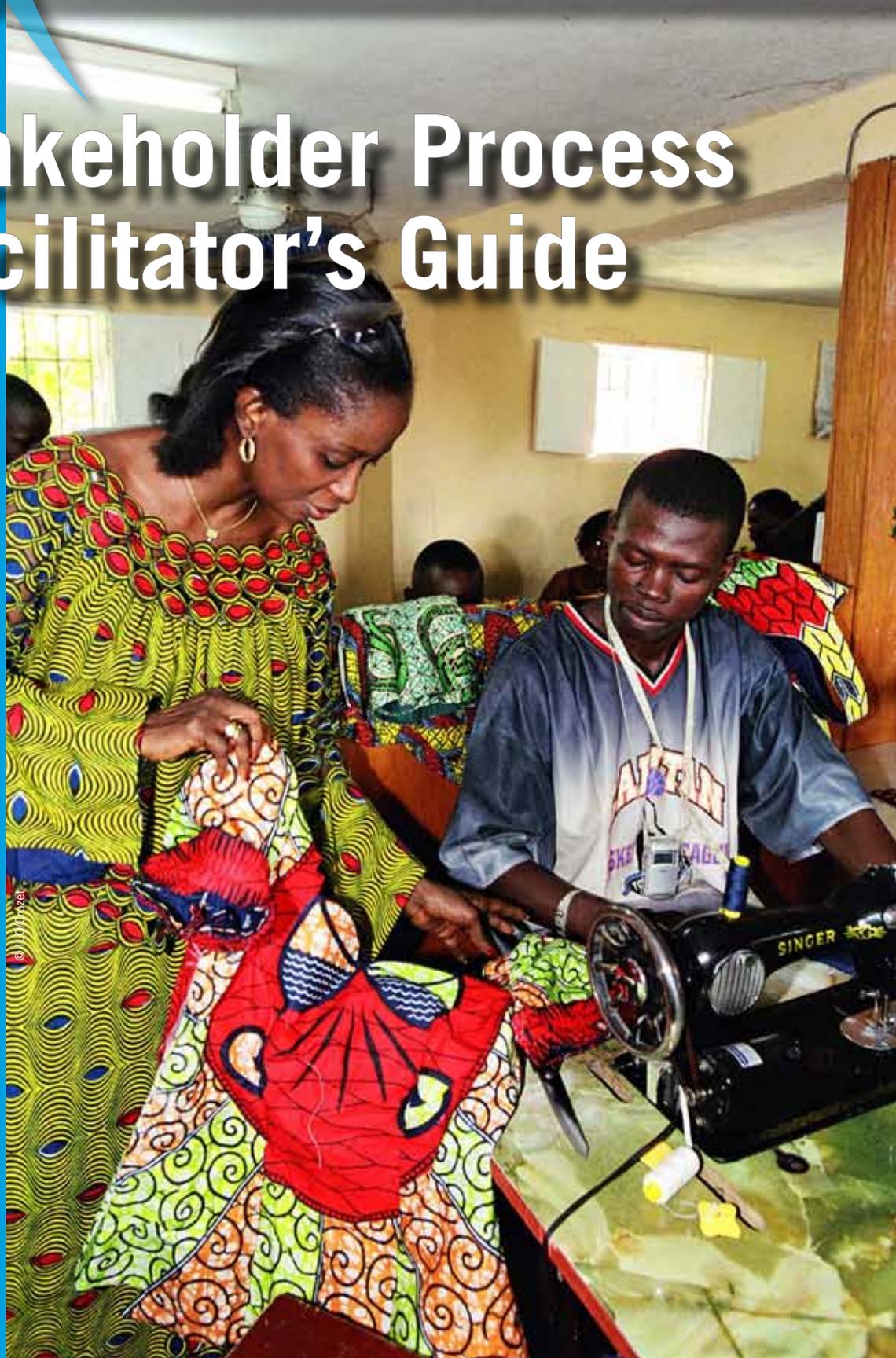




International
Labour
Office

Stakeholder Process Facilitator's Guide

Acting in an
intercultural
context



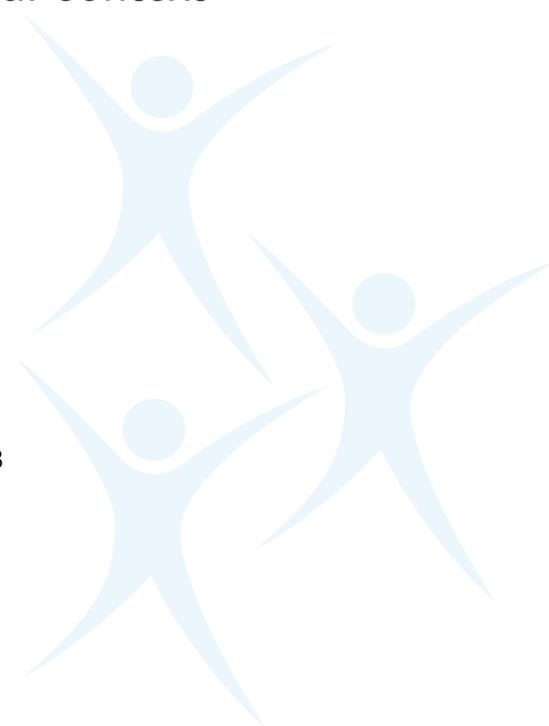
Sustaining Competitive
and Responsible Enterprises

INTERNATIONAL LABOUR ORGANIZATION
TECHNICAL COOPERATION

SCORE
Sustaining Competitive and Responsible Enterprises

Stakeholder Process Facilitator's Guide
Acting in an intercultural context

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Editorial

Neosys Ltd – Consultancy specialized in Corporate Social Responsibility Standards
www.neosys.ch
in collaboration with:
Phönix – specialized in mediation – development – intercultural aspects
www.phoenixteam.ch

Authors:

Alex Kunze
Dr. Clemens Lang

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The methodology was validated during a training workshop, which took place in South Africa (Madikwe – North Western Province) on August 3rd and 4th of 2011. The conclusions and recommendations out of this workshop, which were integrated in the guide, permitted to further develop the instrument. We would like to thank all the actors involved in this training. In particular we would like to thank Mr. Rest Kanju (ILO SCORE Manager South Africa) for his comments and contribution to the context and structure of the guide and Mrs Busisiwe Siyona (ILO South Africa) for her great logistical and organizational support. We would also like to thank the NGO RessourceAfrica (Mr. Kule Chitepo, Mr. Nqobizitha Ndlovu, Mr. Francisco Mija) for their co-facilitation of the workshop and technical contribution to the guide. Last but not least, we would like to thank all the participants of the workshop from diverse organisations representing different private and governmental stakeholders.

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Preface

Sustaining Competitive and Responsible Enterprises (SCORE)

The SCORE programme is a key element of the ILO's strategy for the promotion of sustainable enterprises. It is a practical training and workplace support programme to increase the productivity of small to medium sized enterprises (SMEs) while promoting recognition of, and respect for workers' rights. The objective is to deliver best international practice and develop mature relations in the workplace that promote productivity and enhance wages and conditions for workers. Areas the programme focuses on include workplace cooperation, quality management, cleaner production, occupational safety and health, and human resource management.

The programme is a response to the conclusions reached by the governments, employers and workers at the International Labour Conference in 2007. In the discussion on sustainable enterprises they concluded that:

“Sustainable enterprises need to innovate, adopt environmentally friendly technologies, develop skills and human resources, and enhance productivity to remain competitive in national and international markets. They also need to apply workplace practices based on full respect for fundamental rights at work and international labour standards, and foster good labour-management relations as important means of raising productivity and creating decent work. These principles are applicable to all enterprises.”

This guide goes beyond the core enterprise training programme. It addresses a specific challenge of working in the South Africa tourism sector where the success of enterprises depends on the preservation of the environment. This in turn depends on the engagement of stakeholders and ensuring that benefits of private sector activity benefit communities around game parks.

I would like to thank the authors Alex Kunze and Dr. Clemens Lang for developing the guide and the State Secretariat for Economic Affairs (SECO) for their continued generous support of the ILO.

Michael Elkin
Chief Technical Advisor

Sustaining Competitive and Responsible Enterprises (SCORE) Programme
International Labour Office

Foreword

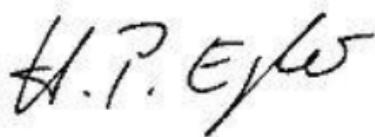
The State Secretariat for Economic Affairs (SECO) promotes sustainable economic growth and thus contributes to poverty alleviation in developing and transition countries. Supporting the SCORE programme developed by the ILO, SECO sought actively to enhance the competitiveness of local companies, in particular by improving dialogue, internal communication and strengthening collaboration.

With this publication, SECO supports even a step beyond. The present guide allows taking a broader context into account which is crucial for a sustainable economic development of the enterprises: the relationships with and between external stakeholders such as for instance communities, NGOs and local authorities.

During the past years, especially extractive industries face increasingly unstable framework conditions and even conflicts that cause enormous economic damages. Specific problems may arise in areas where indigenous people's rights and cultural habits are not taken sufficiently into account.

This publication complements the SCORE methodology with additional recommendations regarding external stakeholder relations of companies. It shows how the dynamics of relationships with and between external stakeholders can be taken into account in order to minimize negative impacts by optimizing inter-cultural understandings and thus improve development effectiveness. Only by recognizing stakeholder needs and involving them into the decision making process right at early planning stages, successful operations may occur. Companies need to show their commitment not only with shareholders but also with all stakeholders involved. Such an approach will lead to prevent from conflicts, misunderstanding and finally economic losses. This concept has been broadly proved and therefore conceptualized. The present guide allows interested company managements, facilitators and mediators as well as the civil society representatives to manage stakeholder processes in complex intercultural settings in a fair and transparent way. Such initiatives have the potential to add real value to a more integrative and sustainable development.

Hans-Peter Egler



Head of Trade Promotion

State Secretariat for Economic Affairs



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Note: Boxes are integrated in text without number.



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1. Welcome

1.1 Opening note

The International Labour Organisation (ILO) has developed the SCORE programme (Sustaining Competitive and Responsible Enterprises) that supports small and medium sized enterprise to grow and create more and better jobs by improving their competitiveness through better quality, productivity and workplace practices. Within the programme, a particular focus has been put on collaboration and communication of enterprises with their internal stakeholders. With this publication the focus will be broadened by bringing to attention the relationships of enterprises with their external stakeholders as well as the relationships among the external stakeholders themselves.

As companies act within a complex net of stakeholders, it is crucial to take the dynamics of those relations into account in order to guarantee a sustainable regional business development. In order to complete the five SCORE modules in this sense, the here presented tool for stakeholder dialogue or mediation process was developed by request of ILO.

The objective of this guide is to facilitate a dialogue – or a mediation process – between different actors, such as (examples):

- Actors of the civil society
(e.g. NGOs, human rights groups)
- Businesses
- Local communities, clans, tribes
- Authorities
(e.g. municipalities, regional governments)
- Trade association
- Media
- Others

The goal of such a process is to clarify common visions and developments and if necessary, to resolve conflicts among actors permitting the creation of framework conditions in order to enable sustainable local and regional economic, political, social and environmental development.

This guide is meant to be a support instrument for practical implementation of such a process. It does not provide a theoretical background about methodologies. For a deeper understanding, there is a list for further reading.

The choice of the methodology used in this guide is based on up-to-date research and lessons learned during practical implementation. It can be observed, that classical enterprise driven approaches, such as stakeholder engagement, human rights impact assessments or risk analysis often do not take into account the real needs of civil society. They miss the changes of perspectives and neglect deep structural and cultural issues. As a consequence, those approaches often do not lead to sustainable solutions and developments.

Therefore the approach chosen here varies from a classical (company driven) stakeholder approach, in the way, that it is based on the views and perspectives of other stakeholders. In order to achieve sustainability in such processes, it is crucial to work with all involved parties out of an impartial perspective from the beginning. Especially the proper setting up of such a process has to be

elaborated already with the different groups being involved. This is particularly important working in contexts with different functioning of societies (e.g. with local communities / indigenous groups as formulated in chapter 1.4 or within acephalous societies¹).

To meet those goals, different mediation approaches are combined with classical stakeholder dialogue approaches aiming to achieve more sustainable processes.

