



The Forests Dialogue

Strategic Plan 2011-2015

ENGAGE! EXPLORE! CHANGE!

TFD STEERING COMMITTEE 2014

LENNART ACKZELL
Federation of Swedish Family
Forest Owners

CHRIS BUSS
International Union for the
Conservation of Nature (IUCN)

JOJI CARIÑO
Forest Peoples Programme (FPP)

PETER DEWEES
The World Bank

GARY DUNNING
The Forests Dialogue (TFD)

JAMES GRIFFITHS
World Business Council for
Sustainable Development (WBCSD)

JEANNETTE GURUNG
Women Organizing for Change in
Agriculture and Natural Resource
Management (WOCAN)

KALYAN HOU
The Center for People and Forests
in Cambodia (RECOFTC)

CHRIS KNIGHT
PricewaterhouseCoopers

SKIP KRASNY
Kimberly-Clark

JOE LAWSON, TFD Co-LEADER
MeadWestvaco Corporation

EDUARDO MANSUR
Food and Agriculture Organization

ANTTI MARJOKORPI
Stora Enso

IVONE NAMIKAWA
Klabin

SARA NAMIREMBE
World Agroforestry Centre (ICRAF)

CÉCILE NDJEBET
African Women's Network for
Community Management of Forests
(REFACOF)

MILAGRE NUVUNGA
Micaia Foundation - Mozambique

GHAN SHYAM PANDEY
Global Alliance of Community
Forestry (GACF)

REN PENG
Global Environmental Institute -
China

MIRIAM PROCHNOW
Apremavi - Brazil

PÄIVI SALPAKIVI-SALOMAA
UPM-Kymmene

TERI SHANAHAN
International Paper

ROD TAYLOR, TFD Co-LEADER
WWF International

DOMINIC WALUBENGO
Forest Action Network - Kenya

1 EXECUTIVE SUMMARY

The Forests Dialogue stimulates multi-stakeholder platforms for discussion, reflection and the promotion of collaborative solutions to difficult issues facing forests and people. Since its establishment in 2000, TFD has engaged more than 2500 key stakeholders from civil society organisations, the private sector, and governments from all over the world in some 40 international dialogues.

TFD is a small but ambitious organisation, with a reach via our governing Steering Committee and Dialogue participants into institutions and organisations that are central to the future of forests and trees in landscapes. We seek to **engage** stakeholders from diverse backgrounds, to **explore** vital but contentious issues – ‘fracture lines’ in forest uses, demands and decision-making, and to **change** thinking and outcomes for the better. We have, for example, provided a vehicle for concerted stakeholder inputs to Forest Law Enforcement and Governance processes in Europe and North Asia, and have spread recognition of the scale of changes required to make REDD work in the tropics. TFD work has also spawned local organisations in a range of countries determined to extend and deepen regional dialogue initiatives.

Over the next five years, from 2011 to 2015, TFD seeks to run up to four concurrent dialogue initiatives *involving up to 40 dialogues*. In 2011 these initiatives are: REDD readiness; Free, Prior and Informed Consent; Investing in locally controlled forestry; and the ‘4F dialogues’ – changing outlooks on food, fuel, fibre and forests. A fifth dialogue on the potential role of GM trees within intensively managed planted forests will also be scoped. To maximise the effectiveness of these dialogue streams, we will sharpen our communication and knowledge management processes over the same period, coordinating the use of information before, during and post-dialogue and targeting materials to key stakeholders.

Drawing on our Steering Committee’s expertise, we will implement a realistic, but aspirational fundraising strategy to expand our business operations and to ensure that TFD’s capacity can meet the growing demand for our approach and activities. In implementing this strategic plan we will aim for best practice in managing risk and in monitoring and evaluating the work of TFD.



2 AN INTRODUCTION TO THE FORESTS DIALOGUE

The Forests Dialogue (TFD) helps forest stakeholders engage in vital but contentious forest issues, to explore them together, and to seek effective changes.

Formed in 2000, TFD provides international forest leaders engaged with forests, forestry and the forest industries with a platform for multi-stakeholder dialogues focused on developing trust, sharing understanding and building collaborative solutions that work for forests and people. Over the last 10 years, TFD has brought together over 2500 diverse stakeholders, many of them leaders of organizations that are highly influential for forests and livelihoods, in dialogues that have addressed eight urgent forest issues.



Once considered an inefficient and costly distraction, dialogue is now accepted as an essential process for achieving improvement within the forest sector. In addition, TFD has been recognized as a useful model for many other sectors. Its work has raised the visibility of and promoted collaborative solutions to the issues it has tackled. Over the last 10 years, TFD has moved from a single dialogue structure to an initiative-based, action-oriented approach. It has progressed from focusing on trust-building and shared understanding to achieving tangible and collaborative outcomes. TFD's Steering Committee and initiative participants have effectively promoted consensus-based outcomes, working through both their own organizations and within networks formed through dialogue processes. Outcomes have been communicated through a variety of means including press conferences, presentations, publications, web-based communications and follow-up meetings – with an objective of creating and realizing opportunities for positive change.



TFD HIGHLIGHTS 2000 - 2010

- **TFD's dialogues have covered eight urgent issues:** forest and biodiversity conservation; forest certification; illegal logging; intensively managed planted forests; poverty reduction and commercial forestry; forests and climate change – focused on REDD financing and readiness; investing in locally controlled forestry; and free, prior and informed consent.
- **Since 2004, TFD has produced key publications, recognized as internationally influential on forests issues,** e.g. the 'Beyond REDD' consensus statement by a group of 250+ forest sector leaders stimulated by TFD.
- **TFD has served as a catalyst and model for partnerships, and has helped defrost frozen relationships,** e.g. between Indigenous Peoples' groups and the World Bank, and between the World Business Council for Sustainable Development and WWF.
- **In Brazil, an autonomous dialogue organization focused on national issues was formed – inspired by TFD and supported by it for the first 2 years.** Follow-up local dialoguing has been evident in numerous other countries (e.g. Bolivia, Malaysia, Russia, Nepal, Indonesia, Ghana, Guatemala, Uganda and Kenya) as a direct result of TFD initiatives.





