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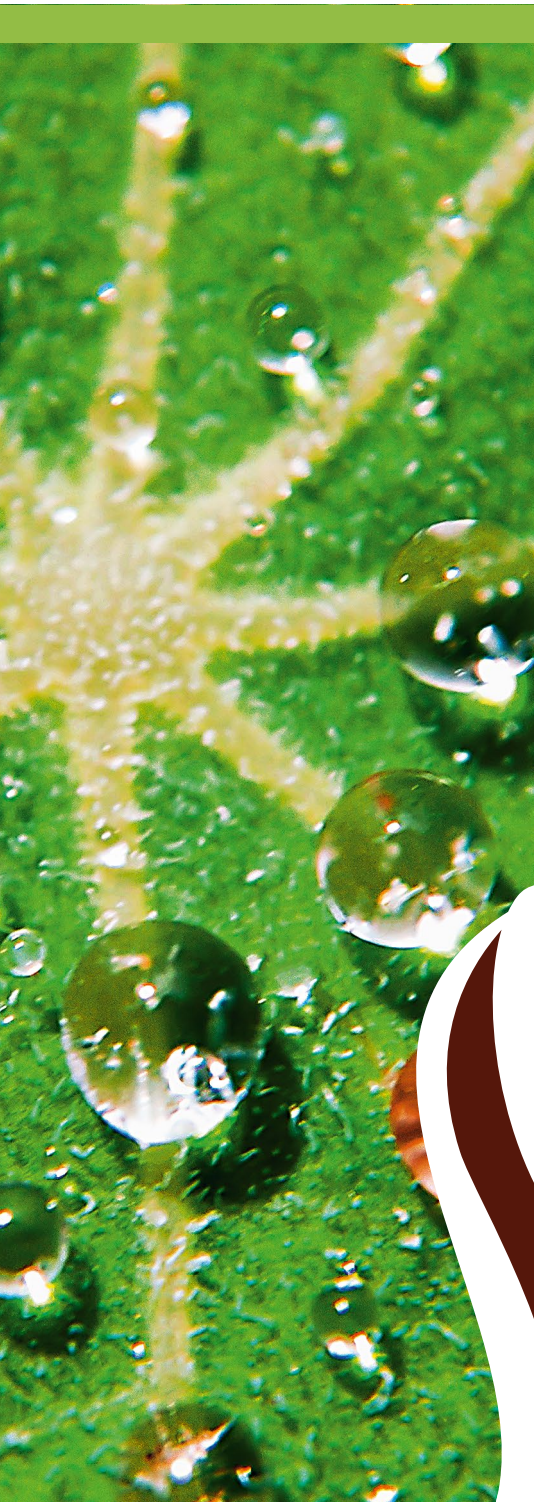## THE ECONOMICS OF LAND DEGRADATION

ELD Initiative:
Practitioner's Guide

**Pathways and Options for
Action and Stakeholder Engagement**

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All data published in this document have been acquired prior to July 2015.

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Introduction

What is the problem?

As the world's population continues to rise, there is an ever increasing demand for our land to produce a diverse range of products such as food, timber, and fuel. Our growing need for these goods is leading to higher levels of competition between different land uses and, as a result, land users. Not only is the quantity of land available for production under current technical and economic conditions limited, but there is also growing evidence that the quality of our land is degrading (Safriel, U. N. 2007; Millennium Ecosystem Assessment, 2005; TEEB, 2010). As a result, healthy land that is available for production is becoming an increasingly scarce resource, and there is a great need to make better use of what we have available, both now and in the future.

The costs of inaction and delayed action to address the links between land degradation, climate change and other drivers of future change are likely to be substantial (Reed, M.S. and Stringer, L.C. (in press). Recognising the need for urgent action to reverse land degradation, the member states of The United Nations Convention to Combat Desertification (UNCCD) have set the objective of Land Degradation Neutrality (LDN), which aims to maintain or improve the condition of current land resources (UNCCD, 2014). However, this goal can only be achieved with the adoption of alternative land uses and management practices. It is becoming

increasingly clear that the complexity of land degradation challenges at global scales requires the integration of many types of knowledge, from local to generalized; informal to formal; novice to expert; tacit and implicit to explicit; and traditional and local to scientific and universal (Raymond et al., 2010). Integrating insights from these different perspectives to deliver real change on the ground will require collaboration between stakeholders at levels not seen previously. This manual is designed to help practitioners achieve a new level of engagement with stakeholders to tackle land degradation. But who has a stake in these issues and what can we do to empower them to take actions that promote sustainable land use and management?

What can we do?

Improved co-production of knowledge is needed between scientists, local community members, technical advisors, administrators and policy makers. These different groups may be considered "stakeholders", defined as those who are affected by or who can affect a decision or issue (Freeman, 1984). Stakeholder engagement can be defined as "a process where individuals, groups and organisations choose to take an active role in making decisions that affect them" (Reed, 2008). It is argued that stakeholder engagement may enhance the robustness of policy decisions designed to reduce the vulnerability of ecosystems and human populations to land degradation (de Vente et al., in press). In this way, it may be possible to develop response options that are more appropriate to the needs of local communities and can protect their livelihoods and wellbeing (ibid).

This Practitioner's Guide has been developed to facilitate engagement between stakeholders to identify options and pathways to action that can help tackle or adapt to the challenges of land degradation. It is based on materials developed for a Massive Online Open Course (MOOC) *https://mooc.eld-initiative.org* on 'Options and pathways for action: Stakeholder Engagement'. These materials

Land degradation is defined by the United Nations as a reduction or loss of the biologic or economic productivity and complexity of rain-fed cropland, irrigated cropland or range, pasture, forest, and woodland. The harsh economic realities of land degradation often affect the poorest, hungriest, least healthy, and most marginalized communities in the world, who are most dependent on land for their livelihoods.

This guide answers a range of questions that are often asked by practitioners as they attempt to engage with stakeholders around the adoption of more sustainable land use and management, such as:

▌ How can local knowledge be integrated with scientific knowledge in research processes to deliver multiple objectives for different stakeholders?

▌ What levels and types of stakeholder participation are suited to different contexts and purposes?

▌ Which stakeholders should be engaged and when?

▌ When is an external, independent facilitator needed, and what skills can practitioners learn to enable them to facilitate stakeholder dialogue?

What makes some stakeholder engagement processes deliver their intended outcomes while others lead to unintended negative consequences?

include literature review, course materials and presentations from experts in the field, as well as extracts from assignments submitted by students on the MOOC.

Why engage stakeholders?

Land degradation is a highly complex process, which interacts with other biophysical and social processes, affecting many different stakeholders at different scales. Traditional top-down approaches to tackling land degradation have often failed to deliver the intended results (Cramb et al., 1999; Knill and Lenschow, 2000). Often, these problems can be attributed to the lack of ownership over the process amongst those who have the power to implement decisions (e.g. state actors or land owners). This may then lead to these groups delaying or preventing the implementation of decisions, in order to preserve their interests. The often sobering experiences with participatory

research call for a rethinking of the widespread implicit expectation that more participation is generally better (Arnstein, 1969; Blackstock et al., 2007). Some research highlights that the adoption of participatory methods should be optimised rather than maximised (Neef and Dieter 2011).

Tackling land degradation therefore requires engagement with diverse stakeholders, who often have conflicting priorities. For example, many approaches to tackling land degradation lead to trade-offs between different ecosystem services (Reed et al., 2015). Often, this is a trade-off between short-term provisioning services (e.g. crop and animal production or extractive uses of forests) upon which the resource-dependent poor often depend for their livelihoods, versus the protection and enhancement of regulating and supporting services (such as nutrient cycling and soil formation), which have the potential to reverse land degradation, contribute to LDN and enhance resilience to climate change (Reed and Stringer 2016).

Given the challenges associated with stakeholder engagement, it is essential to be clear about the reasons for engaging in the first place. Broadly speaking there are two types of motivation for engaging with stakeholders (Reed, 2008):

1. **Normative**
   The normative objective is based on the democratic ideal that people or groups should be given the chance to participate in processes of decision-making that affect them (Fiorino, 1990). It is argued that involving stakeholders, including those that are usually marginalised and not heard, results in research output that is considered to be fair and benefit a wider society by taking the diverse values into account. Bringing stakeholders together provides the chance to build trust and understanding amongst all participants involved and to open up for new networks and relationships (Reed, 2008; Hage et al, 2010). This may eventually lead to processes of social learning where a change in understanding is not limited to the individual but extended to the wider society as well as empowerment (Reed et al. 2010).

2. **Pragmatic**
   Pragmatic objectives summarize motivations that rather target the outcome of stakeholder

engagement, like the improvement of the quality and durability of results, than the process itself (Reed, 2008; Stirling, 2008):

The substantive objective aims to generate more relevant and robust knowledge by integrating stakeholders' knowledge and interests (Fiorino, 1990; Stirling, 2008). Exchanging and learning from the existing multiple understandings allows for more holistic and qualitatively better solutions that are adapted to the specific needs and eventually lead to higher adoption rates of innovative practices (Reed, 2008). The substantive objective acknowledges that stakeholders' diverse practical and everyday knowledge is just as valid and relevant as knowledge provided by scientific endeavours (Talwar et al., 2011; Lang et al., 2012). The interaction can also help to identify new pathways of change taking into account stakeholder's interests and perceptions.

The instrumental objective aims to generate solutions that are widely accepted, owned and implemented (Fiorino, 1990; Stirling, 2008). Many stakeholders are reluctant to implement innovations. Involving them in the process shall build trust and can increase the legitimacy and acceptance of the research process and its outcomes. This eventually may strengthen stakeholders' feeling of ownership regarding the research results and increase the likelihood that outcomes are considered in future decision (Fiorino, 1990; Reed, 2008).

How do we engage stakeholders?

This Practitioner's Guide will explain a variety of techniques to involve different stakeholders in the identification of sustainable land management practices that have the capacity to reverse land degradation trends.

The guide is divided into three sections, based on Kolb's experiential learning cycle (Kolb, 2014), which is often characterised as, "plan, act, reflect". Following this approach, practitioners must first plan their engagement with stakeholders, then put the plan into action, whilst continuously reflecting on their practice to learn how to engage more effectively. This in turn then leads to the ongoing adaptation of plans for stakeholder engagement.

Three steps to work effectively with stakeholders, corresponding to the three sections of this practitioner's guide.

Plan
- Set goals; Identify, categorise and select stakeholders
- Design engagement process and plan activities (including risk identification and mitigation)

Act
- Use engagement tools
- Facilitate engagement

Reflect
- Monitor and evaluate stakeholder engagement
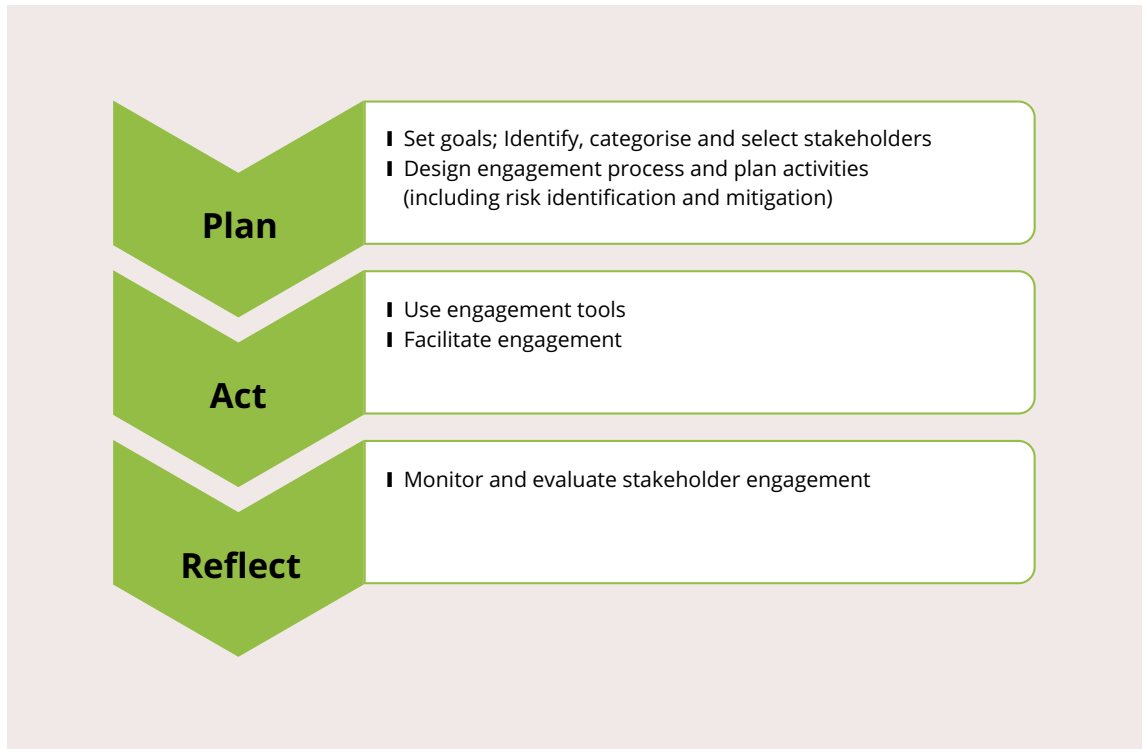
The first section of this guide discusses how to plan for stakeholder engagement as a process, before considering a range of process design tools. The second section provides a plan for action, helping practitioners to choose engagement tools, and decide how and when to facilitate stakeholder dialogue. The third section examines how to effectively learn and reflect on the experience gathered from working with stakeholders. It considers different approaches and frameworks for evaluating stakeholder engagement, and then provides an overview of tools for monitoring and evaluation that can improve future practice.

We hope that this step-by-step guide will help you establish and carry out a stakeholder engagement plan, taking inspiration from the selected examples that we have included. There is no single correct method for creating such a plan, but the steps illustrated in *Figure 1* are typically included.

Section 1.

Plan

Identify goals and stakeholders

Goal setting

The first step in any stakeholder engagement process is to clearly define the goals that the process seeks to address. Only when these are relatively clear is it possible to identify who has a stake in the achievement of these goals and who, as a result, needs to be involved. In reality, this is likely to be an iterative process requiring an initial identification of stakeholders, who help refine the goals of the process, broadening or narrowing the scope of the work and so making new stakeholders more or less relevant to the ever-evolving process.

For a stakeholder engagement process to retain engagement from as many stakeholders as possible, it is important to negotiate the main aims at the start of a process, so that there is joint ownership over them. If the stakeholder analysis (discussed in the next chapter) is done well, it is unlikely that the goals of different stakeholders will be widely divergent and incompatible. However, it is often necessary to expand the scope of an engagement process at this early stage, to incorporate as many of the different stakeholders' needs as is feasible. At this point, it is important to manage expectations, as not all objectives will be achievable within the time and resource constraints of the process.

There are many methods for goal (or target) setting. For a stakeholder engagement process, this would normally be negotiated during the first workshop of a process, or be based on the analysis of data (e.g. interviews) from stakeholders.

