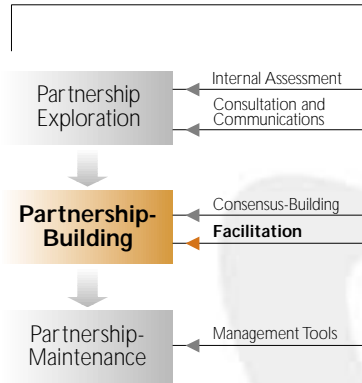


MODULE 6

Facilitation



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MODULE 6

Facilitation

Purpose

Bringing together parties from the oil, gas or mining sector, with those from civil society and government is likely to be both contentious and complex. For years these parties have often held entrenched and poorly informed views of each other. Building trust between the non-traditional parties, and transforming complexity into creativity can be assisted by third party facilitation.

The purpose of this module is to strengthen the skills of those in society experienced in providing third-party brokering/facilitation services in pursuit of effective tri-sector partnerships. The aim is to create a 'pool' of individuals capable of: (a) designing processes of multi-party dialogue between oil, gas and mining operations, civil society organisations and government authorities; (b) brokering consensus over the division of roles and responsibilities for social management, and; (c) assisting in the maintenance and adaptation of partnerships over time.

Sessions

The module is designed to last **two-days** and is divided as follows:

Session 1 - Roles and Ethics of a Facilitator (p. 6-3)

- defining facilitation, its roles and ethics
- identifying when facilitation is most useful in partnership development

Role-play Exercise spanning all subsequent Sessions:

Session 2 - Workshop/Meeting Design (p. 6-8)

- designing processes of consensus-building between culturally different parties
- designing workshops including logistics, agenda, location, etc.

Session 3 - Building Trust (p. 6-17)

- developing a sense of trust between parties
- facilitating agreement on workshop ground rules and a vision statement for the partnership

Session 4 - Revealing Underlying Interests (p. 6-23)

- techniques for revealing underlying interests
- transforming underlying interests into the 'objectives' of a partnership

Session 5 - Widening the Options

(p. 6-29)

- techniques for brainstorming
- facilitating a range of options (activities, resources and roles) for implementing the partnership objectives

Session 6 - Reaching Agreement

(p. 6-33)

- tools for bringing parties to consensus
- facilitating agreement on the best options for implementing the partnership

Session 7 - Managing Breakdown

(p. 6-37)

- techniques for managing hostility in a workshop setting

Applications

Third-party facilitation/brokering skills may be required at different stages of the partnering process. During the exploration phase an independent facilitator might be necessary to guide an organisation through an assessment of the advantages and disadvantages of working in partnership. Later, some form of third-party facilitator may be needed to help the participants identify common underlying interests, encourage joint problem solving and broker agreement on the structure of the partnership. During implementation of a partnership arrangement, facilitation services may also be needed to resolve disputes or guide the re-negotiation of roles in response to changing political or economic circumstances.

The facilitator need not always be 'independent'. It may well be that an individual from one of the partners is trusted by the others to provide impartial facilitation. Indeed, in some cultural

contexts participants would prefer to have a 'known' individual as the facilitator rather than an outsider. This said, the experience of the BPD programme is that independent, third-party facilitation can often both hasten and reduce the associated risks associated with developing tri-sector partnerships.

How to Use This Module

The sessions can be delivered in a variety of sequences and levels of detail depending on the nature of the training participants. Experienced facilitators may benefit from more extensive debriefs of the facilitation practice (e.g. the role-play exercise).

Less experienced participants may benefit from an appreciation of the principles of consensus-building at the same time they are developing facilitation skills. However this may limit their capacity to experience the latter. Undertaking the Consensus-Building module (*Module 5*) prior to the Facilitation module is therefore recommended.

Useful Materials for Training

- Overhead Projector
- Flip-chart paper
- Marker pens
- Masking tape/tack
- Post-It Notes (large)

Session 1 - Roles and Ethics of a Facilitator

Aim

This session introduces participants to the definition of facilitation through an exploration of facilitator roles and ethics.

Learning Objectives

- to be able to define facilitation, its roles and ethics; and
- to identify when facilitation may be most useful in the partnership development process.



Guidance for Trainers

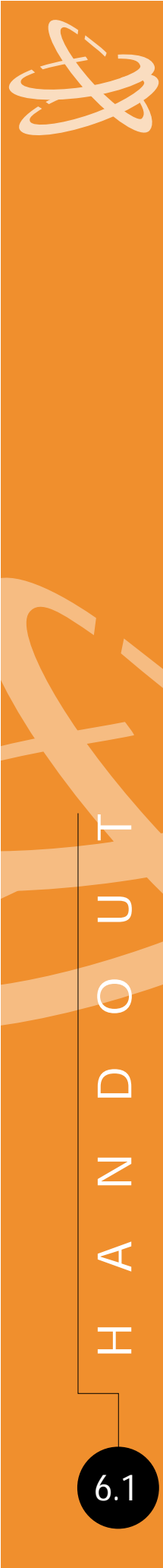
1. Facilitation Experience - Engage the participants in a discussion of their experiences with third-party facilitation. Invite examples that they have been involved in, either as a participant or as the facilitator. Start with experiences external to their work environment. Then move on to invite work-related examples. Try to identify the words used for facilitation in the local language.

2. Definition of Facilitation - Individually, or in pairs, ask the participants to draw on these examples to:
(a) define 'what is facilitation?'; and
(b) list the various 'roles' of a facilitator.

Capture these outputs and compare to *Handouts 6.1, 6.2 and 6.3.*

3. Facilitation Ethics - Back in plenary, instigate a group discussion on the 'ethics' of a facilitator. Lead the discussion by asking, "*What should a facilitator 'not' do?*" or "*What makes a good facilitator?*". Compare to *Handout 6.4.*

4. Facilitation and Partnership Development - End with a discussion on how the different roles of a facilitation might be applied in the three phases of the partnership development process - partnership exploration, partnership building and partnership maintenance.



What Is Facilitation?

Facilitation is assistance provided by an impartial person(s) that increases the effectiveness and efficiency of a group's decision-making and problem-solving.

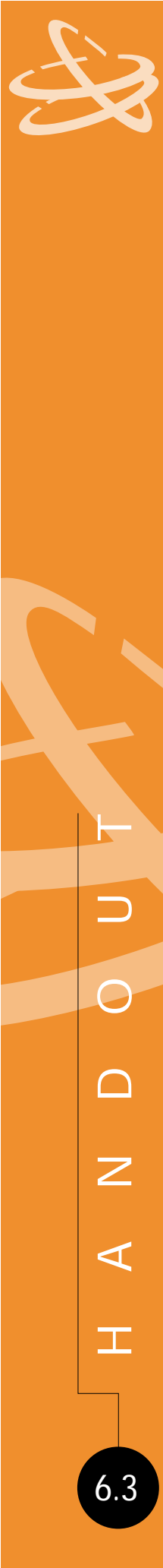
Facilitator Roles

Macro Roles - *Assistance that sets the stage*

- ▶ Situation/Context Analysis
- ▶ Process Design
- ▶ Convening

Micro Roles - *Assistance that increases the effectiveness of groups while they are working together*

- ▶ Intervenor
- ▶ Designer
- ▶ Recorder
- ▶ Supporter



Roles of a Facilitator - Workshop Setting

Intervenor - this is the function most usually associated with a facilitator. It involves *managing a process of interaction* by encouraging the participants to do the work. Specific activities include: improving communications between participants, directing questions to persons or people who will move the process forward, providing a role model for 'good listening', seeking clarification, reflecting back to the participants difficult questions; relating what they say to their underlying interests and motivations, watching for distorted information and meaningless generalisations, and clarifying progress made and agreements reached.