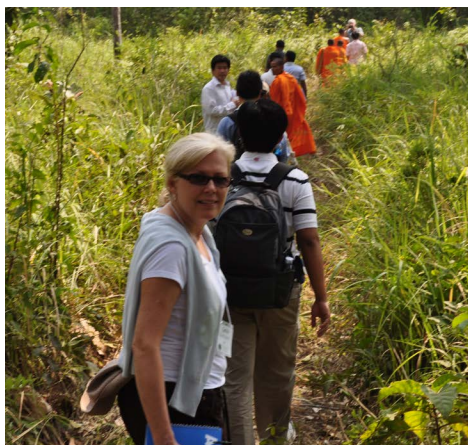
3 WHY TFD? WHY NOW?

KEY DRIVERS AND TRENDS AFFECTING FORESTS

Although the fundamental importance of the world's forests for both human and planetary well being is now widely recognized, decades of effort to better conserve and manage forests have delivered mixed results, at best. Deforestation and forest degradation continue at persistently high rates and in ways that threaten irreversible change to global climate systems, a biodiversity extinction crisis, and continued impoverishment of many of those who depend on forests for livelihoods. Despite a global focus on good governance, and increased recognition of Indigenous and local peoples' rights in forests, the governance of many forests remains weak, with adverse consequences for both people and forests. Population and economic growth, and demographic and societal change such as rapidly rising consumer demand in many countries including India and China, exacerbate many of the pressures on forests, but also create new opportunities for conservation, sustainable management, and restoration. Future strategies for food, fibre, water and energy security, and the mitigation of climate change need to be able to 'do more with less' in the context of finite resources and increased consumption. If they go wrong, these strategies could dramatically accelerate forest loss and degradation. If they go right, they will integrate diverse and negotiated decisions about land and resource use and enable innovative policy responses that help sustain forests, and their values and services.

EXAMPLES OF DIALOGUE CATALYZING CHANGE

- ➔ Triggered by post-dialogue pressure, the Chinese government took demonstrable action on illegal logging, as indicated by the closure of Nanxun Sawmill in Guangdong Province.
- ➔ By providing a vehicle for civil society input, TFD had direct influence on the Europe and North Asia Forest Law Enforcement and Governance process leading to the St Petersburg Declaration and providing a catalyst for events leading to the US Lacey Act being amended to ban commerce in illegally sourced timber.
- ➔ Broad stakeholder engagement and consensus was achieved on key issues in intensively managed planted forests, with uptake in a range of international processes and debates (e.g. by FAO), and reduction of conflict amongst in-country stakeholders.
- ➔ A community of practice on REDD readiness was formed, with direct influence on REDD strategy in Brazil, Guatemala, Ghana, Ecuador and Cambodia, whilst recommendations from TFD dialoguing on REDD financing were fed directly into the international 'REDD+ Partnership.'
- ➔ TFD facilitated the creation and supported the development of a critical international super-alliance for locally controlled forestry, between the International Alliance of Indigenous and Tribal Peoples of the Tropical Forests, the Global Alliance for Community Forestry and the International Family Forestry Alliance.



DIALOGUE

A CRUCIAL FOUNDATION FOR ADDRESSING MANY FOREST-RELATED PROBLEMS

Sustaining forests and the livelihoods derived from them will remain elusive until we tackle stubborn old problems, manage new pressures, and seize new opportunities. Amongst the myriad reasons why this remains so difficult, the different realities and unequal powers of those with a stake in forests repeatedly emerge as a fundamental constraint. Forest-related issues are perhaps unique in the range of scales, timeframes, players, goods and services involved – and it is the conflicting views and powers about all of these that make some issues so intractable.



TFD believes that considered and structured dialogue is fundamental to meaningful change. For TFD, ‘dialogue’ is not just another word for ‘conference’ or ‘talk-shop’, but a managed process for participants to learn from each other and catalyse change. In forests, as in other arenas where conflicts are strong and entrenched, dialogue is now widely recognized as the essential basis for their resolution and the demand for dialogue on key forest issues (including those that catalysed the establishment of TFD) remains strong.



Dialogue for TFD means getting stakeholders with different views engaged, enabling them to take a respectful and structured approach to contentious issues, build a shared understanding and common interest, and to contribute to positive change in challenging forest-related issues. This is what distinguishes good dialogue from adversarial debate and back-and-forth discussion. It dispels stereotypes, builds trust, enables people to be open to perspectives that are very different from their own, and prepares for collaborative action. But such dialogue is a delicate process and without careful preparation the process can be undermined by fear, the display or exercise of power, mistrust, distractions, and poor communication.

TACKLING DIFFICULT FOREST ISSUES WITH EFFECTIVE DIALOGUING



TFD aims for well-structured dialogue on chosen issues within the forest sector. It builds a rigorous, bottom-up form of dialogue, structured to ensure that stakeholders’ concerns are well-represented and that their voices and contributions are equally heard and balanced in the dialogue process. Techniques range from intimate, small-group dialogues to large forums involving hundreds of participants. Direct engagement with issues on the ground at key field sites is a key component of many dialogues. Internet-based communication methods are sometimes integrated into these initiatives to overcome barriers of scale, geography and time.



