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## **MULTI-STAKEHOLDER ENGAGEMENT PROCESSES**

**A UNDP CAPACITY DEVELOPMENT RESOURCE**

**Capacity Development Group  
Bureau for Development Policy  
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## ACRONYMS AND ABBREVIATIONS

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<b>CAP2015</b>	<b>Capacity 2015</b>
<b>CD</b>	<b>Capacity Development</b>
<b>CDG</b>	<b>Capacity Development Group</b>
<b>CSO</b>	<b>Civil society organisation</b>
<b>LA21</b>	<b>Local Agenda 21</b>
<b>MDG</b>	<b>Millennium Development Goal</b>
<b>MSEP</b>	<b>Multi-Stakeholder Engagement Process</b>
<b>PNEDD</b>	<b>Programme Nationale Pour l'Environnement et le Développement Durable</b>
<b>NGO</b>	<b>Non-Governmental Organisation</b>
<b>PRSP</b>	<b>Poverty reduction strategy paper</b>
<b>SNV</b>	<b>Netherlands Development Organisation</b>
<b>UNED</b>	<b>Stakeholder Forum around the Rio Conference and the Earth Summit 2002</b>
<b>UNDP</b>	<b>United Nations Development Programme</b>
<b>UNICEF</b>	<b>United Nations Childrens Fund</b>

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## **EXECUTIVE SUMMARY**

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Multi-Stakeholder Engagement Processes (MSEPs) are (structured) processes that are used to ensure participation on a specific issue and are based on a set of principles, sometimes inspired by the rights-based approach to development<sup>1</sup>. They aim to ensure participatory equity, accountability and transparency, and to develop partnerships and networks amongst different stakeholders<sup>2</sup>.

MSEPs can create the conditions for confidence building and trust between different actors and serve as a mechanism for providing mutually acceptable solutions and win-win situations. The inclusive and participatory nature of the processes promotes a greater sense of ownership over its outcomes, and consequently, strengthens its sustainability. MSEPs also stimulate transparent and inclusive decision-making, strengthened stakeholder networks, accountability, and a sense of empowerment, thereby contributing to improved governance.

The paper makes the case that MSEPs will only have the desired effect when all parties have the relevant capacities, knowledge and experience, together with the desired commitment, to engage effectively. In addition, evidence from case experiences suggests that it requires strong leadership and motivation to engage in an MSEP, a network of conducive formal and informal institutions that can be relied upon for action, and most importantly, a balance in power relations between stakeholders.

The paper concludes with a discussion of the roles of international organisations in the promotion and implementation of MSEPs processes. For UNDP, this responsibility comes with being a catalyst of more integrated approaches to human development, and its involvement with the governments, civil society organizations and the private sector, to get there. The key areas that UNDP should invest in are:

- Support for the more effective use multi-stakeholder approaches in national and local level policy formulation and implementation. This moves beyond the “stakeholder consultations” techniques around already stated plans and programmes, to ensuring serious engagement of different groups to help articulate those very plans and programmes to begin with, so that they are framed in multi-sectoral development content and processes.
- Capacity strengthening of key stakeholders – especially local leaders and CSOs - to engage effectively in MSEPs. The provision of training in participatory methods, communication and leadership skills, access to knowledge on the issues at hand, and sharing of good practices of MSEPs serves this end.

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<sup>1</sup> In particular, including freedom of association, the right to participate in political processes and freedom of opinion, speech and expression

<sup>2</sup> Loosely based on Hemmati

## **1. INTRODUCTION**

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Multi-Stakeholder Engagement Processes (MSEPs) are (structured) processes that are used to ensure participation on a specific issue. Based on a set of principles, sometimes inspired by the rights-based approach to development<sup>3</sup>, they aim to ensure participatory equity, accountability and transparency, and the creation of partnerships and networks amongst different stakeholders<sup>4</sup> for improved dialogue and decision-making in all stages of planning and implementation.

MSEPs are increasingly used in dealing with complex development questions, particularly in terms of sustainability, to strengthen capacities for engagement, effective participation, and joint implementation of priority development actions by different stakeholder groups. They help create the conditions for confidence building and trust between different actors and serve as a mechanism for providing mutually acceptable solutions and win-win situations. The inclusive and participatory nature of the processes creates a greater sense of ownership over its outcomes, and consequently, strengthens its sustainability. MSEPs also promote transparent and inclusive decision-making, strengthened stakeholder networks, and a sense of empowerment, thereby contributing to good governance.

In the ideal scenario, this benefits all three categories of stakeholders involved: those who make the decisions, those who implement them, and those who are affected by them. But this requires that all parties have the relevant capacities, knowledge and experience, as well as valid perspectives, to engage effectively. In addition, evidence from case experiences suggests that MSEPs also require strong leadership and motivation to engage in a MSEP, a facilitating environment with conducive formal and informal institutions, and balanced power relations between stakeholders.

This paper will draw from the existing evidence – however scattered and diverse – to identify those factors and capacities that make a MSEP ‘truly’ participatory, in the sense that participation is not only a question of the *number* and *type* of stakeholders involved, but also of the *intent and extent* of their role in the process. Starting from the premise that MSEPs can be important vehicles for capacity development and empowerment, it will focus on key elements for success of such processes, ranging from the enabling environment to capacity requirements for effective engagement. The paper will also look at the issue of monitoring & evaluation. It concludes with a discussion of the role that UNDP and other development partners can play to support a multi-stakeholder approach to development interventions.

## **2. LINKAGES BETWEEN MSEPS AND PARTICIPATION**

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The multi-stakeholder approach to development is sometimes accused of being ‘nothing new under the sun’. Stakeholder participation has long been part and parcel of development interventions, and its potential benefits well-argued. However, there is a consensus that the participatory approach to development – for example in community-based development projects in the ‘50s and ‘60s – did not succeed in ensuring ‘true’ stakeholder participation. Participation often meant inviting the poor to be informed of new projects, or to solicit their support for decisions that had already been made; it remained far from putting stakeholders in the driver’s seat.

Although the evidence for MSEPs is also mixed, they have shown their potential for being ‘empowering’, especially in situations where sustainable results require cooperation between different actors, and where decisions taken by one party alone may be inadequate, or may not necessarily be shared by others.

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<sup>3</sup> In particular, including freedom of association, the right to participate in political processes and freedom of opinion, speech and expression

<sup>4</sup> Loosely based on Hemmati

The literature on participation contains many ‘typologies’, ‘ladders’ or ‘continuums’ of participation that range from ‘passive’ participation to ‘self-mobilization’, based on<sup>5</sup>:

- the moment at which stakeholder participate (e.g. right from the beginning, only at the end, throughout the entire process)
- the objective of their involvement (e.g. information, consultation, decision-making, implementation)
- the desired or perceived impact of their participation (e.g. mobilizing popular support, creating ownership)

For a MSEP to be effective or ‘empowering’, it needs to be on the ‘active’ side of the continuum, involving stakeholders at an early stage in the process (often even in its design), promoting their agency to choose whether they wish to participate, and giving them space to influence the process’ outcome. Even more important, they should create a (safe) space where different stakeholders meet, interact, and learn from each other, and where informal dynamics and ‘social capital’ are built, that will have an impact beyond the scope of the MSEP itself. As such, capacitating or empowering MSEPs not only strengthen the capacities needed to participate in that particular process, but the capacities needed to engage in democratic processes more widely. As such, initiating or participating in an MSEP can be a political statement, especially if the process develops into a larger social movement that develops organically or into a more formal network.

### **3. MULTI-STAKEHOLDER ENGAGEMENT PROCESSES IN APPLICATION**

There is no single approach to MSEPs, which can be applied at the global, national and local levels, and the exact nature of the process will depend on the issues to be addressed, the specific culture of participatory decision making in a given context, the specific objectives, the stakeholders, the costs and time available, and the expertise - both technical and process related – at hand, particularly facilitation. **Table 1** offers a rough categorization of MSEPs organized by levels.

**Table 1: MSEPs organized by levels**

<b>Level</b>	<b>Possible Objectives</b>	<b>Some Examples</b>
<b>International</b>	Dialogue Consensus building Informing policy processes Influencing decision-making	World Commission on Dams UNED forums Community Dialogue Spaces Global Call Against Poverty
<b>National</b>	Dialogue Consensus building Informing policy processes Influencing decision making Planning Implementation Monitoring and Evaluation	Elaboration National Sustainable Development Plans Democratic Dialogue National Development Visions (African Futures project) PRSP processes Scenario building Literacy Campaigns
<b>Local</b>	Dialogue Consensus building Informing policy processes Influencing decision making Planning Implementation Monitoring and Evaluation	Integrated Rural Development Planning Local-level monitoring of the MDGs
<b>Community</b>	Dialogue Planning Implementation Monitoring and Evaluation	Natural Resources Management (Capacity 21 Ghana) Community-based development

Irrespective of the level, the underlying objectives of a MSEP can be the same – e.g. dialogue and networking – and for both, the question of participation is crucial. This is related to the need of ensuring inclusiveness, so that stakeholder groups truly participate and not just rubber-stamp decisions.

