

Discussion Paper # 1

Mobilize Diverse Stakeholders: Process Tools to Implement Grand Scale Solutions to Mitigate Climate Change

Draft II, Climate Change Facilitation Project (CCFP), January 14, 2015

“Options for limiting climate change are still available if we take urgent action on a grand scale, and take it now”.
Ban Ki-moon, From: “Join the Climate Race to the Top, May 9, 2014

1. Introduction: Let’s Scale up Climate Action to Win

The purpose of this short discussion paper is to propose a set of proven change process tools, which if used correctly, could quicken and strengthen the global transition that is so urgently needed to mitigate climate change¹. A first draft was released at Climate Week NYC, coinciding with the UN Climate Summit, September 23, 2014. Many good suggestions on the draft were received since then, and discussions with climate leaders and supporters of this project have resulted in this revised and expanded edition.

Collaboration and bold action to mitigate climate change is possible. But to do this, we need to move past the polemics of ‘win-lose’ and instead engage in a series of multi-stakeholder ‘problem solving conversations’ and action strategies. Multi-stakeholder process tools are a means by which institutions, organizations, and actors across government, private sector, and civil society at various scales (local, municipal, sub-national, national, and global) can have these conversations. With these tools, diverse actors come together to assess complex issues, broker multi-faceted strategies and partnerships, and effectively engage in implementing broad and grand-scale action toward a sustainable future.

It is widely recognized that human well-being does not need to be sacrificed to make a transition to a sustainable economy and mitigate the worst risks of climate change². A multi-stakeholder change process is ideal for addressing economic, technical, and social aims together. Through a multi-stakeholder approach that engages the optimal range of actors, change leaders and citizens ‘co-invent’ and implement win-win approaches, achieving economic, social and environmental co-benefits along with the necessary lowered emissions, climate finance, and a transition to a low carbon economy.

The approach proposed here is well established, it has been tested and validated, and versions of it are being used in a flexible manner with excellent results³. Often within just several hours, a mix of stakeholders in a well-designed process can identify the most promising areas for results, and from there, build a shared innovation agenda and strategy. This paper argues that it would be possible to effectively engage private sector, government and civil society in 15 to 20 sectors simultaneously in developing and implementing large-scale and even global mitigation strategies – beginning with some ‘quick wins’ and those sectors most urgently needing transformation.

With providing sufficient resources among some key climate leadership organizations, the capacity to

¹ Much of what will be said also applies to adaptation to climate change, however the focus here is mitigation.

² Please see for example the recent report of the Global Commission on Economy and Climate “The New Climate Economy” available at <http://newclimateeconomy.report/>

³ As well this author’s experience with many large scale multi-stakeholder change processes, please see for example case studies at Wageningen University’s MSP Portal at <http://www.wageningenportals.nl/msp/> and a similar widely used approach to large scale social and environmental change, FSG’s “Collective Impact” <http://collectiveimpactforum.org/what-collective-impact>

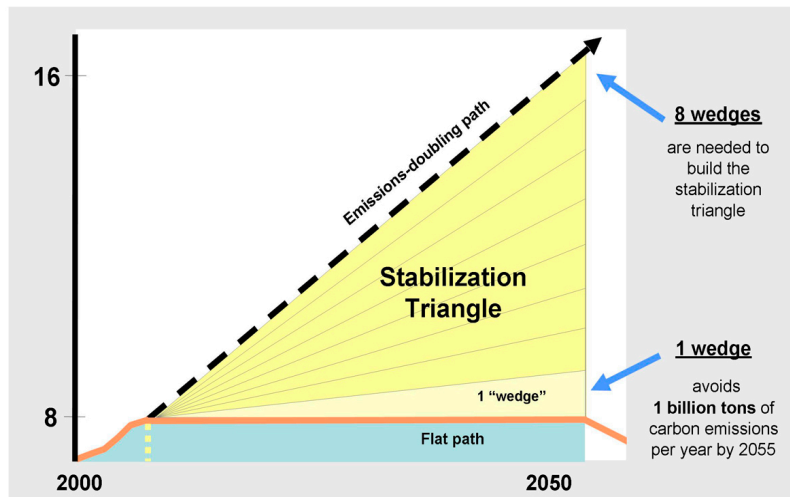
facilitate multiple climate change mitigation strategies simultaneously could be built up. Please see the text below for a summary of the key concepts and tools for a facilitated multi-stakeholder action process to mitigate climate change. Let's scale up climate action to win!

2. Stabilization Wedges: A Way to Think about Addressing the Climate Problem on a Grand Scale

The Carbon Mitigation Initiative (CMI) of Princeton University has developed a conceptual framework for thinking on a grand scale about the carbon emissions cuts needed to avoid dramatic climate change, as well as the tools and technologies that are currently available to bring about these cuts⁴.