Effective goals are often said to be "SMART":

- S – Specific (or Significant)
- M – Measurable (or Meaningful)
- A – Attainable (or Action-Oriented)
- R – Relevant (or Rewarding)
- T – Time-bound (or Trackable)

Where there are a number of competing goals proposed for a stakeholder engagement process, it is usually necessary to prioritise them. There are a number of transparent and participatory ways of doing this with stakeholders, ranging from simple voting and ranking exercises to more complex prioritisation exercises (see Section 2; Act).

Identifying stakeholders

Stakeholders exhibit significant differences with regards to their personal characteristics (e.g. state actors, large or smallholder, private actors, and communities) as well as their relation and attachment to the issue at stake. For instance, an

A number of questions may be asked during workshops and interviews to identify stakeholders, for example:

- Who will be affected by the research?
- Will the impacts be local, national or international?
- Who has the power to influence the outcomes of the research?
- Who are potential allies and opponents?
- What coalitions might build around the issues being researched?
- Are there people whose voices or interests in the issue may not be heard?
- Who will be responsible for managing the outcome?
- Who can facilitate or impede the outcome through their participation, non-participation or opposition?
- Who can contribute financial or technical resources towards the research?

individual or a group can be the owner of, a user of, or simply concerned with a piece of land. Knowing the stakeholder's identity, interests, role and power to affect the land management is important to manage stakeholder engagement effectively.

Analysis of the differences between stakeholders, i.e. stakeholder analysis, is an indispensable tool in the planning phase of a project. It can help involve relevant stakeholders by providing an understanding of who has a stake in the social and/or natural system affected by the decision or action, and through understanding the nature of their claims and inter-relationships with each other.

Stakeholder analysis can be conducted with or without the participation of stakeholders, but if you can engage with at least one or two key cross-cutting individuals or groups in the exercise, this can help define and refine the scope of the issues being considered, and provide more comprehensive information about who might have a stake in those issues. For many stakeholder

analysis exercises, the scope is already very clearly set, such as with a stake in a particular disease or the production of a particular crop. However in many cases, the scope of the analysis is discussed and refined with stakeholders at the outset.

The identification of stakeholders is typically a cyclic process, eliciting feedback from new stakeholders as they are identified, who in turn identify new stakeholders. The initial identification is often carried out using secondary data sources to select workshop participants who then start mapping stakeholders more systematically. The information collected can then be discussed in interviews with the stakeholders involved in the workshop, who may then identify new stakeholders. The interviewer would follow a "snowball sampling" approach, getting respondents to identify new stakeholders, until no new stakeholders are identified.

Other methods for identifying stakeholders include:

- Self-selection (e.g. in response to advertisements or announcements)
- Written records or census data (e.g. providing information that could help categorise stakeholders by age, gender, religion or place of residence)
- Oral or written accounts of major events (identifying the people who were involved)
- Using a checklist of likely stakeholder categories

Table 1 shows an example of stakeholder identification from a case study.

Finally, it should be noted that all methods for identifying stakeholders provide a snap-shot in time, but stakeholders, and their interests and influence, are typically dynamic. For example, stakeholders may form alliances to either promote or defeat a particular outcome, and stakeholder mapping can be used to identify where such alliances are likely to arise. The constantly changing nature of people requires stakeholder analysis exercises to be revisited and updated periodically to ensure that the needs and priorities of all stakeholders continue to be captured.

Typical stakeholders in relation to land use and management and land degradation are:

- Government: political decision makers, including national (ministries, national agencies) and sub-national government authorities and agencies, traditional authorities and regional and international organisations
- Private businesses: multinationals and other big corporations, small and medium enterprises, farmers and smallholders, industry/producer representative bodies/associations, trading partners
- Civil Society: international development and environmental non-governmental organisations (NGOs), local communities and civil society bodies, professional groups and their representative bodies, special interest/lobby groups
- Media
- Research organisations

Stakeholder identification from the case study on Protection of the mangrove forest in Corinto, Nicaragua.
(Team: Edgar André Lampenscherf and Henrik Trevisan)

Stakeholder Name	Type of Stakeholder	Description	Relationship to the land
Local population	Civil Society	Not direct land user group, but highly depending on natural coastline protection and goods coming from the mangrove ecosystem.	High awareness of existence of mangrove ecosystem but rather no interest in entering forest zone due to muddy soil
Local government	Government	Political dilemma between promoting ecological protection, protection of local population against threads of Tsunamis and securing the interests of tree cutters in order to diminish poverty and unemployment	High involvement in ecological projects initiated by individuals working for the mayor
Tree cutter	Private	Excessive land exploitation (often) without knowledge about sustainable land	Strong relation but missing awareness. Expectation that use nature itself will take care of it. Mass destruction not understood to be man-made.

FIGURE 2

Interest-influence matrix used to identify stakeholders with differing levels of interest in and influence over your research

High

Influence

Context setters – highly influential, but have little interest.
Try and work closely as they could have a significant impact

Key players – must work closely with these to affect change

Crowd – little interest or influence so may not be worth priorising, but be aware their interest or influence may change with time

Subjects – may be affected but lack power. Can become influential by forming alliances with others. Often includes marginalised groups you may wish to empower

Low   **Level of interest**   High

Categorising stakeholders

Broadly speaking, there are two approaches to categorising stakeholders (Reed and Attlee, 2015):

1. Using pre-defined categories
2. the bottom-up with the stakeholders themselves

The most commonly used approach is to consider the relative interest of a stakeholder in the issue or decision being considered versus their level of influence over that issue or decision. This is typically done using an "interest-influence matrix". *Figure 2* shows how these criteria help identify four types of stakeholder:

■ Stakeholders with high levels of interest and influence are termed **key players**, and it is argued by some that priority should be given to engaging actively with this group

■ **Context setters** are highly influential, but have little interest in your research. Because of this, they may have significant influence over the success of your research, but may be difficult to engage with. As such, particular effort may be necessary to engage this group in the research

■ **Subjects** have high levels of interest in your research but low levels of influence and although by definition they are supportive, they are unlikely to be able to play a significant role in implementing findings from your research. They may however later become influential by forming alliances with other more influential stakeholders. These are often the marginal stakeholders that may also be considered "hard to reach", and that might warrant special attention to secure their engagement and to empower them to engage as equals in your research with more influential participants.

FIGURE 3

Example of Interest-Influence Matrix from the case study on economic and ecological efficiency of soil wind erosion control methods: example of Ukrainian Western Polissya.
(Team: Warren Priest, Antonia Schraml, Hekuran Koka, Anatoliy Kucher, Lesya Kucher, Iryna Kazakova)
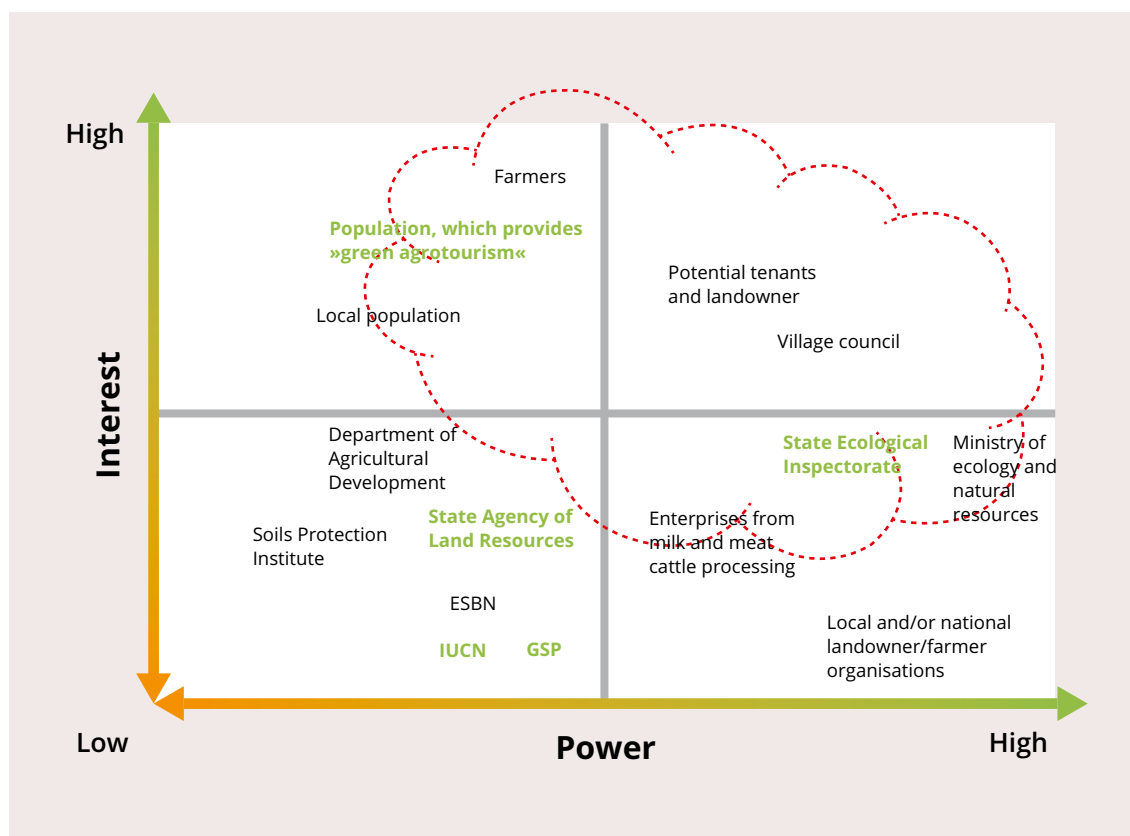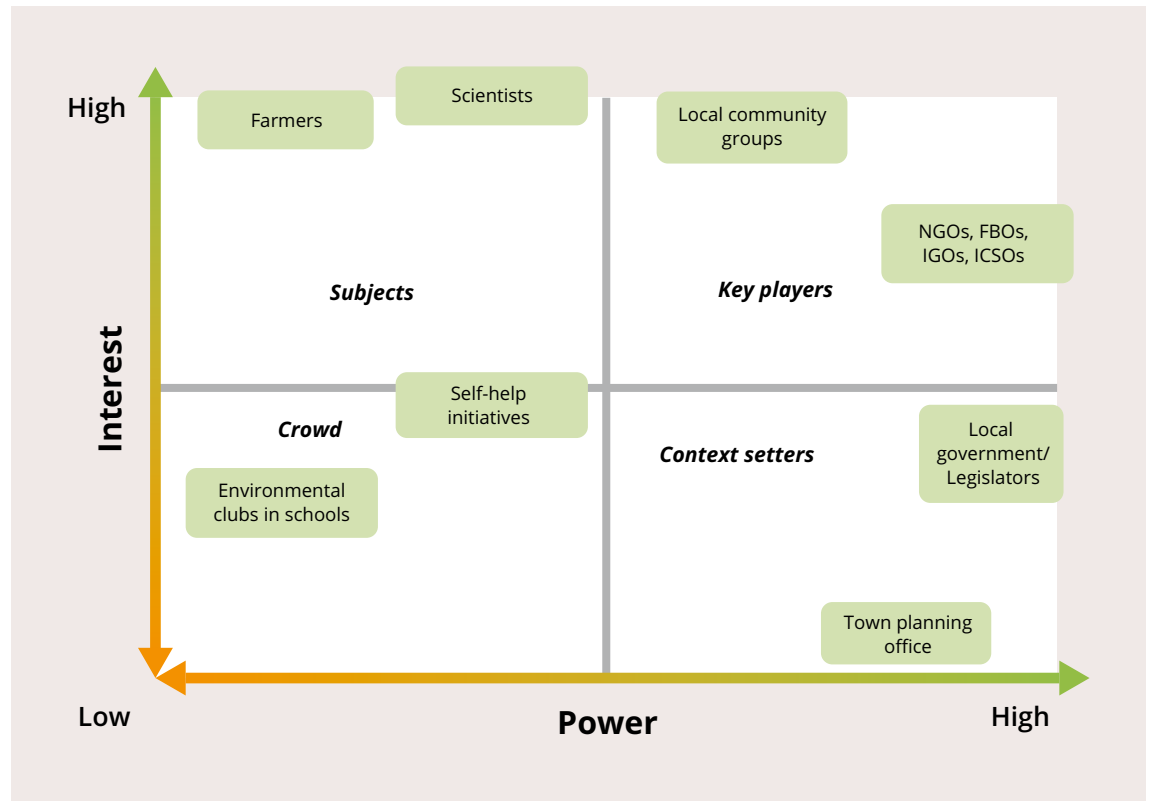
FIGURE 4

Example of Interest-Influence Matrix from the case study on Agulu Nanka Gully Complex Site of Southeastern Nigeria.
(Team: Felicia O. Akinyemi and Mirko Kruse)

However, the low level of influence held by this group is often used as a justification for excluding them from the research process

- The **crowd** are stakeholders who have little interest in or influence over your research and its desired outcomes and there is little need to consider them in much detail or to engage with them

Figures 3, 4 and *5* show examples of interest-influence matrices created by MOOC participants.

Although by far the most commonly used stakeholder analysis tool, interest-influence matrices have been criticised for being simplistic, as there are many other factors that might usefully inform the categorisation and prioritisation of stakeholders (Reed et al., 2009). For this reason, you may want to use an **extendable matrix** that considers levels of interest and influence, but that also attempts to characterise the nature of those

interests and to document reasons for the level of influence that is ascribed (e.g. considering whether a stakeholder holds more or less influence in different contexts or at different times). Such matrices can then be extended to consider a range of other factors that may help categorise and engage effectively with stakeholders, for example identifying any important relationships between stakeholders (e.g. coalitions or conflicts), information about how best to approach and engage with different stakeholders, and contact information that can be used to check and further extend the analysis. An example of an extendable matrix is shown in *Table 2*.

One way of extending the matrix is via the 4Rs categorisation. The "4Rs" tool analyses the relationships between stakeholders by splitting stakeholder roles into Rights, Responsibilities and Revenues (benefits), and then assessing the Relationship between these roles (*Table 3*).