DIALOGUE

A CRUCIAL FOUNDATION FOR ADDRESSING MANY FOREST-RELATED PROBLEMS

The steps in each dialogue initiative vary depending on its specific purpose, the process applied, and available resources.

TYPICAL STEPS INCLUDE:

- ➔ Issue identification and clarification
- ➔ Preparatory work and collation of background papers
- ➔ Translation for all participants
- ➔ Introduction of stakeholders
- ➔ Establishment of ground rules
- ➔ Sharing experience
- ➔ Exploration of views
- ➔ Analysis and reasoned argument
- ➔ Decisions on action steps or recommendations



Consistent with established principles of successful multi-stakeholder dialogue processes, and based on its decade of experience, TFD pursues its mission by following a structured, phased approach to each of its initiative topics:



- 1. PHASE ONE – ‘ENGAGE’:** Identify the key issues, build trust among leaders, share perspectives and information.
- 2. PHASE TWO – ‘EXPLORE’:** Seek consensus about the main challenges and opportunities to collaboratively solve a particular forest-related ‘fracture-line’ issue.
- 3. PHASE THREE – ‘CHANGE’:** Actively promote and facilitate stakeholder actions that lead to collaborative solutions, with impact in policy and on the ground.



Ownership, support and promotion of the results by participants are key factors to the success of each dialogue and initiative.

4 TFD PURPOSE, MISSION AND GOAL FOR THE PERIOD TO 2015



PURPOSE:

Better forests, improved livelihoods. To contribute to sustainable land and resource use, the conservation and sustainable management of forests, and improved livelihoods by helping people engage and explore difficult issues, find collaborative solutions, and make positive changes.

MISSION:

Dialoguing can bring change. To pursue our purpose through constructive dialogue processes among all key stakeholders, based on mutual trust, enhanced understanding and commitment to change. Our dialogues are designed to build relationships and to spur collaborative action on the highest priority issues facing the world's forests.

GOAL FOR THE PERIOD TO 2015:

Engage 2000 diverse, forest sector leaders in dialogues that catalyse change in forest issues that matter. Conduct at least four dialogue initiatives aimed at tackling contentious forest-related issues, and help stakeholders convert the results into effective international, national and local action.