<sup>5</sup> DFID – Tools for Development: A Handbook for those Engaged in Development Activity

The section below will look at a number of different application areas of MSEPs to identify how they help strengthen the capacities for transparent and inclusive decision-making, strengthened stakeholder networks, and a sense of empowerment.

### 3.1 Visioning, Planning and Implementation for Pro-Poor Development

The Millennium Development Goal (MDG) targets – because of the inherent linkages between them - provide a powerful incentive for the use of multi-stakeholder and multi-sectoral planning and budgeting at both the national and local levels. For example, if girls' education is enhanced, it will have an impact on the goal of children's nutrition, child mortality and maternal mortality rate. Similarly, environmental regeneration has a positive impact on time-use of girls, who then can enroll in schools. MDG strategies should therefore attempt to identify those policies that are mutually synergetic, cover more than one sectors and help achieve more than one goal.

To develop such strategies, requires processes and provisions that facilitate the sharing of common visions and goals – based on a common understanding of the problem at stake -, inter-sectoral institutional arrangements, and good governance mechanisms - both for effective participation, information availability and implementation arrangements – across the government, civil society and the private sector.

- **Examining Alternative Pathways to a Common Vision**

MSEPs can serve as a key mechanism for policy dialogue and visioning on key issues such as HIV/AIDS (**Box 1**), or a long-term development vision (**Box 2**). Care must be taken though to ensure that there is no exclusion of the vulnerable groups in the community and their skills and confidence will need to be built if they are to be active and equal participants in the process. There also needs to be attention for power differences between different stakeholders, and the possibility of 'elite-hijacking', allowing the voice of the elite to over-rule that of the masses.

**Box 1: Scenario-building for HIV AIDS<sup>6</sup>**

The AIDS in Africa project is an example of a scenario-building process. Such a process is about the creation of 'rigorous stories about the future' that can help people in imagining what the future will look like, and what this implies for the decisions they need to make today<sup>1</sup>. The outcome is not one, but a number of scenarios, allowing for different perspectives, rather than pushing for consensus.

Scenario building is most commonly used in situations that are highly complex and difficult to capture, that are impacted by an uncertain external environment, and that require a long-term perspective and focus. The process is spread out over a number of months (1 year in the case of the AIDS in Africa project; a couple of months in the Mont Fleur Scenario Processes in South Africa in 1991), which places certain requirements on the amount of time and resources needed to bring the process to a successful end.

In the case of the AIDS in Africa project, the scenario building exercise was preceded by an orientation workshop in which 50 participants developed a joint understanding of the 6 key themes/issues concerning the HIV/AIDS situation in Africa. In the period between this workshop and the next, research papers were prepared on each of these issues that served as inputs for the scenarios that would be developed. Using the research papers and their own knowledge, the participants defined, for each theme: its current reality, controversies, key uncertainties and inevitable changes. Combining these, they then formulated the focal question that would guide their scenario: "in the next 20 years, what factors will drive Africa and the world's response to the HIV/AIDS epidemic and what kind of future will there be for the next generation".

Small groups were formed to elaborate a possible scenario, and these were presented to the larger group in the plenary. In a final workshop, the selected scenarios –which had been reworked and turned into stories - were presented for review, and validation<sup>1</sup>.

The outcome of a scenario building process can help "a group/organisation/community respond to that situation should the event arise". In a more pro-active setting, the scenarios can be starting point for mapping out strategies to move towards the desired future.

<sup>6</sup> AIDS in Africa – Scenarios for the Future  
<http://aidsscenarios.unaids.org/scenarios/default.asp?Chan=C107>

## Box 2: Visioning for the future

The Sierra Leone visioning 2025 exercise was designed as a participatory process aimed at building a national consensus on where the country ought to be in the year 2025, and to develop a national strategy to achieve this vision. The process was meant to run over a period of 1 ½ years, starting with issue identification, and basic studies, and moving on to scenario building and the development of strategies and policies. According to the project document, *“The process employed to articulate the vision and build a consensus on it will also enhance the right and capabilities of citizens to participate actively in shaping the destiny of the nation and will enhance natural leadership to pursue a common goal.”*

A National Core Team was created to manage and oversee the programme, which received advice and guidance on the design and implementation of the process from a National Steering Committee. This committee of 10 – 12 members included representatives of the government, parliament, private sector, universities and a range of civil society organizations, to ensure representation of all major stakeholders from the beginning.

A well-known dialoging mechanism which focuses on commonalities and helps bring about cohesiveness of stakeholder groups is the future search conferences. Future Search conferences, like scenario building exercises, are forward looking processes. However, contrary to scenario building, they do not promote differences, but instead focus on commonalities and common viewpoints, and hence, are not ideal in situations of conflict or strongly opposing views.

The methodology for Future Search has been tried and tested in all parts of the world in different settings and sectors. On the basis of these experiences, a common process methodology has been developed, and a number of key factors for success have been identified. The process would typically bring together a group of 60 – 70 participants, sometimes split up in to smaller groups. They work together during 3 days to review their past, explore their present, create ideal future scenarios, identify common ground and make action plans. The process itself will be designed in a participatory manner, calling for the organization of preparatory meetings with all stakeholders to define its purpose, agree on the programme, decide on the invitations list, organise the logistics and introduce the facilitators. Since the process ends at the planning stage, it requires strong leadership to have an impact beyond the conference. An example of a Future Search Conference is the process that UNICEF used in Southern Sudan to work on the future of Sudan’s children and on the situation of demobilized child soldiers.

- **Cross-Sectoral Planning for Poverty Reduction**

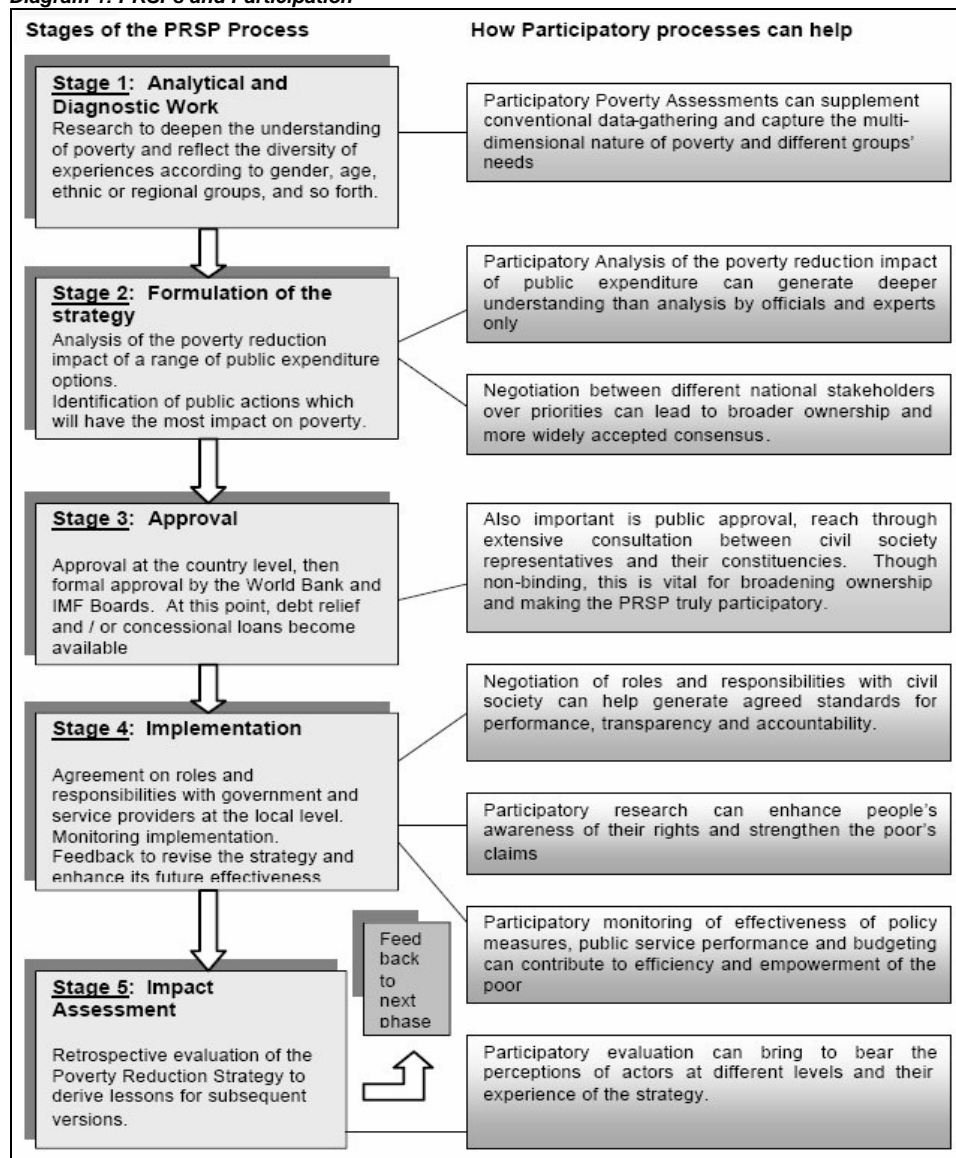
Early examples of multi-stakeholder processes for cross-sectoral planning are the elaboration of Poverty Reduction Strategy Processes (PRSPs). Although the experiences are mixed, there are examples where they contributed to the transparency of decision making, and as a result, to better decisions. In turn this improved government accountability to the people and helped increase the overall governance and economic efficiency of development activities<sup>7</sup>. **Diagram 1** below<sup>8</sup> shows the PRSP as a reiterative process and provides guidance on the different entry points for the participatory process. Each different step has specific capacity development implications, ranging from diagnostics to monitoring and evaluation, and the visioning and technical skills for pro-poor policy development and implementation.