FIGURE 5

Example of Interest-Influence Matrix from Khojahakik and Chorvodor watersheds at Muminabad District, Tajikistan Case Study.
(Team: Kudrat Nurmetov, Dilovar Okilov and Bakhtiyor Zukhurov)
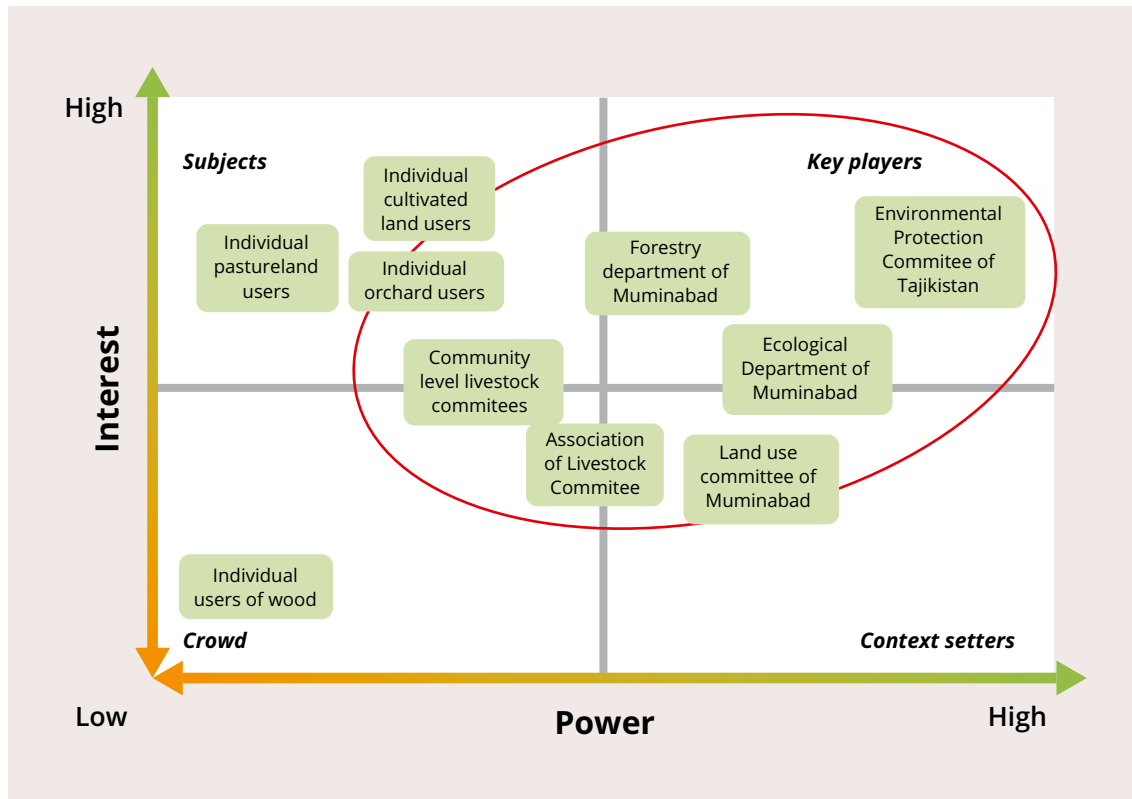
TABLE 2

Examples of an extendable matrix used to map stakeholders, including an assessment of relative interest/ influence of stakeholders but also extended with as many additional criteria as needed

Name of Organisation/ group	Interest H/M/L	What aspects of the research are they likely to be interested in?	Key messages from your research for this group	Influence H/M/L	Comments on influence (e.g. times or contexts in which they have more/less influence over the outcomes of your research)	Any important relationships with other stakeholders? (e.g. conflicts / alliances)	Any modes of communication preferred or that should be avoided?

TABLE 3

Example of 4Rs table from Protection of the mangrove forest in Corinto, Nicaragua Case Study.
(Team: Edgar André Lampenscherf and Henrik Trevisan)

Stakeholder	Rights	Responsibilities	Revenues (Benefits)	Relationship
Local Population	use of wood is legal	reforest the area, use as few as possible	wood as energy and construction material	close to wood cutters
Local Government	subordinated to government, partly legislative for Corinto	responsible to act, to give alternatives, ensure proper land management	none	partly close to population
Tree cutter	wood cutting is not legal, but tolerated	cut the wood in a sustainable way, reforest the area	income	close to local population

FIGURE 6

Example of Venn Diagram from Cantabrian Mountain Range, Spain Case Study.
(Team: Maren Wiese)
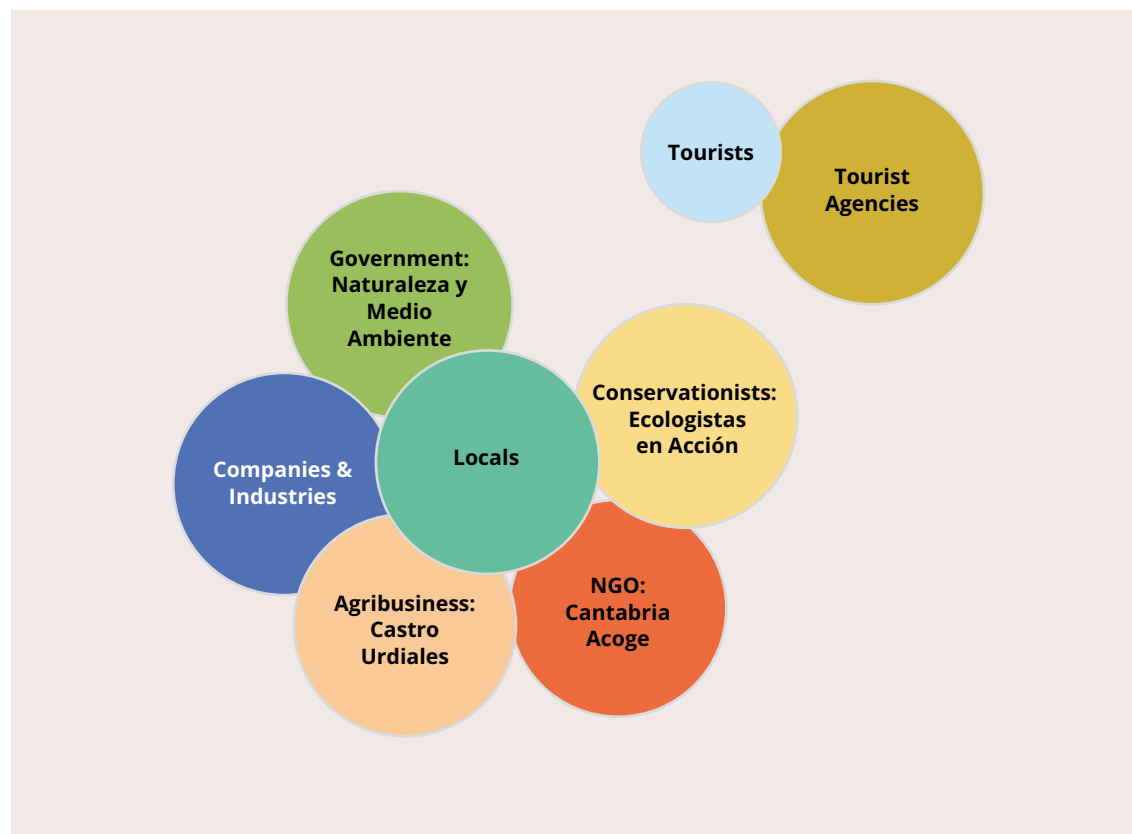
Understanding relationships between stakeholders

There are a range of methods available when trying to understand relationships between stakeholders (Reed and Attlee, 2015). These include techniques to analyse the structure of social networks and to map stakeholder perceptions and values, as well as approaches to assess and analyse conflicts between stakeholders.

Identifying communication nodes can help to identify stakeholders who have the potential to become knowledge multipliers and help up-scale results. In communications, a node is a connection point where information has the potential to transfer from one individual or group to a number of others. It is also critical to know whether there are tensions between certain stakeholder groups. If social objectives are targeted by the research, it may be strategic to bring people to the table in order to facilitate negotiation. In other cases, you may have

to decide which one of two conflicting parties is the most relevant to be involved. Interacting strongly with a player who is unpopular in a social system can strongly undermine the instrumental objective of the research and reduces the likelihood that innovative research outputs will be implemented.

These sorts of analyses are typically conducted after stakeholders have been categorised, to understand how different stakeholder groups interact with one another, and to identify specific individuals or organisations that may play an important role in diffusing knowledge or practices within and between different groups of stakeholders. Such methods can be useful to identify opportunities and risks of engaging with certain stakeholders, and identify the values and priorities of different groups, so that these can be taken into account.

A range of methods have been used to analyse stakeholder relationships, including:

Table showing relationships between organisations and groups, inspired by Actor-Linkage Matrixes, from Savegre Mangroves Buffer Zone Project, provided by Mangrove degradation in the Savegre Delta, Costa Rica Case Study
(Team: Salla Eilola, Anna Heller, Timo Beiermann, Sabrina Geppert)

Conflicting Parties (–)	Friendly Parties (+)	Parties without Relationship (0)
Ministry of Agriculture and Livestock & National Conservation Authority Bring together and prepare parties in facilitating meetings prior to engagement process	**Ministry of Environment and Energy & National Conservation Authority** Strengthen communication and coordination from the beginning of the engagement process. Clearly define common interests and visions for this process.	**Ministry of Tourism & all other stakeholders** Find potential support in a meeting prior to starting the process, show the Ministry potential benefits for the Tourism Sector. Find together stakeholders in the Tourism Sector that would benefit from the project.
Ministry of Agriculture and Livestock & BIOMARCC Project Bring together and prepare parties in facilitating meetings prior to engagement process	**Ministry Environment and Energy, National Conservation Authority & Project BIOMARCC** Strengthen communication and coordination from the beginning of the engagement process. Define clear roles and responsibilities for each party.	**National Forestry Fund & Ministry of Agriculture and Livestock** Let Forestry Fund establish contact with regional agricultural offices, offer capacity building in the topic of »compensation mechanisms«.
Farmers, Livestock, land owners & National Conservation Authority/ Min. Environment Make sure to have a skilled facilitator in the engagement process to handle conflicting interests	**National Forestry Fund & Ministry Environment and Energy, National Conservation Authority, Project BIOMARCC** Establish good communication and periodic meetings early on. Get the Forestry Fund's commitment to the project from the beginning of the process.	**Construction material extractors & all other stakeholders**
Construction extractors & National Conservation Authority/ Min. Environment		**Toll operators and nearly all other stakeholders**
Fishers & National Conservation Authority/Min. Environment	**National Forestry Fund & Farmers, Livestock, land owners** Forestry Fund should get into contact with farmers, land and livestock owners in the beginning of the process and let them know of their commitment for the compensation mechanism.	**Citizens & all Ministries and Governmental institutions**
NGOs & Farmers, Livestock, land owners Engage NGOs when farmers, livestock and land owners have committed to the project		

◾ **Venn diagrams** can be used to visualise the relative influence and interest of different stakeholders. The size of circles refers to the relative influence of the stakeholder, and overlaps between circles express overlapping interests of the different groups (*Figure 6*);

◾ **Actor-linkage matrices** consist of a table (i.e. matrix) with all stakeholders listed and describing the interrelations between them. Interrelations can for instance be characterised as "conflict", "complementary", or "cooperation". Alternatively, the nature of relationships may be categorised simply as conflicting, friendly or absent (*Figure 7*);

FIGURE 8

Example of Social Network Analysis from engagement in the palm oil sector in the district of Chires, Puriscal, Costa Rica Case study.
(Team: Miriam Romero, André Orth, Lara Pusch)
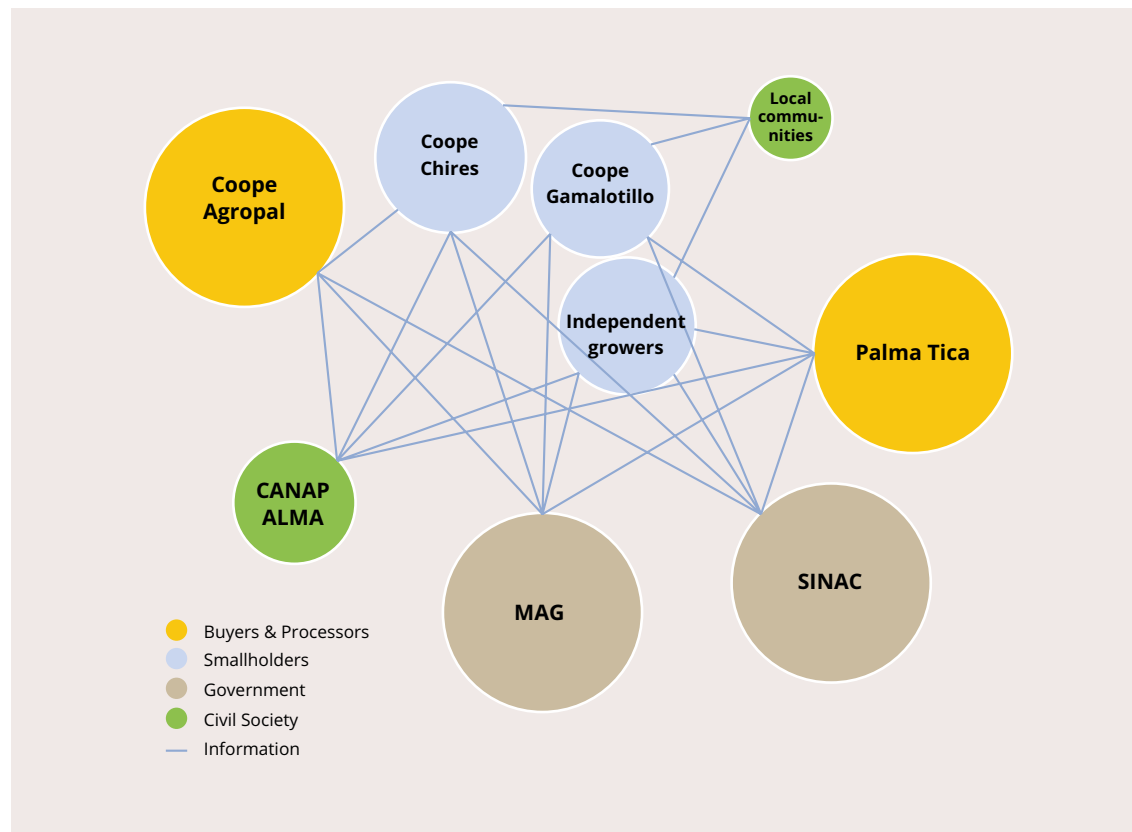
- **Social Network Analysis** is a method providing insights into patterns of communication, trust and influence between actors in social networks. Similar to the actor-linkage matrix, it is structured as a table of stakeholders with links between them, but this time coded by numbers (0/1) or with numbers reflecting the strength of their relationship. A series of tables can be produced, each table representing a unique relation, such as communication, friendship, conflict, trust. The result of social network analysis is often represented as a social network map (*Figure 8*).

Design the stakeholder engagement process

Different approaches to designing engagement

There are many different approaches that can help guide the way you design a stakeholder engagement process (Reed and Attlee, 2015). This section will describe two commonly used and complementary techniques, before highlighting three key steps that are common to each approach.

The GROW model (Whitmore, 2010; *Figure 9*) emerged from coaching literature, and is a conceptual framework, or approach, that helps structure individual or group conversations to enable people or groups to achieve their goals. It suggests that you need to start by considering the

goals of the engagement process or event, then consider how far the current situation is from the goals you want to achieve, before considering options to get you from where you are now to your goal, and deciding on actions. Although this may sound like common sense, the questions in *Box 1* can be a powerful way of checking that your event is action-orientated, and contributes towards the goals of your engagement with stakeholders.