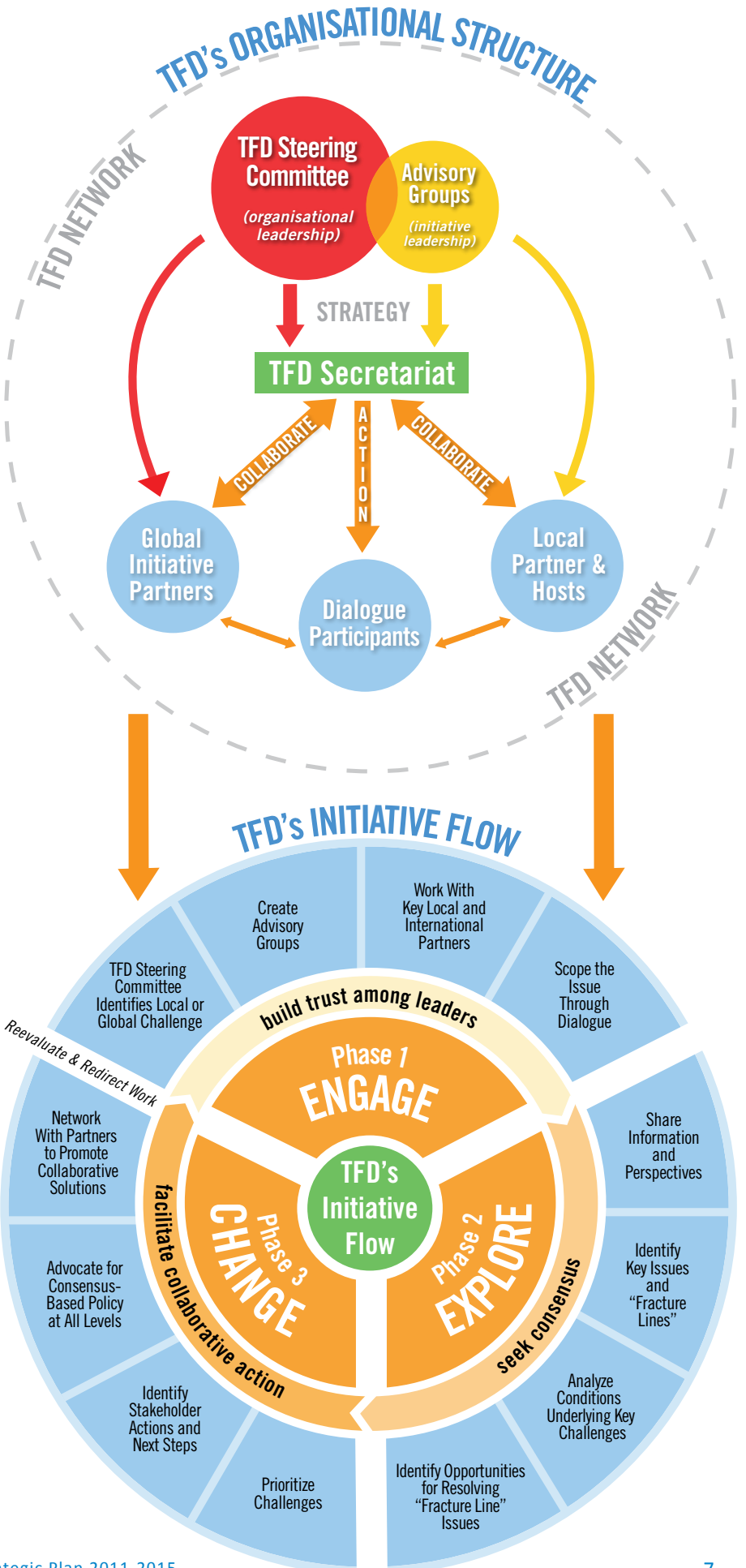


While TFD's purpose and mission have changed little over the past decade, the means by which we address key forest issues has evolved with experience. So too has TFD's Steering Committee, which began as a collective of like-minded but relatively diverse stakeholders looking for a more civil means to share concerns over forest conservation and management and, at the same time, build durable relationships. The Steering Committee has evolved into a large network of proactive leaders focused on developing collaborative solutions and, in the best cases, working together to implement changes on the ground (see Section 6).





The Forests Dialogue



Strategic Plan 2011-2015



5 STRATEGIC ACTIONS TO 2015

DIALOGUE INITIATIVES AND UPTAKE OF RESULTS

→ **Up to four concurrent dialogue initiatives involving up to 40 dialogues by 2015.** TFD will manage a maximum of four concurrent dialogue initiatives at any one time over the period to 2015. Individual dialogue initiatives will phase in and out over this period. Some initiatives will require considerable ‘incubation’ time, during which their relevance, possible objectives and potential supporters are explored. There is no fixed duration for an initiative – although all initiatives will be brought to conclusion at some point – the time required to complete them is dependent on the issue, the depth of stakeholder engagement, the opportunities for action that are developed and the support generated.

THE PLAN PERIOD BEGINS WITH 3 ACTIVE DIALOGUE INITIATIVES ON:

- ‘REDD readiness’
- ‘Free, Prior and Informed Consent’
- ‘Investing in locally controlled forestry’



A fourth initiative, on the ‘4Fs - changing outlooks on food, fuel, fibre and forests’, is being phased in over the first year while one of the existing initiatives begins to be phased out. Another initiative, on the potential role of GM trees within intensively managed planted forests, will also be scoped but any decision to move forward with it will be dependent on scoping outcomes, relative stakeholder priorities and resourcing requirements.



Some initiatives appeal to certain stakeholder groups and geographies more than others – so TFD aims to maintain a reasonably balanced set of initiatives at any one time across groups and locations. Whilst maintaining a clear view on our purpose, mission and goal, it is vital that TFD retains the flexibility to take on issues as they become imperative and as capacity allows. Flexibility is also essential in that the specific outcomes of initiatives cannot be fully predicted at the start, and actions must therefore be adapted and fine-tuned over the course of each initiative (see Section 3). Dialogue initiatives may occasionally be put ‘on hold’ for a while, if circumstances dictate, to optimize their timeliness or impact. Similarly, issues covered in completed initiatives may be revisited or tackled anew if this is critical as circumstances change.



TFD will continue to run its traditionally larger format processes with a maximum of 40 individual dialogues over the plan period. However, TFD will focus increasing effort on smaller-scale dialoguing actions, on between-dialogue actions and on dialogue follow up (see below) to increase the impact on the ground. Over the plan period TFD aims to engage 2000 diverse leaders in this process.



5 STRATEGIC ACTIONS TO 2015

DIALOGUE INITIATIVES AND UPTAKE OF RESULTS

KEY ACTIONS IN PURSUIT OF THE INITIATIVES INCLUDE:

→ **Selection of dialogue initiatives based on criteria for issues, stakeholders and geography.** Issues and ‘fracture lines’ emerge through diverse means in the partner networks of Steering Committee members –usually followed by informal discussion. When a potential dialogue initiative is suggested by one or more members of the Steering Committee, it will be accompanied or followed by a short concept paper.



Concepts are reviewed against a set of established criteria to select those worthy of new dialogue initiatives. These criteria help to make wise choices and to ensure transparency in decision-making.

Criteria used to guide the Steering Committee in its decisions on dialogue initiatives are:

- Significance and priority of the issue in relation to TFD’s purpose, mission and goal;
- Dialoguing potential - the information base, willingness of stakeholders to engage, access to effective analysis, and clear possibilities to achieve impact and change;
- Comparative advantage of TFD on the issues and in the possible locations;
- Indication of interest from local partners and country offices of Steering Committee members’ organisations;
- Likely ability of partners to reach and engage key stakeholders including government, NGOs, Indigenous Peoples and private sector;
- Availability of financial and logistical support.



Finally, across any concurrent initiatives, the Steering Committee aims to achieve balanced representation, notably of geographical regions, forest foci and stakeholder engagement. Similar criteria to those above are used to identify individual dialogue locations and key partners (see Section 6).

→ **An advisory group for each dialogue initiative.** Each dialogue initiative is guided by an Advisory Group consisting primarily of Steering Committee members with a particular interest in the issue. TFD Advisory groups also involve other key partners or external resource people as necessary – such external parties do not form the majority in the groups. Decisions prepared by each group are taken by the Executive Team or put to the full Steering Committee when necessary (see Section 6). TFD’s Secretariat provides each advisory group with secretariat services.





5 STRATEGIC ACTIONS TO 2015

DIALOGUE INITIATIVES AND UPTAKE OF RESULTS

KEY ACTIONS IN PURSUIT OF THE INITIATIVES (CONTINUED):

→ **Complementarity and collaboration with non-TFD initiatives.** TFD will take active measures to assess the “field” on any issue to ensure that any action it takes fills a critical gap and complements rather than duplicates any related actions by others. It will also aim to collaborate directly with those pursuing a similar purpose and mission (particularly in our national-level dialogue initiatives).