The guide is organized in nine steps, which are the basis for the application of the process in any cultural context. Furthermore, as intercultural issues are crucial for success, this guide makes reference to intercultural issues, challenges, open questions and examples in order to provide input for the facilitator. So, s/he will learn what to look for and how to adapt the nine steps to each context. The methodology of this guide allows closing the gap between the pretension to be a strict and universally applicable methodology and the pretension to be adapted to local culture. The facilitator will receive information and hints in order to adapt the process to local needs as it is her/his responsibility.

The local cultural examples (boxes) were chosen from three different areas such as South Africa, Bolivia and Polynesia.

However, it has to be kept in mind that even if this guide suggests a clear linear nine step methodology, the experiences in the practical application can vary and tend rather to organic and rhythmic procedures (Ballreich, R. & Glasl, F., 2007) as shown in Figure 1.

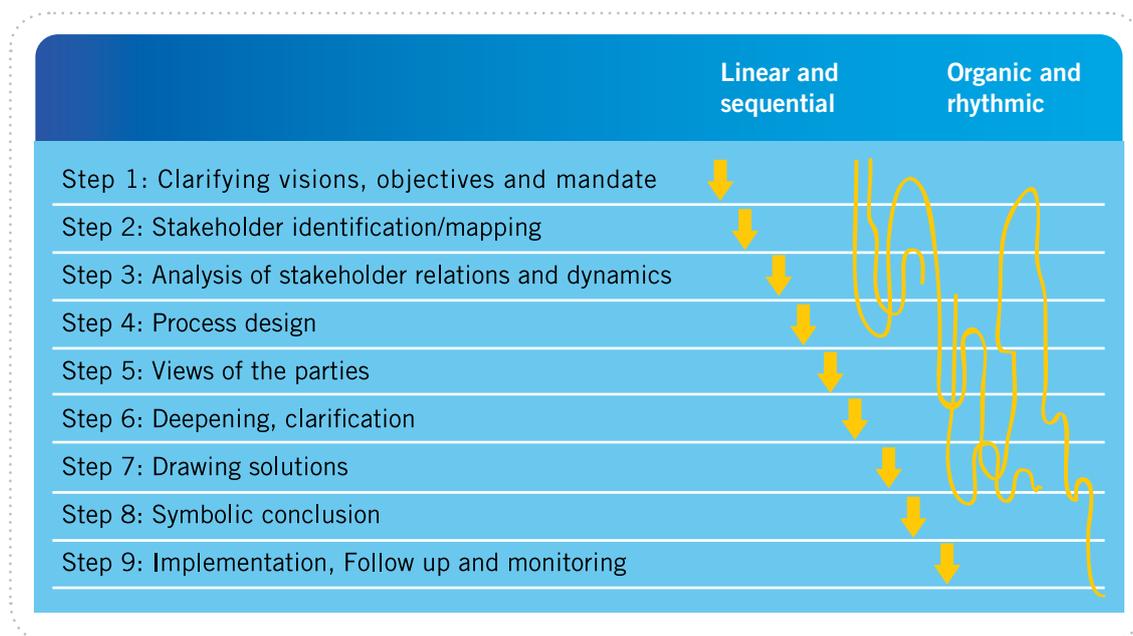


Figure 1: Different proceedings in phases according to (Ballreich, R. & Glasl, F., 2007), adapted by Phönix

Persons who lead such processes are called facilitators or mediators in case of a conflict for instance in terms of differences of interests, goals and/or values between persons, groups or organizations. In this guide we chose the term facilitator which is going to stand for mediators, too. Important is that the role of this person is characterized by limiting him/herself to guiding the process without contributing to the content.

1 Society lacking political leaders or hierarchies; such groups are also known as egalitarian or non stratified societies

1.2 How to use this guide?

The guide is designed to be used by facilitators of stakeholder processes giving practical guidance. The following icons identify different resources:



- > Practical support tools – Supports facilitator with checklists, practical instruments, principles and criteria



- > Worksheets per methodological step



- > Intercultural challenge – Provides information on intercultural issues



- > Tips on communication techniques – supports facilitator with practical communication issues



- > Self reflection – Helps facilitator to reflect aspects of his own management



- > Development of fictitious “cement case” through the methodology with the facilitator team Leila and John

Figure 2: Support boxes²

For each step a working sheet is developed, which is integrated after the description of the respective step. In order to illustrate the methodology, a fictitious case – called here *the cement case* – was invented. In this case the (fictitious) facilitator team, Leila and John, shows us, how it proceeds through the nine steps. For the purpose of this guide, the *cement case concentrates* on key facts that are important for the application of the methodology and does not represent the complexity of a real case. Of course, in the practical field, things might be more complex! What is the Cement case all about?

.....
² The boxes are not numerated

Have a look:



The “cement case”

Cement industry in a developing country facing challenges with local communities!

What was the initial situation?

In a tropical area in a developing country, a European multinational company active in the Cement industry wants to extend its business. It bought the parts of the shares of a locally well known Cement Industry which has been active in the country for over 20 years and starts the construction of a plant. The plans have been approved by the national authorities.

Soon after the beginning of construction, local people start protesting. They block the road and hinder the workers to go on with the construction. Though, the cement industry looks for a facilitator and contacts you.

After each step, you can observe the follow up of the case!

1.3 How to deal with (inter)-cultural challenge?

First of all, the terms “intercultural” and “culture” have to be clarified. From a scientific perspective, the term culture is understood diversely. There are different concepts such as intercultural, transcultural, multicultural. A common definition by Tylor (Tylor / Reprint, 2005) mentions a few elements that are important for the discussion of the term up to nowadays: “Culture (...) is that complex whole which includes knowledge, belief, art, morals, law, custom and any other capabilities and habits acquired by man as a member of society.” Culture is thus acquired by a member of a group and is not static but steadily further developed. This is important to be conscious of in order not to fall into stereotyping. Ernst Cassirer describes culture as a complex system of symbols. The reference to symbols makes it possible that members of a cultural group develop perceptions of their own group and of others by constructing boundaries towards other cultural groups.

Dialogue processes are highly sensitive to the cultural context. Many procedures have been developed in “Western” countries and do not take in account “non Western” procedures based in different cultural settings. Especially in contexts, with little Western influence, alternative approaches have to be created. We specify here, that it must not necessarily be an *adaption* of an approach, but new approaches can be thought of. This is particularly important in regions, where social structures have been dominated by former colonial societal structure and culture.

In Western cultural contexts, stakeholder processes involve e.g. fostering of high communication between actors and a strong (future) action orientation. In many non Western cultural contexts the way to foster developments are very different involving e.g. religious, tribal or community leaders, communicating difficult truths e.g. indirectly through third parties and make suggestions through stories.

There is also a tendency of *using* cultural differences in order to make interpretations of certain situations, which sometimes can be misused. Despite of differences in culture, there are also similarities all around the world, which can be explained with the “No-Some-All triangle” (see Figure 3). This triangle explains in a simplified manner, that there are three levels. The first level says, that all human beings (around the world) have basic needs (e.g. need for food, shelter etc.) in common. Of course there are differences in how those basic needs are lived, expressed and satisfied. The second level – called collective interpretation – refers to the cultural background including e.g. religion, societal forms etc. The

third level – everybody is unique – refers to the fact, that independently from the cultural background; every human being has its very personal biography and history, which is e.g. based in the individual family situation. This triangle shows, that the cultural context has its importance (second level), but there are also similarities among the persons we work with, which are independent from culture.

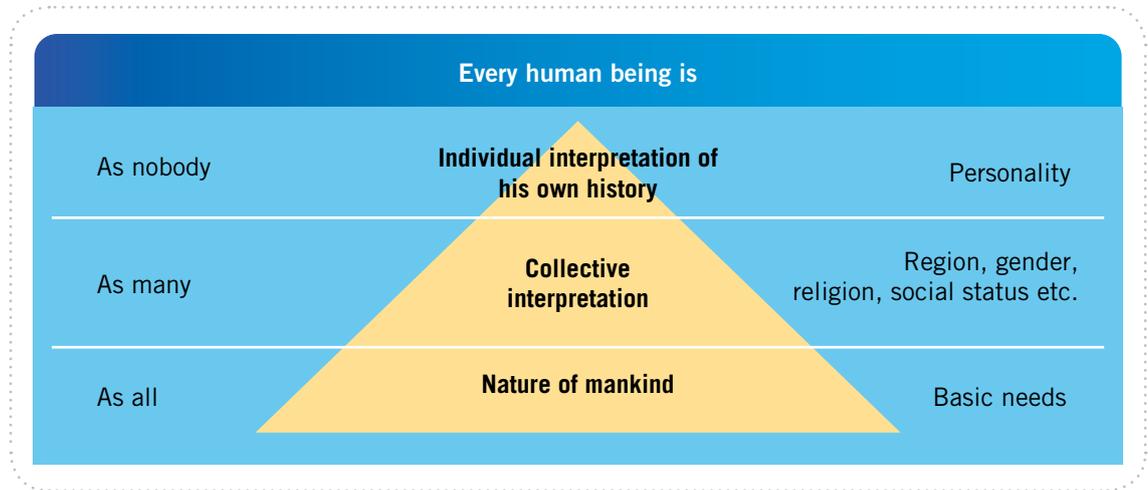


Figure 3: No – some – all triangle

The main challenge of this guide was, to formulate on one side a clear multistep generic approach, which can be applied in any (cultural) setting and on the other side to take into account (inter-)cultural aspects, as they are crucial for success. This challenge was resolved by suggesting a generic nine step approach. However, the guide brings up specific questions, gives hints and information about intercultural challenges that can come along during the process. Those issues have to be taken into account by the facilitator while designing and implementing the process. The guide makes reference to some models of cultural values and dimensions. They can help to understand certain situations and behaviours on one side, but on the other side, there is also a risk to fall into stereotyping. It is the responsibility of the facilitator to avoid traps of stereotyping and to reflect continuously his/her own values.

Moreover, reference is made to the word “conflict” and degree of escalation of the conflict. Here again, it is important to mention, that in different cultural settings, this term is understood differently. According to the setting of the process, it is recommended, that the facilitator clarifies first the different understandings of key terms with the stakeholders what is an important basis for sustainable solutions.

1.4 How to deal with challenges involving stakeholders from local communities³ and Western enterprises?

In the actual political and economical situation of the world, issues of exploitation or the use of natural resources (e.g. mining, food production, tourism) are very high on the international agenda. Often, complex conflict situations are already given involving Western companies and local populations/communities among them indigenous groups. Cases involving indigenous groups are increasingly brought up and bring along particularities that we are going to address here briefly.

Historical experiences of encounters between indigenous and Western (e.g. multinational or national) enterprises have often not been favorable and have not been kept in good memories. Negative example are widespread in the media, but there are hardly any experiences reported that have been

³ In some cultural settings, you can also talk about “indigenous groups”

favorable for indigenous groups and enterprises. A crucial role in these experiences played the state and its relationship with indigenous people – a relationship that is often characterized as conflictive for instance concerning the recognition of the legal system of the state and/or the indigenous groups (individual versus collective rights, recognition and significance of human rights etc.).

On the international agenda, indigenous people and their interests have been increasingly discussed during the last decades as for instance in terms of declarations and international agreements (e.g. ILO Convention no 169; UN Declaration on the Rights of Indigenous Peoples). Moreover, many international NPOs and NGOs are involved in the discussion and finance or carry out projects with indigenous people. In this context, it is important to take into account that indigenous groups cannot be considered as homogenous. For a facilitator, it is crucial to be aware of differences in the cosmovision of the specific stakeholders, their norms and social relationships, their relationship to nature especially in case of extractive activities, traditional legal systems as well as the (lack of) recognition of the state legal system.

The facilitator's knowledge of the group's structures of power relations, prestige and gender relations is essential when looking for the representatives of the group for the stakeholder process. He has to analyze carefully *who is entitled to speak in the name of the particular indigenous group and who is not*. Like in other groups, opinions about if and how to participate in such a stakeholder process can vary considerably within a group. It is important to *respect the decision-making processes and the decisions themselves* of the indigenous groups although they might differ considerably of what is expected by other stakeholders as enterprises or NPO or NGOs. Not all indigenous groups are necessarily against extraction of natural resources in their territories. It is important to abandon the Western idea of the indigenous attachment to a traditional way of life. Talking about traditions is often romanticizing the indigenous way of life. Crucial is having in mind that traditions are not static on the one hand and to recognize the right of the indigenous people to decide themselves on their own development on the other hand.