Appreciative Inquiry has a number of similarities to the GROW model. Both are frameworks for analysis, decision-making and the creation of strategic change with stakeholders. The emphasis of Appreciative Inquiry, however, is on building on success rather than solving problems, changing

The 'GROW' Model*

Goal — What is the issue to be addressed?

Reality — Where are you now?

Options — Possible options?

Will — What will you do?

20
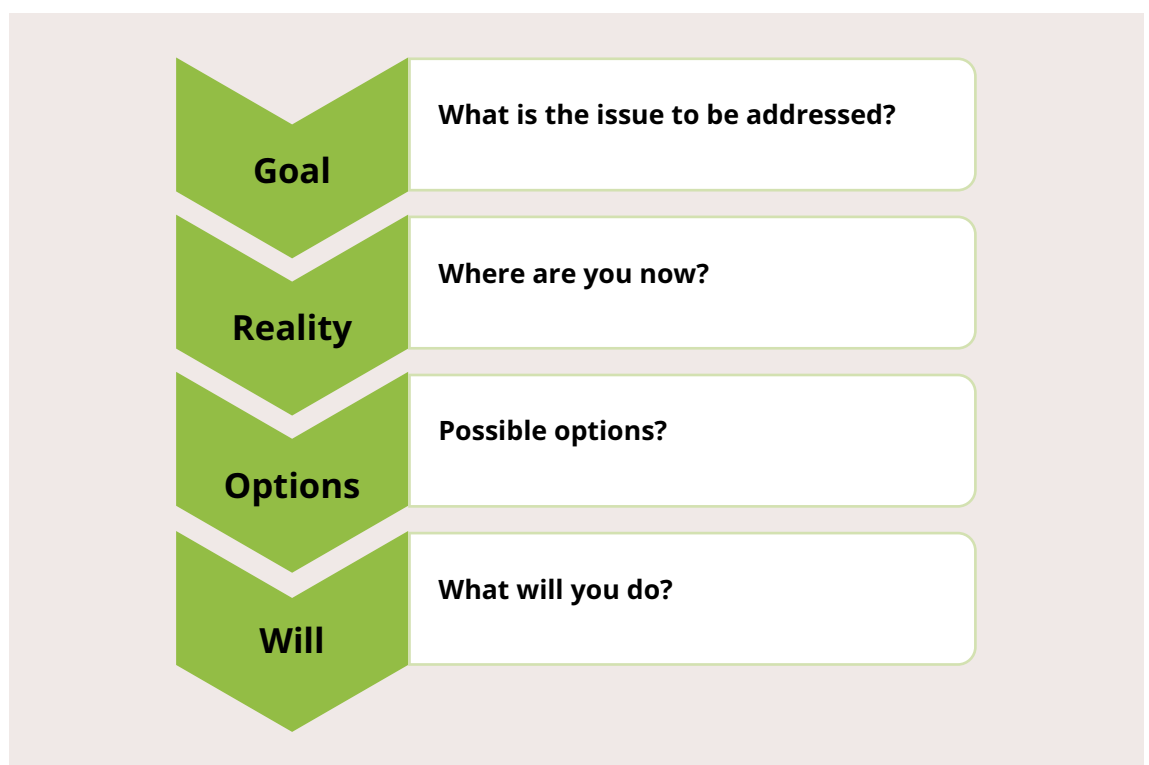
BOX 1

Structuring a process or event with GROW

First, think about the **goals** you have set for working with stakeholders and likely users of your research:

- What do you want to achieve together or change?
- How will you know if you've been successful?
- When do you want to have achieved your goal?

Next, consider your current **reality**:

- What stage are you at in your research?
- What are you achieving at present in your research in relation to the goals you want to achieve?
- What action have you taken so far to try and reach your goals? What were the effects of this action?

Next, consider your **options**:

- What actions could you take to move forward?
- What strategies have worked before in similar circumstances?
- If no barriers or limitations existed, what would you do?
- Which step will give the best result?
- Advantages/disadvantages of this step?
- Which option will you work on first?

Finally, consider what you **will** do now, at the end of this workshop or meeting with stakeholders:

- What are you going to do?
- When are you going to do it?
- What help do you need?
- Who will you involve?
- What might prevent you from taking this step?
- How can you overcome this?

how people think instead of what people do, and on supporting self-organizing change processes that flow from new ideas (Bushe and Kassam, 2005). Appreciative Inquiry generally proceeds through four Ds: (Cooperrider and Whitney, 2001).

1. **Discovery:** a whole system inquiry into the success stories and strengths of the group
2. **Dream:** a clear, results-oriented vision is created to realise the potential discovered in the previous step
3. **Design:** 'possibility propositions' are created that articulate how each of the dreams from the previous step may be realised
4. **Destiny:** the capability of the group is affirmed, enabling it to build hope and momentum around a deep purpose. Processes for learning, adjustment and improvisation are created to sustain change

Both the GROW model and Appreciative Inquiry share three key steps:

1. **Opening up and exploring:** goals are set in the context of an evaluation of the current situation, focusing where possible on strengths, success stories and potential.
2. **Analysing:** different options for working together to achieve goals are analysed systematically to co-produce actions that could be pursued by the group.
3. **Closing down and deciding:** options are evaluated and prioritised, and specific actions are decided upon.

Making a stakeholder engagement plan

There are a number of key components that are usually included in a well-designed stakeholder engagement plan (Reed and Attlee, 2015):

- **Describe the context** in which you will be working with stakeholders: what considerations might you need to be aware of? For example, there may be important changes taking place in the social or policy context that you need to be aware of. There may be conflicts between certain stakeholder groups, and these groups may be coming into the stakeholder engagement process with very different goals and expectations. For some processes, it is useful to understand the organisation

context in which you are working, and how the stakeholder engagement process will link to the organisation's goals.

- **Systematically identify and analyse the interests of stakeholders:** Even if it is not possible to do a full 'stakeholder analysis' at this early stage of your work, you should still systematically consider the groups of people or organisations that are likely to be affected by your work. This can be a useful way of identifying potential impacts, as you put yourself in the shoes of different groups who you sense might be interested, and start to think in more concrete terms about what those interests might be. It is also worth considering if there are others who won't necessarily use your findings, but who nevertheless have some sort of stake in what you're doing. For example, these might include groups who would be negatively affected by any outcomes, or who for some other reason might seek to block your work, or who might be crucial to get on side to enable you to achieve your goals.

- **Set engagement objectives and/or expected outcomes:** discuss with your colleagues and key stakeholders what outcomes you would like to achieve. Make your objectives as specific and measurable as possible, including the approximate timescale over which you expect them to be achieved.

- **Identify engagement techniques or activities to meet objectives:** consider in detail how each objective or outcome will be achieved and how different research users and stakeholders will be engaged throughout the course of the project, considering the needs and preferred modes of communication of different groups. To be credible, you need to think about and describe how each objective/outcome will be delivered, considering for example:

  - The knowledge exchange and communication channels that are best suited to different stakeholder groups and to achieving different objectives/outcomes, for example, mass media, specialist press and newsletters, internet, mail, face-to-face.

  - The type of language used – in terms of spoken languages but also actual

> A good engagement plan will help you effectively organise, implement and track your engagement activities and impacts as part of a well-designed engagement process.

words used to explain ideas or concepts. Communicating in a language that is understood by all can help minimise differences in ethnicities, dialects, cultures, social values, disciplinary background, experience, local differences, etc.

  - A range of specific activities that can be used to engage with different stakeholders, such as conferences and workshops, face-to-face meetings with key decision-makers, use of different social media platforms, websites, documentary films, podcasts, policy briefs etc.

- **Consider risks and identify indicators to monitor your progress:**

  - There may be a number of risks that have the potential to prevent you meeting your objectives - some will be more within your control than others, and some may be completely outside your control. Thinking systematically about the factors that may prevent you from achieving your objectives may help you refine your objectives (e.g. replacing high risk or unachievable objectives with more tractable tasks), devise more effective ways of achieving your objectives, or simply identify mitigation measures that you could implement if the risks become reality.

  - To ensure you can track progress towards your engagement objectives, it may be useful to devise indicators that can quickly and easily give you feedback about the success (or otherwise) of your work with stakeholders. For these to work effectively, it is worth thinking about exactly what information/data you will use to measure each indicator. For more about devising effective indicators to monitor and evaluate engagement, see Section 3.

- Consider whether you want to use Information Technology systems to help you keep track of your impacts.

- **Ensure engagement activities are appropriately resourced and integrated with project management:**

  - Establish responsibilities for knowledge exchange among your project team. Consider who will be tasked with achieving each outcome/target described in your engagement plan, and when you expect each outcome/target to be achieved, and integrate this with wider project planning and management. Staff dedicated to managing stakeholder engagement and "knowledge brokers" may be a valuable resource (whether internal or external to the project team), if you can afford to pay for their time.

  - Appropriate funding needs to be allocated to engagement, and should be incorporated into all phases of the work, enabling the co-design, co-production and co-delivery of outputs with stakeholders where possible.

Targets and indicators can help keep your impacts on track, but they shouldn't become a straight-jacket that prevents you from adapting your objectives to meet changing stakeholder needs, or exploiting new opportunities as they arise.

A simple way to structure this information is in a matrix that shows how different engagement objectives/outcomes map onto specific delivery mechanisms with associated risks, mitigation measures, indicators, deadlines and people responsible (*Table 4*). However, there is no one 'right' way of developing such a strategy, so adapt these ideas to suit your own needs. *Tables 5–10* show examples of stakeholder engagement planning from students on the MOOC.

TABLE 4

Example of a plan to engage stakeholders to achieve the restoration of degraded land in the UK

Impact outcome or objective	Target stakeholders	Key messages	Delivery mechanism (activity)	
Restore 20 million hectares of damaged peat bog by 2025, based on published research into the methods and benefits of restoration	▮ Ministers in Defra and devolved administrations ▮ Environmental evidence analysts in Government departments ▮ Government environment agencies	▮ 80% of UK peatlands are damaged and this has important costs to society ▮ Damaged peatlands are making it harder to meet policy targets for climate, water & biodiversity ▮ We have robust methods to restore bogs ▮ Bog restoration can deliver climate, water & biodiversity policy goals	▮ Develop Peatland Code to publically demonstrate progress towards policy statements on private-public partnerships for conservation ▮ Policy brief ▮ Presentations to policy analysts ▮ Briefings to Ministers via trusted NGOs and other contacts ▮ Input to development of Peatland Code	
	▮ UK based SMEs and multi-national corporations	▮ Peatlands are inspiring, iconic landscapes that are crucial to society ▮ Bog restoration can tell a powerful story on the path to companies become carbon neutral ▮ Peatland carbon is as cost-effective as woodland carbon but there are added benefits for water & wildlife and they last longer	▮ Develop Peatland Code to give guarantees to business sponsors that their money will deliver quantifiable carbon benefits ▮ Short film ▮ Brochure for sponsors about the Peatland Code ▮ Catalogue of sponsorship opportunities ▮ Brokerage and payment mechanisms ▮ Targeted relationship & trust building with directors of sustainability from key businesses ▮ Present at events and pitch to meetings with potential sponsors ▮ Social media to raise awareness & get new leads & feedback	
	▮ Organisations representing landowners/ managers	▮ Society is expecting more from peatlands and landowners need to be paid a fair price for work to restore and sustain their functions ▮ The Peatland Code can complement public grants that only pay for initial restoration work by paying ongoing monitoring & maintenance costs over 30 years or more	▮ Relationship & trust building with key individuals & organisations ▮ Workshops to explore risks & benefits with landowners ▮ Short film ▮ Information sheet for landowners ▮ Input to development of Peatland Code ▮ Identify land that can be restored under the Code ▮ Social media to raise awareness	

Impact indicators (and means of measurement)	Risks	Risk mitigation	Responsibility	Timing
▮ Peatland Code developed, piloted & launched with high-level support from Government ▮ Sponsorship funding levels (Peatland Code Register) ▮ Number of hectares of land restored per year (Peatland Code Register)	▮ Change of Government to one opposed to Peatland Code ▮ Change of Minister to one opposed to Code ▮ Backlash from environmental NGOs opposed to carbon offsetting	▮ Launch Peatand Code before end of this parliament ▮ Help civil servants develop effective Ministerial briefings ▮ Develop a non-offsetting version of the Code for initial launch, from which NGOs can benefit before considering carbon markets	Mark Reed and Clifton Bain (IUCN)	2013–14: Inputs to develop Code 2014: Policy brief and presentations, briefings to Ministers November 2015: Peatland Code launch
▮ Sponsorship funding levels (Peatland Code Register) ▮ Number of hectares of land restored per year (Peatland Code Register)	Lack of interest from businesses	Commission market research	Mark Reed, Clifton Bain, James Byrne (Wildlife Trust), Chris Dean (Moors for the Future) and the Peatland Alliance (RSPB, National Trust and Wildlife Trusts)	2014
▮ Peatland Code developed, piloted & launched with broad support from land-owning community ▮ Number of landowners benefiting from a fair price for restoration work (Peatland Code Register) ▮ Number of hectares of land restored per year (Peatland Code Register)	Lack of interest from landowners	Engage representative organisations early in the process to help develop the Code Run workshops as soon as possible to get feedback from landowners and adapt the Code and our approach accordingly	Mark Reed and Kathleen Allen (PhD student)	2013–14: Inputs to develop Code 2014: workshops with landowners

TABLE 5

Example of the role and relationship of the identified stakeholders from Khojahakik and Chorvodor watersheds at Muminabad District, Tajikistan Case Study
(Team: Kudrat Nurmetov, Dilovar Okilov and Bakhtiyor Zukhurov)

Stakeholders / beneficiary groups	Ecosystem services			
	Supporting	Provisioning	Regulating	Cultural
Users of cultivated lands (irrigated & non-irrigated)	X	X		
Orchard users	X	X		X
Users of pasture land (non-irrigated)	X	X		
Livestock Committees	X	X		
Forestry department of Muminabad district administration	X	X		X
Users of wood		X		
Land use committee of Muminabad district administration		X		X
Association of Livestock Committees			X	X
Ecological department of Muminabad district administration			X	X
Committee on Environmental Protection under the Government of the Republic of Tajikistan			X	X

TABLE 6

Example of matrix of ecosystem services, beneficiary groups, and stakeholders from the Sundarban Eco-restoration Programme in Bangladesh and India Case Study.
(Team: Salimul Alam Shahin, Udaipur Deepak Sharma, Bhuwana Palash Sharma).