→ **Preparing issue diagnoses.** Once an initiative is selected, TFD will prepare – or contract a key party to prepare – a situation analysis or diagnosis of the issues: its dimensions; the state of understanding and response; stakeholders involved; and critical tensions that can be addressed through dialogue. Commonly a small scoping dialogue of some key protagonists in the issue will be convened in this diagnostic process. Sometimes, more substantial international dialogues are useful to scope the issues and form a plan to move forward on them.



→ **Using dialogue mechanisms.** The dialogue mechanisms employed within each initiative will vary over time and circumstance depending on the issues. Typically a combination of large in-country gathering dialogues and an increasing diversity of smaller dialogue groupings and virtual dialogues will be used. In the standard in-country dialogues a substantial field interaction over 1-2 days followed by a 1-2 day intensive face-to-face dialogue component will be the norm. To foster an environment of free and open discussions where participants actively participate, all of TFD’s dialogues are run on the rule that individuals will not be quoted in any subsequent statements, publications or products (a variation of the ‘Chatham House Rule’).

→ **Focusing on broad-based agreement and consensus.** TFD aims to capture and promote the key points and ideas from dialogues for which there is broad agreement and no strong disagreement. Normally the term ‘consensus’ will be used for this, but ‘broad-based agreement’ may be used where context or translation into other languages demands. Before, during and after dialogues TFD will aim to explain clearly to all involved how summaries, conclusions and recommendations are developed and will develop the comprehensive means by which all participants can comment and provide feedback before documents purporting consensus are made public.





FOUR DIALOGUE INITIATIVES ONGOING IN 2011

The first three of the following dialogue initiatives were developed over 2009-2010 and will continue through at least 2011 whilst the fourth initiative will be phased in during 2011. The objectives of these four initiatives are as follows:



REDD READINESS (currently in Phase Three – Change)

- ➔ Raise awareness, and promote engagement and exploration, of REDD readiness challenges among a wide spectrum of local and national stakeholders;
- ➔ Provide well-targeted recommendations to overcome challenges experienced in the REDD readiness phase at the local, national and international levels, the way these levels are linked (for example linking UNFCCC processes, UN-REDD, FCPF, FIP, IWG-IFR and other multilateral and bilateral funds with national and local independent projects);
- ➔ Build a “community of practice” among a group of locally-rooted well-connected REDD protagonists that can continue to engage and make progress on the practicalities of in-country implementation of REDD initiatives.

INVESTING IN LOCALLY CONTROLLED FORESTRY (currently in Phase Three – Change)

- ➔ Ensure that investment streams better strengthen locally controlled forestry and address forest communities’ concerns;
- ➔ Help bridge the gap in understanding, and foster productive partnerships, between investors and rights-holder groups;
- ➔ Contribute to building preparedness to invest in locally controlled forestry among all actors.



FREE, PRIOR AND INFORMED CONSENT (currently in Phase Two – Explore)

- ➔ Share understanding of the basis for FPIC among varied stakeholders including indigenous peoples, forestry companies, development agencies and relevant government bodies;
- ➔ Examine and learn lessons from concrete situations where consent-based approaches have been, or are being, used;
- ➔ Develop mutually agreeable recommendations, improved guidance and increased preparedness for application of effective FPIC approaches to benefit affected parties.

THE 4F DIALOGUES – CHANGING OUTLOOKS ON FOOD, FUEL, FIBRE AND FORESTS (currently in Phase One – Engage)

- ➔ Provide thought leadership, catalyze debate and rally influential stakeholders around the future role and value of forests in relation to food, fuel and fibre in a “one planet economy”;
- ➔ Identify key issues on land-use, trade and lifestyle from a global perspective that warrant further dialogue (at international level or within a specific geography to explore if and how they can be reconciled with local or national aspirations);
- ➔ Establish specific and practical ways forward on key issues, and preparedness to pursue them, amongst stakeholders involved in, or targeted following, dialoguing.



A fifth initiative, on the potential role of GM trees within intensively managed planted forests, will be scoped in 2011 – with any next steps dependent on initial outcomes and resourcing. Further information on each of these initiatives is provided in Annex A.



5 STRATEGIC ACTIONS TO 2015

COMMUNICATION, KNOWLEDGE MANAGEMENT, AND INFLUENCE

Coordinating the generation and use of information before, during and after each dialogue, and each dialogue initiative, is critical to optimising impact and to the overall success of TFD. Under this Strategic Plan, we will seek to communicate and have influence under three broad areas.

LEARNING, INTELLIGENCE GATHERING AND KNOWLEDGE GENERATION



Ensuring that the right information is fed into and generated by TFD at the right time. In addition to installing the learning and knowledge generation approach in the dialoguing itself (see Section 5), TFD will:

- ➔ Track trends in international, national and local market, policy and political environments, and in the identification of stakeholders and their changing needs and demands.
- ➔ Develop at least 10 key publications and other communication products and 5 active networks (generally in the form of 'communities of practice') – one linked to each initiative - under this Strategic Plan.
- ➔ Explore innovative communication methods to complement face-to-face dialoguing such as live web-based debates, provocation seminars and panel discussions.
- ➔ Communicate in a way that supports the generation and management of high quality information and knowledge relevant to our work. We will maintain effective processes in communicating within and between the Secretariat, the Steering Committee, the initiative advisory groups and local partners.