It is essential to involve the indigenous groups since the beginning in the stakeholder process and further taking into account the power divide between the stakeholders. The indigenous social networks might not reach the responsible persons of the government when decisions about extractive concessions or tourism activities are given in contrast to the representatives of big companies for instance. Indigenous people do often not have equal access to information in terms of impact assessments or baseline studies. It has to be taken care that the indigenous groups do have access to studies of impacts concerning their land as important to their territory and resources. Especially important in this context is to consider that there are big differences between indigenous groups concerning the Western education of their members and/or representatives; and the same attention has to be paid to the cultural understanding of the information mentioned above as well as the understanding within the stakeholder process as such. Transparency, respect and openness for different ways of negotiations are indispensable in the process not at least as they are an important

basis for the ongoing construction of trust between the stakeholders and the facilitator and the construction of bindingness towards the decisions taken within the process.

At the same time, it is important to bring up the subject of bindingness to the process by all stakeholders what can turn out to be difficult because of historical experiences mentioned before.



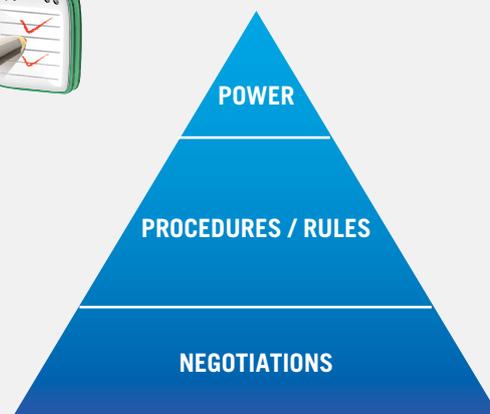
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2. Getting started – preparation phase

2.1 Step 1: Clarifying visions, objectives and mandate of process

The best situation is given, when different stakeholders come together and request in common to conduct a stakeholder process or mediation on a certain topic. The real world, however, shows that this is rarely the case. The motivations of the different stakeholders to participate in such a process rather vary a lot. As the psychological strain is different from one actor to another, there is seldom a situation, in which all actors want to sit together under the same conditions at the same time.

It is more likely that each actor will balance the advantages and disadvantages and formulates conditions for its participation in such a process. In general, there are three levels of possibilities of resolving a situation, where there are different development visions: 1) through the use of power (imposing a development, 2) through elaborating and following procedures and rules or 3) through negotiation and dialogue. It can be observed, that actors with high power are less interested in participating in a dialogue process, as they can reach their goals through decisions by using their power. Groups with less power are more likely to push into the direction of establishing rules or to try to enhance their influence e.g. through the association with other groups.



Levels of possibilities of developing a situation or resolving a conflict



Who can be a process facilitator / mediator? The classical criteria are the following (Besemer, 2002):

- being neutral to different stakeholders
- having facilitator and mediation skills
- having excellent communication skills
- being accepted by all stakeholders
- having an understanding of the local context and culture
- being accepted by different stakeholder groups in terms of age, ethnic background, gender

Nevertheless in practice, quite often the facilitator is a charismatic, international or sometimes regional, leader person, sometimes with little specific skills. In this case, a balance between the different criteria has to be found.

According to the situation, it can be helpful, to have a group of facilitator fulfilling together the mentioned criteria.

Another very important issue is to clarify, who is the appropriate process facilitator. There are classical criteria, which are listed in the box above. Those criteria are the optimum, but it might be a challenge to find a person, or group of persons to fulfil all those criteria. The choice has to be made from case to case having in mind, that this step is crucial for the success of the whole process. Depending on the complexity of the case, it could also be recommended to work with a team of facilitators. It can also be the case that a local, well accepted charismatic leader does not have the skills to lead such a process or is not neutral to all the stakeholders. In such a case, a setting with a leader with trained persons in a support function can be arranged.

Practical experiences show that sometimes different actors assume a facilitator role at the same time. This might go on for some time until one of the facilitators or a group of facilitators turns out to play the most important role. This is closely related to trust felt by the other stakeholders. This is the best moment, to formulate a clear mandate to guide the process.

The financing of the mandate is also crucial. Ideally, all the parties involved contribute to the financing according to their possibilities. Another possibility is to have a neutral financing source e.g. a foundation or other source, which does not have any interests or links with the particular situation. An absolute “no go” is the financing of the process by one party with particular interests like for instance a multinational company who is involved in the process as a main stakeholder. Chances to find good solutions would be from the beginning made unrealistic, as the actors of civil society would feel an uneven power relation. It is very likely that the facilitator would not be taken as a neutral person by other stakeholders if (s)he is paid by one actor only.



Think of a situation in your surroundings, where different developments or visions had to be clarified and ask yourself:

- Who helped to solve the situation? Did this person respond to the criteria of a facilitator mentioned?
- Which ways were used (e.g. power, rules, negotiations)
- What are your lessons learned?



Worksheet Step 1: Clarifying visions, objectives and mandate

This phase is crucial for success. It clarifies who is the appropriate facilitator, what is his/her mandate and what are the objectives of the process.

Before taking the decision whether you accept this mandate or not, several aspects have to be clarified and evaluated:

- Who is initiating the stakeholder process? What is happening?
- Check with the initializing party/ies who would like to contact you for the mandate
- Check different sources (internet, newspapers, literature)
- Do not speak with the involved stakeholders yet who have not contacted you up by then
- Which objectives does the person or group to state to have for initiating the process?
- What goals in terms of the stakeholder process does the person or group state?
- What was the role that (s)he/ they played in the region or on site up to now?
- Who are the further stakeholder groups described by this person?
- Why have you been chosen for the role of the facilitator? Are you the only facilitator or part of a team? What are the expectations of the initializing party/ies?
- What are your expectations, current and future challenges that you perceive?
- Is there a stakeholder that might not accept you or the team as a facilitator, if so, why? Because of your cultural, social, economic, political background? Any other reasons e.g. historical reasons, languages etc.?
- Who is/are going to pay the mandate? Is it shared, if yes among whom, why and how?
- Is there a party who is interested in not resolving the conflict? If yes, why?

Evaluation of Step 1 by the Facilitator:

- If you have been chosen as a single facilitator, is the task acceptable or do you think there is the need of setting up a facilitator team? If yes, why? Who else could be part of the team and why?
- Can you fulfil the role of a “neutral” facilitator (team)? If not, why? Does this question fundamentally change your role as a facilitator or is it able to overcome this?
- Is there any other reason that does not allow you to accept the offer in accordance with the criteria established in chapter 2.1 of the guide?
- How is your relationship with the initializing party? Is there enough consciousness in terms of your neutrality as a facilitator (team)?



So, what happens with the Cement Case in Step 1?

You, let's call you *John*, realize soon, that the case seems to be quite complex. In your internet research, you find out, that the plant is about to be constructed in a place with a long history of land conflicts. There are also articles reporting on human rights abuse in the region. Moreover, a document of an international NGO working on environmental issues claims that the local population has not been consulted prior to the new cement plant project.

As you have been approached by the HQ of the company in France, you only know so far, that all they want to do, is to construct the cement plant, because they are losing a lot of money. But as a trained mediator, of course you assume that this is only one part of the story. You also realize that you would not be perceived by the local communities as neutral and further more you are not familiar with the local context. So you decide to join with a facilitator, who is familiar with the local context and is well accepted by the different stakeholder, especially the local communities. As your background is originally engineering studies (before you became a certified mediator), you make sure to have a person on your side with a different professional background and you chose *Leila*, who is originally a social anthropologist, who was trained in stakeholder facilitation. Of course, there is still the issue about financing yours and Leila's work. You are cautious enough not to accept the financing of the cement plant, but you can organize a neutral financing source by an international independent NGO!

2.2 Step 2: Stakeholder Identification and mapping

The next step is to map the different stakeholders involved in such a process. Stakeholders are individuals or groups, who are directly or indirectly involved in the situation related to the topic of the dialogue process. Various interactions can be thought of such us:

- to benefit
- to be influenced / or to influence
- to be affected
- to be interested
- to be responsible
- to report
- to suffer

Usually, the mapping starts with the observable actors, but often, the invisible actors are the important ones in order to guarantee long lasting solutions. The following stakeholder categories can be included, but are not limited to:

- NGOs, associations
- Authorities (local, regional, national)
- Private companies
- Employees representatives
- Communities, clans, tribes
- Local groups (social initiatives, religious groups ...)
- Media
- Foundations
- International institutions (e.g. UN Organisations)

It is recommended at this stage to rather map too many than too few actors. In the development of the procedure, there might be a prioritization of the actors later on. At this stage it is important to find out, who are the key actors, but also who plays an underpart. You can also ask yourself which actors are rather linked to the key actors and which actors might be in conflict with them.

It might also happen that a certain group of people is involved / affected, which does not have a clear representation or structure, e.g. families, neighbours, farmers, employees etc. In this case the group needs to be considered and ways or means of representation need to be carefully encouraged.

Important stakeholders, can also be absent parties or persons. Those can be e.g. persons of reference, parties who are only affected by a particular development (and not actively involved) or jointly responsible persons. Dealing with groups with more traditional settings (e.g. indigenous groups), it could be that for instance ancestors are considered important stakeholders that should be taken into account.



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Worksheet Step 2: Stakeholder Identification/ Mapping

The mapping of the stakeholders is an ongoing process. It should be started by checking different secondary sources like (internet, newspapers, literature) and the views of the initializing party/is.

The questions to be asked first at *a very general level* are the following:

- Who are the stakeholders being directly concerned (benefiting, affected, interested, responsible, influenced? Who influences, reports, suffers)?
- Are they represented? If yes, by whom? Is it a legitimize representation? In whose perspective (not)?
- How is the group structured?
- What are their interests? Who supports these stakeholders economically, politically, socially, in terms of religion? At which level? The local, national or international level? Why?
- Are there stakeholders that are supported by the same groups? Which ones and why?
- Are there non-human beings considered as being stakeholders e.g. ancestors, animals, spirits? If yes, in which way and by whom?

It is important not to go into too much detail at this stage but to re-check the stakeholder map after each interview or meeting with a stakeholder in order to see whether further relevant stakeholder have turned up that might not have been visible in the first stage.

Evaluation of Step 2 by the Facilitator:

- Are the main stakeholders mapped?
- Have you also thought of hidden stakeholders?



Things are getting complex for John and Leila!

John and Leila's initial idea, that there were mainly two stakeholder groups (on one side the manager of the cement plant and on the other side the local communities) were quickly changed. Talking to some key stakeholders and reading about the past history, they found out, that there were many more stakeholders involved, such as the local and national government (in relation with the environmental impact study) and the environmental NGO "Earth". Also from the communities, John and Leila found out, that there were two main groups concerned.

What also seems to be quite tricky is the fact, that the communities have traditional decision patterns (they always gather together and talk for hours), whereas the managers of the company are organized very hierarchical and can take decisions quite quickly. Another surprising element was that the French resident ambassador also has been involved before in talks between the communities and the cement plan. As a first drawing, this picture is enough for John and Leila. What they also underestimated was the time they used. The whole research already took more than two week. Now they are eager to proceed to step 3!

2.3 Step 3: Analysis of stakeholder relations and dynamics

At the moment, the analysis is done in a preliminary way looking from the outside through the eyes of the external facilitator on the issue. This assessment helps to get a first understanding of the situation in order to proceed to the process design. The same tools of analysis will be used in the implementation phase (step 5 and following) again, what will might lead to a more detailed picture and adaption as part of the dynamic process.

It is crucial to recognize that the issues of discussion or conflict are multidimensional. Often the issues, seeming to be the main driver at a first sight, are only apparent reasons. More likely the real causes are found at deeper layers or levels. Apparent issues are e.g. issues about environmental contamination or land use, but below the real causes of an issue might be long lasting power relations, oppression of certain groups, structural issues or economic disparities. Cases of involvement of indigenous groups have also shown that issues turned up that even dated from a couple of hundred years ago rooting in the colonisation period and their consequences on societal structures. The analogy of the iceberg explains the relation between apparent and invisible issues (see Figure 4).



Visible issues: e.g. water management, environmental damage, income disparities, land use

Invisible issues: e.g. values, structural disparities, cultural differences, disparities in power sharing, attitudes, interpersonal issues, relational issues, feelings

Figure 4: Iceberg model

As a facilitator you have to keep in mind the different origins of issues and identify them within your analysis of the situation. It is helpful to understand the origin of a conflict. The box can help you thereby.

A main challenge for a facilitator is to understand his/her own beliefs and values and not try to let them influence the way the process is guided. This is particularly difficult for consultants, who are used to consult different parties, which is not the case here.