Ecosystem services	Beneficiary group	Stakeholders involved	Stakeholders' Interest
Supporting services (nutrient cycle; soil formation; primary production)	Inhabitants of Sundarbans Impact Zone (SIZ). Nearly 3.5 million people	SIZ Communities living in the Sundarban Area Farmers Fishermen community Honey collector Palm collectors	Economically profitable exploitation. Environment sustainability. Protection from natural calamity.
Provisioning (Floral and faunal resources, food; fish, honey, water route, water; fuel, wood and fibre)	Inhabitants of Sundarbans Impact Zone (SIZ). Businessmen/middlemen in illegal resource trafficking.	SIZ Communities living in the Sunderban Area Farmers Fishermen community Honey collector Various palm (e.g. Nypa Fruticans) collectors Businessman/ middleman in trafficking faunal and floral resources Local level administration/ deputy commissioner National Government Bangladesh and India Local indigenous groups CSR Recipients Local Government Local representative organisations Local Ecology Groups	Economically profitable exploitation. Conservation and preservation of the mangrove forest. Sustainable livelihood.
Regulating services (climate regulation; food regulation; disease prevention; water purification, desalination)	Inhabitants of Sundarbans Impact Zone (SIZ). Farmers Fishermen	Inhabitants of Sundarbans Impact Zone (SIZ). International/ national Non-governmental organisations SRF Authority (Bangladesh & India) National government agencies (Bangladesh and India)	Economically profitable exploitation. Conservation and preservation of the mangrove forest.
Cultural services (spiritual; aesthetic; educational; recreational)	Tourists/Guests visiting SRF Local indigenous people Researchers/academia	Local representative organisations Tourists/Guests visiting SRF Academia Local Leadership Local indigenous groups National government agencies (Bangladesh and India)	Tourism Aesthetic beauty Cultural history Recreational opportunity Regulation, conservation and preservation of the mangrove forest.

T A B L E   7

Example of stakeholder tailored communication strategies from the Savegre Mangroves Buffer Zone Project, provided by Mangrove degradation in the Savegre Delta, Costa Rica Case Study.
(Team: Salla Eilola, Anna Heller, Timo Beiermann, Sabrina Geppert).

Stakeholders/-groups	(A) Areas of common (shared) interests	(B) Type of language Used with this particular stakeholders/-group	(C) Format of communication (reports, newsletters, articles, flyers, etc.
SINAC National conservation authority (local level: Park authority and staff)	Minimizing encroachment into the national park while providing incentives to surrounding farmers and land owners to convert their ands into secondary forest	Spanish, also scientific conservationist terminology possible	Meetings, workshops, phone, emails, reports with st atistics and figures
Ministry of Environment and Energy	Minimizing encroachment into the national park while providing incentives to surrounding farmers and land owners to convert their lands into secondary forest	Spanish, also basic scientific terminology possible	Meetings, workshops, phone, emails, short well illustrated reports with statistics and figures
Ministry of Agriculture and Livestock	Successful incentive scheme for land conversion and development of alternative livelihoods on these converted lands	Spanish also basic scientific terminology possible	Meetings, workshops, phone, emails, short well illustrated reports with statistics and figures, short film accessible via smart phone
BIOMARCC Project (Support project to the National Conservation Authority	Support and strengthen capacities of National Conservation Authority y Managing the National Protected Areas System and improving its capacities to adapt to climate change.	Spanish and English, also scientific/conservationist terminology possible	Meetings, workshops, phone, emails, reports with statistics and figures
National Forestry Financing Fund	Possibilities to finance successful incentive scheme for land conversion and alternative livelihoods on these converted lands	Spanish, also basic scientific terminology possible	Meetings, workshops, phone, emails, short well illustrated newsletters with statistics and figures
Agricultural companies (e.g. Palma Tica Company)	Profitable incentives to convert productive land to secondary forest	Spanish, simple laymen language, economics terminology possible	Meetings, phone, emails, well-illustrated newsletters or flyers and articles with statistics and figures, short film accessible via smart phone

TABLE 8

Example of matrix for planning activities for different level of engagement (evaluation scenarios) from Economic and ecological efficiency of soil wind erosion control methods: example of Ukrainian Western Polissya Case Study.
(Team: Warren Priest, Antonia Schraml, Hekuran Koka, Anatoliy Kucher, Lesya Kucher, Iryna Kazakova).

Timing Stakeholders	Beginning of the engagement process	During the engagement process		End and follow up of engagement
		Phase 1	Phase 2	
Fanners	Collaborate	Inform/Involve	Inform/Involve	Inform
Village council	Collaborate	Collaborate	Collaborate	Collaborate
Potential tenants and landowner	Involve/Collaborate	Involve/ Collaborate	Involve/ Collaborate	Involve/ Collaborate
Local Population	Involve	Involve	Inform	Inform
Population that provides «green agrotourism	Involve	Involve	Involve	Collaborate
Local and/or national landowner/farmer organizations	Inform/Involve	Consult	Consult	
Agricultural produce processors, enterprises from milk and meat cattle processing (business	Inform/Involve	Consult	Consult	Involve
Volyn branch of state institution "Soils Protection Institute of Ukraine State Ecological Inspectorate of Ukraine (regional offices) and The State Agency of Land Resources	Involve	Collaborate	Collaborate	Collaborate
Ministry of ecology and natural resources of Ukraine & Ministry of Agrarian Policy and Food of Ukraine	Inform	Consult	Collaborate	Collaborate
Departments of Agricultural Development	Consult	Consult	Consult	
International organization			Inform	Inform

Notes: **Inform** – most basic level of engagement: **Consult** – specific questions are asked but not full discussion or interaction; **Involve** – more opportunity for discussion; **Collaborate** – involved to some extent in full decision making

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T A B L E   9

Example of communication strategy from Colliguay Local Engagement: Potential Regional and National Scale-Up. Central Chile Case Study.
(Team: Jennifer Schultz, Andreas Guenther, Annick Verstraelen, Miguel Ángel Gómez Rozo).

Communication at the start of the engagement process

The beginning of the process is crucial to build trust. How to build trust when there anonymity? Maybe the answer that is not possible thus, it has been foreseen that the first step sparkle the engagement is to get to know the people behind the problematic or the ones who are called to make feasible the processes to attain the goals. That is why in at the very beginning to go door-by-door meeting and having other type of encounters is a keystone that will allow the process be triggered by the views and opinions of the people: the farmers, the tourism workers, the "fundo" workers, the vacation homes owner too. The technician of CONAF or DGA the director of department of the regional secretary. The accountant, the manager, the CEO. It's important to knock at each person's door at talk to them see whether the assumption are right or wrong.

Communication during the engagement process

Once the process has ignited a so called "critical mass" which is already interested and committed, or at least intrigued for the process and the "fuss about it" it will be most likely that there will be some – or a lot – information that shall be spread. Then, mechanisms as those of the "Magazine/Comic", the Newsletter and Radio Broadcast or the Briefings. All of those key to keep the "public" interested and up to date. After a year of the process, an Information Centre can be set as the engagement and/or intrigue should be rolling and thus a place where the information lies will attract the local Stakeholders at the uppermost of our key SHs. And there will more information and results to prepare Media/press releases. Is possible that fter a year simple intervention or initives can have their Openings. The process will also in 2nd and 3rd years will have produced dynamics that can be showed to children a wider public and the Educational visits to schools will take place.

Communication over what's next

The information centre will be instrumental in keeping the information flowing as it is intended to be the "authorised journalists of the Colliguay Alliance". The process should have gained such a drive that the people that has built on their capacities and are aware and benefiting from the forest's services are the one that use the tolls and mechanism running to deliver their communication not only in their valley, but regionally and also nationally.

TABLE 10

Example of communication worksheet from Messdorfer Feld: Achieving Sustainable Soil Management through Stakeholders' Engagement, Germany Case Study.
(Team: Melanie Joshi, Liberty Tanangco, Christine Priessner, Rianne C ten Veen, Kristin Bretthauer, Eva Hill, Arturo Mariano Figueroa, Hannes Podzum, Ana Riza Mendoza).

Date/Duration (+Flexibility)	Research Process (Objectives, Expected Output, Deadlines)	Engagement Process (Discussion and Activities)
Stage 1: opening event (information evening and round-table discussion) ▌ Preparation: 2 month ▌ Duration: 1 day/evening	▌ Spreading information of the status quo and collective goal-setting ▌ Use of the snowball system ▌ Deadline: September 2015	▌ The different stakeholder groups should get acquainted with each other and also identify other stakeholders
Stage 2: coordinate corporation between existing Citizens' Initiative and other NGOs ▌ Duration: 6 months	▌ Increasing their power to influence political decision makers (City of Bonn) ▌ Deadline: April 2016	▌ Corporation between NGOs and local citizens
Stage 3: Meeting with local farmers (and representatives of the Chamber of Agriculture) ▌ Preparation/Duration: 10 months	▌ Get information from the farmers' point of view on sustainable land use ▌ Knowledge Mapping (What's their opinion on sustainable land use? What are the prejudices and reservations? Are there financial issues to consider? ▌ Deadline: March 2017	▌ Cooperate with scientists and experts on alternative agriculture to elaborate on sustainable soil management (workshops).
Stage 4: Contact the City of Bonn ▌ Preparation/Duration: 6 months	▌ Present alternative land use scenario and convince the government that ongoing building development, sealing of the soil and urban sprawl does not offer the same value as keeping Messdorfer Feld and its ecosystem services sound. ▌ Find out about possible obstacles. ▌ Deadline: October 2017	▌ Try to engage via Buendnis Gruene NRW since their political standpoint is in favour of land conservation. ▌ Clarify the residents' point of view through collection of signatures. ▌ Representatives of the Citizens' Initiative should attend the council meetings about land development.
Stage 5: Get in touch with investors and identify potential tie-up with school / youth volunteers/ ▌ Duration: 6 months	▌ Get financial aid (might be a convincing factor to influence the political decision makers) -Deadline: April 2018	▌ Announcements and advert. of the possibility to invest into sustainable land use on Messdorfer Feld. ▌ Communicate directly to possible investors. ▌ Solicit interest on Adopt-a-Plot as a social or school project

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Section 2.

Act

Stakeholder engagement tools

This chapter will focus on the engagement process itself, outlining how it can be designed with an established timeline, effective activities, and relevant rules (Reed and Attlee, 2015).

The engagement process can be defined as the process through which the identified stakeholders have an opportunity to discuss and provide their perspective over possible options and pathways for action, before decisions are made as to which are best. The process enables identified stakeholders to address current land use issues affecting them through (i) identifying more sustainable alternative land management practices from a pre-established list of options, and (ii) identifying suitable pathways to establish such sustainable alternative land management practices.

Before you embark on a stakeholder engagement process, it is useful to outline what constitutes appropriate interaction during the course of engagement, as well as communicate realistically about the limitations of what can be achieved, in order to manage any unrealistic expectations. You must keep in mind that the engagement process may involve adjusting the timeframe and planned activities following discussion with stakeholders. You may want to create a combined timeline of the research process and engagement process to outline how they relate to one another, keeping in mind that roles may vary as the land project develops from the inception phase to the dissemination of final outcomes.

Tools for opening up and exploring

Opening up and exploratory techniques include, for example:

- **Brainstorming** or "thought shower" techniques (a useful guide to a range of brainstorming techniques can be found here: *http://www.mindtools.com/brainstm.html*) can help rapidly identify initial ideas from a group. By getting participants to think rapidly and express their ideas in short phrases, this technique encourages participants to suspend the normal criteria they would use to filter out ideas that may not appear immediately relevant or acceptable. As such, many of the ideas may not be useable, but there may be a number of new and creative ideas that would not have been expressed otherwise, that can be further developed later in an event.

- In a **metaplan**, participants are given a fixed number of post-it notes (usually between 2–5 depending on the size of the group, with less post-it notes being given out in larger groups), and asked to write one idea per post-it. Participants then take their post-its and place them on flip-chart paper on the wall, grouping identical, similar or linked ideas together. The facilitator then summarises each group, checks the participants are happy with the grouping (making changes where necessary) and circles and names each group. In the space of 10 minutes, it is possible for everyone to have given their views and you have a summary of the key issues that can be used to structure other group activities.

- **Venn diagrams** can be used for a similar purpose, helping participants identify key issues, and overlaps or connections between them.

- There are a variety of ways to get participants to list ideas or information, for example via responses to requests for information on social media platforms or online discussion boards, or in group work by creating "stations" around the room where participants can list information or ideas on a particular topic. Stations may for example be based around themes that emerged

from a brainstorm or metaplan (above). These groups may be facilitated or all participants may simply approach each station and contribute individually in their own time.

■ In the **carousel** technique, participants are assigned to groups (with the same number of groups as there are stations) and given a fixed time to contribute to one station before being rotated to the next. If each group is given its own coloured pen, it is possible for participants to see which ideas were contributed by previous groups. When a group reaches a new station, they are given time to read the contributions of the previous group(s) or these are briefly summarised by the station's facilitator. They can then query or build upon previous work, listing their own ideas beneath the ideas expressed by previous groups. As the activity continues, it becomes increasingly difficult for groups to add new points, so the time per station can be decreased. Finally, to reduce the time that might otherwise be taken for stations to "report back" to the wider group, participants can be directed back to their original station, to read what other groups have added to their points. Although not fully comprehensive, this gives everyone a good idea of what has been contributed to all stations. For those who want a fuller picture, the materials can be left on the walls to be viewed during subsequent breaks.

Tools for analysing options

Analysing techniques that enable stakeholders to explore and critically evaluate options for tackling land degradation include, for example:

■ **Categorisation** techniques where participants are asked to sort or group ideas into themes, for example based on pre-set criteria or based on similarity. The grouping stage of a metaplan is an example of this, as is putting ideas on cards and asking participants to sort the cards into different piles on the basis of their categorisation.

■ **Mind-mapping**® techniques (a useful guide to mind-mapping can be found here: *http://www.mindtools.com/pages/article/newISS_01.htm* (also known as concept mapping, spray diagrams, and spider diagrams) can be a useful

way to quickly capture and link ideas with stakeholders.

■ **Problem tree analysis** (also known as cause-effect mapping) is similar to mind-mapping, but is a simpler tool (that is also more limited in the way it can be used). It may be useful in settings where the complexity of a mind-map may be considered intimidating for some participants, or where you purposefully want to keep the analysis simple and brief. Rather than looking at how all issues are linked to one another, problem tree analysis uses the metaphor of a tree to help visualise links between the root causes and solutions to a problem. A simple picture of a tree is drawn on a large piece of paper, with the problem written on the tree trunk. Participants are then asked to draw roots, writing the root causes of the problem along each root. Some root causes may lead to other root causes, so an element of linking may be done between roots, but this should not get too complex. All these roots lead to the bottom of the tree trunk and at the top of the trunk, branches are drawn, along which potential solutions are written (again with the potential to link branches to other branches to show how one solution may be dependent upon another solution being first implemented). If you want, you can cut out circles of coloured paper to signify fruit, which can be used to represent anticipated impacts or outcomes of implementing solutions.

■ **SWOT analysis** For more information, see: *http://www.mindtools.com/pages/article/newTMC_05.htm* encourages people to think systematically about the strengths, weaknesses, opportunities and threats as they pertain to the issues being researched.

■ For issues that have a strong temporal dimension or for project planning with stakeholders, **timelines** can be used to help structure discussion in relation to historical or planned/hoped-for future events. There are various ways to do this, for example, flip-chart paper may be placed end-to-end along a wall with a horizontal line along the middle of the paper, marking 'NOW' and specific years and/or historic or known future events, to help people orientate themselves along the timeline. Participants may then write comments or stick

post-it notes at various points in the past or future, vertically stacking ideas that occur at the same time.