TARGETED COMMUNICATION OF INFORMATION GENERATED BY TFD

Including dialogue reports, policy recommendations/guidelines, briefings, review papers, best practice, case studies and research papers. TFD will:

- ➔ Communicate these outputs via e-news bulletins, social networks, the TFD website, press releases, consensus statements, presentations, conferences and face-to-face meetings with decision makers.
- ➔ Develop material packages for specific target audiences, including dialogue participants, donors, policy makers and practitioners.
- ➔ Provide guidance to support our network and partners in the dissemination of TFD information and in active planning of tactics to have influence.
- ➔ Raise the general visibility and brand of TFD, both formally through the mediums listed above, and informally through the involvement of our Steering Committee members in external networks and processes.



UPTAKE OF DIALOGUE RESULTS

Alongside learning and capacity building through dialogue, and communication to raise general profile and influence, TFD will continue to seek the proactive application of dialogue results by stakeholders. Essential to this is pre-dialogue and post-dialogue communication with stakeholders, including those in the field. TFD will:

- ➔ Develop preparedness and commitment of stakeholders to apply dialogue results – through effective communication with their organisations and the media and through follow up meetings, partnership building and materials.
- ➔ Help stakeholders to develop and commit to plans for influence, and reflect with them on the effects of their efforts to influence change. We will also track the impact of dialogue results with local partners (beyond initial press releases), and install lessons from this into further communication work (see Section 7).



6 ORGANISATIONAL DEVELOPMENT STRUCTURES, SYSTEMS AND CAPABILITIES

Three primary structures define TFD: the Steering Committee; the Secretariat; and TFD's network of key players in many organisations throughout the world. TFD was established to serve the needs of the greater forest stakeholder community and as such is diverse, representative and responsive to that community. By design, no one organization or entity has a majority stake in TFD. There are no permanent seats on the Steering Committee and no single donor exercises undue influence through the scale of their support. The Secretariat is small, lithe, and experienced. It is able to carry out an ambitious set of activities drawing on strong in-country partnerships and the host services and student support provided by Yale University.



STEERING COMMITTEE AND EXECUTIVE TEAM

TFD's Steering Committee consists of up to 25 members and is led by two Co-Leaders. The Committee comprises a dedicated and passionate group of individuals who have been invited to join based on their leadership roles in the forest sector, or other related sectors. Serving three-year terms, which can be renewed once, committee members are chosen for their abilities to help build trust and a shared understanding within a collaborative environment. Between 2000 and 2010, TFD has engaged over 60 Steering Committee members. Past Committee members have effectively formed a de-facto 'alumni' association and TFD will explore how to nurture and manage this vital resource more effectively in the years ahead. The relatively large size of the Committee enables diverse stakeholders and forest issues to be reflected, and its effectiveness stems from its members' abilities to efficiently build vital connections and trust. In recent years the Steering Committee has increased its diversity over geography, stakeholder groups and has improved its gender balance. The challenge is to harness the active engagement of the Committee members whilst respecting the demands of their full-time work commitments outside of TFD. Committee members are typically able to contribute substantial amounts of time and knowledge, without cost, to TFD. Together with other in-kind contributions through travel, meeting facilities etc., the commitments of the members are often substantial. The Committee is supported by an Executive Team, set up in August 2010 to take forward the main decisions of the Committee. The Executive Team consists of five people: the Steering Committee's two current leaders; plus either the two previous or two future co-leaders; and the Executive Director (see Annex B).



TFD AND ITS HOST INSTITUTION - YALE UNIVERSITY

In legal terms, TFD is a program of Yale University but operates with autonomy and independence according to the terms of a memorandum of understanding agreed between Yale and TFD's founders. In 2000, as TFD began to substantially increase its activities, the Steering Committee sought a permanent base for a Secretariat. At the time, the School of Forestry and Environmental Studies (FES) at Yale University in New Haven, Connecticut



6 ORGANISATIONAL DEVELOPMENT STRUCTURES, SYSTEMS AND CAPABILITIES

was interested in broadening its role in forests globally and agreed that TFD was a natural fit. A faculty liaison was appointed to TFD by the Dean to maintain a strong connection between TFD and the School's core mission. The Secretariat has operated as an autonomous program at FES since that time and a new TFD-Yale memorandum of understanding was negotiated in 2011 (see Annex C). TFD and the FES Faculty Liaison Group enjoy a strong relationship with regular communication. TFD maintains its autonomous governance structure, gains access to excellent student interns, and interacts with a world class forest and environment faculty. FES gains connections with a range of international forest debates, and interacts with key organizations on the TFD Steering Committee. This interaction amongst FES Faculty and TFD is expected to produce more specific actions between FES, its students and TFD over the next five years. The Yale base for TFD is not, however, set in stone. Consideration of alternative host institutions, perhaps in other countries, may be appropriate in future years.



TFD SECRETARIAT STAFF

TFD employs a full time Executive Director to lead implementation of the decisions of the Steering Committee (see Annex B for the TOR for the Secretariat and Executive Director). The Executive Director employs staff and secures other services to run the Secretariat. In the past this has generally involved 1 or 2 full- or part-time staff and 2-6 student interns (see below) as needed. Since implementing our phased approach in 2008 and 2009, it has become clear that this structure cannot adequately meet the demand for TFD's services. We aim to increase our capacity to ensure that quality dialogues, useful outcomes and professional operations can continue. We plan to employ a total of four full time staff members by 2015 with clear roles and responsibilities. Under the leadership of the Executive Director and the Executive Team, it is hoped that new program staff will be able to take on much of the professional management of TFD. Funding for these new positions will thus be sought. To ensure that we are able to recruit from a diverse pool of candidates we are currently working to overcome Yale University restrictions on hiring foreign nationals to work in the US. Other options such as hiring via a TFD partner are also being explored.