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<sup>7</sup> Organizing participatory processes in the PRSP S. Tikare, D. Youssef, P Donnelly Roark, and P Shah.

<sup>8</sup> Source: IDS policy briefing #13 April 2000

**Diagram 1: PRSPs and Participation**



**• Inclusive Planning Processes for the MDGs at the Local Level**

Integrated approaches to planning at the local level are also mechanisms to build these various capacities. They tend to use multidisciplinary teams to ensure an integrated approach to problem analysis at the community level. They stress the importance of community members and their indigenous knowledge in the analysis of their problems and the search for appropriate solutions. A participatory process engages the community in learning about itself and its particular situation and makes development decisions based on that learning. Other similar approaches include Participatory Learning Methods (PALM), Participatory Rural Appraisal, Participatory Diagnostic, Rapid Assessment Procedures (RAP) and Rapid Rural Systems Analysis (RRSA).

Participatory planning is a specific tool to engage community members and other stakeholders in the analysis of their situation and the development of appropriate plans to manage their physical and social environments. Planning exercises can serve as excellent starting points for developing integrated approaches to challenging development problems. The participatory planning process also provides an excellent opportunity for the building of partnerships. It assists communities in developing confidence and setting out their priorities as evidenced by the examples below from the Kenya Capacity 21 Programme, Kendelevu (**Box 3**).

### Box 3: The Kenya Capacity 21 programme – Kendelevu: Participatory Planning Empowers Communities.<sup>9</sup>

The Kenya Capacity 21 was implemented on a relatively small scale but it has had a number of remarkable achievements especially in the five pilot districts, adding value to the lives of communities and individuals, through the development of skills in participatory methodologies.

The participatory evaluation of the programme concluded that the groups which had undergone training illustrated empowerment characteristics as shown by their level of confidence and communication. The groups also expressed that they had developed better skills of resource mobilization and prioritization of problems and allocation of resources to address the problems, which they attributed to the training by Capacity 21 KENDELEVU. The training skills attained are highly appreciated by the participants within the districts. They have a better understanding of participatory approaches and the value of stakeholder participation including community members in planning and decision-making. "*The approach of Capacity 21 is good in that it has improved the capacity of district staff in participatory planning*". These were the words of the District Development Officer of Turkana District. In addition, due to the training conducted in participatory methodologies, district staff anticipates that the process of community development will be more effective with such skills.

The tool kit on participatory methodologies which was developed by Kendelevu is also used in the districts especially by the trained team who participated in the training of trainers' workshop. This is used by the trained team of trainers to train other community members. This is part of the process of establishing systems and process for integrated rural development.

World café's also provide a mechanism for consultations that can be instructive for the planning process. The World Café methodology is based on the age-old process through which people arrive at new insights and understanding through a series of conversations.

Its website<sup>10</sup> specifies that it is most useful to: "generate input, share knowledge, stimulate innovative thinking, and explore action possibilities around real life issues and questions; engage people – whether they are meeting for the first time, or are in established relationships – in authentic conversation; to conduct in-depth exploration of key strategic challenges or opportunities; to deepen relationships and mutual ownership of outcomes in an existing group; to create meaningful interaction between a speaker and the audience; and to engage groups larger than 12 (and up to 1200) in an authentic dialogue process". The methodology is less useful, for example, to design detailed action plans or implementation strategies, or for small groups.

World Cafés are about creating a safe space for people to engage in dialogue around the issues that they themselves consider important. The process can be used for an hour or can stretch out over a couple of days (usually in combination with other tools). Various rounds of conversation are used to arrive at a deeper understanding of the issue at stake.

#### • Promoting Accountability

The accountability of local authorities is determined largely by the mode, organizational composition, and tradition of local governance in a given context. When local governance is characterized by devolution – implying a considerable degree of local autonomy from the center, the exercise of power by elected local councils, and effective people's participation – it is more likely that local authorities are responsive to local concerns rather than to the dictates of central government<sup>11</sup>.

The common underlying belief is that shifting responsibilities for service delivery to the local level should help ensure that decisions and resource use reflect the needs and priorities of local citizens. But that process is not automatic. It needs to be accompanied by more sensitive and effective mechanisms by which citizens, including the poor, can participate in decision-making processes and so influence policy outcomes and expenditure choices. It also requires effective mechanisms to ensure that local governments are held accountable by local citizens for the policy and expenditure choices that they make.

<sup>9</sup> Africa 2000+ Participatory evaluation of the Kenya capacity 21 programme

<sup>10</sup> <http://theworldcafe.com/index.html>

<sup>11</sup> Pratchett, L. - New Technologies and the Modernization of Local Government: an Analysis of Biases and Constraints. In: Public Administration, Volume 77, Issue 4, 1999.

Participatory budgets are a well-known mechanism for this. First introduced in a few Brazilian cities in 1989, they are currently being used by 300 municipalities worldwide. Though the underlying principles tend to be the same for each process, as for most MSEPs there is no 'one size fits all' blueprint. Because of the process' multi-faceted nature (which has a participatory, budgetary, normative and territorial dimension) it is designed differently in each setting. For example, in Porto Alegre 100% of the budget is allocated and managed in a participatory manner, where as in most Brazilian cities this is only between 2 and 10 percent.

The underlying premise of the approach is that a participatory budget will enhance urban good governance, by deepening and expanding participation, and by increasing effectiveness. Evidence has further shown that participatory budgeting can result in better quality accountability systems (through closer relationships between local officials and civil society), improved equity and enhanced public safety.

However, this implies that a number of preliminary conditions are in place. Experiences with participatory budgeting in Latin America and Africa point out that the most important of these is political will among local authorities to develop the budget in a participatory manner. Similarly important are the existence of a vibrant civil society and a citizenry interested in the process, as well as a clear and shared definition of the rules and procedures governing the process. In addition, there needs to be a will to develop the capacities of the population and municipal officials in public budgeting, and the ability to disseminate information widely. This helps ensure the transparency of the process and to generate confidence and ownership over its outcome.

A comparative study of the University of Birmingham in Kenya and Tanzania, revealed other conditions that need to be in place for citizen participation and local accountability. These lessons are shared in **Box 4**.

**Box 4: Lessons on Local-level Accountability from Uganda and Kenya<sup>12</sup>**

The assumption underlying much discussion of decentralisation, namely that decentralisation of decision-making will automatically result in decisions that more accurately reflect the needs and priorities of local citizens, seems naive. For participation to work effectively, information needs to be shared widely and strategically, and this is not yet the case in either Kenya or Uganda.

Similarly, the ability of local institutions, such as civil society organisations, to engage with decentralised political and administrative structures in debate about resource use and service delivery remains weak in both countries. Thus, the capacity of local civil society organisations, as well as local governments themselves, needs to be strengthened if local accountability is to be improved.

However, there are some valuable examples of good practice in each country. These are often associated with committed and effective local leadership - and particularly with good working relationships between local officials and councillors. External pressure is also important: from civil society organisations (particularly in Kenya), the media, especially local radio (particularly in Uganda), central government monitoring, and donors.

There are signs in both countries of a greater awareness on the part of local governments of the need for, and possibilities of, widening citizen participation in decisions, including by the poor, as well as the need for greater accountability to citizens.

### 3.2 Creating Linkages and Partnerships for Impact

MSEPs need to be situated in the wider political context within which they are taking place to be effective. Evidence points out that looking at an issue in relation to the larger (political) context by which it is surrounded is likely to lead to greater impact and vice versa and that the use of existing structures strengthens local dynamics. This also includes coordinating the MSEP with other similar related initiatives (e.g. PRSP processes) to avoid "*competing prescriptions and policy recommendations*" (see also **Box 5**).