Tools for closing down and deciding

Closing down and deciding techniques include:

- **Voting** is a common method but it can be difficult to ensure anonymity in most group settings, which may bias results. In addition, there is little room to explore reasons for people's voting preferences.

- **Ranking** can be used to place ideas in rank order – getting consensus amongst participants for a particular ranking can be challenging, although the discussions that this stimulates may be revealing. It is also not possible to differentiate between options that are particularly popular or unpopular – this may be important if only one or a few ideas are considered viable, as a ranking may imply that mid-ranked options are viable or somewhat preferred.

- **Prioritisation** differs from ranking by enabling participants to express the strength of their feeling towards a particular option rather than simply saying "yes" or "no" (as in voting) or ranking an idea as better or worse than another idea. Prioritisation exercises also enable you to identify options that are considered to be particularly popular (or not) by participants, which you may then want to explore in greater detail. In prioritisation exercises, participants are given some form of counter that they can assign to different options (e.g. sticky dots or if working outside, stones, but if you don't have anything to hand, people can simply be asked to assign crosses with pens to options). Normally, participants would each be given a fixed number of counters (at minimum this should be the same number as the number of options) – this prevents certain participants assigning more counters than other participants to the options they prefer, biasing the outcome. If

using sticky dots, it is possible to get people to assign different coloured dots to express their preferences according to different criteria (e.g. use red dots to say how cost-effective you think an idea would be and green dots to express how easily you think the idea would work). It is then possible to see at a glance which ideas are preferred, and it is relatively quick and easy to total the number of counters assigned to all options, and if desired, create a ranked list.

■ **Multi-Criteria Evaluation** (also known as Multi-Criteria Analysis, Multi-Criteria Decision Modelling and Matrix Ranking) is a decision-support tool for exploring issues and making decisions that involve multiple dimensions or criteria. It allows economic, social and environmental criteria, including competing priorities, to be systematically evaluated by groups of people. Both quantitative and qualitative data can be incorporated to understand the relative value placed on different dimensions of decision options. Broadly, the process involves context or problem definition, representation of evaluation criteria and management options, and evaluation. When applied in a participatory manner with stakeholders, this may involve any of a number of discreet stages, for example:

  ▪ Establish context and identifying participants: stakeholder mapping/analysis techniques may be used to systematically consider which stakeholders should be involved in the multi-criteria evaluation

  ▪ Define criteria: criteria are defined that capture stakeholders' interests via facilitated discussion and literature

  ▪ Define the options that the group is choosing between

  ▪ Score options against criteria: the likely performance of each option is scored against each criterion

  ▪ Multi-criteria evaluation: algorithms are used to combine scores and ranks into a weighted value that describes the overall preference towards each option. This may be done via, often free to download, software or simply by hand, adding up

scores assigned to each option, and then multiplying scores by agreed amounts for certain criteria (e.g. by 1.5 or 2 depending on whether they are considered to be slightly or much more important than other criteria) and recalculating the scores for each option

  ▪ Discuss the results: this is a decision-support tool so outcomes may be deliberated with participants or amongst decision-makers to assess the degree of consensus, negotiate compromise and manage trade-offs

Integrating tools into a practical facilitation plan

Planning an event that brings together your stakeholders is an important part of the engagement process and requires robust planning. However, be prepared to adapt to the needs of the stakeholders where useful to the process – build flexibility into your workshop or meeting.

Although the facilitation plan for your event may be based around an agenda, it will need to be significantly expanded to provide more details to help you manage the day. Here are a few areas for consideration:

■ Assign a time-keeper from the team to keep an eye on timings and remind others in your facilitation team when it is time to move on. Provide detailed timings for each agenda item – if you need to do a number of activities to achieve a particular agenda item, list each of these activities and estimate timings

■ Assign members of your facilitation team to each activity in your facilitation plan – where possible include a lead and a support facilitator – the support facilitator can help record points, get extra materials when they run out and generally help keep everything running smoothly so that the lead facilitator can focus on the participants

■ Set clear aims for your event, and then tailor your techniques and techniques to the aims and the interests/needs of participants. For details of potential techniques and techniques you may wish to choose from

- Make time for introductions at the start of your event (unless the group size is too large for this) and create time at the end of the day after participants have left for the facilitation team to debrief

- To ensure your event leads to some practical outcomes, it is worth programming in an "action planning" session at the end of your event where you identify actions that have arisen as a result of your workshop, so you can assign deadlines and responsibilities and follow these up later

- It is useful to include a buffer in your timings, such as a long lunch that can be cut short if necessary, or a session that could be cut out if time is running short. This will prevent people feeling rushed, and allow you to spend enough time on the important aspects of the workshop

- Create an equipment list, making sure you have all the equipment you need for every activity, for example don't assume the venue will have blu-tack

- If you've not tried a particular facilitation technique/method before, it is never a good idea to try things out for the first time with stakeholders – try and use it in a meeting or even with a group of friends first, to check you know how it works properly and adapt it accordingly

As part of developing an event plan, it is important to consider practicalities, such as working out how many people you expect to attend your event, so you can get a room that is sufficiently large to accommodate everyone, with extra room for people to move around to do group activities or contribute to material being developed on the walls of the room. With larger groups, it can be useful to split into smaller groups for certain activities to ensure everyone has a chance to discuss issues in depth. There are a number of questions that it may be useful to ask yourself when putting together your event plan, for example:

- Do you need to book break-out rooms or will the room be large enough for small groups to be able to work separately around the room without disturbing each other?

- Do you want small groups to be facilitated or self-facilitating? Getting groups to nominate a facilitator to help steer discussion and capture notes may be efficient, but if they are focused on facilitating, it means that you're unable to fully capture the views of that member of the group. On the other hand, more dominant group members may offer to facilitate and then abuse this position by not allowing others to talk or not fully capturing their points in the notes that are developed. This can lead to frustration amongst group members and bias outcomes. Therefore, although more costly and time-consuming, it may be worth assigning an external facilitator to each group. Alternatively, to reduce costs, you can approach individuals you think might be effective facilitators in advance and ask them to arrive early to get guidance on good practice facilitation.

- How suitable is your venue in other respects? For example:

  - For projects operating in controversial areas or where there is conflict between stakeholders, you may need to take care to ensure the venue is considered "neutral" territory.

  - Consider how your choice of venue might influence power dynamics among the group you are inviting, for example might hosting your event at the University intimidate some participants and increase discrepancies in power between those with more or less formal educational status?

  - If you are planning to use facilitation techniques that involve putting flip-chart paper on walls, ensure that you have sought permission to do this, as some venues forbid you from sticking things on the walls. Even if you think a flip-chart stand will be sufficient, it is often useful to have the flexibility to be able to put things on the wall, so participants can see a record of what has been discussed so far, and build on it in subsequent tasks.

  - Is the venue able to provide lunch to participants in a timely manner? Booking a sit-down lunch can lead to unexpected

delays, extending your lunch break and eating into workshop time. A buffet lunch may give you the option to reduce time for the lunch break and act as a useful buffer if you're running behind schedule.

▪ Is the venue fully accessible to everyone you've invited – consider both distance and other accessibility issues, such as whether it is accessible via public transport.

▪ Have you booked your event at an appropriate time for your target audience? Week days will be better for some types of participant, while evenings or weekends may be better for others – you may have to devise two similar events to reach different audiences. Consider the time of year you've booked your event – might winter weather prevent some people from reaching you if you choose a remote location? Are there other key events happening the same day? Is it a particularly busy time of year for some of the professions you're targeting (tax returns due or farmers lambing)?

▪ Do you have all the equipment you're likely to need to carry out your facilitation plan? Even if not part of your facilitation plan, it can be useful to travel with post-it notes and sticky dots, in case you need to give everyone the opportunity to write down their thoughts on a particular issue, or if you need to rank or prioritise anything by getting people stick dots next to ideas they prefer (more anonymous and easier to record than voting).
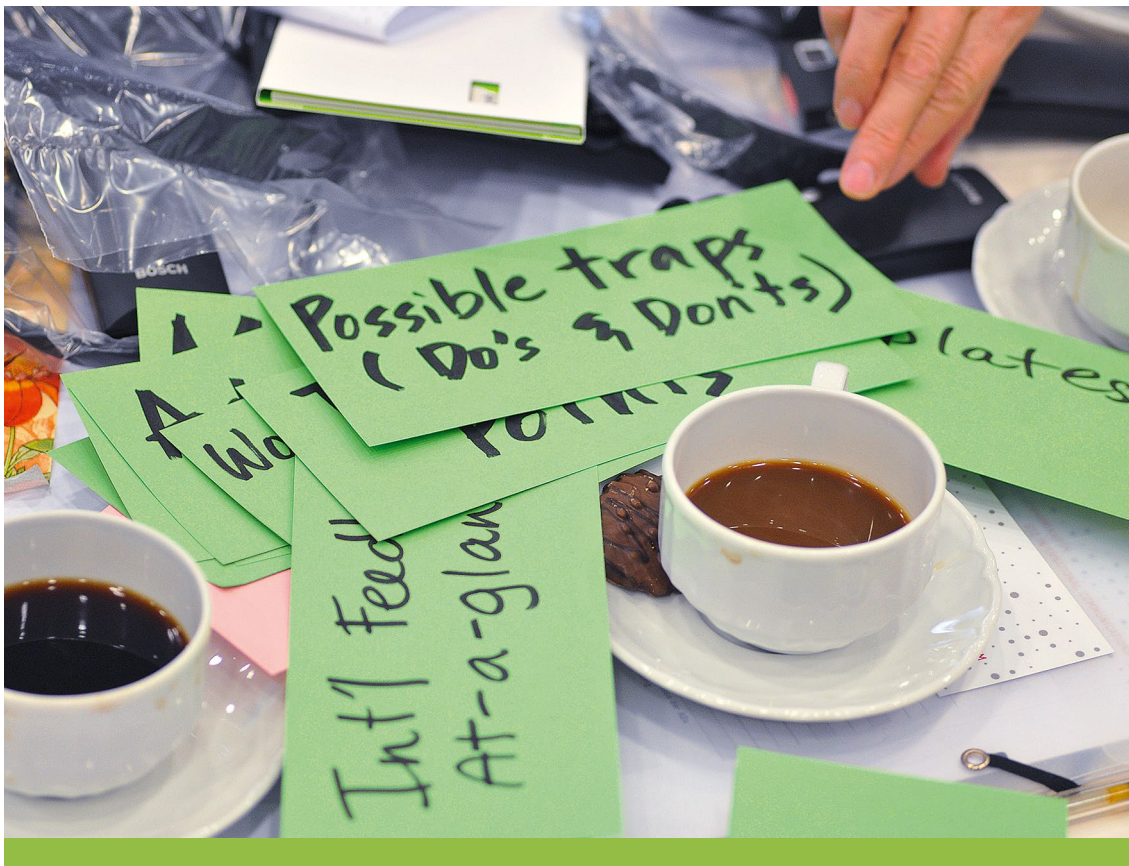
Facilitate engagement

Intensive stakeholder engagement processes often require highly skilled facilitation to ensure equal participation from all those involved. Think about your facilitation needs in the planning stages of your process as they will vary depending on several factors, such as the type of engagement planned (e.g. workshop, meeting, site-visit), the number of stakeholders involved, the different roles of stakeholders, the spatial distribution of individuals, and the expectations of all those involved (i.e. location or venue for meeting, transport needs, catering and hospitality).

The role of a facilitator

Trained and experienced facilitators can support successful stakeholder engagement by balancing any existing power dynamics and ensuring equal participation of all invited stakeholders (Reed and Attlee, 2015; de Vente et al., in press). Depending on your budget, professional facilitators can be hired for engagement events and, if following this route, then it is always worth choosing a facilitator, or team of facilitators, that has a general knowledge of the area or stakeholders you are working with. It is a good idea to ask for recent references and, if possible, any video evidence of other events they have facilitated. There are a number of reasons why hiring a professional facilitator (or getting a few formal facilitation skills of your own) can be particularly useful when engaging with stakeholders during events, for example:

- Efficiency: more can be discussed in less time
- Impartiality
- Clarity
- A helpful atmosphere
- More people have a say
- No organisation or individual is in control or has the power of veto
- The outcome is open and considered fair by all those involved

However, professional facilitation can be expensive. Prices vary with the expertise/reputation of the facilitator and the amount of time necessary to prepare for the event. Unless their role is little more than a chairperson to help you steer your way through a simple agenda on time, you are likely to need a number of days of time discussing your aims and coming up with draft facilitation plans that use different techniques to reach these aims. If you want the facilitator to be responsible for writing up the outputs from your event, then this will cost more. It is therefore advisable to build facilitation costs into your research proposal from the outset.

If you do not have the budget available to invest in professional facilitators then you can also choose to facilitate your own event, or have other colleagues do this for you. If this is your chosen approach then make sure you do not have any other responsibilities that will conflict with your facilitator duties. Training in facilitation techniques or at least learning about the skills needed to facilitate an effective engagement event is vital to run a successful event. It is also important to consider whether any of the stakeholders view you as having an agenda in facilitating the event. If so, it may be better to ask colleagues from another project to act as facilitator to ensure buy-in from all those involved. The next section includes some tips on facilitating an event if you haven't done it before.

The skills of a facilitator

An effective facilitator has very specific skills and a vital role to play in a successful stakeholder engagement process. As illustrated in *Box 2*, every engagement process will involve a number of experts – the skills of a facilitator are as unique as the skills of a policy expert or technical advisor.

Ideally, a facilitator should be able to:

■ **Encourage:** He/she is non-judgemental and neutral, showing respect for all opinions expressed by participants and creating a comfortable environment where participants feel their opinion is listened to and valued when shared. A good facilitator clearly explains just how much each opinion is needed to achieve the best possible outcome.

■ **Enable:** He/she displays strong assertive communications, negotiation and conflict resolution skills. This creates a space where strong characters are not allowed to dominate the discussions and all those present are given the space to share their views and opinions. An ideal facilitator remains independent and 'neutral' in situations of polarised debates between participants.

■ **Exemplify:** He/she is a role-model for all participants involved in the stakeholder engagement process (i.e. researchers and stakeholders).

■ **Engage:** He/she has an inspiring personality that helps promote continued involvement, enthusiasm and motivation. He/she maintains open and honest discussions between participants throughout the engagement process.

However, if you are faced with facilitating an event for the first time, it can seem daunting. Some challenges can emerge from the group itself:

■ Dominating people, with big egos can be hard to manage. You need to learn techniques for keeping these people in check without upsetting them, so that others have a chance to have their say, and feel able to express themselves freely

■ Equally, quiet or unconfident people can be hard to manage. You need to find ways of enabling them to contribute to the group without putting people on the spot or intimidating them

■ Diverse groups are particularly hard to manage. Groups may be diverse in many different

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BOX 2

The various experts that may be involved in a Stakeholder Engagement process. Example of facilitation needs (staff) from Colliguay Local Engagement: Potential Regional and National Scale-Up. Central Chile Case Study.
(Team: Jennifer Schultz, Andreas Guenther, Annick Verstraelen, Miguel Ángel Gómez Rozo).