STUDENT INTERNS

Since 2000, TFD has hired more than 25 FES student interns who have benefited greatly from the Yale/TFD relationship. This programme operates at the Masters and Doctoral levels and the majority of the interns have worked for a few years in NGOs, government or the private sector prior to their advanced degree work, so they bring significant personal experience and skills to TFD. Interns are involved in all aspects of dialogue development and have the opportunity to deepen their understanding of technical and policy issues, working directly with the Steering Committee and accompanying Secretariat staff on dialogues around the world.



6 ORGANISATIONAL DEVELOPMENT STRUCTURES, SYSTEMS AND CAPABILITIES

Most TFD Interns continue to work in the forest sector once they have graduated. Over the next five years the Secretariat will continue to hire Interns and their roles will become more targeted and specific. The prospects for engaging interns from other institutions beyond Yale will also be explored.

TFD NETWORK

With contacts generated through engagement over ten years with more than 2500 key stakeholders from civil society organisations, the private sector, and governments from all over the world, TFD holds a unique resource. This is a growing network of forest sector decision-makers and stakeholders which know about TFD and supports its ambitions. TFD will continue to maintain and develop the database of this network and will reach out to it periodically with updates and information. During the coming years, TFD intends to develop further ways to leverage this network.



SYSTEMS FOR INFORMATION, HUMAN RESOURCES, FINANCE, AND MANAGEMENT

As TFD professionalizes its operations over the next 5 years, considerable attention will be paid to developing and improving systems for organizational stability, efficiency and outreach. The greatest challenge for TFD is to consistently and effectively produce and promote the vast amount of high quality information generated through our dialogues. To improve our capacity in this area, the Secretariat will work closely with Steering Committee members and other organizations to better tap into existing information networks for dissemination, and into human networks to share results and promote action. We will create a knowledge management role within the Secretariat which will assume responsibility for coordinating, sharing and supporting TFD's outputs and will support the improvement of quality control.



ORGANISATIONAL ToRs, POLICIES AND PROCEDURES

To be successful in our purpose, mission and goal, TFD needs to be clear about the objectives, responsibilities, and functions of the various roles and functions described above. This requires some thoughtful management of constituencies and clear terms of reference for the Steering Committee and advisory groups, and clear job descriptions for the TFD Secretariat (see Annex B). TFD also has principles of operation (Annex D) and process guidelines for dialogues and follow-up (Annex E) to guide its Steering Committee, secretariat staff, interns and local partners.





6 ORGANISATIONAL DEVELOPMENT FUNDING STRATEGY AND FINANCE MANAGEMENT

TFD is viewed as a 'no frills', cost effective model by many of our stakeholders. Indeed, one of our greatest strengths has been the ability to do a great deal with very little drawing on our light but effective structure. In our early days, TFD was financed almost exclusively through contributions by Steering Committee members, which provided valuable core funds that could be allocated to salary expenses. This allowed us to focus squarely on the content of our work without spending vast amounts of time fundraising. However, as our work has grown and become more ambitious we have become increasingly dependent on securing external funding for specific proposals. This has been increasingly successful but a continuing challenge remains in securing sufficient support for the Secretariat and core functions – there is a real threat of financial insecurity if this challenge is not well met. One of our primary goals under this strategic plan is thus to stabilize our financial position by maintaining the strong support of our Steering Committee in covering our core budget (annual core costs of the Secretariat in 2011 are about US\$225,000) whilst also developing longer term relationships with key external donors.



STRATEGIC FINANCE GROUP AND FUNDING STRATEGY

A Strategic Finance Group will be formed, of Steering Committee members, charged with developing and leading the pursuit of a five-year funding strategy to enable TFD to implement this Strategic Plan. This funding strategy will include, inter alia: plans for analysis and adjunct material to this Strategic Plan that demonstrates the value of long term investment in TFD, the scale of funds spent on dialoguing versus core costs, the scale and type of in-kind contributions in time, travel and facilities from Steering Committee members, etc; an understanding of donor trends; and an identification of potential donor opportunities and how to tackle them, including opportunities for framework funding related to this Strategic Plan.



FINANCE ROLES AND TARGETS FOR STEERING COMMITTEE MEMBERS

The funding strategy will also include individual roles and targets for Steering Committee members, such as each member being responsible for identifying and liaising with at least one donor in support of the Strategic Plan and specific proposals. Further targets will also be developed related to past practice. In the initial years of TFD's establishment an informal arrangement was made between the World Business Council for Sustainable Development (WBCSD) and our NGO founding organizations to cover the then much lower administrative costs with unrestricted funds. WBCSD has since continued to provide unrestricted funds to TFD for secretariat costs (it provided US\$75,000 a year during 2008-2010). The funding strategy will address how this support can be reinforced with additional funding from a core



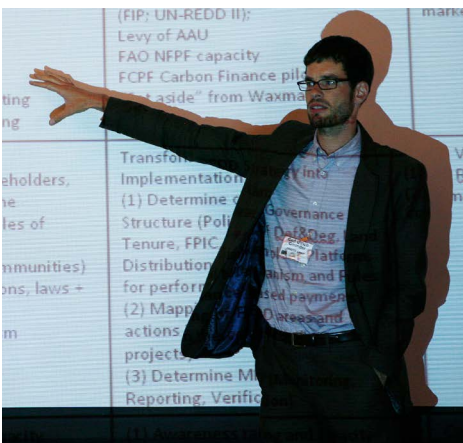
6 ORGANISATIONAL DEVELOPMENT FUNDING STRATEGY AND FINANCE MANAGEMENT



of business groups, intergovernmental organisations and NGOs that have been long term supporters of TFD. We aim to install the principle that each of these three main groups aim to raise a third of the Secretariat running costs (thus, US\$75,000 each on 2011 figures). We will also seek to reduce our costs where possible. We currently cover the full or partial cost of attendance at Steering Committee meetings by members from small NGOs to the tune of around \$70,000 per year. Without compromising the integrity of the Steering Committee by reducing the attendance of these members, they will be urged to secure other sources of funding to support their participation - to help reduce our direct costs, while also releasing more resources to support stakeholder participation in dialoguing.