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<sup>12</sup> Idem

**Box 5: The Niger PNEDD Programme – Linking to Ongoing Processes is Key for the Implementation of Cross-Sectoral Policy Frameworks<sup>13</sup>**

UNDP Niger, Capacity 21 and the UNSO supported the Government of Niger in preparing its national plan for environment and sustainable development (PNEDD). The project, which ran from 1996 – 1998, was designed to be participatory in nature, and had as one of its key expected results that “[a] partnership linking government, civil society and donors is established and tested. An institutional framework for decentralised consultations is in place and will develop democratic and consensual processes for the design and planning of programmes of national importance, which can be applied to other priority programmes in the future”. Although the overall evaluation of the project was positive, it did conclude that *“the participatory process of the PNEDD programme had the unexpected (but not unforeseeable) effect of creating a high level of expectations, especially among Nigerien NGOs and at the community level. These expectations could have been better met if the PNEDD had developed better links and partnerships with existing programmes already working in various priority areas (e.g. rural water supply, soil and range management, reforestation and so no).”*

In Tanzania, the creation of linkages between the Capacity 21 Tanzakesho programme (see also Box ...below) with national initiatives such as the Local Government Reform Programme and Vision 2025, secured the programme’s impact, even beyond its initial pilot phase. The Local Agenda 21 process in Turkey benefited greatly from the elaboration of the National Environmental Action plan, which *“further contributed to the adoption of participatory approaches in national planning and policy-making initiatives, thus facilitating the national-level acceptance of the LA21 process.”*

Linking national activities and programmes to the global policy level is important to create broader support, and enhance impact; linking to international forums and discussions can sometimes be even more effective. The community dialogue spaces, for example, are organized around major international conferences, which feed global policies and hence, have an impact on the lives of millions of people around the world. This ‘community dialogue space’ was created by the Equator Initiative in the run-up to the 2005 World Summit, and brought together 44 countries and more than 150 participants, along with UN representatives, Governments, NGOs and academic and media institutions. The seventh in a series, the Community Commons was a consultative forum to “celebrate the success of local action to achieve the MDGs; share local knowledge and learning amongst communities, NGOs and governments; to inform decision makers and policy processes; and develop the capacity of local leaders and communities in their efforts to achieve the MDGs”. The outcome was a recommendations document that provided input into the World Summit Outcome document<sup>14</sup>, but also a large group of empowered stakeholders, whose self-confidence had been strengthened and whose dialoguing skills and experience had been improved.

Similarly, social campaigns, such as the Global Call Against Poverty, benefit from being part of a wider dynamic to end poverty worldwide, including the World Summit in September 2005.

### **3.3 Mediating Diverse Interests, Negotiations, and Conflict resolution**

MSEPs provide important mechanisms for dialogue, which is an important tool for strengthening democracy and governance, preventing violent conflict and peace building. It facilitates a shared understanding of shared societal problems<sup>15</sup> and helps build skills among key stakeholders to convene problem-solving discussions as an alternative to violence. Dialogue processes amongst different stakeholders can help build trust and confidence, which is the basis for successful joint action. This does require though that all relevant stakeholders are involved, and that no one feels marginalized or excluded by the process. It also calls for transparency about their purpose and about the rules governing the dialogue, which will increase the sense of accountability. If one or

<sup>13</sup> UNDP Niger, Capacity 21, UNSO – Evaluation Report of a UNDP project of Support to the Process of Preparing the National Plan for Environmental and Sustainable Development (PNEDD) in Niger

<sup>14</sup> From: UN Chronicle, Volume XLII, Number 4, December 2005 – February 2006 “Equator Initiative: Partnering to Scale-Up Community-Based Conservation” by Sean Southey. See also: <http://www.undp.org/equatorinitiative/index.htm>

<sup>15</sup> OECD/DAC – Issues Brief: Mainstreaming Conflict Prevention. 2005.

[http://www.oecd.org/document/53/0,2340,en\\_2649\\_34567\\_34538357\\_1\\_1\\_1\\_1,00.html#1](http://www.oecd.org/document/53/0,2340,en_2649_34567_34538357_1_1_1_1,00.html#1)

more of the stakeholders involved are not committed to finding a common solution, the organisation of a MSEP may do more harm than good.

- **Natural Resources Management**

The management of natural resources tends to be a highly contentious area in which conflict is prevalent, and where the need for broadly carried solutions is often of vital importance. Water management is a case in point. Although it can provide opportunities for the improvement of livelihood, it can also be a source and resource of political conflict. MSEPs provide a key mechanism for avoiding this. One multi-stakeholder approach to water management is Integrated River Basin Management (IRBM). IRBM took root after the international conference in Mar del Plata in 1977, but it was not until the 1992 UN Conference on Environment and Development in Rio de Janeiro that it became used more widely. Issues addressed by IRBM include the equitable sharing of water, foregoing the monopolization of appropriation rights, surplus or deficits in water availability, anticipating and planning for droughts and floods. Negotiated IRBM is a recent variation on this method, which was developed in response to a growing number of complaints that IRBM was monopolized by government departments, and did not promote consultation until after decisions had been made. It integrates the skills and needs of various stakeholders, such as government departments, academics, farmers and the private sector to conserve and utilize the natural resources in a river basin in a sustainable manner. In doing so, it helps foster linkages, mutual learning and trust building.

- **Global Level Governance**

There are also natural resources and other governance issues that need to be addressed at the international, rather than the local or national, level. There are many reasons that have contributed to this including the changing role of the nation state, globalization, the information age, and the recognition that stakeholders play an increasing role in implementing what has been agreed at the international level<sup>16</sup>.

Global governance, once viewed primarily as concerned with intergovernmental relationships, now involves not just governments and inter-governmental institutions, but also NGOs, citizen's movements, transnational corporations, academia, and the mass media. The emergence of a global civil society, with many movements focused on different issues, reflects a large increase in the capacity and will of people to take control of their own lives. The example of the World Commission on Dams is an oft-cited case of an international policy dialogue and consultation process that led to an innovative framework for the construction of large dams (**box 6**).

**Box 6: The World Commission on Dams<sup>17</sup>**

The World Commission on Dams was established in 1997 during a multi-stakeholder meeting between governments, the private sector, international financial institutions, civil society organizations and affected people, in an attempt to break the stalemate caused by the breakdown of dialogue on the construction of dams and their role in development.

Being conscious of the lessons learnt by other Commissions – *“to enable stakeholders and interested groups to develop and understanding of and confidence in the process itself, resulting in greater acceptability of the eventual findings and recommendations”* – the Commission established open communications and tried to create an environment that would be conducive to the participation of civil society groups and development country governments. It also organized four regional consultations, which brought together 1400 individuals from 59 countries. One of the key issues that emerged from these consultations were the importance of *“participation and transparency in planning and decision-making on dams”* and *“regional/transboundary approaches to sharing water resources, and conflict resolution”*.

<sup>16</sup> Dodds, F. – The Context: Multi-Stakeholder Processes and Global Governance. Chapter 3 in: Hemmati, M. 'Multi-Stakeholder Processes: Beyond Deadlock and Conflict (see below).

<sup>17</sup> World Commission on Dams website: [www.dams.org](http://www.dams.org)

## **4. CONDITIONS FOR EFFECTIVE APPLICATION**

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As shown by the examples above, MSEPs can be important vehicles for learning and participation. Yet they are not necessarily the mechanism of choice for all situations or problems, not even for all those involving stakeholder participation. For a multi-stakeholder approach to be applied effectively, requires:

- ❖ an ability and a willingness amongst the different stakeholders to engage with each other, and to communicate and collaborate effectively.
- ❖ a conducive policy and legislative framework
- ❖ a certain level of skills, capacities and knowledge of all major stakeholder groups
- ❖ an outcome-oriented process, ensuring that there will be resources and commitment to follow-up on ensuing actions<sup>18</sup>.

### **4.1 Towards an Enabling Environment for MSEPs**

Since MSEPs do not take place in isolation, much depends on the wider socio-political context in which they are being organized, and on the range of different skills and competencies that are being addressed (with the exact combination depending on the issue at stake and the process being followed.) If the right conditions are absent, MSEPs may prove costly exercises, both in terms of the financial and human resources they absorb, and the expectations they raise. If they are in place, MSEPs can have a lasting impact that goes beyond meeting the mere objectives of the process itself, and can promote a collective commitment and capacity to run ideas and plans into action<sup>19</sup>.

- **The Importance of Intentions**

Experience from both structured and more organic processes has shown that the ‘intentions’ of the conveners of a MSEP are a key element for its subsequent success. In the absence of a ‘political will’ to truly engage with relevant stakeholders, and to accept the outcomes of the process, little will be gained by taking a multi-stakeholder approach.

The example of Uruara, a municipality in the Amazonian forest of Brazil, is a case in point. It tells the story of a process that was used as a political tool to create legitimacy, and resulted in a lot of tension and frustration. The process was launched in response to the outcome of a series of interviews by a local action-research team with local farmers and researchers. These highlighted the problems that the region’s sawmills – the key pillar of Uruara’s economy - created, and pointed at the discrepancy between the official and the ‘unofficial’ figures on the volume of wood extracted, and profits made.

To share the research findings, the local council convened a series of ‘multi-stakeholder platforms’ that were attended by foresters, representatives of farmers’ associations and communities, local and national authorities and some political figures. Although presented as a space for dialogue and solution finding, the initiators of the conference did not really want to identify new proposals for the economy, but were merely looking to attract some public funding for the region. Government representatives used the conference to justify the area’s preferential treatment by government authorities, who had decided long before to make Uruara the site of a new city hall in the region. The process eventually broke down, and no agreement was reached on possible solutions for the region’s problem, leaving the farmers more frustrated than before.