Further more you can also analyze the behaviour of the different stakeholders rating them in diagram (Figure 5).



Possible starting points or origins of developments

- Objective: obvious/visible issues: visible contamination, visible differences in information
- Interest: petition, disparity in interests, psychological interests
- Values: different ideologies, beliefs, religions, ethics/morals
- Cultural issues: ethnic, gender, social, organisational, trauma
- Relations: non adequate communication, experiences, different interest, subordination
- Structural issues: disparity in terms of income, wealth, power sharing, time pressure, segmentation, marginalisation



Figure 5: Behavior patterns of stakeholders

Analysing the behaviour pattern as shown above can help for the setting up of the process. When working with parties with a strong sense to compete, for instance, then it is recommended to work first separately in order that those parties understand their own motivation better before organizing roundtable with further stakeholders. These other stakeholders may be (too) willing to adapt, and this can lead to solutions, which are not very long lasting.



What about your own values and beliefs?

One mayor challenge of being a facilitator is to take a step behind your own values, your convictions and beliefs and trying to understand, how the different parties involved would like to see the possible development of the situation. In case that a certain development goes into a direction, which is in strong contradiction with your own, values (e.g. fundamental human rights), the best is to address openly the internal conflict you face. But in general, try to forget for a moment, how you would see the best solution and listen carefully to the different stakeholders. In order not to shift into your position, try to understand what your values about a certain issue are. It is always recommendable having a person supporting you in the role of a supervisor.

It is helpful to draw a stakeholder map of all actors involved. Each actor can then be characterized by a description of the following aspects:

- Individual / group (heterogeneous / homogenous)
- Cultural context: Language, customs, behaviour, communication and decision making styles
- Patterns of acting, willingness to engage
- Expectations
- Issues and related positions / goals / interests
- Chronology how actor were involved in issue
- Capacity for engagement / involvement, knowledge, information and resources
- Legitimacy of representation, geographical scale of operation

- Individual needs⁴ and its relation to the issues
- Relations to other actors

For each relation between actors, identify the type of their relationship:

- Harmonic
- Conflictive (degree of escalation)
- Interest orientated
- Dependent
- Synergic (degree of collaboration)

Furthermore, it is very important, that you clarify the role of each actor within the process or project.

It is important, that not only you, as a facilitator, manage to understand the views of the stakeholders, but they understand themselves which pattern they follow. Your function is to give name to this pattern and make them transparent.

At this stage of the process, this information helps to get a better understanding of a situation. However, it is crucial to keep in mind that such a description is a snap-shot and it is very likely and in most cases necessary that it changes throughout the process.

Before addressing step four – the process setting – it is important to bring up traditional and cultural issues in this context. The following examples from South Africa, Bolivia and Polynesia in the next pages (boxes) will show aspects that go beyond classical relationships as e.g. between a CEO of an enterprise and the mayor of a municipality in the Alps. In addition, two examples of processes, on in the Swiss Alps and one in Vietnam, are shown in annexes 3 and 4.



Reflecting the roles of the actors and oneself is an ongoing process!

During the process, you as a facilitator have to reflect constantly your own role, while talking with the different stakeholders on site and as well try to understand the roles, in which the parties act or talk. You will find out, that the parties might talk differently in different settings (e.g. they might be open in a setting with fewer groups, as trust can be higher). It is also possible, that e member of a party has different interests according to the different roles. As a facilitator, try to find out (or even ask), in which role the person is talking in a specific moment. The reflection of roles throughout the process is crucial and has to be part of the continuous self reflection.



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⁴ Individual needs can be based in 4 large categories such as need to survive, need of well-being, need to feel identity and need of freedom



South Africa: What are Ubuntu and Indaba all about?

South Africa is a country with a great diversity of ethnic groups. Being involved in South Africa it is very likely that not all of the stakeholders belong to the same ethnic groups and/or have rather different cultural and social backgrounds. The facilitator will have to understand more about specific philosophies and cultural frameworks in order to develop the specific setting and process. What is it all about?

Ubuntu is an **African philosophy**, which plays a role in different social aspects and is based on a long tradition. The philosophy is based on humanity and a positive idea of mankind which are reflected by values such as care, share, respect, compassion, peace, sense of belonging, and a happy community life (“spirit of an extended family”). In terms of mediation, this means, that those values have to be rebuilt in the case of a conflict. The tradition of this word in Xhosa/Zulu language means “collective personhood” which means that a person is a person through other persons. Or in other words, it means “you are, because we are” or “I am because you are”. Thus, in a stakeholder dialogue or mediation process, importance has to be paid to the reestablishment of positive relations and harmonious energies. At the same time Ubuntu follows the principle, that differences and diversity are a reality and have to be recognized. Ubuntu is not only concerned with human beings, but there is also an important spiritual component to it. It is usual, that within a dialogue process, prayers for getting the support of the ancestors are important. Another important issue is the fact, that emerging conflicts are always a part of a community. Especially in rural areas, dialogue processes always take place involving the whole community.

Here is the tie with the **Indaba** process, which is an important conference or *council meeting* held by Zulu and Xhosa people of South Africa. But it is also something that has a tradition in most Sub-Saharan African countries e.g. there is a Yoruba proverb saying “Wisdom comes from reasoning together”, which shows the relevance of such councils also in the Yoruba culture. The term comes from the Zulu language, meaning “business” or “matter”. Such meetings can (especially in the traditional sense) last a few hours or even days and are the base of decision making processes. Specifically concerned actors but also other people out of the community take part and express their opinions, feelings and wishes without fearing punishment or discrimination. At the end of an Indaba process, the decision maker (often an elderly person) will take a decision based in what was said before. This is not to be compared with a democratic approach, where there is normally a vote or the decision is taking in function of a majority within the group (Mayer & Boness, 2008).

What could be done, if there is a dialogue or mediation process involving e.g. local ethnic minorities and “Western companies”? The first answer is to discuss this with the involved parties in the preparation phase! Important issues to be discussed will be the physical place, where talks are going to take place, the persons involved and decision taking mechanisms. For the first issue, it could be thought of either a rotating strategy (having talks in the places of the different parties such as villages, in towns etc.) which could be at the same time a trust building measure. In terms of the persons involved, it has to be stated, that decision takers of local communities by themselves will not be in the possibility of taking decisions at a roundtable without the members of the village. What could be done is either to have large roundtables or sending delegates to a roundtable in order to discuss the relevant questions and issues, which are then discussed back in the villages. Once again, a facilitator should not right away suggest a setting, but discuss and negotiate options with the involved parties.



Worksheet Step 3: Analysis of Stakeholder Relations and Dynamics

Compare the different groups that you have mapped in terms of the following:

- Characterize the groups according to the following criteria:
 - Are there heterogeneous/homogeneous? And how are they organized? (who represents them? Legitimization?)
 - Main interests/ expectations?
 - How are they involved?
 - How is their access to knowledge, information, resources?
- Which interests do overlap between the groups and which ones are rather opposed? How do they express their interests? Are their interests visible or rather difficult to make out?
- Do the groups support each other concerning their interests? Why (not)?
- Are groups who support each other out of other reasons? What are the reasons therefore? What do they have in common?
- Which is the role of the group in the setting?
- Between which groups conflicts can be made out? What is their scale of escalation (hardening, debate, doing instead of words, coalition, loss of face, strategy of threat, limited destruction, fragmentation, together towards destruction)?
- How do the relationships between the groups look like? In which structural framework are they embedded? Are there economic, social, cultural differences and how are groups' political weight at a local but also at the national, international level?

Evaluation of Step 3 by the Facilitator:

- Analyzing the visible interests: Is there a group for which the interest could be of concern but which is not mapped? Why?

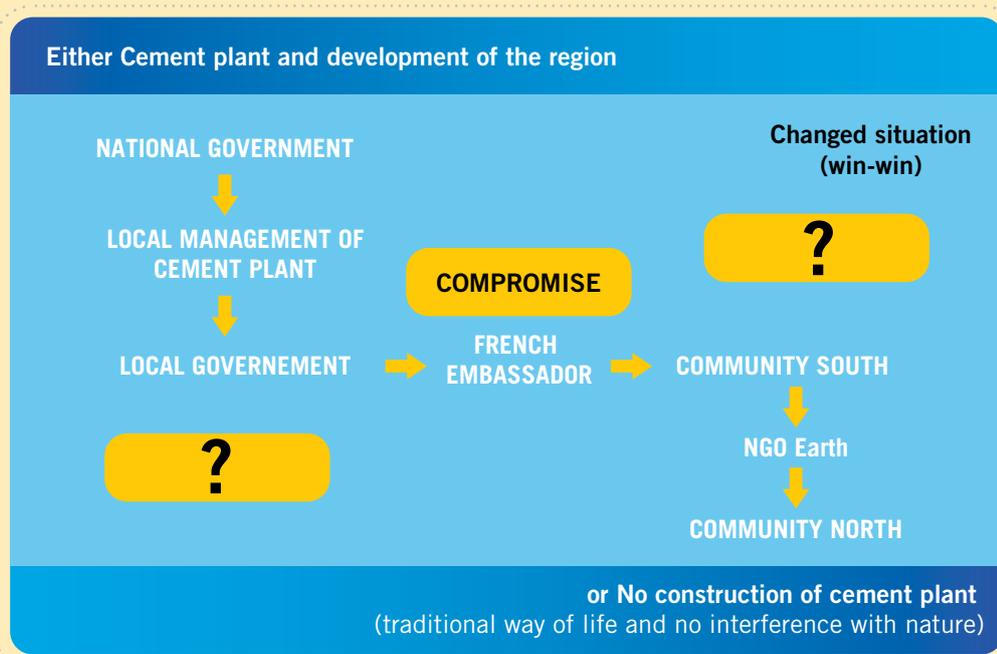
If there is such a group to make out, go a step back, map the group and carry out the former analysis. Then go, to the next step "process design".



The situation looks impossible to be solved

John and Leila soon have to recognize, that positions of the different stakeholders seems to be quite opposite. On one side, the local management of the cement plant is backed by the national government, which attributed all necessary documents for the construction of the cement plant, but on the other side the communities insist, that it is their land and no environmental damage will be allowed. Maybe the French ambassador, who is actively looking for a compromise can help? What worries you, is that the local communities are on one side not all of the same opinion (e.g. some of the member of the local community South were involved for good money with the construction of the cement plant and are in favour of the construction) and on the other side do not want to engage in any dialogue with the Western run company. There also seems to be a long conflictive history between the national government and the local communities, which you want to understand better in the next steps. John get's worried, that he will not be able to solve this problem, but Leila calms him down telling him again, that the facilitator team is only responsible for the process and not for the solution(s).

That's the (simplified) picture you get after performing step 3:



Looking at the drawing, Leila asks herself, if they haven't forgotten anybody? What for example about the owner of the Cement plant? Do they have the same opinion than the local management?

2.4 Step 4: Process design or “Talks about Talks”

The design of the process is crucial for success. Therefore enough time has to be allocated to this phase, which has to be elaborated together (often negotiated) with the different stakeholders. This phase is also called “talks about talks”.

The process design depends directly on the results of the stakeholder identification and the analysis of relations and dynamics. Furthermore, dialogue and mediation processes depend very much on local culture and societal values. Therefore it is very important, to elaborate the process design together with the different stakeholders until they do agree to. There is no standard process design, as each situation is different, nevertheless there are some procedures, which can be observed and are elaborated here.



Degree of escalation of a conflict (Glasl, 2004)

Stage 1: Hardening

There are tensions and confrontations of different opinions, which are part of everyday life.

Stage 2: Debate

This is the moment, when the parties start to think about strategies in order to convince other stakeholders.

Stage 3: Doings instead of words

The parties enhance the pressure and opinions are imposed. Verbal communication is less used.

Stage 4: Coalition

Coalitions are formed in order to win the conflict and to defeat the “enemy”.

Stage 5: Loss of face

The enemy should be eliminated. The loss of trust is complete. Loss of face means loss of morale credibility.

Stage 6: Strategy of threat

With threats, a party tries to control the situation. This should demonstrate its own power.

Stage 7: Limited destruction

The enemy should be harmed with all kind of tricks. The enemy is not perceived anymore as a human being.

Stage 8: Fragmentation

The enemy should be eliminated.

Stage 9: Together towards destruction

The own destruction is part of the strategy in order to eliminate the other.