In the CMI framework, 15 broad strategies are proposed for cutting emissions. Each strategy will cut about 1 billion tons per year by 2060. Each strategy is equal to one wedge in the chart below. Examples of the CMI strategies are:

- Eliminate tropical deforestation
- Install 100 times the current capacity of solar electricity
- Adopt conservation tillage in all agricultural soils worldwide
- Capture and store emissions from 800 coal electric plants
- Use best efficiency practices in all residential and commercial buildings
- Double fuel efficiency of 2 billion cars from 30 to 60 mpg



At the time of developing this model, a combination of 8 of such strategies (wedges) were required to build a “stabilization triangle” to level the trajectory of rising emissions.

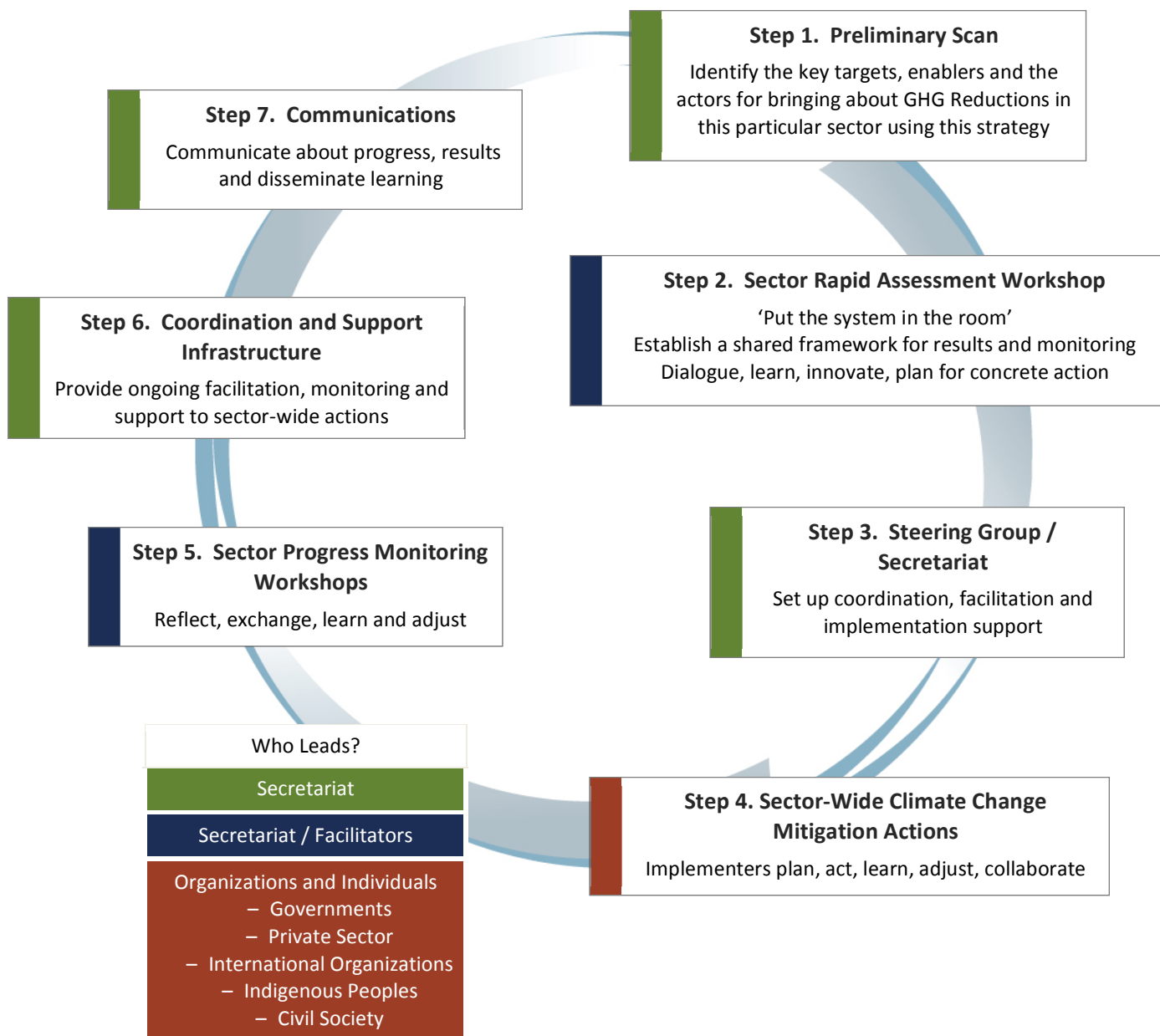
CMI is not the only organization to propose a series of broad and achievable strategies to level the trajectory of rising emissions. The strategies contained in the reports of the Intergovernmental Panel on Climate Change (IPCC), or the pledges made at the UN Climate Summit 2014, could also provide parameters for sector strategies and targets. Regardless of which sectors or targets are chosen, it is here that a multi-stakeholder process can ‘fill the gap’: making the link from a target to the organizations that can implement it, and then to taking collective action. It is a direct way to mobilize the stakeholders and actors who could actually make the change happen to cut carbon and make a given stabilization wedge.