- **Managing expectations**

To prevent a process from breaking down because of frustration and deadlock, participating stakeholders need to have the capacities and the information – i.e. ‘the agency’ - to make a rational decision whether it is worth their while to invest in a process or not. At the same time, the convener of the process must actively engage in managing expectations, most importantly regarding the role of stakeholders, and the expected outcomes of the process, to prevent, for

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<sup>18</sup> Minu Hemmati and Robert Whitfield Stakeholder Forum for our common future Capacity Building For Sustainable development partnerships A template for Stakeholders, Governments and Agencies

example, de-motivation and 'participation fatigue'. Being clear from the beginning about the time investment required, or the structure of the process, will help stakeholders fit the process into their day-to-day activities, and avoid unnecessary surprises.

Related to this is the question of incentives, which is basically also a question of motivation. In many countries, participants are paid 'per diems' or 'daily allowances' to participate in consultative processes. However, experience shows that financial incentives are not always the best way to mobilize participation, especially if there are other non-financial incentives to participate, including access to the policy table, networking opportunities, and the chance to develop new skills and capacities. Offering training to those participating in a process which they will be able to use in future situations, for example, on facilitation techniques, may be an equally motivating element. Providing a certificate as proof participation in the process, and any related training, has also been a motivating factor in some cases.

- **Conducive Policy and Legislative Environment**

Having a policy and legislative environment that is conducive to MSEPs is critical for their impact and success. It is an important signal that inclusive processes and their outcomes are recognized and accepted, and prevents them from becoming parallel processes that do not link to formal decision-making or wider policy processes. If the appropriate framework is absent, as in the case of Turkey, where the Local Agenda 21 Programme was initially challenged, the process may not receive the necessary support (see also Annex 1).

The "Promotion and Development of Local Agenda 21s in Turkey" programme – was launched in 1997 to establish consultative mechanisms at the local level and to promote LA21 at the national level. At the early stages of implementation, there was little enthusiasm for the programme, partly because the legality of the LA21 process was challenged by the governorates involved: the creation of city councils and other local participatory platforms hardly fit into Turkey's existing institutional schemes. Participants, in turn, had difficulty convincing *"local representatives of the central government that, in line with Turkish government's commitment to global UN agendas, they too were equal partners, and should be facilitating instead of questioning the process. In this context, the publication of the Local Agenda 21 Programme Document in Turkey's 'Official Gazette' on 6 March 1998, signed by the Council of Ministers, provided a legal stronghold for the nascent participatory platforms in Turkey. Coupled with the acknowledged legitimacy of the Official Gazette, the special decree issued the Ministry of the Interior on 19 March 1998, urging all governorates to support the LA21 programme, further contributed to official recognition of local participatory platforms, as well as paving the way for the involvement of public agencies as essential partners in the LA21 process."*<sup>20</sup>

- **Information, Communication, and Knowledge Sharing**

When organizing a MSEP, it is important that all major stakeholders are aware of the process, the issue at stake, and the time and place of workshops and meetings. Some programmes or initiatives try to achieve this by launching a broad awareness campaign at the beginning, and by giving media trainings to facilitate reporting throughout the process. The Albania National development report, for example, gained attention when advocacy tours were organized using well known Albanians (**box 7**).

**Box 7: Albania – Public Advocacy Tours<sup>21</sup>**

When Albania's first national development report was published in 2002 – 'Albanian Response to the Millennium Development Goals – it became clear that there was little national ownership of the MDGs and the process to meet them. To address this, the UN Country Team organized regional advocacy tours, using well-known Albanians as 'MDG Ambassadors', to inform people about the importance of the MDGs. These tours drew a lot of media attention – which further spread the word – and "sparked discussion and debate about development in general, and roused the interest of local authorities". "[A] medium forum and a series of television programmes featuring well-known personalities further raised awareness".

The extent to which information is shared during the process is equally important. It helps to establish transparency and contributes to the building of trust among the different stakeholders, which in turn may be a first step towards finding a mutually beneficial solution. Open

<sup>20</sup> Approaches to Sustainability. Local Agenda 21 in Turkey: Moving from Local to National.

<sup>21</sup> UNDP – Albania Case Study: Advancing Development through Sub-National MDG Reports

communication also helps to reduce possible information asymmetries and power differences between stakeholders, and the risk of elite capture. It can further lead to changes in perceptions of problems, helping people to understand dimensions of an issue that they had not previously contemplated. These factors are particularly important when a MSEP brings together stakeholders with opposing interests – e.g. in the case of trans-boundary water management – since they help to create a common understanding of the issue at stake.

#### **4.2 The Importance of Skills and Capacities**

A major challenge to the success of MSEPs continues to be the weak capacity of key stakeholder groups, which often resulted in de facto non-participation and hence the non-incorporation of their priorities. This has been particularly evident in policy processes where for instance civil society and community-based organizations are disadvantaged when it comes to capacities, which has been recognized as a contributing factor to the lack of the implementation of these policies.

For MSEPs to be applied effectively, stakeholders need (to develop) capacities in the areas of:

- Stakeholder Analysis
- Leadership and facilitation
- Visioning
- Priority Setting
- Creating linkages & Partnerships
- Mediating diverse interests, negotiations and conflict resolution

### **5. MEASURING IMPACT AND LEARNING FROM RESULTS**

Depending on the nature of the process and the aims it pursues, monitoring can be used to follow the dynamics of the process and to document good practices and lessons learnt, but also to look at the level and effectiveness of participation throughout the process and to monitor the strengthening of capacities. Ideally, monitoring should be done over a longer period of time, and should continue after the MSEP itself will have ended, to evaluate also the longer-term impact of the process in terms of strengthened capacities and development outcomes. The effective monitoring the process requires monitoring skills, which can be strengthened during the process, but also through working together with external organizations specialized in evaluations.

#### **• Participatory monitoring**

Participatory monitoring should be an integral part of the design of every MSEP. It places special emphasis the central role that local people can play in planning and managing their own development process. It shifts the emphasis from externally defined and driven programmes and stresses the importance of a locally relevant process for gathering, analyzing and using this information. This may mean bringing together different stakeholder groups in stages of monitoring in which they have not previously been involved. This will eventually help stakeholders understand each other's point of view and to develop a mutually acceptable process. This type of monitoring moves away from being an activity undertaken for, and by outsiders to one that builds on local community activity and increases their capacity to record and analyze local conditions. Thus the information generated should enhance learning and action, in addition to the regulatory, watchdog function of many conventional monitoring programmes.

Participatory monitoring is also key to the development of partnerships of multiple stakeholders for efficient, effective, and socially inclusive implementation, and is key to MDG monitoring at the local level. *"PME systems for complex initiatives involving multiple organizations or projects need to satisfy the needs and interests of each partner in order to create and sustain motivation among all partners"*<sup>22</sup>

#### **• Monitoring for Impact**

Measuring the impacts of MSEPs can be done at both the qualitative and quantitative levels. It is often challenging though, because of the many stakeholders involved and each has a different

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<sup>22</sup> UNDP, Participatory monitoring and evaluation – learning, ownership, better management, September 2001

perspective. Second, where there are different institutional affiliations, these affect the types of impacts being sought. Third, the knowledge levels and experience differ, and this brings about diversity in terms of the impacts envisaged. And finally, processes other than MSEP could also be contributing to the impact areas under assessment and hence the likely risk of committing the fallacy of attribution.

Multi-stakeholder benchmarking has now been designed to respond to these complex problems<sup>23</sup>. The benchmarking clarifies ambiguities and complexities. Indicators for documenting and understanding change in stakeholder attitude aim to decrease divisiveness and polarization of opinions. The benchmarking is a continuous process that of measurement that uses multiple methods to establish quantitative data, which is used alongside qualitative data to engender an understanding of complex social issues. The issues addressed in the benchmarking include:-

- ❖ Socio-economic information – through identification and surveys of stakeholders using quantitative and qualitative questions
- ❖ Qualitative research – conducted with focus groups from those surveyed to validate explore the results, and , third,
- ❖ Best practice goals are defined and shared within the groups.

A study undertaken by FAO<sup>24</sup> to assess stakeholder participation in its projects shows that an assessment of stakeholder participation should focus on each of the stakeholders involved – and the interactions between them – in the overall process, rather than on one single isolated variable. **Table 2** provides some indications of the indicators, techniques and procedures for different stakeholder groups, from the FAO survey.

**Table 2: Indicators, Techniques and Procedures**

<b>Stakeholders</b>	<b>Indicators</b>	<b>Techniques and procedures</b>
<i>Individual members of the community</i>	No. of micro-project proposals submitted	Project records
	Attendance in community meetings/ VDF	Beneficiary group monitoring
	Coverage of beneficiaries	Project records corroborated by the community
	% of community contribution	Project records collected from the micro project proposals
	No. of trained villagers and % coverage	Project monitoring records
	Range of training opportunities	Project monitoring records
	Quality of implementation (per activity)	Observation and case study evaluation
	No. of community initiatives	Village Development Fund monitoring
	Participation in extension activities	Project monitoring records
	Skills enhancement of the community in all technical and managerial spheres	Case study evaluations
	% access to social services	Data collected through Village Development Forum evaluation
	Changes of socio-economic status	Evaluation survey
	Adoption and adaptation rate	Evaluation survey
	Maintenance of natural resource capital	Case study observations and interviews
Adequacy of procedures for O&M	Assessment of the Terms of Partnership and Micro project proposals	

<sup>23</sup> Woodhead, A.C. ; Cornish, P.S. and Slavich, P.G. - Multi-stakeholder benchmarking: clarifying attitudes and behavior from complexity and ambiguity. Australian Journal of Experimental Agriculture: 2005

<sup>24</sup> FAO Survey at a distance on assessment of stakeholder participation.