(i) **A multi-stakeholder expert**, strong in engaging with stakeholders of all type through a multitude of approaches and methodologies (from interviews to focus groups to workshops) in order to establish them working towards a common goal for successful project implementation;

(ii) **A forestry, natural resources expert**, with technical knowledge on sustainable ecosystems, experience in forest restoration processes as well as the local (national) legal context with regard to natural resources and forests in particular;

(iii) **A water resources management expert**, with experience in watershed management and smallholder projects;

(iv) **A policy expert**, with experience in policy development, diverse interventions addressed through advocacy campaigns and engaging with high-level policy makers (regional and national) towards addressing bottleneck issues for stakeholders;

(v) **A highly skilled (local) discussion facilitator**, who needs to have excellent communication and interpersonal skills, and be well acquainted and familiarised with the 4E-approach by Aaltonen and Kreutz (2009), meaning that he/she needs to know how to be Encouraging, Enabling, Exemplifying and Engaging. This person will only be engaged during the annual multi stakeholder workshop, as well as during specific stakeholders meetings, as there are the working groups on policy and thematic subjects.

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ways, including a mix of quiet and dominant individuals, those with more or less formal educational attainment, those with different levels of power and influence, varying levels of interest in the subject (who are more or less informed about it), and people in a group with very different fundamental values and beliefs

However, with practice, there are a number of practical skills that can help you become an effective facilitator. Many of these skills are quick and easy to learn, and can make a significant difference to your practice, for example (based on a training manual written by Diana Pound from Dialogue Matters):

- Active listening and understanding. This may include:

  - Non-verbal feedback such as:
    – Eye contact
    – Nodding, smiling
    – Focussed attention
    – Valuing silence

  - Verbal feedback such as:
    – Sounds, short phrases
    – Clarifying details
    – Encouraging/probing: asking for more information
    – Open (not closed) questions

- Enabling people to clarify their thoughts

- Summarising: to confirm correct interpretation

- Letting people know their opinions are valued

- Helping people go beyond facts to meanings

- Helping people to 'own' their problems, take responsibility for them and think of solutions

- Reframing points where necessary to help people move from a negative stance to discuss a positive way forward. This involves acknowledging what has been said, and then saying this in a different way that is less confrontational or negative, followed by an open question that seeks to get at the heart of the problem

- Involve others in group in solving the problem
- Giving momentum and energy

- Ensuring everyone has an opportunity to input

- Making an impartial record of the discussion

- Writing clearly, managing paper (ideally with the help of an assistant so you can focus on group dynamics)

Useful facilitation tricks

Finally, here are some **useful tricks** you can use to get the most out of facilitating events with stakeholders and likely users of your research (Reed and Attlee, 2015):

- Set some **ground rules**: agree them at outset and refer back to them at any point if needed (people are not to talk over one another, everyone's views should be equally respected, no use of offensive language etc). It may be useful to write these down and place them on the wall for everyone to see. It is typically easy to agree such rules as a group at the outset. They can be particularly useful if someone becomes obstructive or abusive later in the event. If you are unable to keep them in check, you can remind them about the ground rules that the whole group agreed to at the start. Given that they were part of the group that agreed these rules, it is socially quite difficult for them to ignore, and if they do continue to ignore these rules, you have a clear basis upon which to ask them to leave

- **Any other business**: if you have someone who finds it hard to be concise and in particular if contributions are off-topic, it is possible to create an "any other business" poster where you can write these ideas up and park them to discuss later. This technique only works if the group has jointly agreed to the aims of the event at the outset, and if you have the flexibility to create a 15–20 min session at the end to deal with the points that are parked. By parking less relevant ideas for later, you can keep the discussion focussed and on time. Experience suggests that by the end of the event, it will have become clear to all participants that the

points that were parked were not relevant and hence the person who suggested them tends to opt to ignore them at this point. Where points are deemed worth covering, you have created time to deal with them, which prevents these points eating into the rest of your time. Also, because it is done at the end of the meeting, participants are usually keen to finish the event and have an incentive to be more concise at that point

- **Open space**: if you discover that your aims do not match the aims of some of your participants, this can be difficult to deal with if you want to keep everyone in the room with you and satisfied with the outcomes. A simple technique is to use some of the buffer time you built into your facilitation plan (e.g. a session you can drop or a break you can curtail) to create an "open space" discussion. Using this approach, the additional topics that participants want to cover are collected (and grouped if there are many points). Participants then have the option to sign up to topics of particular interest

to them over the next break (at this point it will become apparent if some of the topics were just the interest of one vocal proponent, as others don't sign up for that group), and then you facilitate small group recording points and feeding them back to the wider group. If you don't have enough facilitators to do this, you may ask the person who proposed each topic to facilitate their group.

- Get an **opinion leader** (for example, someone who plays a key role in the community) to introduce the event: the group may be more likely to trust you by proxy

- **Empathise** with the group: get a sense for how the group is feeling (e.g. bored, tired or angry) and adapt your approach to their needs. Empathy is about putting yourself in other people's shoes, so you need to connect with their feeling, identifying with it in some way, such as by voicing it or mimicking it via body language (or both). Then you can start to counter feelings that are likely to negatively

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affect group dynamics, gradually changing your body language, tone of voice and language to become increasingly open, up-beat and interested. Although this can take significant effort, you will be surprised at how many start to mirror and begin feeling and acting in more positive ways

Section 3.

Reflect

Monitoring and evaluating stakeholder engagement

So far, this guide has outlined several methods to support you in planning your stakeholder engagement process and developing a practical plan of action. In order to evaluate whether or not you are on the right path to achieve your goals of engagement, it is essential to monitor your progress and continuously improve it when needed. Linking indicators (with clear means of measurement) to your goals will enable you to gain some form of feedback as to how your stakeholder engagement process is working - or not working, as the case may be. Choosing (or developing) appropriate indicators is not always straightforward, and provides the focus of this chapter. First however, it is necessary to decide what you want to monitor or evaluate because this will influence the design and timing of what you do.

Decide what you need to monitor and evaluate

Broadly speaking, this involves making several decisions, which will be discussed in more detail below:

1. Do you want to monitor and/or evaluate the process or the outcomes of the process?
2. Do you want to carry out the monitoring and evaluation with or without participation from those who are meant to benefit from engagement?
3. Do you want to take formative or summative approaches?

The success of your stakeholder engagement may be evaluated either in terms of the process or the outcomes of engagement, or a combination of both:

■ **Process-based** (or activity) monitoring and evaluation focuses on the quality of the process (and activities) that leads to the intended outcomes, and is typically done throughout the project cycle, ceasing at the end of the project. Problems identified early on with the

process of engagement, if addressed, may enhance the likelihood that engagement leads to intended outcomes. As such, process-based monitoring and evaluation is well suited to formative feedback (see below). See the next section for examples of indicators that could be used to monitor or evaluate the quality of an engagement process

■ **Outcome-based** monitoring and evaluation focuses on quantifying or in some other way evaluating the outcomes of engagement. Outcome-based monitoring may take place throughout the project cycle, but there is often a greater emphasis on evaluating outcomes at the end of a project, or a time after the end of a project has finished. As such, outcome-based monitoring and evaluation is well suited to summative feedback (see below). Outcomes that may be monitored and evaluated include conceptual, instrumental, capacity building and social outcomes for participants (see next section for examples of indicators for each of these).

Monitoring and evaluating both the process and outcomes of engagement may be either participatory or non-participatory:

■ **Participatory evaluations** involve stakeholders in setting questions, identifying indicators and collecting and interpreting data providing opportunities for sharing perspectives, challenging or reducing dominance of particular knowledge types and flattening hierarchies that may constrain knowledge co-production and learning (Zukoski and Luluquisen, 2002).

■ **Non-participatory evaluations** do not involve stakeholders.

Formative versus summative approaches:

- **Formative evaluations** provide information about how engagement is progressing throughout a project cycle (Bowen et al., 2005), enabling activities to be refined and adapted as new insights about the engagement process emerge (Allan and Stankey, 2009; Roux et al., 2010).

- **Summative evaluations,** in contrast, provide an assessment of engagement at the end of a project. Whether this assessment focuses on the process or the outcomes of engagement, its purpose is to robustly assess engagement against set criteria, typically to provide feedback to funders. Lessons from such evaluations may eventually be applied in future projects, but it is usually too late to provide feedback that could improve the quality of the engagement process and deliver better outcomes (Sheppard et al., 2010; McWilliam et al., 2003).

So, for example, if you wanted to increase a sense of ownership among your stakeholders, you could build formative and participatory approaches that involve stakeholders in monitoring and evaluation into your stakeholder engagement plan (Section 1). Including your stakeholders in this part of the process can lead to an increased motivation for engagement.

Indicators for monitoring and evaluating stakeholder engagement

The first step to knowing whether engagement is working is to decide on the approach you want to take to monitoring and evaluation, including whether you are looking primarily at the outcomes or process of engagement (or both). You should already have SMART goals incorporated into your engagement plan that you will want to be able to monitor and evaluate.

Indicators are a powerful tool to monitor progress and evaluate your process and outcomes, because a good indicator provides you with cost-effective, timely and accurate information with minimum effort. An indicator is like a sign or a symptom. A road sign tells you how to get to a destination; it is not the destination itself. A doctor uses a symptom like a cough to diagnose a disease like pneumonia or tuberculosis; the cough itself is not the disease. In the same way, an indicator points you towards

> The question now is how to develop indicators that you can effectively use to determine whether or not you are moving towards or reaching your goals, which don't take up so much time that they distract you from the work of engaging with stakeholders.

a destination or problem; the indicator itself is not that destination or problem. So for example, a change in air pressure might indicate an impending storm, or increased engagement from hard-to-reach groups in your process might indicate that you are moving towards fuller stakeholder representation and running an effective process. Similarly, disengagement of particular groups might indicate that something is going wrong with the engagement process. The remedial action in response to a good indicator is often self-evident. In the case of disengagement, you can easily identify the groups that have disengaged, and then pursue targeted action to understand and fix the specific cause of their detachment.

What makes a good indicator?

In the first section of this guide, it was suggested that goals should be SMART. The same applies to indicators. A good indicator is specific (or significant), measurable (or meaningful), attainable (or action-oriented), relevant (or rewarding) and time-bound (or trackable). (Reed et al., 2006) expand this further to suggest specifically in relation to indicators that a good indicator will be accurate and free of biases, reliably providing information at different times and in different contexts (*Table 11*). Where possible, look for existing indicators

> In some cases, it may be possible to work with stakeholders to collect and analyse indicator data, and this can be enhanced if the indicators are developed to have social appeal and resonance.

TABLE 11

Criteria for developing effective indicators
(see Reed et al., 2006) for references)

Objectivity criteria	Ease of use criteria
Indicators should	
Be accurate and bias free[1,2]	Be easily measured[1, 2, 5, 6, 10]
Be reliable and consistent over space and time[2, 5, 6]	Make use of available data[2, 6]
Assess trends over time[1, 2, 6, 7]	Have social appeal and resonance[5, 6]
Provide early warning of detrimental change[2, 6, 8]	Be cost effective to measure[2, 4–7]
Be representative of system variability[2, 4, 7]	Be rapid to measure[4, 5]
Provide timely information[1, 2, 5]	Be clear and unambiguous, easy to understand and interpret[5–7, 9]
Be scientifically robust and credible[6, 7]	Simplify complex phenomena and facilitate communication of information[3]
Be verifiable and replicable[1, 5]	Be limited in number[9]
Be relevant to the local system/environment[11]	Use existing data[7–9]
Sensitive to system stresses or the changes it is meant to indicate[7, 8]	Measure what is important to stakeholders[5]
Have a target level, baseline or threshold against which to measure them[7, 8]	Be easily accessible to decisionmakers[5]
	Be diverse to meet the requirements of different users[10]
	Be linked to practical action[1]
	Be developed by the end-users[5, 10]

(1) UNCCD, 1994; (2) Breckenridge et al., 1995; (3) Pieri et al., 1995; (4) Krugmann, 1996; (5) Abbot and Guijt, 1997; (6) Rubio and Bochet, 1998; (7) UK Government, 1999; (8) Zhen and Routray, 2003; (9) UNCSD, 2001; (10) Freebairn and King, 2003; (11) Mitchell et al., 1995.

and sources of secondary data (collected by others) that you can use, rather than developing your own indicators and collecting your own data. However, if you do need to develop your own indicators and collect data, consider how you might be able to engage stakeholders in the development and application of these indicators. After all, who else is better placed to suggest how to monitor progress towards goals than the beneficiaries of those goals? *Figure 10* shows how you can develop and apply indicators with stakeholder, based on a combination of local and scientific knowledge.