One mayor cultural challenge is the decision taking process, which can vary from one stakeholder to another. E.g. a multinational company with clear hierarchical decision processes and responsibilities might not understand why indigenous groups rather decide in groups and might not delegate the whole power to one person. In your setting, you do have to take this in account, e.g. with possibilities of consultations with members of the own party or with loops for persons participating in roundtables of mediation processes.



Bolivia: what should facilitators take in account?

After a long history of marginalization of indigenous peoples in Bolivia, the country's constitution of 2009 took into account the indigenous perspective as well as the ILO convention 169. The country counts 36 indigenous groups all over the country and specific policies on health, justice, labour, defence, autonomy, rural development and culture have been elaborated. It is important to state that these indigenous groups differ considerably from each other for instance in terms of the number of their members, their cultural background, their interaction with the state, their interactions with other indigenous peoples and the rest of the population. Bolivia's president Evo Morales (at the moment of this publication) belongs to the Aymara people whereas other peoples in the Bolivian Orient are hardly known. In the following some questions are brought up in order to show a few differences to Western aspects or similarities among the groups.

There are many institutions, indigenous and non-indigenous, national, local and international institutions involved in order to elaborate and push forward the above mentioned policies. Two indigenous institutions that have actively worked in this field are CONAMAQ (Consejo Nacional de Ayllus y Markas del Qullasuyu) and CIDOB (Confederación de Pueblos Indígenas de Bolivia).

As for a facilitator it is absolutely necessary to get an overview of these actors in order to figure out who is entitled to speak on behalf of the group that he is interested in getting involved in the stakeholder process. Many groups are not homogenous and are often split up in different interest groups. Some of them deny calling themselves indigenous but prefer the term "campesinos" instead. The category "indigenous" is not always sharp in practice and not welcome everywhere.

For a successful stakeholder dialogue it is helpful to get to know the decision-making processes as well as how the specific group deals with conflicts. It is important to know who is involved in the decision-making process. Are the decisions taken on the basis of consensus among the members or are they rather taken in terms of the opinion of a majority, a group or even a single person? How is dealt with different opinions and/ or even conflicts within the group?

Such conflicts are important to take into account as they can affect considerably the stakeholder processes. Many indigenous groups are used to apply traditional legal practices that are not necessary in conformity with the national jurisdiction or with human rights. At the date of this publication, the government is working on the recognition of the different legal systems and their application what brings many challenges in practice and has to be observed carefully. The Bolivian situation is particular in many aspects but it shows the importance of taking into account the context of the stakeholder process clearly.

Another important aspect to take into account for the process setting in the case of a conflict is the degree of escalation (see box). In the case of higher levels of escalation, it is generally recommended to start the process with individual talks preparing the actors for a roundtable process, instead of bringing all the actors together right away. The same applies in the following situations where the following aspects can be made out:

- big differences of power levels
- big differences of educational levels
- deep structural and cultural reasons for incoherency in positions

A typical case, where extensive individual talks are necessary is e.g. the setting with private companies with a western type management and indigenous groups. In those situations, structural and cultural issues have to be dealt with before setting up roundtables with different parties.

In conclusion, there is no rule for a practical process design, but as an overall description, a possible model, which has to be adapted to each situation, is shown in Figure 6.

Phase I: Stakeholder analysis	Phase II: Implementation phase and transformation			Phase III: Anchoring phase
<p>Step 1: Clarifying visions, objectives and mandate</p> <p>Step 2: Stakeholder identification/ mapping</p> <p>Step 3: Analysis of stakeholder relations and dynamics</p> <p>Step 4: Process design</p>	<p>Step 5: Views of the parties</p> <p>Step 6: Deepening, clarification</p> <p>Step 7: Drawing solutions</p>			<p>Step 8: Symbolic conclusion</p> <p>Step 9: Implementation, follow up and monitoring</p>
Pre-talks with stakeholders	Individual talks with stakeholders	Group talks / roundtables	Roundtables, moderation of big groups	Dialogue groups (institutionalized)
Stakeholder A			Roundtables, moderation of big groups, evtl. smaller groups in order to prepare suggestions	Institutionalized roundtables or discussion forum with clear rules
Stakeholder B				
Stakeholder C				
Stakeholder D				
Stakeholder E				
Stakeholder F				
All actors	Consultative side groups (consulting and evaluation of the process)			Monitoring group
<p>Outputs:</p> <ul style="list-style-type: none"> * Definition of mandate * Stakeholder mapping * Analysis of relations * Process design 	<p>Outputs:</p> <ul style="list-style-type: none"> * Stakeholders do understand their own role better (attitudes, behaviour, interests) * Stakeholders are conscious about their legitimate and non legitimate goals * Stakeholders understand legitimate goals and needs of other stakeholders * Acceptance of other stakeholders as a resource for finding solutions * Trust building activities among different stakeholders * Agreements between all stakeholders 			<p>Outputs:</p> <ul style="list-style-type: none"> * Dialogue groups are working * Implementation of common agreements * Trust building activities are institutionalized

Figure 6: Model process design

Source: ICP adapted by Phönix



Worksheet Step 4: Process Design: “Talks about Talks”

In cases with a high degree of escalation of conflicts, big structural differences e.g. power relations, educational or social differences or different cultural background it is recommended to start the process with individual talks working towards a participation of each group of a roundtable talk.

- List the talks you are going to undertake and start with the more dominant and/or more powerful parties first.
- Take into account the limits of each party in terms of costs for the talks (coming to the meeting etc.), locations, and participants.
- Take into account the background and role of the participants.

Evaluation of Step 4 by the Facilitator:

- Is the level at which you set up the talks (individual, group or even including different parties) the right one for starting the process?
- Has the organisation of the talks and the preparation taken into account the different backgrounds of the participants of the talk?
- Is the language of the questions adequate according to the educational, social and cultural background of the participants of the talk?



Individual talks are important

Our facilitator team comes to the conclusion, that individual talks with each actor are necessary in order to clarify more the situation. They fear that a direct roundtable would lead to a complete blocking of the situation, which wouldn't help anybody. Especially it seems to be important to understand, how the local communities work, how to get delegate to a possible roundtable. With all actors, they also want to clarify, what would they need, in order to engage in a roundtable and in which form this would be suitable. Leila and John are planning to spend the next month with those talks. Of course, they will also involve the owner of the Cement Company, which is a mixed local and French company.



3. Getting into depth: implementation phase

As mentioned in chapter 2, there are different ways of starting a stakeholder process. So, the process could start e.g. working with the stakeholder groups separately first, before they are brought together, or to invite them straight away to a roundtable.

The main transformation of the attitudes and positions of persons and as well of the situations itself, however, will take place during the implementation phase. Crucial is that the parties start getting a better understanding of their own role and, that they are conscious about their legitimate and non legitimate goals. Furthermore, the parties start to realize the goals and needs of other parties and do accept other parties as resources for finding solutions.

3.1 Step 5: Views of parties

Before starting talks, the facilitator should ask him/herself certain questions in order to be ready for the process (see box). Reflecting on those questions also serves as a daily preparation for the process.

Starting talks it is crucial to create an atmosphere of trust and a creative environment for the process. First of all, this has to do with the proper location, where talks take place and second, with the setting of the place. All the parties have to feel comfortable in the location. If the talks take place with different parties, it is important to choose neutral locations. E.g. if local groups with indigenous people who live in small communities, company owners and trade unions are involved, do not chose a big hotel in the capital city. Rather a location, which is comfortable and located somewhere in-between the big cities and communities should be chosen. As a trust building measure, it can also be interesting to rotate locations being hosted in the different locations of the parties. Furthermore; the accessibility to all locations has to be guaranteed for all parties.

In the opening of a session, a number of issues have to be treated before starting a discussion on topics:

- All the present parties need to be given a window to present themselves.
- It is crucial that the facilitator outlines all the facts of the process with a special focus on all the steps and talks which have been taken previously. This is an effective trust building measure creating transparency. At the same time, the stakeholders' level of process related knowledge is improved. Furthermore, the roles of the different actors have to be explained.
- The expectations and fears of the participants have to be clarified.
- The process (which previously has been negotiated with the parties) is explained and relevant questions are discussed.
- Rules for the process, if needed, are elaborated together.
- Communication rules have to be established (e.g. Chatham House rules, confidentiality).



As a facilitator, you should:

- be physically fit
- take into account feelings of actors
- use neutral language
- understand similarities
- be patient
- be encouraging
- not feeling obliged resolving the problems
- be neutral
- be calm
- show recognition
- verbally simplify complicated issues
- understand body language



Key communication techniques:

- Paraphrasing
- Summarizing
- Neutralizing
- Reframing

At this stage of the process, make sure to use open questions. These questions can help at this moment

- What is it all about?
- Who is involved in the issue?
- How was your reaction?
- Describe us your opinion about “this and this”?

The introductory part, even if it seems simple, usually takes quite a lot of time. If important questions come up, e.g. about the procedure, it is even possible, that the process has to be rethought and delays might occur.

Once all questions of this part, which is part of the so called “talks about talks”, are addressed in a satisfactory way for all the parties, the content can be tackled. The main goals of this phase are to let the parties express their situation. Moreover, trust is built up between the parties and the facilitator. In particular, the aim is to understand more about the behaviour, the goals, assumptions and attitudes. The following descriptions are made for a proceeding with various parties.

The best way of proceeding is to work with open questions letting the parties express themselves. The role of the facilitator is to ask the parties to go deeper in their explanation for

clarification and incentive. The facilitator watches carefully, that she/he does not direct the narrations in a specific direction, which could be, consciously or unconsciously, part of his/her assumption. A strong self reflection about the facilitator’s own beliefs and hypothesis is crucial here. The parties are encouraged to talk about their feelings, which can open new dimensions of discussions. The whole process is followed by the facilitator through active listening and paraphrasing. While doing this, the facilitators pay attention to reformulate accusations and offending statements into neutral statements.



How does Ho’o pono pono work? How Polynesians re-establish harmony! (Flucher, 2008/3)

Ho’o pono is a traditional procedure from Polynesia in order to re-establish the co-habitation of people in harmony. *Ho’o* means “start acting” and *pono* means as well “bringing into correctness” and an “amplification” of it.

The process is ideally led by an elder person in a community or village. What is special about it is that not only the direct involved persons in a conflict are part of the procedure, but also the whole community, where the direct involved persons live. The procedure is based in the cultural context of Aloha, which is an attitude of unconditional love and acceptance of what happened. Furthermore it has to do with respect, with the relation of persons based in values such as compassion, trust, gratitude, faith and love. The procedure starts with a prayer, which also creates a link with ancestors, as they are part of the system and will support the process. In the next steps, the problems are clarified and feelings are explored. This is followed by admitting errors and violations of commonly accepted values and asking for forgiveness. An important step is then to close the conflict and end the process with a prayer and a feast.

It is possible, that Ho’o pono pono lasts for a couple of hours or also a couple of days or is even interrupted during several days.

The most important pre conditions in order to foster clarification and gain trust are:

- Empathy: the facilitator meets the parties with compassion and understanding in order to understand their situation and feelings of a person. This does not mean that the facilitator approves certain behaviour but she/ he only shows his/her understanding.
- No evaluation, valorisation and blaming: thoughts and feelings are to be accepted as facts and should not be evaluated according to moral values.
- Trust: in general trust the testimonies of the parties in order to understand their reality.
- Take resistance seriously: not to argue against resistance, but accept and take it into account.



Sometimes, you will be facing difficult situations! How can you react in those situations?

“I know, that many others of the group exactly talk and think like me” → “please talk about you, what you mean, feel, think!”

“Nobody cares, how I feel” → “please tell us, who does not care about you!”

“He/she always confuses me” → “please tell me examples, how he/she does it in order to understand better”

“You never gave me this information!” → “tell us, how you would like to have it in the future!”

“I’m completely depressed and discouraged, when I see, what you have done with our group” → “you seem to be completely hopeless. Please tell us, since when you feel so discouraged and what should happen with the group next year!”

Other important issues are to clarify definitions of certain terms (e.g. “dialogue”, “conflict”, “communication”), which might be understood very differently by various stakeholders.

This procedure is repeated with each party. At this moment, the focus is more on starting to understand the topic instead of having in-depth arguments between the parties. The role of the facilitator is to create a framework and atmosphere, in which each party feels comfortable in order to express themselves. Furthermore, the issues coming up in the discussion are gathered and grouped in a way, in which all the participants will be able to identify with them. Later on, the facilitator asks the participants to set priorities on issues.