Designer - this is the function of *planning* each session in the process and preparing ideas and materials. Designing may involve re-presenting the information recorded during the previous session (e.g. clustering options or presenting draft agreements more coherently). Designing requires attention to the pace of the process; the dynamics of the participants; the time available; the objectives that need to be met and the tools to be used.

Recorder - this is the function of *publicly capturing* the content of one-to-one meetings, small group discussions, or multi-stakeholder workshops. Recording is usually done while the sessions are taking place in front of the participants. As far as possible the way that the information is recorded should be consistent with the intention, language and individual words of the participant(s), so that they feel ownership of what is being summarised.

Supporter - this function includes informing people of the arrangements for each session and making sure everybody can attend, translating or organising translators, organising venue arrangements, catering and transport, registering participants, writing up, etc.

(adapted from IUCN, 1995)

Facilitator Ethics

- ▶ **Maintain impartiality**
- ▶ **Maintain confidentiality**
- ▶ **Stay out of the debate**
 - keep your ego out of the process so that the participants can develop their own dialogue and agreement
 - facilitate, don't manipulate
 - avoid the temptation to become a psychotherapist
- ▶ **Address power imbalance**
 - avoid becoming an ally of any individual or sub-group
 - avoid becoming an advocate for any particular issue or outcome
 - encourage the quieter voices
- ▶ **Demystify facilitation techniques**
 - explain what you are doing at each stage
 - avoid jargon, technical terms and references which provoke expressions of surprise or disagreement
- ▶ **Maintain your and others' cultural sensitivity**
- ▶ **Know when to step over the line**
 - learn to recognise when some degree of 'fudging' may be essential (e.g. suggesting that an agreement might incorporate a condition for technical studies to first verify feasibility)
 - if it becomes apparent that you have a critical perspective on a matter, ask permission of the group to step out of your role as facilitator and present your opinion

Session 2 - Workshop and Meeting Design

Aim

This session introduces the role of a facilitator in designing workshops and meetings for multi-party dialogue and consensus-building.

Learning Objectives

- ▶ to design workshops and meetings that respond to cultural differences;
- ▶ to appreciate the importance of location and type of forum;
- ▶ to develop agendas and choose workshop methods.

Guidance for Trainers

1. **The Role-Play** - Introduce the role-play exercise (*Handouts 6.5, 6.6 and 6.7 and 6.8*). The role play will be the basis of this and all remaining Sessions in this module. Divide the participants into four groups and allocate each group to one of the following roles:
 - ▶ Planning Office, Zamoro Province;
 - ▶ Social Development Team, Mining Enterprises International Limited;
 - ▶ Social Concern International
or
 - ▶ Leader of Indigenous Communities.

Ask the participants to read through their briefs and encourage discussion between the group members (allow around 10 minutes). One of the group should assume the role of Maria Piedad,



Craig Samson, Dr Gomez or Chief Honcho. The others are members of his/her team. At no time should one group share their briefs with another group. Explain that the characters in the exercise and the situation being played out are the same as that used in *Session 4 of the Route Map module*. *The intention is that with many of the participants already familiar with the role-play, more effort can be directed at learning facilitation skills.*

2. Facilitation Pairs - After 15 minutes, ask the groups to stop reading their briefs and to get into pairs. These pairs will stay the same throughout the remainder of the module. Each pair is a 'facilitation team' and has nothing to do with the characters in the role play. This pair will work together to design a facilitation process for each session in the role play. Just before each session begins, the trainer will select one pair to be the facilitators. All remaining participants will return to their role-play groups (e.g. Planning Officer, etc.) and the session will commence.

3. First Facilitated Session - Workshop/Meeting Design - Working in pairs ask each 'facilitation team' (pair) to design a workshop that will bring together the Planning Officer of Zamoro Province, Mining Enterprises International Limited, the NGO Social Concern International and the Leaders of the Indigenous Community. The

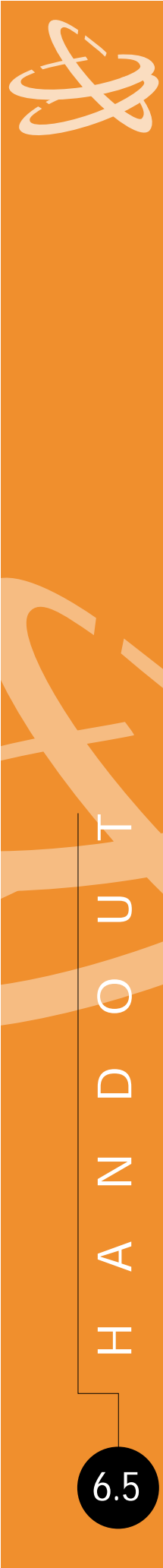
overall aim of the workshop is to *try to reach agreement, on a partnership arrangement to improve health services in Bella Vista District*. The parties have agreed that the workshop will be facilitated by an independent third party. The design of the workshop should include the following elements:

- ▶ *the location of the workshop;*
- ▶ *the type of forum to be used (e.g. open forum with invited observers or closed meeting, etc.);*
- ▶ *the types of workshop methods that might be used;*
- ▶ *a draft meeting agenda for circulation; and*
- ▶ *how the meeting room will be initially set up.*

Provide the facilitation teams with *Handouts 6.9, 6.10 and 6.11* to aid the task. Allow around 20 minutes to complete the exercise.

4. Debrief - In plenary, invite comment on the choices made. Why do some of the participants' strategies differ?

5. Participants' Experiences - In reference to the real-life experiences of the participants ask whether, in the light of the exercise, there are any workshops or meetings that in hindsight they might have organized differently.



Tri-Sector Partnership For Rural Health Services

**Briefing for Dr. Gomez,
Chief Development Planning Officer, Zamoro Province**

Overview

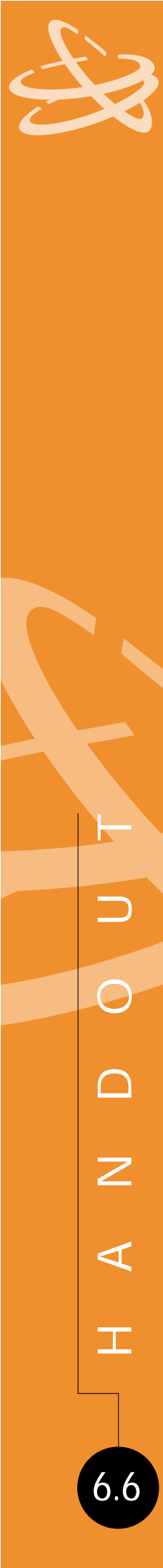
A major overseas mining corporation (Mining Enterprise International Limited) recently announced that its exploratory activities in the Bella Vista District of Zamoro Province had been successful. Preparatory construction activities will commence in six months. Mindful of its new internal policy for Corporate Social Responsibility, the corporation has begun to look for ways to work in partnership with regional government and civil society organisations. It is hoped that in this way the corporation can contribute to sustainable local and regional development that not only accords with the policies of government and the aspirations of the local communities, but also reduces the likelihood of disruption to business operations and improves the corporation's reputation both locally and in its domestic market. The proposed mine site is located in the center of Bella District, a remote, rural region of the country, home to 10,000 people spread across five dispersed settlements.

Briefing

You are Dr. Gomez, Chief Development Planning Officer to the Governor of Zamoro Province. You and your team recently prepared a five year regional development plan covering the three districts that comprise Zamoro Province. The development plan for Bella Vista District includes proposals for the construction of five new health centers (designed to the highest standards), one in each of the five main settlements, at an anticipated cost of K40,000 each, consisting of: K25,000 for the building, K5000 for five years medical supplies and K10,000 for five years worth of salaries (for all doctors and nurses). The Governor's budget for new health services is currently limited to K80,000, a sum that would meet the costs of only two of the desired five centres.