Examples of indicators for monitoring and evaluating stakeholder engagement

There are a number of different types of outcomes from engagement that may be monitored and evaluated, including:

■ Conceptual outcomes, for example (Kirshbaum, 2008):
   ▪ Changes in understanding
   ▪ New ways of thinking

FIGURE 10

A step-by-step guide to developing and using indicators with stakeholders
(see Reed et al., 2006 for more detailed explanatory text).
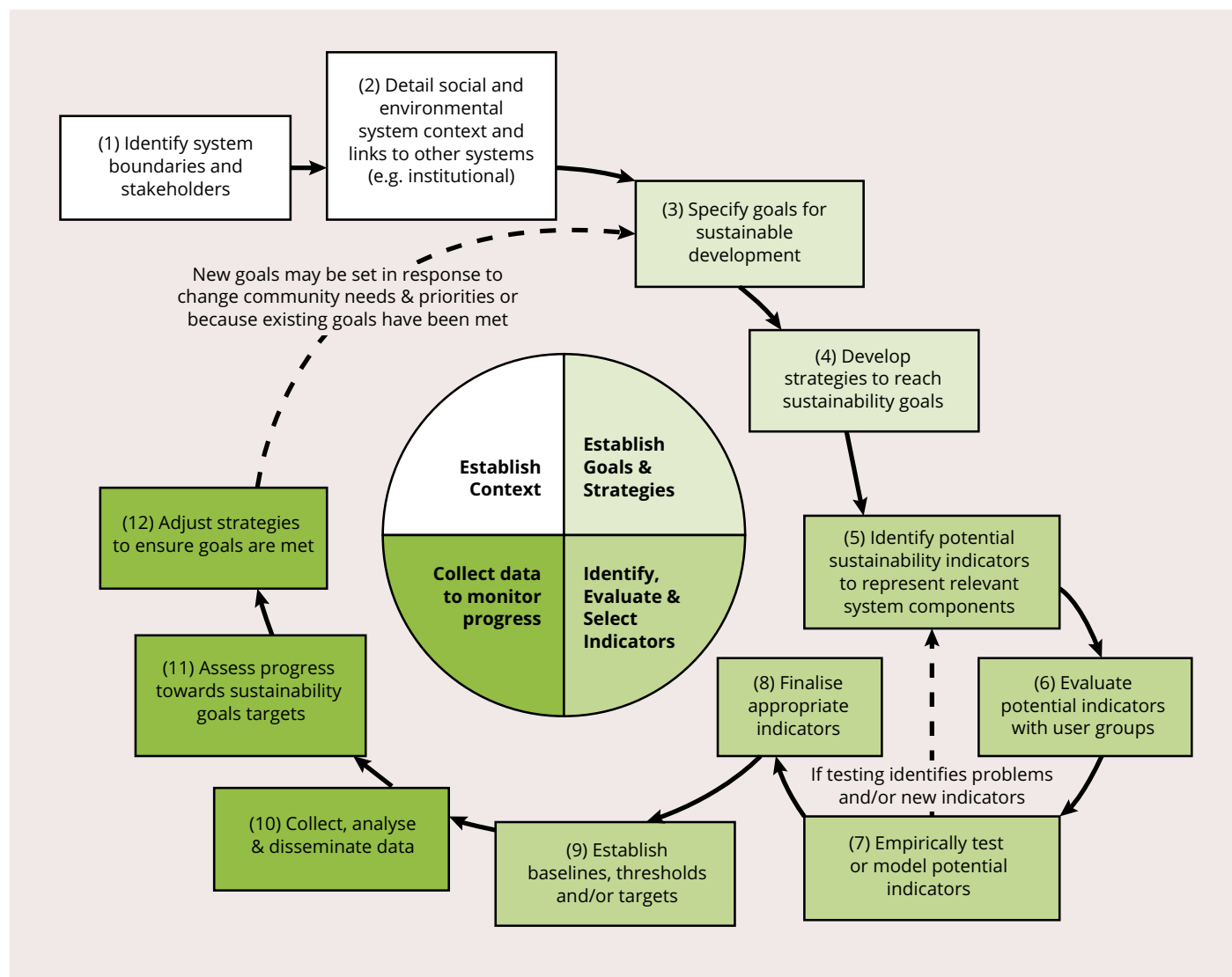
- Instrumental outcomes, for example:
  - Better quality decisions leading to improvements in human or ecological health arising from the engagement (Crawford et al., 2010; Gross and Lowe, 2009).

In the context of land degradation (or any other environmental issue for that matter), it may be useful to identify indicators for social, economic and environmental outcomes. There are many other ways of ensuring outcomes are monitored and evaluated holistically, for example, Sustainable Livelihoods Analysis (Scoones, 1998) and the Pressure-State-Response family of frameworks

(OECD, 1993) which look for indicators of changes in the drivers of land degradation, degradation states (typically indicating severity and extent) and responses (often focussing on remediation and adaptation). *Figure 11* provides examples of soil erosion indicators identified as part of the DESIRE project.

- Capacity building outcomes, for example: (Fazey et al., 2010; Meagher et al., 2008).
  - New skills
  - Access to new resources as a result of the engagement

FIGURE 11

Important indicators identified in the study field sites of the DESIRE project affecting degree of soil erosion[1]
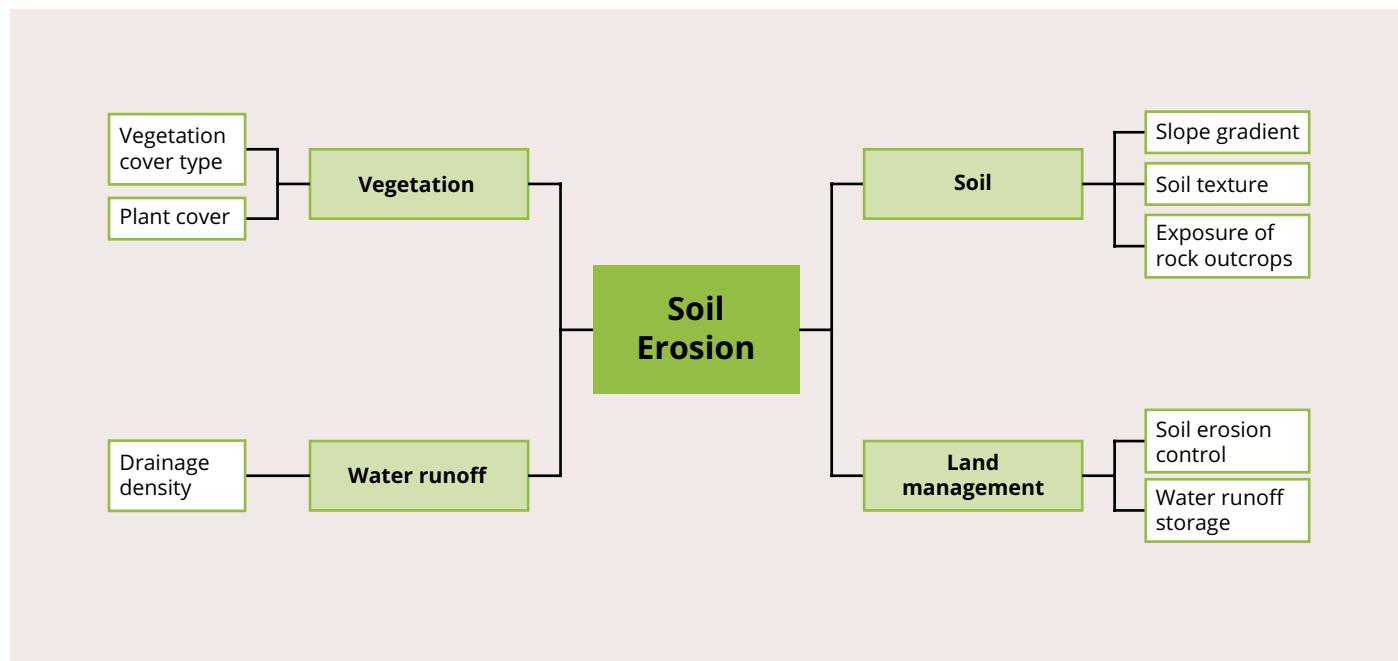
- Social outcomes for participants, for example: (Heylings and Bravo, 2007; Kuper et al., 2009; de Vente et al., in press).
  - Empowerment and ownership of the engagement process and its outcomes
  - Increased equity between participants
  - Trust
  - Learning and information exchange
  - Better accepted decisions
  - Increased perceived fairness
  - Consensus-building
  - Stronger working relationships and alliances between stakeholders

There are also a number of aspects of an engagement process that may be monitored or evaluated, including: (Reed, 2008; de Vente et al., in press).

- The timing of engagement of communities in the process (the earlier the better)
- Fair representation of relevant stakeholders
- Continued engagement of communities throughout process
- Clear objectives set out and agreed by stakeholders at the start of the process

- Relevant methods chosen and tailored to the context, participants and level of engagement
- Highly skilled facilitation of the process including unbiased and independent management of the process
- Integration of local and scientific knowledge
- Transparency, trust and fairness
- Appropriate resource availability to enable participants to fulfil role
- Structured processes for the elicitation of information and decision-making
- Cost-effectiveness
- Equality among stakeholders.

Having a well thought-out and relevant collection of indicators is really important to ensure the continuous improvement of your stakeholder engagement process. In addition, having a tangible measurement of how well something is working is of great benefit when applying for funding or sharing your experiences with others. See Tables 12, 13 and 14 for further examples of how others have used indicators in their monitoring and evaluations process.

[1] *From: http://www. desire-his.eu/index. php/en/assessment- with-indicators/ wp22-evaluation-a- short-list-of-indicators- thematicmenu-174/66- study-site-indicators*

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TABLE 12

Example of combined outcome and process-based evaluation criteria from the Camp John Hay, Baguio City Philippine Case Study.
(Team: Ana Riza Mendoza, Ephrem Santos, Jenny Choo Tze Pei, Aimee Rogers, June Punnathon, Dinali Jayasinghe).

Activity or event	Expected output	Expected outcome or process	Impact (output & process)
Preparatory meetings and finalisation of schemes and alternatives. Organisers have exemplifying role and acquiring skills in other types of facilitation roles	Final Overall Plan with possible scenarios,	Identification and analysis of relevant stakeholders, Access to the communities Aspects of flexibility in methods	Bonding of the organisers into deeper trust and transparency
1st Stakeholders Summit Organisers have encouraging, Engaging and Enabling roles to facilitate the coming together of the different invited stakeholders.	Summit conducted and participated in by various stakeholders from the Government, Business and Private Sector, Academe, NGOs, Media, Civil Society Presented current and future scenarios of CJH	Environmental awareness among participants	Reduction of activities in CJH that may cause land degradation
3-day Team Building Activity Organisers have Exemplifying and Enabling roles that will also encourage the stakeholders to more participative and united towards the same goals.	3-day team building activity and workshop conducted and participated in by priority stakeholders Current situation of CJH analysed; facts, figures, local knowledge and information gathered; legal bases and government policies learned	Collaborated effort and commitment of stakeholders ensured	Increase of willingness to work together towards a better CJH
Monthly Stakeholders Meeting Organisers have Engaging and Enabling roles for the discussion of plans and possible avenues of implementation and the delegating of tasks.	Monthly meetings conducted where plans and activities are discussed and agreed Tasks and responsible sectors are identified (who does what)	Improved forest resource management program	Increase in conservation and protection activities within CJH
Synthesis and Assessment Meeting/ Workshop Organisers have Encouraging, Engaging and Enabling roles to facilitate the coming together of the different invited stakeholders.	2-day workshop conducted Programs, projects and activities evaluated Next steps are planned and agreed	Future plans formulated, sustainability of current status is established Possible funding institution for future plans identified	Sustainable conservation and protection of CJH
2nd CJH Stakeholders Summit The organisers have Engaging and Encouraging roles to keep up the momentum and continued on by the core group.	2nd CJH Stakeholders Summit conducted Outcomes/Results are presented	Proposal to a funding institution is prepared	Sustainable conservation and protection of CJH.

TABLE 13

Example of combined outcome and process-based evaluation criteria from Economic and ecological efficiency of soil wind erosion control methods: example of Ukrainian Western Polissya Case Study.
(Team: Warren Priest, Antonia Schraml, Hekuran Koka, Anatoliy Kucher, Lesya Kucher, Iryna Kazakova)

Stakeholder Involvement Plan Objective	Success Criteria and Measure of Success
Changing use of pasture (for fanners, council)	**60 % or the inhabitants participate at our meetings; 90 % are reached by our teams at home or other places.** ▌ Field observazions and data obtained from farmers/ reportings from council
Formation of real interest and motives for exercise of soil protection activities: and implementation of sustainable land use	**All the participants actively propose soil protection activities, or they interact and respond to other proposals** ▌ Interviews with stakeholders on motives and perceptions
Improving knowledge on wind erosion, land degradation and ways to resisting these processes (for farmers, population and others)	**The brochure regarding this phenomena in a clear language targeting farmers, reaches every household, 5 classes are held at local school to support this topic** ▌ Questionnaire on knowledge ▌ Assessment of innovations to reduce erosion ▌ Observation of behaviour knowledge communication
Raising the level of financial and political awareness (for farmers, population and others)	**All the relevant government stake holders get engaged in the workshops. 5 media talk shows engaging politicians and donors art carried out** ▌ Amount of subsidies (support by local government population and farmers in new business
Improvement of living standards of the villagers (health, financial situation)	**Engagement of 3 big industry representatives who communicate with local farms on new product lines and markets.** ▌ Quantitative data: income per household, other socio-economic factors. number of diseases
The growth of business activity of the villagers, opening of new businesses	**Stakeholders engage on creating a local touristic offer. Execution of two educational field visits, one with agencies of tourism and journalists, one with industrial industry representatives focused on local ecological products** ▌ Number of businesses ▌ Wages ▌ Employment
Increasing the level of interaction and communication between stakeholders at the local level	**Establishment of local village forums gathering once a month where all residents and others are invited (and at least 50% participate); setting up a weekly radio program in the local radio** ▌ Number of interaction (opportunities to communicate. e.g. at meetings, workshops etc.)
Increase of effectiveness of village control land use	**Establishment of local village forums gathering once a month where land use practices are discussed by all participants** ▌ Hours spent by persons in charge for control

Example on combined outcome and process-based evaluation criteria from Reversing land degradation through alternative livelihoods: Creating new options for the Ethiopian Chemoga basin and its populations Case Study.
(Team: Daniel Gebeyehu Gebretsadik, Eva Diehl)

Stakeholder Involvement	Plan Measure of Success	Time Period
Process Level		
Proper allocation of time and budget	Project start time and progress is according to the plan; budget utilization is according to the plan	End of each Quarter
Design appropriate communication materials relevant to all stakeholders	Percentage of materials got acceptance and widely used	End of each Quarter
Enhanced mobilization of stakeholders to participate in the process	Stakeholders are actively participating	End of first Quarter
Improved participation of stakeholders in M&E	Percentage of stakeholders actively involving in project monitoring and evaluation	Each month
Increased level of communication made to stakeholders	Number of events organized, number of promotion materials produced	Second and Third Quarter
Outcome Level		
Increased level of awareness by all stakeholders on issue of land degradation	Number and type of stakeholders that could draw out and articulate the extent and cause of land degradation in their ecosystem	Third Quarter
Increase awareness of the project's objectives and activities	Number and type of stakeholders who showed interest and commitment to take part in the proposed project	End of Second Quarter
Improved perspective of stakeholders towards their ecosystem	Number and types of roles played by stakeholders in land management projects	Third and Fourth Quarter
Change in outlook and behaviour with regard to acting now and acting together for land reclamation projects	Increased number of project sites that are managed sustainably by individuals and groups	Fourth Quarter

Conclusion

In order to overcome the environmental challenges we are currently faced with, it is essential that we improve the co-production of knowledge between researchers, local community members, technical advisors, administrators and policy makers. Tackling land degradation in particular requires engagement with diverse stakeholders, who often have conflicting priorities.

Given the challenges associated with stakeholder engagement, this Practitioner's Guide has been developed to facilitate engagement between stakeholders to identify options and pathways to action that can help tackle or adapt to the challenges of land degradation.

This Practitioner's Guide has explained a variety of techniques to involve different stakeholders in the identification of sustainable land management practices that have the capacity to reverse land degradation trends, describing how to;

▪ Plan a stakeholder engagement process, setting goals and identifying relevant stakeholders

▪ Implement a stakeholder engagement plan, using tried and tested tools and facilitation techniques

▪ Monitor the engagement process in order to evaluate whether or not you are on the right path to achieve your goals of engagement, identifying the most appropriate indicators for your particular project

We hope that this step-by-step guide will help you establish and carry out a stakeholder engagement plan, taking inspiration from the selected examples that we have included. However, there is no single correct method for creating such a plan and the most important thing to remember when working on stakeholder engagement is to remain flexible and adapt your process to the needs of those involved.

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