<i>National Government</i>	Trained staff in participatory methods	Project records
	Changes in rules and regulations relating to participatory development	Project management assessment
	No. of counterpart staff assigned to the project	Project records
	No. of visits to the project by senior counterpart staff	Project records
	No. of official meetings held with counterpart staff (township/ central level)	Project records
	Assessment of the resolutions of the meetings	Follow-up assessment of the minutes of meetings held
	Additional inputs/ resources provided by counterpart departments	Project records
<i>UNDP</i>	No. of follow up/ linkage/ replicated activities	Counterpart department records
	Flexibility and relevance of procedures and effective utilization of budget	Project management assessment
	Reduction in implementation bottlenecks	Project management assessment
	Existence of Standard Operating Procedures	UNDP records
<i>FAO</i>	Frequency and usefulness of coordination meetings	Project records/ assessment of minutes of the meetings (evaluation exercise)
	Frequency and benefits of technical backstopping	Project management assessment
	Policy supported missions/ seminars/ workshops	Project records
	Exchange of information pertaining to participatory development process	Project management assessment
	Qualifications and experience of professional staff assigned to the project	Project evaluation
	Mobilisation of additional resources for participatory development	Project records

## **6. CONCLUSIONS: WHAT ROLE FOR UNDP AND OTHER DEVELOPMENT PARTNERS**

UNDP's role in the promotion and implementation of MSEPs processes lies in its extensive experience as a catalyst of multi-sectoral development processes, and its involvement with the governments, civil society organizations and the private sector.

To continue to support, and allow for the up-scaling of, effective MSEPs, UNDP should invest in the following key investment areas:

- Support the use of a multi-stakeholder approach in policy formulation and implementation
- Capacity strengthening of key stakeholders to engage effectively in MSEPs

### **6.1 Beyond Advocacy and Consultations**

Although there are examples of how MSEPs support inclusiveness and participation, and contribute to better-informed policies, plans and implementation mechanisms, more evidence is needed on their capacity implications and their long(er)-term impacts. There are many detailed descriptions of how MSEPs should be carried out, and a range of case stories telling how they contributed to better outputs, but little on their broader contribution to development. Do MSEPs in policy-making strengthen the capacities of stakeholders to engage in other democratic policy processes? What types of MSEPs are most effective in building networking capacities of all stakeholders involved?

Providing convincing, and evidence-based answers to these questions, will be a powerful way of showing the added value of investing in MSEPs, and UNDP has a key role to play in this. Its long-term in-country presence and cross-sector work (with civil society, government, private sector) allows it to monitor impact at different levels over a longer period of time, and to bring its findings to the attention of policy makers. MSEPs, if facilitated effectively, move a more integrated approach to development.

Through the documentation of cases, and their dissemination through policy networks, websites and practice notes, UNDP and other partners can share lessons learnt and best practices with others, and contribute to the scaling-up of MSEPs.

## 6.2 Strengthening the Capacities of Key Stakeholders to Engage

In addition to its advocacy work, UNDP should focus on strengthening the capacities of stakeholders to engage actively and effectively in MSEPs.

The development of these capacities will need to be anchored in a sound diagnostics process that places capacity development at the heart of the MSEP. This will allow for a reiterative process of dialogue and consensus building that will in turn lead to the carrying out of capacity assessments for the different stakeholder groups. These assessments may help identify the capacities that need to be strengthened and can help determine how these capacity needs could best be addressed in a structured manner. Given that MSEPs can be rather 'political' exercises this may call for some careful maneuvering and a balanced approach to strengthening the capacities of different stakeholders, to avoid giving the impression of 'partiality'. UNDP can support the capacity diagnostics process through the provision of tools, guidelines, training, best practices, knowledge sharing and the provision of case evidence.

Following the capacity assessment (whether carried out explicitly or implicitly), a combination of quick impact initiatives can be supported – such as a short training or workshop on, for example, facilitation skills or the use of a particular tool or methodology – or longer-term strategic initiatives which usually involve 'on-the-job' training throughout the various phases of the process. The provision of such capacity development support can be an added incentive for stakeholders to participate in the process.

There are also examples (such as the Capacity 21 Tanzakesho programme), where UNDP initiated a MSEP to elaborate a project of a programme, which then helped strengthen the capacities of those involved to replicate this effort.

Through its efforts, UNDP should aim to<sup>25</sup>:

- Enable all stakeholders to :
  - successfully initiate, design, and implement partnerships for implementation
  - effectively monitor and evaluate their partnership efforts and learn from their experiences
  - effectively feed their experiences into policy making
- Strengthen the stakeholder community as whole and those engaged in partnerships by increasing professionalism and effectiveness
- Enable “trained stakeholders to carry out similar capacity development programmes amongst their constituencies through:
  - Addressing intellectual, practical, and personal challenges of a MSEP approaches
  - Learning about tools and techniques for designing and implementing MSEP's
  - Building necessary background knowledge and relevant decision making processes
  - Learning about the processes used to design, implement and evaluate the capacity development programme itself”.

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<sup>25</sup> Hemmati, M and Whitfield, R. Stakeholder Forum for our common future Capacity Building For Sustainable development partnerships A template for Stakeholders, Governments and Agencies

**In a Nutshell:** The Local Agenda 21 programme in Turkey shows how an approach based on networking and collaboration between equal partners can promote democratic governance at the local level and stimulate a civil society movement in the country.

### 1. Background

The launch of the Local Agenda 21 Programme was preceded by a number of developments that shaped its form and focus, and contributed to its success. In 1995, the Turkish government launched the preparatory process for the country's National Agenda 21, which focused on strengthening the capacities of local authorities. The following year, the UN Habitat II Conference offered an environment in which NGOs could dialogue with central government agencies and local authorities on key development challenges. The subsequent adoption of Turkey's 7<sup>th</sup> Five-Year Development Plan 1996–2000, emphasized the need to decentralise national environmental management. The National Environmental Action Plan was prepared through a consultative process over 18 months, and included a wide range of different stakeholders, which paved the way for the launch of the Local Agenda 21 programme.

### 2. The Programme

The Local Agenda 21 programme in Turkey was launched to promote the elaboration and implementation of Local Agendas 21 at the municipal level, and to localise the MDGs, through the creation of local participatory platforms. These 'city councils' are consultative bodies drawn from a wide spectrum of local partners: about one-third of members are central and local government representatives; two-thirds are representatives of different stakeholders, such as foundations and associations, professional chambers, private sector organizations, trade unions, academic institutions and neighbourhood groups. General Secretariats are established to guide the work of the councils and coordinate activities. Under the city councils, working groups and youth and women councils are established to prepare municipal action plans, including demonstration projects, to address key local problems. Though not obliged to do so, city governments increasingly include the recommendations of these working groups in their agenda and policies.

### 3. Outcome

Today, more than half of the 50 participating municipalities have well-functioning city-councils that play an important role in municipal planning and decision-making. Local stakeholders, engaged in limited networks, have found opportunities for cross-sector collaboration and establishing dialogue with "the other side".

### 4. Lessons Learned

- During the initial phase, it proved very difficult to draw unorganized groups such as the disadvantaged into the process. When the programme was launched in 1997, the response was very low: only 9 of the country's 3,000 municipalities were willing to participate. The organisation of 'neighbourhood forums', where all local stakeholders had a chance to interact, proved very valuable in the turn around.
- It was equally difficult to engage the private sector. The 2<sup>nd</sup> and 3<sup>rd</sup> phase of the programme therefore focused specific attention on creating public-private partnerships.
- Due to a lack of resources, only a quarter of the demonstration projects could be implemented. This de-motivated those that had been involved in elaborating them.

### 5. Factors contributing to its success

- The organisation of a large-scale awareness campaign at the beginning of the programme.

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<sup>26</sup> Based on :

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Local Agenda 21 Turkey website

<http://www.la21turkey.net/index.php>

- The emergence of a NGO movement and the existence of a small but active group of local organizations working on environmental issues.
- The publication of the programme document in the 'Official Gazette' and the issuance of a special decree by the Ministry of Interior, urging all governorates to support the programme.
- The decentralized management of the programme which stimulated local ownership.
- the successful implementation of a small number of demonstration projects.

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**Hemmati, M. (ed) (2002) Multi-Stakeholder Processes: Beyond Deadlock and Conflict**

This book is the outcome of the UNED MSP project and can be downloaded from the author's website. It clarifies various terms and definitions, discusses the history of the concept and the increase in stakeholder involvement in the UN and the impact of recent UN reform packages. It also outlines concepts that influence the design of an MSP (e.g. transparency, good governance), reviews findings on decision-making processes in groups of high diversity, and provides a number of case descriptions. In addition, it offers a detailed framework to design MSPs, a set of principles and a checklist.