The Governor recently made a number of speeches in which he stressed that improving rural health care for all the people of Zamoro Province was a key policy objective. He particularly singled out Bella Vista District as an area in desperate need of better services and promised to ensure that the five new health centres proposed in the development plan would be implemented. The Governor is to stand for re-election in three months time. You are aware that your next promotion is likely to be closely linked to whether you are able to deliver on the Governor's promise.

You and your team have been invited to join a 2-day workshop. The objective of workshop is to try to reach agreement on a partnership arrangement to improve health services in Bella Vista District. You have agreed to the workshop being facilitated. Your primary reason for agreeing to attend is that you hope that the corporation will provide funds to pay for the three other health centers. As far as possible these additional funds need to be seen by the public as part of the Governor's own initiative on rural health. You were not at all pleased to learn that a community development NGO (Social Concern International) would also be present at the meeting.



Tri-Sector Partnership For Rural Health Services

**Briefing for Craig Samson,
Community Affairs Advisor to Mining Enterprises International Limited**

Overview

A major overseas mining corporation (Mining Enterprise International Limited) recently announced that its exploratory activities in the Bella Vista District of Zamoro Province had been successful. Preparatory construction activities will commence in six months. Mindful of its new internal policy for Corporate Social Responsibility the corporation has begun to look for ways to work in partnership with regional government and civil society organisations. It is hoped that in this way the corporation can contribute to sustainable local and regional development that not only accords with the policies of government and the aspirations of the local communities, but also reduces the likelihood of disruption to business operations and improves the corporation's reputation both locally and in its domestic market. The proposed mine site is located in the center of Bella District, a remote rural region of the country, home to 10,000 people spread across five dispersed settlements.

Briefing

You are Craig Samson, Community Affairs Advisor to Mining Enterprise International Limited (MEIL). You have just completed a draft Community Development Plan. This outlines how your company will engage with the people of Bella Vista District over the next five years. To inform the preparation of this plan you hired a team of consultants to undertake a process of public consultation. During the consultations, when asked what was needed most urgently, many local people requested better access to health services.

The commercial viability of the mine is not good and is expected to return less profit than previously anticipated. This is due in part to a recent fall in the mineral prices and in part to the proposal (not yet public) for an increase in future royalty revenues to be paid to central government. The government's new decentralisation policy means that a proportion (K200,000 per year) of this prospective increase will pass to the provincial government. As a cost cutting measure, the Community Development Plan proposes that the company fund a single mobile health center. This center (a converted bus) will travel around all five settlements in the District. Although the company has no funds to staff the center, it will pay for the bus (K15,000) and provide medial supplies for a five year period (K10,000), the latter a sum calculated to meet the needs of all five settlements.

You are to join a two-day workshop. Your new policy for Corporate Social Responsibility requires you to look for partners to implement new community initiatives. The objective of workshop is to try to reach agreement on a partnership arrangement to improve health services in Bella Vista District. You have offered to have the workshop facilitated by an independent third-party. You have invited the Chief Development Planning Officer (Dr. Gomez) from the Governor's office and the Director of the most active NGO in the project area (Ms. Maria Piedad), both of whom have indicated their interest in a partnership arrangement. You have heard that Ms. Maria Piedad and her team are rather naive and you do not anticipate them contributing anything much of substance. They certainly have no experience with the business constraints faced by a modern mining operation. Dr. Gomez and his staff, however, come highly recommended, but you remain concerned that his department lacks the capacity to deliver community services efficiently. What you are most afraid of is that if responsibility for health care in the District is left in the hands of the Governor's office, nothing will actually get done.

Tri-sector Partnership for Rural Health Services

Briefing for Maria Piedad,
Director of Social Concern International

Overview

A major overseas mining corporation (Mining Enterprise International Limited) recently announced that its exploratory activities in the Bella Vista District of Zamoro Province had been successful. Preparatory construction activities will commence in six months. Mindful of its new internal policy for Corporate Social Responsibility, the corporation has begun to look for ways to work in partnership with regional government and civil society organisations. It is hoped that in this way the corporation can contribute to sustainable local and regional development that not only accords with the policies of government and the aspirations of the local communities, but also reduces the likelihood of disruption to business operations and improves the corporation's reputation both locally and in its domestic market. The proposed mine site is located in the center of Bella District, a remote, rural region of the country, home to 10,000 people spread across five dispersed settlements.

Briefing

You are Ms. Maria Piedad, director of a local affiliate of the nationally active NGO, Social Concern International. Your organisation of ten staff have been working with the people of Bella Vista District for the last three years on various community projects and has promoted a 'participatory' approach to project design and implementation. You recently completed a strategic planning exercise across the five settlements with the assistance of Chief Honcho, leader of the Indigenous communities of Bella Vista District. This exercise revealed an urgent need for better access to medical services. The study concluded that five new medical centers were needed, one in each settlement. This conclusion was reached through a protracted process of community participation and the proposal has wide endorsement from both formal and informal community leaders. As a consequent of the planning exercise, there is an air of excitement and anticipation in the district that Social Concern International will soon deliver on its promises.

Over the years, Social Concern International has developed a partnership arrangement with the local training hospital in the country's capital city. The NGO and the hospital collaborate to find places for newly graduated doctors and nurses in rural health centers for one year. The hospital pays for the costs of the doctors as part of their training. Although your NGO has no funds to build the five centers in Bella Vista District, or to stock it with medical supplies, you are confident that through the hospital link you will be able to find doctors in sufficient numbers to staff each of the centers for the next five years.

You and you team have been invited to join a two-day workshop. The objective of workshop is to try to reach agreement on a partnership arrangement to improve health services in Bella Vista District. You have agreed to the workshop being facilitated. Your primary reason for agreeing to attend is that you know full well that your NGO has generated expectations within the settlements of Bella Vista District that health centers will soon be built. Thus, although you are highly suspicious of the corporation's motives for the invitation, you hope that they will be true to their new policy on Corporate Social Responsibility and provide you with the funds necessary to construct the health centers and pay for medical supplies.



Tri-sector Partnership for Rural Health Services

Briefing for Chief Honcho Leader of the Indigenous Peoples of Bella Vista District

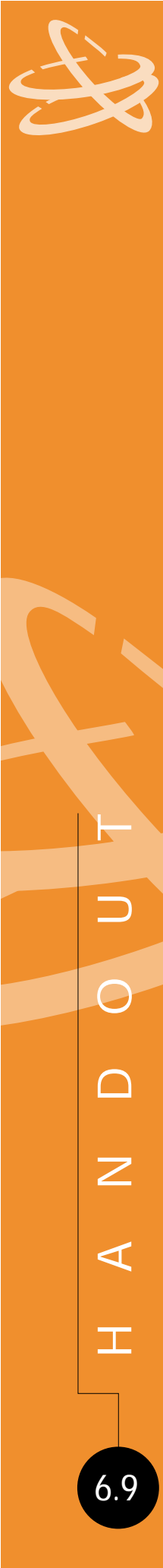
Overview

A major overseas mining corporation (Mining Enterprise International Limited) recently announced that its exploratory activities in the Bella Vista District of Zamoro Province had been successful. Preparatory construction activities will commence in six months. Mindful of its new internal policy for Corporate Social Responsibility, the corporation has begun to look for ways to work in partnership with regional government and civil society organisations. It is hoped that in this way the corporation can contribute to sustainable local and regional development that not only accords with the policies of government and the aspirations of the local communities, but also reduces the likelihood of disruption to business operations and improves the corporation's reputation both locally and in its domestic market. The proposed mine site is located in the center of Bella District, a remote, rural region of the country, home to 10,000 indigenous people spread across five dispersed settlements.