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Worksheet Step 5: Views of the Parties

Contact the legitimate representative (if known) of each group for a talk that you carefully prepare. It is important to keep in mind that these talks are the basis of the trust and of your own recognition as a facilitator by the parties – two aspects that are crucial for the success of the stakeholder process. Keep in mind that a talk with a representative might give you other information than with a group.

Address the issues at stake mainly in questions in order to get a good understanding of the parties view. Keep in mind that this information is strictly confidential and should never be used in talk with other groups without being made unrecognizable. It is important that you take into account the social, cultural, economic and political background of the group and ask questions in order to clarify any questions you might have on such issues, too. Show empathy but do not take party of any group involved.

Important questions can be the following:

- What is happening? What is the main problem?
- Why did it happen this way? Why is this (the mentioned goals or interests) important to you?
- How did you react? Why do you think “the others” reacted that way?
- How do the other groups see this according to you?
- Are there any written sources do you have?
- Whom else do you think I should talk to?

It is important to keep in mind that the main information often turns up late or at the end of a conversation when a certain level of trust has already be established.

During this step it is absolutely necessary to reflect on your own role in the process and your own values in order to keep your neutrality and can strengthen the basis of trust to the stakeholders. You should make the stakeholders to feel at ease so that they express themselves freely.

Evaluation of Step 5 by the Facilitator:

- Do you understand the view of each party including its role, patterns of behaviour and interests?
- Has the stakeholder also got a better understanding its attitudes, behaviour and interests?
- Has another stakeholder been brought up that has to be taken into account for the stakeholder process (then complete the stakeholder map and go through the former steps according to it, again).
- Are there any issues that have not become clear or that the stakeholders have not taken up in their discussion that you think are important?



Everybody accuses the others...what to do?

Our facilitator team has to get used to the fact that talking with the local communities is a matter of gathering for hours with whole groups of persons. Leila and John are fascinated how this works, as everybody is expressing his/ her opinion and the facilitator team is just listening. They talk about “their land”, about that the western company just wants to exploit their resources and never asked them to do so. At this moment you remember from you classes in political science, that there is this ILO convention 169 about Indigenous and Tribal People convention and you found out, that even if it was ratified by the country, no consultation have been taking place. But where Leila listens even more carefully, is the fact, that the management of the cement company seems to behave very rude towards the members of the local communities and does not respect them at all.

On the other side, the local management of the western company accuses the local people to be lazy and not interested in any development of the region. They further explain that all necessary licenses were received by the national government and they are losing a lot of money, if this situation is not solved soon.

3.2 Step 6: Deepening, clarification

In the previous steps, a lot about deep understanding and feelings was already mentioned. However, most cases have shown, that there has to be first a trust building phase, in which only facts are mentioned and which permits the parties to go deeper into the issues. The phase of deepening the issues and clarification is the most important one permitting an initiation of transformation of the situation. It is important to allocate enough time to this phase.



What helps at this moment, is to understand the basic needs of all actors, which can be summarized in four groups, according to (ICP Institut für Konfliktbearbeitung und Friedensentwicklung, 2010):

- Survive (food, shelter)
- Wellbeing (house, medical care etc.)
- Freedom (freedom to move, speech etc.)
- Identity (social affiliation, recognition etc.)

The aim of this step is to understand the assumptions, attitudes and the basic needs of the parties as well to understand the deep structural and cultural obstacles and resources of the topics. All the issues discussed in step 3 such as values, beliefs, the iceberg model and cultural dimensions are relevant again in this phase but are elaborated more deeply together with the stakeholders.

In this phase, it is crucial to let the people elaborate on their issues with enough time. It might help to focus on the chronology of the issues in order to understand the circumstances. The facilitator clearly leads the talks towards specific issues, where deep causes are assumed. The parties should be led to the point, where they start understanding their structural embedding and cultural imprint. Moreover, they will start understanding also the point of views and reasons of behaviours of other parties. The link between basic needs, social structural and social political culture should become clearer during this step.

Experience shows, that it is not enough, to work only on communication problems or diverting interests and goals. Here, it is important to address the structural embedding of a conflict in the



Examples of social separation lines:

- Male vs. female (gender)
- Old vs. young (generation)
- White vs. black (race, ethnic)
- Powerful vs. powerless
- Sovereign vs. governed (political power)
- Exploiter vs. exploited (economical power)
- Hegemonial vs. marginalized (cultural power)
- Centre vs. periphery (political and economical order)

Source (ICP Institut für Konfliktbearbeitung und Friedensentwicklung, 2010)

social, political and cultural dimension. Social structures refer to e.g. the political, the legal or economical institution and their influence of society and communities. The society or organisations itself are marked by structural separation lines (see box), hierarchies, power relations such as generations, minorities, majorities and gender. All the issues have to be worked on in order to make them transparent.

The cultural aspects refer to individual and collective behaviour such as myths, symbols and ground values and believes about the relation of mankind to nature, mankind to God, perception of time, space etc. They are normally invisible according to the iceberg model explained in step 3. They do have a high importance in order to understand

behaviour and motivations on individual and collective values. Two of the numerous existing models of cultural dimensions and values are shown here and explained further in annexes 1 and 2⁵. They can help you in order to understand certain behaviours and also make them transparent. But once again, use those models carefully, as you should avoid falling into stereotyping.



Cultural dimensions and values

Decision making processes do vary a lot from one culture to another. In order to get a better understanding, you can check how the stakeholders tend to function according to the following value pairs (Lewis, 1999) (Gesteland, 1999):

- Informal or formal
- linear active or multiactiv
- expressive or reserved
- individual or collectivistic
- Relationship focused or business focused

Or the cultural dimensions according to Gerd Hofstede. Try to make you a picture of the rating of:

- **The power distance:** refers to the extent to which the less powerful members of organizations and institutions accept and expect that power is distributed unequally.
- **Individualism (IDV)** on the one side versus its opposite, collectivism, that is the degree to which individuals are integrated into groups.
- **Masculinity index:** refers to the distribution of roles between gender)
- **Uncertainty Avoidance Index:** deals with a society's tolerance for uncertainty and ambiguity

Learn more about those cultural values and dimension in annexes 1 and 2.

5 Some professional disciplines, such as social anthropologies, do not support those models



Worksheet Step 6: Deepening and Clarification

Understanding one's own goals as well as the one's of others is a process that takes a considerable amount of time. You as a facilitator can focus on specific issues that make you think of deeper causes. It is necessary to go beyond working on communication problems, diverse goals and interest. Your task is to lead the stakeholders to the point where they reflect on their structural embedding and so, start understanding the reasoning, interests and patterns of behaviour of the other stakeholders, too. The links between the basic needs, social structure, and the social political culture should get highlighted during this step.

Evaluation of Step 6 by the Facilitator:

In order to evaluate step 6 go again through the evaluation questions of step 5. If the view of each party including its role, patterns of behaviour and interests has been enough deepened according to your opinion and there is no need of further clarification, go on to step 7 of drawing solutions.



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The stakeholders start to understand their proper goals

Deepening the talks, you are fascinated to understand, that the local communities start saying, that as a matter of fact, there are different levels of problems. They are in general not against the construction of a new cement plant, but as they have been ignored for years in their proper rights and have been discriminated by the national government, they do not trust any new company, which is backed up by any concession from the national government. What they want is to participate in the construction of the country, share the economic wealth and being heard and respected also on a political level. Furthermore, they cannot understand that this cement plant has to be constructed exactly on a very symbolic site for their religion. Moreover, the way they are treated by the local management (inferior, useless) is affecting their pride.

You also find out, that the owner of the company has had various problems with the local management (because of non respect of the local population) and suddenly you understand that it is important to conduct a dialogue between the owner of the company and the local communities. You negotiate the setting of this dialogue as follows. A delegation of the owner will first visit the local communities and later the talks will place in an outdoor place somewhere in between the planned company sight and the residential area of the local communities.

The first meeting takes two days, and you go again through all issues of step 5, 6 and 7, but it is worth it!

3.3 Step 7: Drawing solutions

The aim of this step is to go on transforming a situation further and to establish proceedings, trust building measures and develop creative long lasting improvements of a situation. Importance has to be given to the fact that those developments are based in a change process, which does not work only on the surface of the iceberg, but also includes deep structural and cultural dimensions. At this stage of the process, the parties understand their own legitimate goals as well the legitimate goals of the other stakeholders. It is the moment, when the parties start to develop first common visions. It is possible, that in the previous steps, already approaches of solutions were on the table, so it is the moment to remember them. What is also important is to set criteria of valuable solutions together with all the parties. An example of criteria is shown in the box.

This step should be implemented in a most possible creative process. The input material corresponds of the findings of the previous steps. At this moment, the different stakeholders will have gone through a process of transformation, permitting also to find complete new and innovative solutions, which have not been part of the talks before. The elaboration of those solutions is made by the participants under the guidance of the facilitator, who uses therefore different (creative) methodologies adapted to the possible setting. In the beginning, the facilitator makes sure, that alternatives are only gathered and not judged at the moment. An interesting approach is e.g. the famous „question of miracle“, which has turned out to work in different cultural settings. The facilitator asks the stakeholder, “*how a certain situation would present itself, if a miracle happened.*” The facilitator can deepen the issues with a set of questions (see box). Other common techniques are so called “vision trips”, where the facilitator takes the different stakeholders to the future and let them describe, how this future would look like.

Once all alternatives have been explored, the different options are evaluated and also prioritized. It is important to look for consensus solutions and not only compromises. Solutions should not follow equal disadvantages for everybody, but the most possible advantages for everybody. While working out

solutions, the facilitator is constantly assuring that the solutions response to the criteria set previously. The facilitator also inquires, if enough alternatives have been evaluated and if the solution can also be implemented practically.



Selection for criteria of valuable solutions (Ballreich, R. & Glasl, F., 2007) and Phönix

■ **Fair and just**

There are different possibilities of measuring fairness, e.g. if all concerned stakeholders were involved and had enough possibilities to participate. The easiest way to test this, is to rely on the personal appreciation of the parties. If relinquishments are necessary, all parties need to relinquish to the same extent. Giving and taking should be equitable.

■ **Sustainable**

The sustainability of solution can of course only be evaluated in a long term perspective. But at this step, it can be said, that the chance to have sustainable solutions is higher, the more the process takes into account the deeper levels of structural and cultural issues and the more relevant stakeholders were part of the process.

■ **Level of satisfaction of basic needs**

This measures the satisfaction of the basic needs, which have been identified in the previous steps.

■ **Practicability**

Can the solution be implemented with the existing resources?

■ **Legal and compatible with traditional/ethical rules**

Solutions should not break valid laws and should not violate basic principles defined by local tradition and general ethics

■ **Avoiding loss of face/image**

No party should be personal discredited after the process and respectful intercourse should be possible afterwards



Questions following the “question of miracle”:

- What would be different?
- How would the others stakeholders realize the change?
- What would be their reaction?
- How would you feel with this change?
- What should happen, that the solution is in agreement with the set criteria?
- What would be their reaction?
- How would you feel with this change?
- What should happen, that the solution is in agreement with the set criteria?
- etc.

Solutions can be of any kind at any level, as long as they are agreed upon and are in agreement with the formerly established criteria. For example solutions can include a new dialog forum, new decision taking processes, collaboration in terms of infrastructural development, of the protection of a natural site, of an exchange of financial issues, of a common vision of development of a region etc.

A tricky issue can occur, where commonly elaborated solutions are in disagreement with local legislation and / or with internationally agreed human rights. It is recommended, that those issues are already discussed while elaborating the criteria and alternatives. An interesting example is the case of Switzerland as it is presented in Annex 3: Case study: Swiss Alps.

While elaborating solutions in detail, it has to be kept in mind those mechanisms of follow up and monitoring have to be included into the design. Especially the criteria of practicability are to be watched closely while designing monitoring systems.



Worksheet Step 7: Drawing Solutions

It is at this stage, when the stakeholders increasingly start understanding their own legitimate goals as well as the legitimate goals of the other stakeholders involved. A first common vision is about to emerge. There are various techniques that are helpful to apply at this point like e.g. the “vision trips” and the “miracle” (see chapter 3.3).

- How would you like the future to look like if a miracle happens? What would be different? How would the stakeholders -including you - react?
- How would you like the future look like?