[http://www.minuhemmati.net/eng/msp/msp\\_book.htm](http://www.minuhemmati.net/eng/msp/msp_book.htm)

**Woodhead, A.C., Cornish, P.S. and Slavich, P.G. (2005) - Multi-stakeholder benchmarking: clarifying attitudes and behavior from complexity and ambiguity.**

Australian Journal of Experimental Agriculture,

**Woodhill, J. (forthcoming) Facilitating Complex Multi-Stakeholder Processes: A Societal Learning Perspective**

The focus of the document is on how to facilitate multi-stakeholder processes and societal learning, with a particular emphasis on the processes and methodologies that can be used to improve the quality of reflection and learning by individuals, organizations, communities and societies. The paper offers a conceptual and theoretical understanding of the models underpinning MSPs, combined with an introduction to the range of methodologies, tools and facilitation skills needed.

**Lonsdale, K. & Lim, B. – Multi-Stakeholder Processes.**

[http://unfccc.int/files/adaptation/methodologies\\_for/vulnerability\\_and\\_adaptation/application/pdf/multistakeholder\\_processes.pdf](http://unfccc.int/files/adaptation/methodologies_for/vulnerability_and_adaptation/application/pdf/multistakeholder_processes.pdf)

**OECD/DAC (2002) Improving Policy Coherence and Integration for Sustainable Development.**

<http://www.oecd.org/dataoecd/61/19/2763153.pdf>

**UNDP – Practice Note on Frameworks and Strategies for Sustainable Development**

This Practice Note discusses the main challenges for sustainable development, and how National Sustainable Development Strategies can help to meet these challenges. It outlines the key principles for the effective implementation of NSDSs and offers practical steps to develop them. MSPs are marked as 'strategy drivers' and discussed in some detail. The Practice Note provides links to case studies and related literature and websites.

### 2. How-to-Manuals on MSPEs and Process Facilitation

**Hemmati, M. (2002) Multi-Stakeholder Processes: Beyond Deadlock and Conflict (Chapter 7)**

This book is the outcome of the UNED MSP project and can be downloaded from the author's website. It clarifies various terms and definitions, discusses the history of the concept and the increase in stakeholder involvement in the UN and the impact of recent UN reform packages. It also outlines concepts that influence the design of an MSP (e.g. transparency, good governance), reviews findings on decision-making processes in groups of high diversity, and provides a number of case descriptions. In addition, it offers a detailed framework to design MSPs and a set of principles and a checklist.

[http://www.minuhemmati.net/eng/msp/msp\\_book.htm](http://www.minuhemmati.net/eng/msp/msp_book.htm)

**UNED forum/Stakeholder Forum for a Sustainable Future – UNED MSP project website**

The UNED MSP project website (prepared for the 2002 Earth Summit) presents the outcomes of a project aimed at developing a common framework for various types of MSPs, based on an analysis of the values and ideology behind such processes, and existing examples. It provides a short introduction to MSPs, and links to other sites and references.

<http://www.earthsummit2002.org/msp/guide.htm>

**UNED Forum – Multi-Stakeholder Processes: Examples, Principles, Strategies  
(Report of International Workshop on 28/29 April 2001)**

This is the report of the UNED Forum international workshop that was held in anticipation of the 10<sup>th</sup> session of the UN Commission on Sustainable Development which was the first preparatory meeting for the 2002 Earth Summit. The workshop brought together 85 representatives of various stakeholder groups to discuss examples of MSPs (and the draft publication of Hemmati's book). Break-out sessions focused on a set of issues in the areas of bio-society and energy.

<http://www.stakeholderforum.org/1index.php>

**Wageningen International – MSP Resource Portal**

The MSP Resource Portal is a project of Wageningen International, a Dutch training and research institute that is part of Wageningen University and Research Centre. The portal offers a practical step-by-step introduction on how to facilitate participatory learning processes with various stakeholders. It discusses underlying concepts and methodologies, introduces a wide range of tools and facilitation skills, as well as examples and suggestions for further reading.

<http://portals.wi.wur.nl/msp/>

### 3. Participation

**DFID (2002) Tools for Development: A Handbook for those Engaged in Development Activity**

This Handbook is a 'pick and choose' manual for practitioners, describing tools and techniques that are essential in their daily work. The different sections look at: 1) stakeholder analysis; 2) problem & situational analysis; 3) visioning; 4) logical frameworks; 5) risk management; 6) participatory methodologies and management; 7) teamworking; 8) influencing & negotiating; 9) building partnerships; 10) conflict reduction; and 11) monitoring, reviewing and evaluating.

Of particular interest is section 6, which looks at ways in which a development activity can be managed in a participatory fashion and at ways in which participation can be engendered at the start-up phase.

<http://www.dfid.gov.uk/pubs/files/toolsfordevelopment.pdf>

**Edmunds, D. and Wollenberg, E. (2002) Disadvantaged Groups in Multi-Stakeholder Negotiations.** CIFOR Programme Report.

In this paper, the authors argue that approaches to Multi-Stakeholder Negotiations (in the area of sustainable resource management) often seek to neutralize differences among stakeholders, which has negative consequences for disadvantaged groups. Such groups have limited power to influence decisions because of their limited social status and capacities. The authors provide a range of suggestions to address this issue.

**IDS policy briefing (1998)** Participatory monitoring and evaluation: Learning from change. Issue 12.

<http://www.ids.ac.uk/ids/bookshop/briefs/brief12.html>

**NSSDnet (DFID/SIDA) – Sustainable Development Strategies: A Resource Book**

This Resource Book provides guidance on how to develop, implement and assess national sustainable development strategies, based on an analysis of past and current practices. Chapter 4 contains a section on stakeholder(s) (participation). Chapter 6 on 'participation in strategies for sustainable development' discusses the concept of Multi-Stakeholder Processes.

[http://www.nssd.net/res\\_book.html#contents](http://www.nssd.net/res_book.html#contents)

**Participation Resource Centre**

Through this website you can search the resource documents, videos and books from the Participation, Power and Social Change Group at the Institute of Development Studies (IDS) and the International Institute for Environment and Development (IIED).

The collection consists mainly of unpublished practical information and includes research reports, training manuals, workshop reports, critical reflections and newsletters from practitioners and networks. Abstracts of the documents can be searched on-line.

[http://www.pnet.ids.ac.uk/prc\\_index.htm](http://www.pnet.ids.ac.uk/prc_index.htm)

#### **UNDP CSO division - Empowering People: A Guidebook to Participation**

The Guidebook has been prepared as a means to brief and to inform UNDP staff promoting participation in UNDP programmes. It looks at: 1) the concept of participation in development; 2) strategies for participation; 3) methods of promoting participation; 4) monitoring & evaluation of participation; 5) institutional supports for participation and 6) resources for promoting participation. In chapter 3, it discusses the notion of 'multi-stakeholder collaboration'.

<http://www.undp.org/cso/resource/toolkits/empowering/intro.html>

#### **World Bank – Participation Sourcebook**

The WB Participation Sourcebook is based on experiences of World Bank staff with participatory approaches to development and is meant for those that intend to use participatory approaches in their professional work. It discusses 'what is participation', provides examples of participatory approaches, introduces methods & tools, and provides summaries of a number of working papers on participation in different sectors.

<http://www.worldbank.org/wbi/sourcebook/sbhome.htm>

### **4. Facilitation**

#### **Democratic Dialogue Project –**

This is a multi-country project to promote multi-stakeholder consensus building as a tool for strengthening governance in Latin America and the Caribbean. A handbook on how to set up a democratic dialogue process is currently being prepared. The project offers capacity building on: construction of social capacities for dialogue, agreement reaching and consensus-building, facilitation tools and methodologies, design of dialogue processes and learning for action, comparative analysis of democratic dialogue.

[www.democraticdialoguenetwork.org](http://www.democraticdialoguenetwork.org)

#### **DFID (2002) Tools for Development: A Handbook for those Engaged in Development Activity**

The annexes of this publication look specifically at the facilitation of workshops and the skills needed to do so successfully.

<http://www.dfid.gov.uk/pubs/files/toolsfordevelopment.pdf>

#### **Future Search Network**

This is the official website of the Future Search Network, a group of volunteers worldwide promoting the use of this methodology. The website describes Future Search as "a PLANNING MEETING that helps people transform their capability for action very quickly. The meeting is task-focused. It brings together 60 to 80 people in one room or hundreds in parallel rooms". A more detailed outline of the methodology can be found on the website.

<http://www.futuresearch.net/index.cfm>

#### **Pioneers of Change Associates - Mapping Dialogue**

This toolkit came out of a GTZ sponsored project on ways in which dialogue can be used to address social challenges in South Africa. It offers a 'dialogue dictionary', goes into the elements of 'good dialogue', provides an in-depth exploration of 10 methods for dialogue and 14 shorter descriptions, and offers initial guidelines to assess which method to use.