Briefing

You are Chief Honcho, leader of the indigenous peoples of Bella Vista District. In the last year you have been visited by representatives of both the company and Social Concern International. You offered them your friendship and encouraged the villagers of the five settlements (all under your charge) to give their time to answer the visitors' questions. The interviews went on for ten days and many families delayed the planting of seeds to allow time with the guests. Both sets of visitors promised to return at a later date to assist with the health care needs of the District. Health care is an important issue for the communities. The rainy season will begin again in two months and last year deaths from malaria were recorded in thirty families. Despite the visitors promises, nothing yet has happened and many of the villagers blame you for raising their expectations unnecessarily. Some are beginning to say that the power of the Chief is declining and that someone new should be appointed.

You and your team have been invited to join a two-day workshop. The objective of the workshop is to try to agree a partnership arrangement to improve health services in Bella Vista District. You have agreed to the workshop being facilitated. You are not altogether sure what is meant by this term 'partnership' but the last visit by a representative of the company explained that your people may be asked to help mobilize community participation in attending a mobile clinic, in return for receiving outside assistance from the company. In recent years the whole system of 'Chiefs' has been attacked by different community groups. You see this workshop as an opportunity to silence your critics by returning home with a programme of health care that will be rapidly visible in all five settlements.



Location Matters!

- where you meet has implications
- cost, politics, power, community perception
- consult on the best location

Setting up the Room

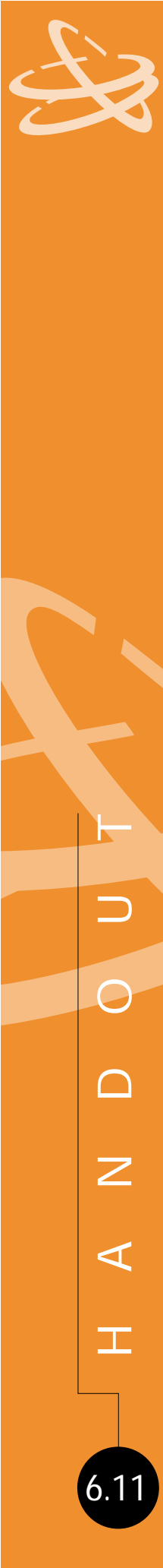
- account for cultural protocols in setting the room
- styles of room layout
 - boardroom - conveys business
 - circles - conveys equality
 - theater - conveys learning
 - banquet - conveys small group interaction
- remember, you can always start with a “formal” layout, then progress to the more “informal”

Setting Agendas

Setting realistic, achievable meeting agenda is a critical component of effective dialogue and partnership-building. Meeting or workshop agenda need to be clear and logical and based on prior consultation with the parties.

A simple process for developing a meeting agenda is as follows:

- Consult with the participants ahead of time and define the primary objectives for the meeting or workshop. Relate these to specific accomplishments or outputs (e.g. identifying complementary interests of prospective partners or agreeing the resource commitments of actual partners).
- Identify the primary topics, activities and associated blocks of time that need to be incorporated into the agenda to meet those objectives.
- After the major agenda topics and activities are in sequence, less important items and break times should be inserted into the agenda.
- Organize the sequence of topics and activities so that they flow according to a clear and simple rationale that can be explained when the agenda is introduced.
- If there are complex or controversial issues to be addressed, try to deal with these at a time in the agenda when the participants will not be too tired. Further, in order to develop momentum and to reinforce a positive atmosphere it is often better to deal with simple items before dealing with complex or controversial ones.
- Circulate a draft of the agenda prior to the meeting to ensure that it reflects the participants' expectations.
- Review, and if necessary amend the agenda at the beginning of the meeting to ensure that it is supported.



Workshop Methods

Plenary sessions gathering all participants together. These are used at the beginning and end of workshops and at significant points in between the middle. They work best when introducing new ideas, reviewing progress, or more specifically, prioritising options and demonstrating common ground across a whole group. However, if used too much, plenaries can make a workshop monotonous and may encourage one or two people to dominate the available time.

Presentations by participants where each stakeholder group takes turns to overview the findings of a session. This can instill awareness of the need to consider others' perspectives. Note that care should be taken in deciding if sufficient goodwill has been developed between the parties for such presentations to be effective.

Mini-lectures by the facilitator, guest speaker or participants, may be useful in getting across condensed or conceptual information in a short space of time. It is more beneficial if, soon after the lecture, the participants begin to apply the information to their own experiences.

Small groups of three to four participants encourage intensive, creative study, where ideas can be expressed, discussed and developed freely. A limited time, with a specific focus on one or two issues usually works best. Often one in the group is asked to act as a time-keeper and another as a recorder to report back in plenary. To prevent creativity being stifled it is often best to identify and separate those individuals less able to work together.

Pairs encourage new and closer relationships to be formed and are suitable for sharing personal information and feelings. Facilitators often use pairs early in a workshop so that all participants feel they have related more closely to at least one other person. This tends to build confidence for later.

Triangles are used in sessions where a third-person acts as an observer of a pair. The roles are then alternated so that each of the three people plays the observer. This method gives participants experience in identifying what it is that causes tension between parties and what might bring them closer together.

Role playing can assist problem-solving by asking participants to act out difficult situations in a 'safe' environment. Role playing needs to be handled sensitively and time allocated to bringing people out of their roles.

Visualising Facilitators often find ways of rapidly visualising the emerging concepts, processes and options being discussed (e.g. flow diagrams, maps, cluster diagrams, etc). The process of developing the diagrams should be participative, so that the participants feel that they 'own' the results.

Physical session, songs, dances and games may be appropriate in certain circumstances and will be influenced by the culture and cultural mix of the participants.

(Adapted from material by A. Hinkley and A. Acland, Environment Council, London)

Session 3 - Building Trust

Aim

This session introduces the participants to techniques for building commitment and trust between potential partners within a workshop setting.

Learning Objectives

- ▶ to experience facilitating early commitment and trust amongst potential partners;
- ▶ to provide tools for establishing 'ground rules' that ensure effective communication and problem-solving between workshop participants; and
- ▶ to provide tools for the facilitation of a shared vision for a partnership.



Guidance For Trainers

1. Steps to Consensus-Building -

Introduce the four 'steps' to consensus-building (refer back to *Handout 5.6*). Invite comparison from the participants between these steps and their own experiences in negotiation. Explain the importance of the facilitator always knowing where he or she is in relation to these, or some other simple set of steps.

2. Presentation on Trust Building

Tools - Make a short presentation on 'tools' for building trust. Refer to *Handouts 6.11* (warm-up exercises); *6.12* (ground rules) and *6.13* (shared vision and mission statements). Explain that these tools serve 'two' functions:

- ▶ *to meet the objectives behind the tool* (e.g. to build familiarity between parties, set ground rules or develop a shared vision); and
- ▶ *to improve communications and reach an early consensus* between parties around a non-contentious issue, i.e. demonstrate that agreement 'is' possible..

3. Session Design - Allow 15 minutes for each pair of facilitators to design how they would go about the task of facilitating a session involving representatives from the Planning Office, MEIL, the NGO, and Community Leaders with the aim of agreeing on a set of workshop ground rules.

(Alternatively, the exercise could be to design the process of building a shared vision statement). Issues each pair of facilitators should consider in their design include:

- how much time to dedicate to this exercise;
- how will the meeting room be organised and who should (or should not) be seated next to who?;
- how the two facilitators will divide up their roles (e.g. who will be 'intervenor'?, who will be the 'recorder'?, will these roles stay the same for the duration of the session?);
- how the participants' ideas will be solicited (e.g. through the facilitator presenting options?, through suggestions being invited from individual participants?, through the participants brainstorming their ideas individually or in small groups?); and
- how will consensus be reached on either the ground rules or vision statement?

4. Facilitation of Session - After 15 minutes of design time, assign one pair the task of being the facilitators for the session. Everyone else should stop what they are doing and go back into their role (the Planning Office, MEIL, the NGO or Community Leaders).