IMPROVING FINANCE MANAGEMENT SYSTEMS

TFD has developed reasonably practical and appropriately accountable finance management systems over the years. These are delivered within the context of the arrangement with Yale University (see Annex C). However, congruent with a more complex financing environment, this Strategic Plan and the funding strategy, TFD commits to substantial upgrading of its finance management systems to 2015.





7 MONITORING AND EVALUATION, AND RISK MANAGEMENT

In our planning, monitoring and evaluation processes, TFD seeks to implement best practice, drawing on both its own experience and from the learning of other practitioners and institutions. We are committed to adaptive co-learning in the implementation of each dialogue; and to proactive reflection, monitoring and evaluation. We will also take active steps to assess and improve the sustainability of our operations and to manage risks.

MONITORING AND EVALUATION

Our monitoring and evaluation processes, some of which have already been described in Section 5, will aim to put the following principles into practice:



→ **Planning and development** processes that listen and respond to the voices of all forest sector actors. Working on areas that allow us to best deliver against our purpose, mission and strategy whilst analysing situations carefully and adhering to our established criteria on the selection of dialogue initiatives (see TFD principles of operation – Annex D).



→ **Responsive and adaptive practice** in the implementation of our dialogue streams – for example, by creating flexibility in the phasing in and out of dialogue initiatives depending on demand, effectiveness and stakeholder feedback. Our 3-tiered approach to dialogue also allows us to reflect carefully on each dialogue initiative as it is happening and creates space for realistic solutions to develop and evolve over the course of an initiative rather than being forced from the start (see TFD process guidelines – Annex E).

→ **Developing indicators and targets** against which we can measure the progress of our work at an initiative level (e.g. tracking the uptake of dialogue results) and at a broader level, gauging the overall policy influence and change leveraged by TFD.



→ **Regular and systematic monitoring and evaluation** processes that capture the experience and wisdom of participants and key stakeholders about how TFD can better realise its purpose, mission and practice. These processes are both formal (through regular surveys of stakeholders) and informal, internal and external. In addition we will seek to secure resources for periodic independent evaluation of TFD as a whole.



7 MONITORING AND EVALUATION, AND RISK MANAGEMENT

SUSTAINABILITY ASSESSMENT

TFD will assess its operations for their environmental and social impacts, taking water, waste, procurement, travel and energy use into consideration in view of their costs and benefits. We will audit our consumption in these areas and set targets for reductions and increased efficiencies over the period of the Strategic Plan, whilst acknowledging the need for face to face interactions that are at the core of TFDs process and the planned growth of TFD over the same period.



RISK MANAGEMENT

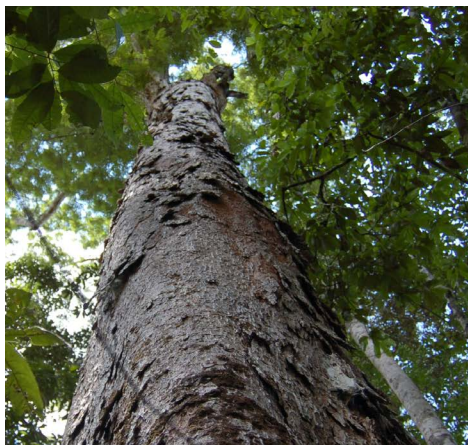
Each TFD initiative will be subject to a risk assessment which aims to identify: the main risks and their implicit assumptions during and after implementation of each main action, the likelihood of their occurrence (low, medium, high), the impact they would have should they occur (low, medium, high) and the risk mitigation and strategies to deal with them. Such an assessment will also be undertaken for the TFD organization as a whole each year in work planning.



CONCLUSION

As noted above, TFD has already produced substantial impact. This impact bodes well and breeds confidence that a 'critical mass' of concerned opinion formers and policy makers will continue to see through the outcomes long after the dialoguing initiatives are completed. Achieving better forestry and better livelihoods from it is a complex process that is bound to take time. But effective, policy-focused outputs of dialoguing can have a long shelf-life due to their relevant subject matter, concise and accessible format, and solid findings. Ultimately, for change to occur, there needs to be pressure from below – from informed citizens who are able to use the capacity and ideas generated through dialogue. All TFD activity will be focused on achieving this.





ANNEXES – AVAILABLE ON REQUEST

A. BRIEFINGS ON CURRENT TFD DIALOGUE INITIATIVES

- A1 - REDD Readiness
- A2 – ILCF
- A3 – FPIC
- A4 - 4Fs
- A5 – GM trees (concept note)



B. KEY TFD TERMS OF REFERENCE AND JOB DESCRIPTIONS

- B1 - Steering Committee ToRs
- B2 - Initiative ToRs
- B3 - Secretariat ToRs

C. TFD – YALE MEMORANDUM OF UNDERSTANDING

D. TFD PRINCIPLES OF OPERATION



E. TFD PROCESS GUIDELINES FOR DIALOGUES AND FOLLOW-UP

F. TFD: PAST, PRESENT AND FUTURE

G. OPTIONS FOR THE FUTURE OF TFD: PROMOTING A PHASED APPROACH (2008)

H. TFD STEERING COMMITTEE BIOGRAPHIES



I. TFD SECRETARIAT WORK PLAN