It is important to take into account that a solution has to be accepted by everyone and should not include just disadvantages for everyone. Before developing though concrete proposals for solutions establish a set of criteria together with the stakeholders. Here are some criteria that could be helpful:

- Fair and just
There are different possibilities of measuring fairness, e.g. if all concerned stakeholders were involved and had enough possibilities to participate. The easiest way to test this is to rely on the personal appreciation of the parties. If relinquishments are necessary, all parties need to relinquish to the same extent. Giving and taking should be equitable.
- Sustainable
The sustainability of solution can of course only be evaluated in a long term perspective. But at this step, it can be said, that the chance to have sustainable solutions is higher, the more the process takes in account the deeper levels such as structural and cultural issues and the more relevant stakeholders were part of the process.
- Level of satisfaction of basic needs
This measures the satisfaction of the basic needs, which have been identified in the previous steps.
- Practicability
Can the solution be implemented with the existing resources?
- Legal and compatible with traditional/ethical rules
Solutions should not break valid laws and should not violate basic principles defined by local tradition and general ethics
- Avoiding loss of face/image

Evaluation of Step 7 by the Facilitator:

- Are the solutions developed compromises or are they based on consensus?
- Is it possible to implement the proposed solutions or are they in disagreement with the law etc.?



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New solutions come up

What did not seem possible at the beginning seems suddenly to become possible. The local communities and owner of the company come to first agreements promising a better future. First of all, it is agreed, than the construction will be stopped during three months in order to have time to work on new solutions. What is further agreed is that the talks will take place with the owners of the company, and the local authorities in order to discuss ways, how the local communities can be better represented in political decisions. The owner of the company is very much aware, that those steps are important in order to be able to develop any economical development in the region! At the same time, a new type of discussion forum is initiated, where all involved stakeholders can join in order to discuss developments of the regions. Finally the understanding of all is raised, than the physical place for the construction of the cement plant will not be kept, as it is a religious site for local communities. New sites will be evaluated during the next months and discussed among all stakeholders. Also agreements were found in order to integrate local people as well in the construction of the new cement plant as well in the future exploitation of it.

4. Transition into sustainability: anchoring phase

Once agreements are set, the success of the process depend a lot of the anchoring phase.

4.1 Step 8: Symbolic conclusion

Once an agreement or a solution has been achieved, it will be documented in a written form, which is a generally accepted finalization in the Western world. However, in order to show respect to the results, the process, contribution of everyone and the achievements can be celebrated in an additional way that is appropriate to all of the stakeholders. Especially in traditional cultures, it is important to find an appropriate symbolic conclusion or ritual which is meaningful to all the participating actors honouring their contribution. The design of the ritual shall carefully be discussed among the actors in order to find the most appropriate form.

It might be an official act with speeches, a ritual, handshake, signing of a contract/agreement and or declarations of affirmations and contributions. It might be combined with a festival/feast and / or joint meal. Cultural presentation from all actors could be contributed. Finally it should be thought of a witness. This could be as well an external person or group, e. g. the regional government or a well-known public person, but it could be as well a memorial monument or any other visible object.



Worksheet Step 8: Symbolic Conclusion

If it has come to an agreement it is important to value it as an important step and to make it public (in the Western World it is common to produce a written agreement but there are other forms of making it public e.g. by a witness that can be thought of).

Evaluation of Step 8 by the Facilitator:

- How was the symbolic conclusion celebrated?
- Were all the involved stakeholders present



Big changes but John and Leila stay realistic

Even if the situation seems to be de-blocked, Leila and John stay realistic, as the agreements are only first steps, especially the discussion forum is related with a lot of expectations, What seems to make things easier, is that the owner of the company have changed the local management (apparently they were involved in corruption) of the cement plant and the new manager is not involved in the local history.

But you still decide that the first success should be celebrated. As a trust building measure, you ask the representative of the local communities and team member of the cement plant to organize together some festivities.

4.2 Step 9: Implementation, follow up and monitoring

The correct planning and implementation of the anchoring phase is crucial for the success of a dialogue or mediation process. Unfortunately in the field work, this phase is often neglected, which can put in danger the whole process and create big frustrations. The goal of this phase is to make sure, that dialogue groups and trust building activities are institutionalized and common visions can be followed up. Here again, if not done previously, it is important to check, if your agreements do include criteria, which permit a proper follow up. There is e.g. as possibility to use the SMART criteria (see box). It is strongly recommended, that this phase is also followed up by an external facilitator, otherwise the process can be in danger to fail. Of course, the goal is to go into the direction of a phasing out in terms of the involvement of the external support. The goal of this phase is to make sure, that the commonly agreed issues are implemented and institutionalized.



The SMART criteria of an agreement:

- S:** specific: clear, tangible, unambiguous
- M:** measurable: verifiable
- A:** achievable: balanced, adoptable, accessible
- R:** realistic: feasible, practicable
- T:** timed: with clear time frame, well defined

In this phase, the previously agreed tasks and roles agreed upon have to be followed up. Depending on the case, it can make sense, that a monitoring group is established, where irregularities can be reported and treated. In any case, follow up meetings of the setting should take place in predefined intervals in order to make sure the development of the activities. Furthermore an impact analysis should be conducted at the end of such a process.



Worksheet Step 9: Implementation, Follow up and Monitoring

This step is important in order to monitor whether dialogue groups and trust building activities are institutionalized and common visions can be followed up. Depending on the circumstances, it might make sense to establish a monitoring committee to which also irregularities of the process can be reported and treated. The follow up meetings and activities should be defined in advance and the process should necessarily conclude with an impact analysis.

Evaluation of Step 9 by the Facilitator:

- Is the agreement specific, measurable, achievable, realistic and has a well defined time frame (SMART criteria)?
- Are the implementation, follow up and the monitoring issues institutionalized?
- Are there mechanisms that allow to react when the introduced measures and implementation does not work?

Check the monitoring system again after a certain time has passed.



How to go on?

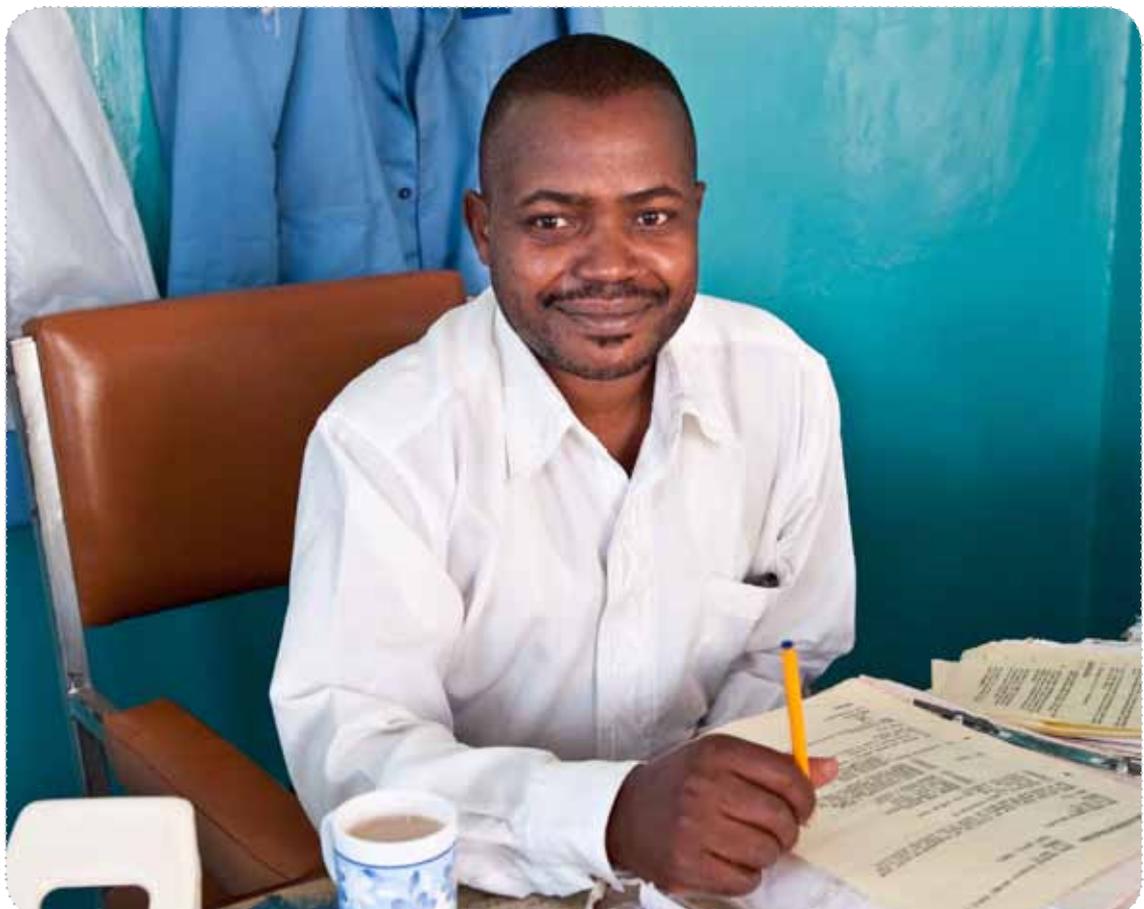
In the meantime, the financing of your activities have come to an end. But you know that if you leave now the process, things might get worse again and you see it, as your responsibility, to follow up with the process for some more time. Luckily you can convince your donor, that in the sense of a long term positive example and success, you need to carry on your activities.

Your main platform is the newly created forum, where all stakeholders meet at least every two months. In between, you follow up with the different groups according to the plan you established and whenever, there is a risk of non respect, you bring the issues to the forum to find new solutions. One of the main challenges you are facing, is the issue of power sharing between the local government and the local communities!

Maybe, the local government has not been involved enough in the process. Or is there just a missing political will by different parties? Well, I think, in the last 12 months, you have done a lot of work and you can be proud of you!

If in reality, it was just so simple...!

This example shows in a very simplified way (!), how the procedure can look in the field. But.... be aware, that in the practical world, things are often much more complicated.



5. Annexes

Annex 1: Cultural Values according to Gert Hofstede

Power Distance Index (PDI) that is the extent to which the less powerful members of organizations and institutions (like the family) accept and expect that power is distributed unequally. This represents inequality (more versus less), but defined from below, not from above. It suggests that a society's level of inequality is endorsed by the followers as much as by the leaders. Power and inequality, of course, are extremely fundamental facts of any society and anybody with some international experience will be aware that "all societies are unequal, but some are more unequal than others".

Individualism (IDV) on the one side versus its opposite, collectivism, that is the degree to which individuals are integrated into groups. On the individualist side we find societies in which the ties between individuals are loose: everyone is expected to look after him/herself and his/her immediate family. On the collectivist side, we find societies in which people from birth onwards are integrated into strong, cohesive in-groups, often extended families (with uncles, aunts and grandparents) which continue protecting them in exchange for unquestioning loyalty. The word "collectivism" in this sense has no political meaning: it refers to the group, not to the state. Again, the issue addressed by this dimension is an extremely fundamental one, regarding all societies in the world.

Masculinity (MAS) versus its opposite, femininity refers to the distribution of roles between the genders which is another fundamental issue for any society to which a range of solutions are found. The IBM studies revealed that (a) women's values differ less among societies than men's values; (b) men's values from one country to another contain a dimension from very assertive and competitive and maximally different from women's values on the one side, to modest and caring and similar to women's values on the other. The assertive pole has been called 'masculine' and the modest, caring pole "feminine". The women in feminine countries have the same modest, caring values as the men; in the masculine countries they are somewhat assertive and competitive, but not as much as the men, so that these countries show a gap between men's values and women's values.

Uncertainty Avoidance Index (UAI) deals with a society's tolerance for uncertainty and ambiguity; it ultimately refers to man's search for Truth. It indicates to what extent a culture programs its members to feel either uncomfortable or comfortable in unstructured situations. Unstructured situations are novel, unknown, surprising, different from usual. Uncertainty avoiding cultures try to minimize the possibility of such situations by strict laws and rules, safety and security measures, and on the philosophical and religious level by a belief in absolute Truth; "there can only be one Truth and we have it". People in uncertainty avoiding countries are also more emotional, and motivated by inner nervous energy. The opposite type, uncertainty accepting cultures, are more tolerant of opinions different from what they are used to; they try to have as few rules as possible, and on the philosophical and religious level they are relativist and allow many currents to flow side by side. People within these cultures are more phlegmatic and contemplative, and not expected by their environment to express emotions.