5. Debrief - After the session, debrief what happened from the perspective of 'effective facilitation', by capturing on flip chart paper:

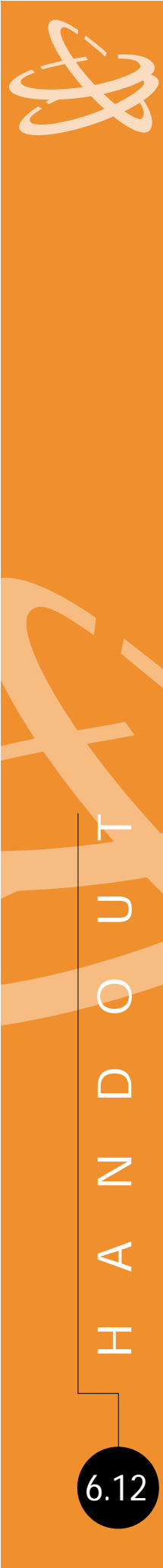
- (a) what worked?; and
- (b) what could have been improved?

Ask these questions first to those who

have just been facilitating. Then open the debate to the others. Capture all suggestions on flip-chart paper.

Throughout all subsequent sessions, keep adding and adapting to the same two lists.

6. Participants' Experiences - Invite comment on how the design and facilitation of this type of trust building session might have to be modified with respect to facilitation work in which they are involved.



Warm Up Sessions

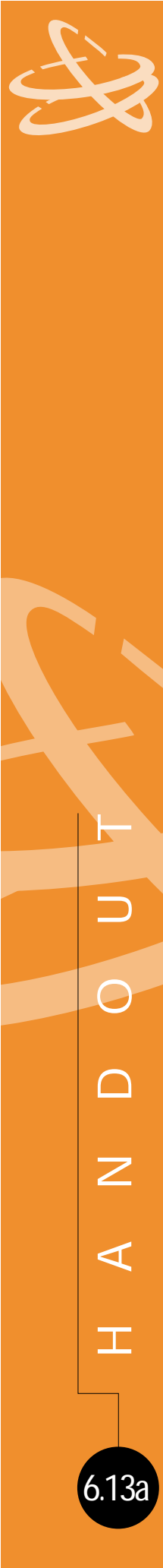
Warm up sessions serve not only to increase familiarity between parties, but also to begin to develop the group's capacity to communicate with each other and develop trust. Some examples include:

Formal Warm Up Sessions

- ▶ introductions by each participant (e.g. name and affiliation)
- ▶ each participant identifying their 'expectations' for the meeting
- ▶ short presentations by each participant or their organizations, on achievements to date (e.g. achievements in community development or social impact mitigation)

Informal Warm Up Sessions

- ▶ each individual explaining to the whole group the meaning and history of their name including which name they would like the other participants to use during the session
- ▶ small groups all standing on the same piece of flipchart paper. Every 30 seconds the paper is folded into two, until they cannot all stand on it anymore. Debrief in terms of working together, diminishing resources, getting to know each other, etc.
- ▶ pairs of participants invited to "barter" items (goods, services, knowledge, etc.) until each party considers themselves to have gained more than they have lost. Demonstrates the idea that negotiation can deliver tangible benefits for both parties ("win-win").



Ground Rules

Ground rules (or 'rules of procedure') are intended to establish participants' expectations of each other and of the way they wish to work together. The mutual commitments associated with setting and agreeing on ground rules form an important foundation for the overall process of consensus-building, both by ensuring expectations are synchronized and by beginning to build trust.

Ground rules can range from simple rules with regard to how participants should treat other participants (e.g. avoiding personal criticism), to more complex rules on how the group will make decisions. They can be formally written down with copies distributed to each participant, or they can be simple, verbally shared rules of behavior. There are several types of ground rules including:

1) Rules for interacting with other participants

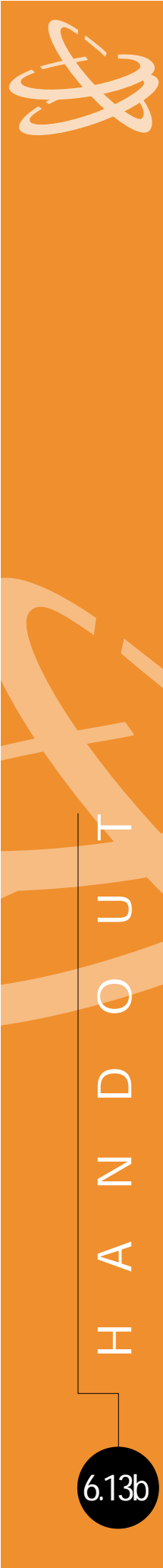
For example:

- avoiding personal criticism
- avoiding interrupting other participants
- treating all other participants with respect
- being specific and using examples
- agreeing on what important words mean
- explaining the reasons behind one's statements or questions
- keeping the discussion focused
- providing reasons when disagreeing
- limiting statements to two minutes at a time

2) Rules for communication outside the process

For example:

- sharing all relevant information prior to meeting
- leaving the room to have side conversations
- not characterizing the process or other participants in the media



Ground Rules (con't)

3) Rules for managing logistics

For example:

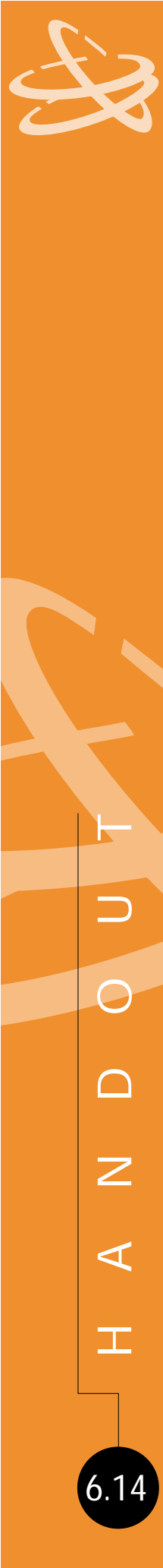
- arriving at meetings on time and with preparatory work completed
- sending a replacement when the main participant cannot attend
- agreeing the next meeting's agenda at the end of each meeting
- agreeing to the preparation of meeting summaries/minutes
- meeting on only certain days of the week (e.g. weekdays or weekends)

4) Rules for making decisions

For example:

- requiring unanimity for a decision to be passed
- majority voting
- allowing participants to stand aside to allow an agreement to move forward
- having different decision-making rules for different types of decisions
- agreeing that all options be verified against predefined objective/evaluative criteria
- agreeing to test all options as 'pilots' first

Keep the ground rules as simple and as small in number as possible while still ensuring that they fulfill their desired intent. If there are too many complex ground rules, the participants will not remember them all (and neither will the facilitator!).



Vision and Mission Statements

Vision Statement

- ▶ describes where you want to be in the future
- ▶ is almost out of reach but still possible
- ▶ important to building the idea of 'we'

e.g. "A healthy community free from malnutrition and associated disease"

Mission Statement

- ▶ describes the fundamental purpose of the specific partnership
- ▶ describes a standard the partnership intends to maintain

e.g. "To deliver excellent medical care to every member of the community"

Session 4 - Revealing Interests

Aim

This session introduces facilitation tools and skills that help participants articulate their underlying interests.

Learning Objectives

- ▶ to practice communication skills that assist participants to understand, and where possible, reveal their underlying interests;
- ▶ to explore common ground between the different parties' underlying interests;
- ▶ to transform underlying interests into the objectives of a partnership arrangement, both shared (i.e. common and individual objectives); and
- ▶ to identify common standards against which to measure the acceptability of an agreement on partnership roles and resources.