<http://pioneersofchange.net/library/dialogue/>

#### **UNDP - How-to-guide: MDG-based National Development Strategies**

Website offering a step-by-step approach on how to support MDG-based national development strategies. It consists of a general section on MDG-based strategies and four specific modules that offer tools, country examples and resources. Module 3 'taking MDGs to the local level' offers a section on 'promoting dialogue and priority setting' which contains references to MSP processes.

**World Café**

The website of the World Café Community offers a quick 'how-to-guide' on how to organise a World Café meeting, which it describes as: "a creative process for leading collaborative dialogue, sharing knowledge and creating possibilities for action in groups of all sizes".

<http://theworldcafe.com/index.html>

**6. Case Examples*****a. Inter-governmental/International*****Dubash, N.K. , Dupar, M., Kothari, S., Lissu, T. A Watershed in Global Governance? An Independent Assessment of the World Commission on Dams**

According to the authors of this research report, "the World Commission on Dams demonstrated that through a painstaking process of common learning and dialogue, individuals representing the extremes in a debate can overcome differences and craft a wholly new vision of a controversial issue. The challenge remains to chart a pathway to implementation that can encompass the potential creativity of multi-stakeholder processes."

[http://www.wri.org/governance/pubs\\_description.cfm?pid=3150](http://www.wri.org/governance/pubs_description.cfm?pid=3150)

**Hemmati, M. – Multi-Stakeholder Processes: Beyond Deadlock and Conflict (Chapter 7)**

Hemmati describes 20 examples of MSPs, addressing issues in the areas of environment, development, sustainable development, human rights, labour and gender equality. Their goals vary from 'opening the space for stakeholder interaction' to 'informing policy-making' to 'producing information from an independent source'.

[http://www.minuhemmati.net/eng/msp/msp\\_book.htm](http://www.minuhemmati.net/eng/msp/msp_book.htm)

**World Commission on Dams**

On the website of the World Commission on Dams provides background information on the process, and presents its various outcomes, including the final report and the reports of the various regional consultations. The site also contains a number of case studies of large dams around the world.

[www.dams.org](http://www.dams.org)

***b. Community Dialogue Spaces*****Equator Initiative -**

Website of the Equator Initiative which contains references to the different guides on community dialogue spaces.

[http://www.undp.org/equatorinitiative/equatorialogues/EquatorDialogues\\_Spaces.htm](http://www.undp.org/equatorinitiative/equatorialogues/EquatorDialogues_Spaces.htm)

**UNDP – Community Voices: A Guide to Hosting a Community Dialogue Space**

This detailed guide aims to "create an enabling tool for groups to adapt the dialogue space model and host their own space; identify strengths and weaknesses in the dialogue spaces hosted to date; and consolidate lessons learnt".

**UNDP – Where the Home Is: Diaries from the Community Mubaan**

This is a compilation of participants' reflections on the Community Dialogue Space that was organized in the run up to the 3<sup>rd</sup> IUCN World Conservation Congress.

***c. Participatory/Local-level Planning*****Castellanet, C. & Salgado, I. & Rocha, C. – Limits of the "Negotiation Platform": Two Cases on Participatory Municipal Planning on NRM in the Brazilian Amazon**

The story of Uruara is presented in this analytical paper describing two action research experiments on participatory municipal planning of natural resource management in the Brazilian Amazon. It shows how the use of a multi-stakeholder process failed because of power asymmetries between the local elites, and the local farmers.

[http://www.idrc.ca/en/ev-85103-201-1-DO\\_TOPIC.html](http://www.idrc.ca/en/ev-85103-201-1-DO_TOPIC.html)

**Kikula, I.S. and Pfliegner, K. (2001) – Some Reflections on the Capacity 21 (Tanzakesho) Programme in Tanzania**

This document provides a detailed description of the Capacity 21 programme in Tanzania, locally known as Tanzakesho, which aims to enhance capacity for participatory planning, management and sustainable development at local levels (district, ward, villages). It describes its baseline conditions and its impacts and results, identifies good practices and lessons learnt, and looks at options for future involvement.

**Pratchett, L. - New Technologies and the Modernization of Local Government: an Analysis of Biases and Constraints.** In: Public Administration, Volume 77, Issue 4, 1999.  
<http://www.blackwell-synergy.com/doi/abs/10.1111/1467-9299.00177>

**Sosovele, H. – Evaluation Report Capacity 21 (Tanzakesho) Programme in Tanzania**  
This evaluation was carried out in August 2001, as part of the global evaluation of the Capacity 21 programme. Based on interviews with key stakeholders, site visits and a review of the literature, it evaluates the achievements of the programme and draws lessons learnt.

**UNDP Niger, Capacity 21, UNSO – Evaluation Report of a UNDP project of Support to the Process of Preparing the National Plan for Environmental and Sustainable Development (PNEDD) in Niger**  
This is an evaluation report of a 2-year initiative (1996-1998) which helped amongst others, to develop a partnership linking government, civil society and donors, and to put in place mechanisms for ensuring proper co-ordination in carrying out the principal programmes under the PNEDD.

**UNDP – Albania Case Study: Advancing Development through Sub-National MDG Reports**  
The UN Country Team and the Albanian Government worked together to localize the MDGs both at the national and at the sub-national level. Regional advocacy tours were organized, media training was held, and capacity building support and technical advice were offered to by UNDP to the group of experts developing the regional strategies.

**UNDP – Approaches to Sustainability: Local Agenda 21 in Turkey Moving from Local to National**  
This publication is part of the 'Approaches to Sustainability Series' – Capacity 21's main tool for the analysis and dissemination of the innovative approaches and lessons emerging from Capacity 21 programmes (and selected other experiences from around the world). It describes the two phases of the Local Agenda 21 programme in Turkey, which helped to make significant advances in local action planning and to strengthen decentralized governance by securing the participation of civil society in decision-making.  
<http://stone.undp.org/maindiv/bdp/dl/results.cfm?Col=1&CFID=6089780&CFTOKEN=260969&Clear=TRUE>

**University of Birmingham International Development Department - Building Municipal Accountability: Local Government Decision Making- Citizen Participation and Local Accountability in Kenya and Uganda 2001- 2002**  
[http://www.idd.bham.ac.uk/research/Projects/municipal\\_accountability/accountability.htm](http://www.idd.bham.ac.uk/research/Projects/municipal_accountability/accountability.htm)

#### ***d. Scenario Building & Future Search***

**AIDS in Africa – Scenarios for the Future**  
AIDS in Africa – Scenarios for the Future is a joint initiative of the UNAIDS Secretariat, the UN Development Programme, the World Bank, the African Development Bank and the Economic Commission for Africa. Its core is a series of workshops to build scenarios, bringing together fifty participants from all walks of life. The website offers detailed descriptions of the different workshops and their outcomes.  
<http://aidsscenarios.unaids.org/scenarios/default.asp?Chan=C107>

**Future Search examples in Tanzania and Sudan:**  
On the website of the Future Search network you can find short descriptions of UNICEF's experiences with Future Search in Tanzania and Sudan.  
[http://www.futuresearch.net/method/applications/world/africa/dream\\_of\\_peace.cfm](http://www.futuresearch.net/method/applications/world/africa/dream_of_peace.cfm)

**Sierra Leone Visioning 2025**

This is the website of the initiative for 'National Long-Term Perspective Studies – Sierra Leone Vision 2025. The key characteristics of this programme are: citizen participation; national learning about strategic development issues; and shared vision and national consensus building in national development strategy formulation.

[http://www.uniqueservers.net/vision2025/beyond\\_launching.htm](http://www.uniqueservers.net/vision2025/beyond_launching.htm)

***e. Management of Diverse Interests, Conflict Prevention & Peace-Building***

**OECD/DAC – Issues Brief: Mainstreaming Conflict Prevention.** 2005.

[http://www.oecd.org/document/53/0,2340,en\\_2649\\_34567\\_34538357\\_1\\_1\\_1\\_1,00.html#1](http://www.oecd.org/document/53/0,2340,en_2649_34567_34538357_1_1_1_1,00.html#1)

**UNDP Bureau for Conflict Prevention**

[www.undp.org/bcpr](http://www.undp.org/bcpr)

**Both Ends and Gomukh (2005) River Basin Management: A Negotiated Approach**

[www.bothends.org/strategic/RBM-Boek.pdf](http://www.bothends.org/strategic/RBM-Boek.pdf)

***f. Participatory Budgeting***

**UN HABITAT – 72 Frequently Asked Questions about Participatory Budgeting.** Urban Governance Toolkit series. July 2004.

This manual looks at how best to implement a participatory budget. It draws from the experiences in 14 countries around the world to offer guidance on the participatory, territorial and legal aspects of the process.

[hq.unhabitat.org/campaigns/governance/documents/FAQPP.pdf](http://hq.unhabitat.org/campaigns/governance/documents/FAQPP.pdf)

**African Social Accountability Forum – Participatory Budgeting Knowledge and Action Support Facility**

<http://www.asaaf.org.zw/asaaf.htm>