Long-Term Orientation (LTO) versus short-term orientation: this fifth dimension was found in a study among students in 23 countries around the world, using a questionnaire designed by Chinese scholars. It can be said to deal with Virtue regardless of Truth. Values associated with Long Term Orientation are thrift and perseverance; values associated with Short Term Orientation are respect for tradition, fulfilling social obligations, and protecting one's "face". Both the positively and the negatively rated values of this dimension are found in the teachings of Confucius, the most influential Chinese philosopher who lived around 500 B.C.; however, the dimension also applies to countries without a Confucian heritage.

Source: www.geert-hofstede.com

Annex 2: Cultural Dimensions according to R.D.Lewis and R. R. Gesteland

Source: www.crossculture.com, and Phönix

Lewis defines cultural dimensions or value pairs such as:

- Relationship focused – business focused
- Informal – formal/hierarchical
- linear-active – multi-active – reactive
- expressive – reserved
- individual – collectivistic

Those value pairs can help understand certain situations and behaviours on one side, but on the other side, there is also a risk to fall into stereotyping. It is the responsibility of the facilitator to first not to fall into the trap of stereotyping and secondly also to reflect continuously his/her own values. The values are explained below:

Relationship focused – business focused

<ul style="list-style-type: none"> ■ Dialogue-orientated indirect language: high context communication ■ Harmony ■ Reluctant to do business with strangers ■ Need plenty of time to build trust ■ Necessity of keeping “face”, dignity ■ Frequent “face-to-face” contacts necessary ■ Reliance on close relationships ■ Long term thinking 	<ul style="list-style-type: none"> ■ Data-orientated ■ Direct language: low context communication ■ Clarity ■ Openness to deal with strangers ■ Go nearly direct into business ■ Little attention to the issue of “face” ■ A lot of communication via telephone etc. ■ Reliance on contracts ■ Short term thinking
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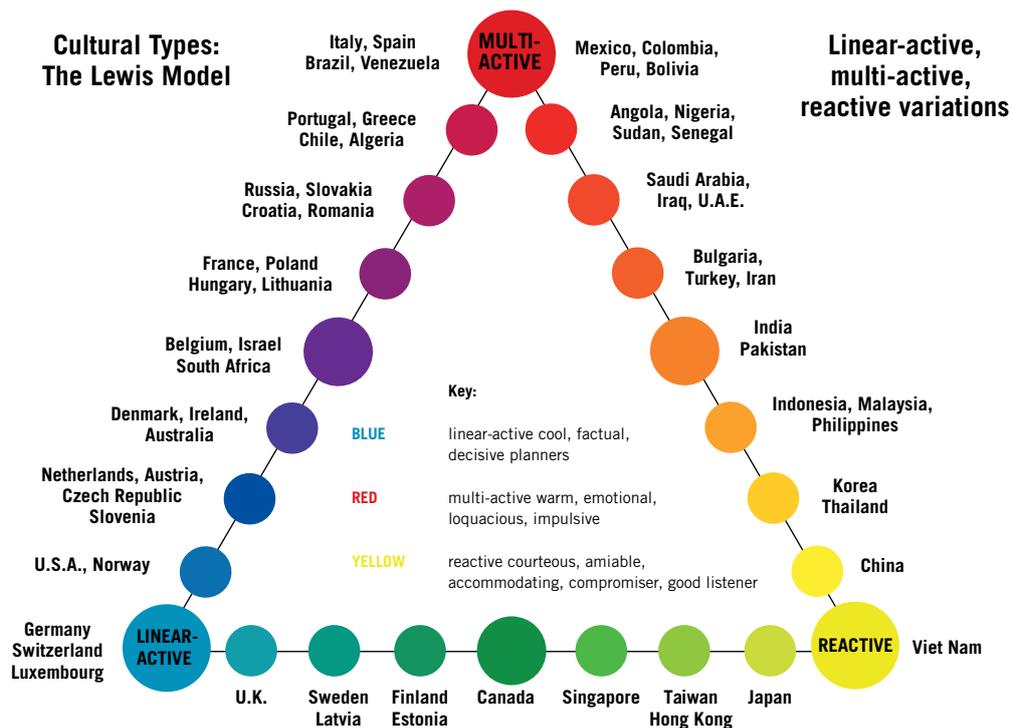
Informal – formal/hierarchical

<ul style="list-style-type: none"> ■ Hierarchical system ■ Status differences are valued ■ Formality is an important way of showing respect ■ Use of family name or title ■ Protocol rituals are often numerous and elaborate 	<ul style="list-style-type: none"> ■ More egalitarian system ■ Feel uncomfortable with obvious status differences ■ Informal behaviour is not regarded as disrespectful ■ Change shortly after meeting to the use of given name ■ Protocol rituals are relatively few and simple
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Linear-active - multi-active - reactive

LINEAR-ACTIVE	MULTI-ACTIVE	REACTIVE
Talks half the time	Talks most of the time	Listens most of the time
Does one thing at a time	Does several things at once	Reacts to partner's action
Plans ahead step by step	Plans grand outline only	Looks at general principles
Polite but direct	Emotional	Polite, indirect
Partly conceals feelings	Displays feelings	Conceals feelings
Confronts with logic	Confronts emotionality	Never confronts
Dislikes losing face	Has good excuses	Must not lose face
Rarely interrupts	Often interrupts	Doesn't interrupt
Job-oriented	People-oriented	Very people-oriented
Uses mainly facts	Feelings before facts	Statements are promises
Truth before diplomacy	Flexible truth	Diplomacy over truth
Sometimes impatient	Impatient	Patient
Limited body language	Unlimited body language	Subtle body language
Respects officialdom	Seeks out key person	Uses connections
Separates the social and professional	Interweaves the social and professional	Connects the social and professional

The relative positions of cultures can be roughly arranged in a triangle, as a guide to which negotiation approaches may work best:



Expressive – reserved

<ul style="list-style-type: none">■ people speak often quite loudly■ conversational overlap■ uncomfortable with silence■ small interpersonal distance■ considerable physical touching■ direct, even intensive eye contact signals■ interest and sincerity■ lively facial expressions along with■ vigorous hand and arm gesturing	<ul style="list-style-type: none">■ people speak more softly, interrupt■ less■ comfortable with silence■ large interpersonal distance■ little physical contact besides from■ the handshake■ avoiding of intense, continuous eye■ contact signals respect■ very few hand and arm gestures■ restrained facial expression
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Individual – collectivistic

<ul style="list-style-type: none">■ personal needs and aims more important than group interests■ individual personality is valued■ independence■ concurrence■ fast decisions■ good decisions are measured on their use, quality and rightness■ great respect for private property■ people borrow or lend seldom■ accustomed to short-term relationships	<ul style="list-style-type: none">■ needs and aims of the group are central■ group harmony is most important■ interdependence■ team-work■ slow decisions■ good decisions are measured on the quality of the process of decision finding■ people borrow or lend things often and easily■ strong tendency to build lifetime relationships
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Annex 3: Case study: Swiss Alps

Sustainable development in the Swiss mountain – Energy Region Goms: how a common vision led to the involvement of multiple stakeholders!

The region of Goms is situated in the heart of the Swiss Alps with a superficies of 650 km², 13 political communities and around 5200 inhabitants. The region is rather remote and faces a couple of challenges for example creating work places and high energy cost because of the energy dependence from other regions (4000 US\$ per year per inhabitant). Furthermore, it depends on tourism and it is of big importance that the region shows its innovation in order to be competitive in the sector. In order to address those challenges, a group of innovative local people came together and developed a common, clear and understandable vision for its region: “*Autarkic energy region Goms 2030*”. What seemed to be a dream at this moment soon proved to be an effective engine for an incredible development of this remote region in the Swiss Alps. Under this vision, a great range of potential stakeholders could be mobilized. The stakeholders with different expectations came from three major groups: national and regional authorities (e.g. State Secretariat of Economy, National Energy Agency, the regional authorities (Canton Wallis), the municipal level (all the involved 13 municipalities) and regional private companies such as production companies of local goods (e.g. cheese), local banks, regional tourism association. Managed by a slim organizing institution, the common vision was shortly filled with a wide range of programs and projects.

How was the population involved? Under the common vision of “Energy region 2030” (with an own logo), forums with the population took place in frequent intervals. Furthermore, special attention was paid to school kids organizing “energy weeks” in Schools in several municipalities. It was very important to have visible results in the form of lighthouse projects such as windmills, small hydroelectric plants and e.g. an electromobility project. All of those projects were realized in a very close collaboration with the private sector. At the moment of this publication, the project is well on track but there are still long ways to go. So far the impact has been a deepened collaboration on the regional levels such as tourism, schools, and energy companies. Furthermore the regional added value with the establishment of local companies (e.g. Swisswinds), creation of new workplaces (sanitarian, carpentry, and construction), new energy production (photovoltaic installation, woodchip combustion installation), new way of life through energy efficient and lifestyle with relish. The main success factors so far are:

- A clear vision as a driving engine
- A well chosen circle of enthusiastic actors on the local, regional and national level
- Strong collaboration with media in order to promote the concept on a national and international level.
- Work with visible lighthouse projects (also linked with the promotion through the media)

More information can be found here: www.energieregiongoms.ch (only in German)

Source: Roger Walther, 2010

Annex 4: Case study: Vietnam

Involving key stakeholders to develop a vision and action plan for a more sustainable and pro poor development approach in tourism in Vietnam

– Extract of a multi-stakeholder project approach –

Vietnam's tourism sector has been booming for more than a decade, riding a wave of domestic economic development and pent-up international travel demand. However, besides positive impacts, tourism in Vietnam has been facing challenges including the lack of coordination and cooperation among stakeholders in tourism planning and development; weak capacity in destination management; a lack of quality, diversity and authenticity of tourism products and services; capacity for managing tourism resources and impacts; lack of awareness of tourists and businesses on sustainable tourism practices and HR development in both the public and private sector. The local authorities realize the opportunities tourism can bring to marginalized communities, particularly ethnic minorities and how it can contribute to poverty reduction and employment goals. Therefore, there are currently several donor-funded initiatives taking place to stimulate sustainable economic growth and poverty reduction in Vietnam through a pro-poor and pro-jobs development growth in the tourism sector, especially in more remote areas. One initiative is supported by the Netherlands and Spanish government named *Destination Development Northern Highlands Trail* targeting eight North West Provinces in Vietnam (among the poorest areas of Vietnam). The project process was initiated in 2008, yet at the moment of this publication, already first lessons learned can be described. The project is based on a careful assessment of the industry's strength and weakness around Sapa and Mai Chau identifying a range of opportunities to foster regional cooperation and to develop the Northern Highlands as a unified and uniquely special tourism destination. Some key elements of the multistakeholder approach are:

- **Roles:** the facilitator of the process is the SNV⁶. The participants of the process are called “clients”, which implicitly also underlines the importance which is given to their role. There are mainly three groups of clients chosen: governmental actors such as provincial and district level tourism departments, private actors such as provincial and Hanoi based Tour Operators and community members.
- **Empowerment:** in order to foster the leadership potential of the stakeholders, a leadership programme was carried out in 8 provinces with 20 representatives (10 of from the government sector and 10 from the private sector). This process was time consuming, but allowed those stakeholders to formulate both individual and collective needs. In addition, the ethnic communities were involved in developing a handicraft market and benefited from several trainings of home-stay operations.
- **Dialogue:** already at this early stage of the project, a lesson learned is that open and cooperative dialogue among and between a range of actors is a pre-requisite for pro-poor and responsible tourism planning and management. Furthermore, the work also shows that some form of formal or informal platform between the government and private sector is required to facilitate and direct that dialogue – not least to create a vision for all stakeholders to work towards. Through this process each party has been able to grow their appreciation and understanding of their roles and responsibilities of other actors.
- **Outcome:** a permanent handicraft market for local sellers, policy level: pro-poor tourism integrated into the sector plan at district and provincial level, signing of an MOU to promote the Northern Highlands Trail as a unified destination and brand, increased investment from the private sector into better infrastructure.

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- *Impacts:* 1153 ethnic households are providing tourism service, 71 home-stay accommodation, 60% of the tour guides are women from ethnic minorities.

Please note that this is not a fully described case study but rather a view on important elements in applying a multi-stakeholder approach. For more detailed information on the project please kindly refer to the case study developed by SNV.

Source: Paul Rogers and Phil Hartman, Case Study: Head to the Clouds to Lift Households from Poverty, Pro-poor Sustainable Tourism, SNV Netherlands Development Organisations, 2010

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