Guidance for Trainers

- 1. Differences between Interests and Positions** - Refer participants back to the four 'steps' to consensus-building (*Handout 5.6*). Invite examples from the participants to demonstrate the difference between 'underlying interests' and 'positions'. Use *Handout 5.13* (from Module 5) to help explain the differences.
- 2. Objective Criteria** - Introduce the notion of 'objective criteria'. These are criteria that can be used to evaluate the acceptability of different solutions towards the end of a process of consensus-building (see *Handout 6.15*). In essence, objective criteria are a form of shared underlying interest.
- 3. Tools and Techniques for Revealing Underlying Interests** - As a facilitator, one tool for drawing out participants underlying interests is the Issues Map (*Handout 6.16*). Key to revealing underlying interests are communication and questioning skills (*Handouts 6.17 and 6.18*). Make a short presentation on the issue map, and communication and questioning skills. Invite comment.
- 4. Session Design** - Allow 15 minutes for each pair of facilitators to identify

how they would use the issue map tool to develop the objectives of a partnership for Health Care between the Planning Office, MEIL, the NGO, and Community Leaders.

Ask these questions first to those who have just been facilitating. Then open the debate to the others. Add suggestions to the lists begun in the previous session.

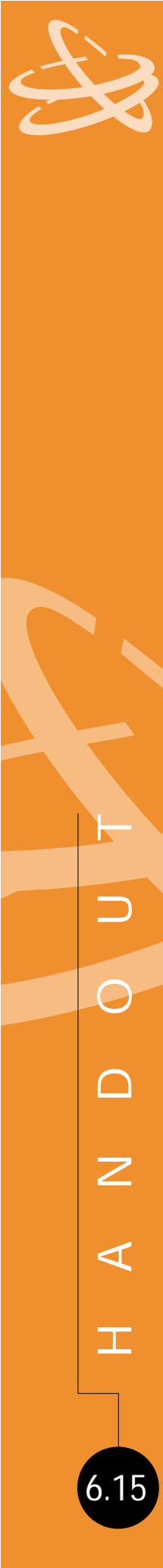
5. Facilitation of Session - After 15 minutes, assign one pair (a different pair than in the previous session) the task of being the facilitators for the session. Everyone else should stop what they are doing and go back into their role-play roles (Planning Office, MEIL, NGO, or the Community Leaders).

7. Participants' Experiences - Invite comment from the participants on how this type of objectives-setting exercise compares with the way in which objectives for social management or community development projects are normally undertaken.

6. Debrief - After the session debrief by asking:
(a) what worked from a facilitation perspective?; and
(b) what could have been improved?



Final negotiation to agree memorandum of understanding between partners in the Sarshatali Coal Mine project.



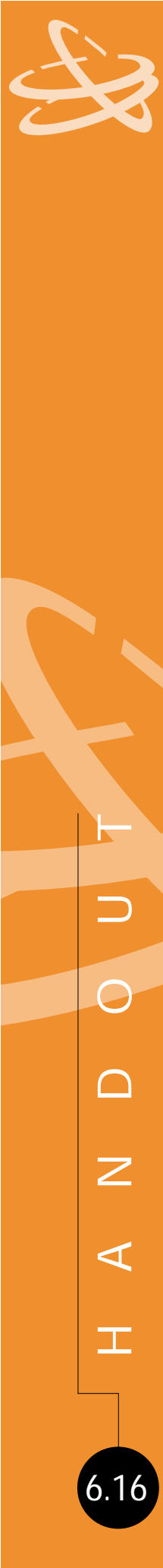
Objective Criteria

Objective and universally accepted measures for evaluating the degree to which an agreement is acceptable.

- ▶ provide a simple means for participants to evaluate options
- ▶ makes the final process of reaching agreement more objective

Examples include:

- ▶ *“200 patients able to be treated per day”*
- ▶ *“drinking water quality must meet WHO standards”*
- ▶ *“retrenchment procedures must meet ILO standards”*



Issue Map

The facilitator leads a brainstorming session on what the participants consider to be the 'key issues' surrounding a particular topic (e.g. health care, resettlement, small-scale business development, migration, tax revenue flows, etc). The issues are gradually transformed into the 'objectives' for a partnership.

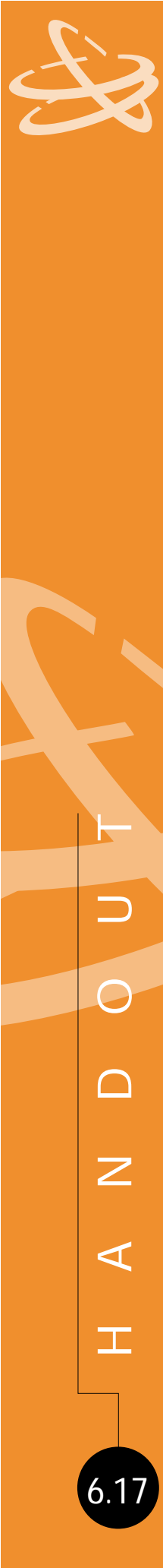
Issues - The issues are captured on a card in front of the participants. Some of the issues will be 'positions', some 'underlying interests'.

Clustering - Similar issues are clustered together.

Communication and Questioning - The facilitator uses different communication and questioning techniques to reduce 'positions' to 'interests'. Examples of these are given in Handouts 6.17 and 6.18.

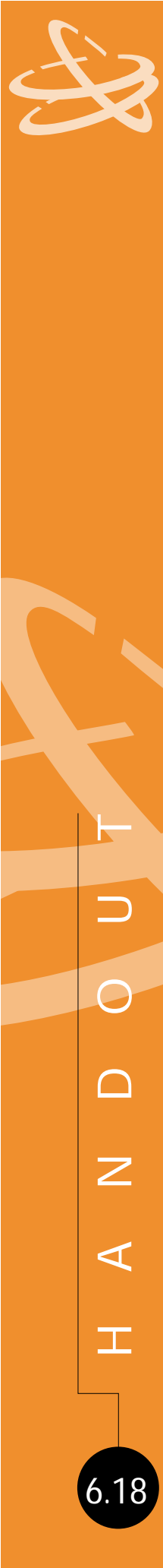
Results - The end result is a series of issues expressed as underlying interests, with those that are similar clustered together.

Partnership Objectives - The participants are then invited to describe the clusters of interests in the form of a single objective. These then become the objectives for the emerging partnership. Some will be common or shared objectives, others will be peculiar to individual organizations.



Communication Skills for Revealing Underlying Interests

- ▶ listening (see Handout 5.8)
- ▶ questions - open & closed (see Handouts 5.10 - 5.13)
- ▶ encouraging (see Handouts 6.18)
- ▶ paraphrasing (see Handouts 6.18)
- ▶ acknowledging emotions (see Handouts 6.18)
- ▶ reframing (see Handouts 6.18)
- ▶ summarizing (see Handouts 6.18)



Styles of Questioning to Reveal Underlying Interests

Approach	Purpose	Technique	Examples
Encouraging in the hope that they begin to reveal 'interests'	conveys interest; opens up communication	don't agree or disagree; use neutral words; ask questions with a positive tone	"I see, what else happened..." or "Could you tell us a little more about this?"
Paraphrasing restating in your words the speaker's message to reveal what you guess is the underlying 'interest'	shows that you are listening and understanding; clarifies meaning and interpretation	restate the basic ideas, but dig a little deeper	"Let me see if I understand you". "In other words.." "So what you might be saying is..."
Acknowledging Emotions noting the deeper feelings that underlie the speaker's comments	shows that you are listening and understanding; helps speaker evaluate their own comments after hearing them expressed by someone else	distinguish between substantive and emotional content of message; select a word or phrase that describes the exact feeling and level of intensity	"So when ... happened, you felt irritated." or "You seem to be somewhat..."
Reframing rewording the speaker's criticism or negative comment in the positive	shows that you are listening; to diffuse anger; to identify the underlying needs and interests	restate positively the speakers' intent, omitting charged words and accusations	"I'm getting really tired of these meetings. Nothing ever happens." to "So you want meetings to have results. What might be an example of a positive result"? "
Summarizing condensing the main points of the speaker's overall message in the form of an 'interest'	review progress; pulls together important ideas, facts	restate and summarize the major ideas and feelings	"Would I be right in thinking that the main ideas you have expressed so far are.....?"

