]	

TEMPLATE FOR DIALOGUE MEETING FACILITATION PLAN

HOURS	TIME	ACTIVITY	OUTCOME	LEAD	QUESTIONS	COMMENTS
		Set up	[Insert desired outcomes for each activity]	[Insert facilitator lead name]	[Insert questions for facilitators and for participants]	[Insert notes to facilitators]
		Registration: At Dialogue venue				
		Plenary: Welcome, introductions, ground rules, background	<ul style="list-style-type: none"> • Orient people to key objectives and participants in the meeting 			<ul style="list-style-type: none"> • Introduce TFD and Initiatives
		Plenary Discussion: Field visit reflections				
		Plenary Discussion: Past developments (successes) and current key challenges	<ul style="list-style-type: none"> • Use this discussion when there has been a lot of conflict in the past. • This would build on the field visits and bring in any other issues. • Want to start off positive by looking at successes but then drill down on challenges 		<ul style="list-style-type: none"> • Does everyone agree with key themes? 	

ANNEX 8: (CONTINUED)

TEMPLATE FOR DIALOGUE FACILITATION PLAN

TEMPLATE FOR DIALOGUE MEETING FACILITATION PLAN

HOURS	TIME	ACTIVITY	OUTCOME	LEAD	QUESTIONS	COMMENTS
		Break				
		Plenary Discussion: Key stakeholder presentations (around challenges)	<ul style="list-style-type: none"> • Give individuals representing “key” stakeholder group a bit of a spotlight 			
		Plenary Discussion: Prioritize current challenges	<ul style="list-style-type: none"> • Agree on the key challenges to be discussed by the breakout groups 			
		Lunch				<ul style="list-style-type: none"> • Co-chairs meet during lunch
		Plenary	<ul style="list-style-type: none"> • Give instructions for break out groups 			
		Breakout Group Session 1: Perspectives on key challenges	<ul style="list-style-type: none"> • Allow for more interaction via small group discussion • Each group produces a brief summary that is then presented to the group 	<ul style="list-style-type: none"> • Co-chairs facilitate the groups. Each group has an assigned rapporteur 		
		Break				
		Plenary: Breakout group reports				
		Dialogue dinner				

ANNEX 8: (CONTINUED)

TEMPLATE FOR DIALOGUE FACILITATION PLAN

The below facilitation plan template provides a tool for organizers and facilitators to track the logistics, key questions, and progress against outcomes for each activity during a field visit. Such facilitation plans are particularly important to keep field visits focused as travel logistics, field discussions, and dialogue topics can deviate from the target process and outcomes if not carefully facilitated.

[DIALOGUE TITLE AND DETAILS]		
DIALOGUE FOCUS:	[Overarching Dialogue Question]	
KEY QUESTIONS OF FIELD DIALOGUE: [List Questions]		
THEME:	[Overall Dialogue Theme]	[Date]
MORNING:	[Theme of field visit]	
AFTERNOON:	[Theme of field visit]	

TEMPLATE FOR DIALOGUE FIELD VISIT FACILITATION PLAN

HOURS	TIME	ACTIVITY	OUTCOME	LEAD	QUESTIONS	COMMENTS
		Load up and depart from hotel	[Insert outcomes for each activity]	[Insert names of leads]	[Insert questions to discuss with participants]	[Insert notes to facilitators]
		Travel to Stop 1 & Stop 2				
		Stop 1 [Location]	Stop 1 [Outcome]		Stop 1 [Questions]	
		Stop 2 [Location]	Stop 2 [Outcome]		Stop 2 [Questions]	
		Travel to Stop 3				
		Stop 3 [Location]	Stop 3 [Outcome]		Stop 3 [Questions]	
		Travel to Stop 4				

ANNEX 8: (CONTINUED)

TEMPLATE FOR DIALOGUE FACILITATION PLAN

TEMPLATE FOR DIALOGUE FIELD VISIT FACILITATION PLAN

HOURS	TIME	ACTIVITY	OUTCOME	LEAD	QUESTIONS	COMMENTS
		Stop 4 [Location]	Stop 4 [Outcome]		Stop 4 [Questions]	
		Travel to hotel				
		Reflection: What participants have seen, heard and thought over the past day relative to the 4 study tour questions	<ul style="list-style-type: none"> Participants agree on key points from the day and prepare for tomorrow's visits 	<ul style="list-style-type: none"> Facilitated by co-chairs or the hosts 	<ul style="list-style-type: none"> What stands out for you today? What are you missing? What solutions did you hear that; you would like to learn/hear/discuss more about? 	



New seedlings grow in the Lake Rotoaira Forest under the shadow of sacred Mount Pihanga. Lake Rotoaira Forest is managed by Māori in the North Island of New Zealand. TFD explored Māori forestry approaches, the role of forestry in achieving climate change commitments, and opportunities for linking reforestation to ecosystem services through the Tree Plantations in the Landscape dialogue held in New Zealand in 2018.