Session 5 - Widening the Options

Aim

This session introduces facilitation techniques to help participants generate a wide-ranging and creative set of solutions to implement the objectives of a partnership.

Learning Objectives

- ▶ to practice facilitation techniques for brainstorming;
- ▶ to practice generating a set of options for implementing the objectives of a partnership; and
- ▶ to practice facilitating the identification of the resources and roles that different partners will commit to implement each option.

Guidance for Trainers

1. Partnerships Should Be Creative!

Refer participants back to the four 'steps' to consensus-building (*Handout 5.6*). Invite examples from the participants of where joint problem solving (i.e. involving a number of diverse types of staff or organizations) has led to more creative solutions than might have been engineered by one party alone.

2. Presentation - Make a short presentation on facilitation tools and techniques for brainstorming. Use as a prompt *Handout 6.19*, as well as *Handout 5.19* from Module 5.

3. Session Design - Allow 15 minutes for each pair of facilitators to design how they would employ a brainstorming exercise to develop a set of activities (including resource and role

commitments) for implementing each of the agreed objectives of the Health Care partnership. Refer to *Handout 5.1* on the structure of a partnership in the Consensus-Building Module (*Module 5*). The design will need to give consideration to the following:

- ▶ whether to address only one of the partnership objectives, or all the objectives at the same time
- ▶ how the participants will be divided to brainstorm the options (e.g. keep representatives from the same organisations together, or splitting them up)
- ▶ whether to try to brainstorm both the 'activities' and the 'resources/ roles' that each party will commit to each activity at the same time, or to have two separate sessions (e.g. one on brainstorming various activities, and one on what each party is willing to commit to each activity in terms of resources/ roles, leadership, etc.)

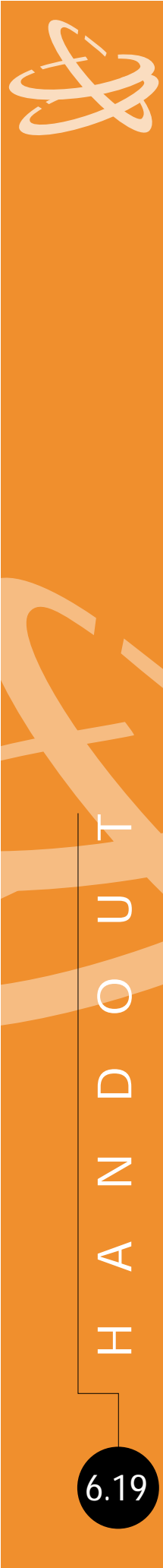
4. Facilitation of Session - After 15 minutes, assign one pair (a different pair from the previous session) the task of being the facilitators for the session. Everyone else should stop what they are doing and go back into their roles (Planning Office, MEIL, NGO, or Community Leaders). Allow between 1 and 1.5 hours for the session.

5. Debrief - After the session, debrief what happened by asking:

- (a) were some good ideas were rejected (refer to *Handout 6.19*)
- (b) what worked from a facilitation perspective?; and
- (c) what could have been improved?

Ask these questions first to those who have just been facilitating. Then open the debate to the others. Add suggestions to the lists begun in the previous session.

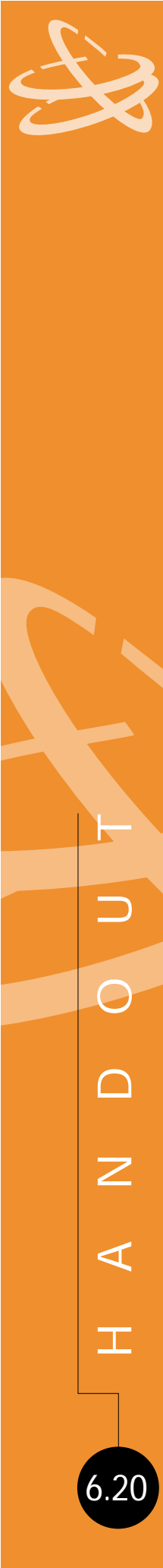
6. Participants' Experiences - Invite comment from the participants on how this type of action planning compares with the way in which planning for social management or community development projects is normally undertaken.



Rules for Brainstorming

Effective brainstorming is governed by some simple but important 'rules', including:

- ▶ participants begin by brainstorming individually, then move to working in small groups, ending with the ideas being amalgamated in plenary and a discussion held to see if it is possible to be even more creative and widen the options yet further
- ▶ when time is up, the options are brought together and any duplicates subsumed within others
- ▶ at no time is criticism of someone's idea allowed - all ideas are valid
- ▶ 'brainstorming' should be time-bound to encourage spontaneity and creativity and yet should remain flexible enough to accommodate situations where new ideas are still flowing
- ▶ ideas should be kept simple, written in no more than three words (the detail can come later)
- ▶ the options should be written large enough for all participants to see. This is critical since creativity is inspired by seeing the ideas of others. For example use marker-pens on "Post-its" or flip-chart paper. Enable the participants to see the ideas of others as and when they are generated.



Brainstorming - Why Good Ideas are Sometimes Rejected

Why are good ideas sometimes rejected? Because:

- ▶ they contain elements of another idea that has already been dismissed
- ▶ they do not immediately address important interests
- ▶ others think they have a better idea and they have been waiting for the opportunity to express it
- ▶ others do not understand the new ideas
- ▶ others have a conflict or dispute with the person who has expressed the new ideas
- ▶ others had an idea that they expressed earlier which was then dismissed
- ▶ others focus their attention on what might be wrong with the new ideas rather than trying to identify what might be creative and valuable

Session 6 - Reaching Agreement

Aim

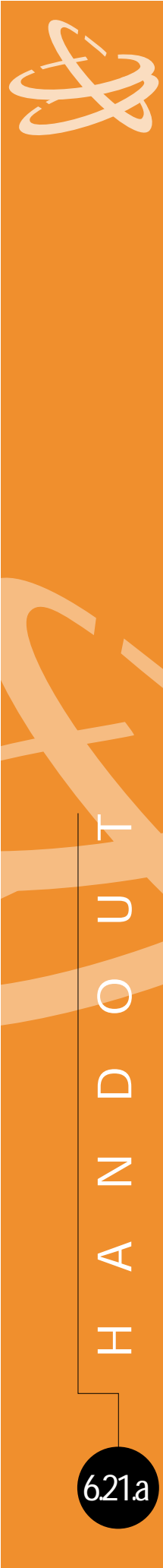
This session introduces strategies that facilitators can use to bring parties to an agreement.

Learning Objectives

- to practice bringing parties to an agreement; and
- to test these agreements for their feasibility.

Guidance for Trainers

- 1. Repackaging** - In preparation for the next session, pull together the main options from the previous brainstorming session. Configure these options in relation to each of the 'objectives' of the partnership (e.g. in a matrix of 'option' against 'partners'). For example, for Objective 1, there may be three main options, each combining an activity with the resources and roles committed by each participant.
- 2. Presentation** - In plenary, refer participants back to the four 'steps' to consensus-building (*Handout 5.6*). Invite examples from the participants of where they have been involved in negotiating agreements. How were these agreements reached? Was the result a consensus? Using *Handout 6.21*, make a short presentation on how to facilitate parties to reach agreement on the best options for implementing the objectives of a partnership. Note that this is but 'one' tool for reaching agreement. Invite ideas on other tools.
- 3. Session Design** - Allow 15 minutes for each pair of facilitators to design how they would employ the tools (e.g. *Handout 6.20*) to bring the parties to agreement on the key activities, resourcing and roles for implementing the objectives of the health care partnership.
- 4. Facilitation of Session** - After 15 minutes, assign one pair (a different pair than the previous session) the task of being the facilitators for the session. Everyone else should stop what they are doing and go back into their roles (Planning Office, MEIL, the NGO, or Community Leaders).
- 5. Debrief** - After the session, debrief what happened in the usual way. Referring to the structure of partnership (*Handout 5.1 and 5.2 - Module 5*), ask what tools a facilitator would use to reach agreement on the remaining elements of the partnership (e.g. overall workplan, grievance mechanism, funding arrangements, maintaining communication). Note that agreeing on a detailed workplan is the subject of Module 7 on Management Tools. End the session by asking the participants what the 'next steps' should be after reaching an outline agreement. Refer to *Handout 6.22*.



A Tool for Reaching Agreement

- (i) Elements of the Partnership Structure over which there is unanimous agreement (**A** - Agreed)
- (ii) Elements that have been modified or are part of a trade-off with other elements (**Ac** - Agreed with conditions)
- (iii) Elements over which there is no unanimous agreement (**U** - Unresolved)
- (iv) Packaging the agreements all together

(i) Unanimous Elements

This includes:

- Joint and individual partnership objectives acceptable without the need for changes (**A**)
- Options/solutions that enjoy unanimous support (**A**), both the
 - proposed activity; and
 - individual partner's resource contributions and roles

(ii) Amended Elements and Trade-Offs

This includes:

- Inviting ideas to combine options
- Inviting amendments, modification and trade-offs to convert unresolved elements (**U**) into agreed elements (**Ac**). Record the details of each condition (**c**) separately.

(iii) Elements still Unresolved (u)

Ways to manage unresolved elements include:

- Agreeing to not address a particular element
- Establishing an interim measure that solves the problem in a temporary way
- Agreeing to closely monitor a particular solution
- Setting up a pilot to test the feasibility of an option
- Seeking advice or direction from an agreed authority or expert

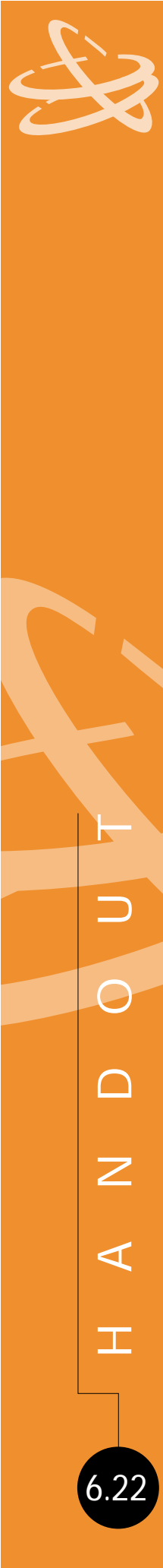
(iv) Assemble and Seek Approval for Final Package

- Unanimous Elements (**A and Ac**)
- Unresolved Elements (**U**)
- If necessary, present different combinations of options, i.e. Package A, Package B

Example of Matrix for Capturing and Refining Agreements as they Emerge

	Partners		
	P1	P2	P3
Objective 1	A	A	U Ac
➤ Option a (activities, resources and roles)	A	A	U
➤ Option b (activities, resources and roles)	U Ac	A	U Ac
Objective 2	A	U Ac	U Ac
➤ Option a (activities, resources and roles)	A	U Ac	A
➤ Option b (activities, resources and roles)	U	U	U

(Adapted from material by A. Hinkley and A. Acland of Environment Council, London)



What Next?

- check agreement/recommendations against objective criteria
- test for feasibility (e.g. technical, financial etc.)
- seek approval from decision-makers and constituents
- consult 'all' interested parties on outcome
- recognize that partnerships require 'maintenance'

Session 7 - Managing Breakdown

Aim

To briefly explore some of the ways that a facilitator might manage tensions and hostility within a workshop session.

Learning Objectives

- to identify when negotiations are close to breakdown; and
- to identify some strategies for managing breakdown.



Building capacity in third party facilitation skills: Sharshatali Coal Mine Project.

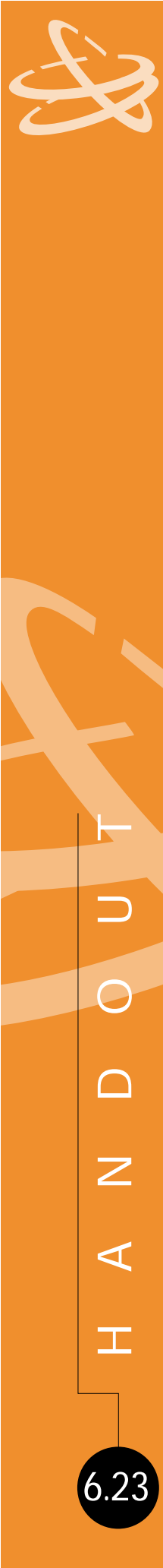
Guidance for Trainers

1. Indicators of Pending Breakdown

In plenary, invite observations from the participants of occasions in their own work when negotiations have broken down. Ask, what might have indicated that tensions were becoming destructive rather than constructive? Use the experiences of the last two days to widen the range of examples.

2. Strategies for Managing Breakdown

Breakdown - Refer to *Handout 6.23*. Solicit ideas for what a third-party facilitator might do to prevent or resolve emerging tensions in a workshop setting?



Breakdown

Sometimes consensus-building processes breakdown.

Sometimes, despite the best efforts of the facilitator and the participants, consensus-building processes breakdown. They breakdown for a variety of reasons including:

- ▶ parties adopting strong and contrary positions
- ▶ low incentive for some parties to negotiate
- ▶ poor communication among the parties
- ▶ lack of critical information

Breakdowns can be minor or more significant.

Breakdowns can be minor, where negotiations do not appear to be making any progress, or they can be more significant, where some or more parties feel they should withdraw from the negotiations.

For minor breakdowns some possible approaches include:

- ▶ probing into the underlying interests that are served by strong positions
- ▶ changing topics and moving to a topic where the parties are close to agreement in order to build momentum
- ▶ taking a break and talking to the parties separately
- ▶ pointing out the importance of past and future relationships if they are important
- ▶ referring to examples of successful negotiations of similar issues
- ▶ encouraging participants to try harder and point out the progress that has been made
- ▶ send the issue off to a working group for resolution

For more significant breakdowns some possible approaches include:

- ▶ adjourning the process for a period of time to allow the parties to calm down if they are agitated
- ▶ talk to all the parties and assess the likelihood of a negotiated settlement
- ▶ summarize the progress that has been made so far
- ▶ encouraging the parties to re-evaluate their objectives and their best and worst alternatives to a negotiated outcome, including the likelihood of them coming about. If all parties determine that negotiations are worth pursuing, establish an explicit commitment to continue with specific objectives, time frames and procedural rules
- ▶ developing a small representative group of “moderates” to develop proposals to overcome the impasse for consideration by all participants
- ▶ referring the problem to experts chosen by all parties if the breakdown relates to information
- ▶ seek direction or support from a higher authority or respected individual

Key Lessons

- Facilitators should design and seek approval for consensus-building processes that are sensitive to the participants.
- Facilitators assist parties in moving through the four steps to consensus - build trust, reveal interests, brainstorm creative options and reach agreement.
- Facilitators remain neutral with respect to the outcome of the negotiations.
- Facilitators employ effective communication and questioning skills

Further Reading

Action Planning Workshop of the Sarshatali/BPD Dialogue on Tri-Sector Partnerships –

<http://www.bpd-naturalresources.org/reports/apworkshopsarsh.pdf>

IUCN (1995) *Reaching Agreement: Conflict Resolution Training for the IUCN*, International Union for Conservation and Nature, Geneva.

Fisher, R., and Ury, W. (1987) *Getting to Yes: Negotiating Agreement without Giving in*, Arrow Books, London.

Tennyson R. and Wilde, L. (2000) *The Guiding Hand: Brokering Partnerships for Sustainable Development*, London: Prince of Wales Business Leaders Forum and United Nations Staff College