⁴ Please see the site and resources provided on the “Stabilization Wedges” model at <http://cmi.princeton.edu/wedges/>

3. A Process Model for Mobilizing Stakeholders to Act Collaboratively and Synergistically to Mitigate Climate Change

Let's presume that we have a sponsor and lead organization (a secretariat) to initiate and coordinate the global action strategy to meet the target: **"Stop all global deforestation by 2030"**.⁵ In Figure 1, below, beginning with Step 1., a preliminary scan, this target could be made into an operational strategy and program, with the needed mobilization of actors for implementation:

Figure 1. Mobilize Diverse Stakeholders: Overview of Steps for Large Scale Collaborative Process to Address Climate Change



⁵ This was one of the bold pledges made at the UN Climate Summit 2014. The pledge contained in the New York Declaration on Forests would far exceed the criteria for emissions reductions of one 'stabilization wedge' in the CMI model. For details please see <http://www.un.org/climatechange/summit/wp-content/uploads/sites/2/2014/09/FORESTS-New-York-Declaration-on-Forests.pdf>

Regardless of the scale (global, national, sub-national, municipal, local) and no matter which sector (and which 'stabilization wedge'), the steps or elements in the process are more or less the same. Here below, please see detailed notes on what each step is, and what it should produce:

Step 1. Preliminary Scan

Identify the key targets, enablers and the actors for bringing about GHG Reductions in a particular sector or using a particular strategy

Initiators scope out potential goals, the key targets, enablers, the issues and the actors for bringing about GHG Reductions in a particular sector or using a particular strategy:

- How could major reductions be made in this sector?
- What are the issues, and who are the actors and key stakeholders who could actually bring about this change?

Outputs of Step 1:

- Identification of issues, goals, and opportunities which are likely of interest to actors in this sector
- List of the optimal organizations / key stakeholders to engage in a sector process and to invite to a workshop
- Identification of scope, key success criteria, risks, shared technical info which will be needed, as applicable
- A plan for a workshop and for launching a multi-stakeholder process.

Step 2. Sector Rapid Assessment Workshop

'Put the system in the room'
Establish a shared framework for results and monitoring
Dialogue, learn, innovate, plan for concrete action

In facilitated small and large group discussions, over about 2 days, the key actors to be engaged in a sector wide change process identify:

- What are the most promising ideas and actions for achieving reductions in this sector?
- What are the issues which must be addressed?
- What are co-benefits to be achieved along with emissions reduction?
- What are the win-win strategies and outcomes which we can all agree on?
- What needs to be put in place to launch a process and to scale up these promising areas?

Outputs of Step 2:

Key actors for a given sector / strategic area for addressing climate change identify and agree upon:

- Shared outcomes and the most promising action strategies
- A shared measurement, monitoring and reporting system
- A broad plan for support infrastructure and next steps in a multi-stakeholder sector-wide process to reduce GHG emissions.

Step 3. Steering Group / Secretariat

Set up coordination, facilitation, and implementation support

- Who should be on a steering group?
- How will a secretariat best provide ongoing support to a multi-stakeholder collaborative change process for this sector?
- What organization could most suitably host or perform this function?

Outputs of Step 3:

- An interim steering group in place
- Terms of Reference are in place for this multi-faceted function based on ‘best practices’⁶
- Adequate resources and support staff are assigned to support collaborative action toward sector-wide strategies and outcomes.

Step 4. Sector-Wide Climate Change Mitigation Actions (Implementation by Actors / Stakeholders)

Plan, act, learn, adjust, collaborate

- Individuals and organizations adjust existing plans and programs and implement the full range of actions needed to support achieving agreed upon sector targets and outcomes
- Organizations work together in concert to reinforce and achieve shared outcomes
- Secretariat monitors, coordinates and facilitates problem solving and collaboration, supporting and facilitating mutually reinforcing actions and outcomes

Outputs of Step 4:

- Diverse stakeholders and organizations make concrete climate change mitigation progress in the area of work in which each is active and excels, while at the same time building sector capacity and contributing toward shared high level strategies and mutually reinforcing outcomes
- With time, increased levels of shared confidence and shared commitment to collaborative actions among stakeholders
- Increased effective action and progress toward sector GHG reduction targets and outcomes
- Reduced levels of GHG emissions

⁶ Feedback on Draft 1 of this paper suggests that more emphasis should be given to the effective support by a secretariat at all stages of a multi-stakeholder change process. It is a critical success factor. The author’s experience is primarily with an external and neutral 3rd party organization doing this function. It is also common practice to have one of the participating organizations in the process serve as a secretariat or “backbone organization”. Should this be done by one organization or is it a “function” to which many contribute? Should it be a neutral 3rd party organization? Various options can work very well, and each has its own set of issues. Please also see the excellent and in-depth work of FSG on the importance of “backbone organizations” for large-scale change in complex environments. There are many resources on-line related to FSG’s work on this, please see for example the 4 part article available at: http://www.ssireview.org/blog/entry/understanding_the_value_of_backbone_organizations_in_collective_im_pact_1 and, <http://www.strivetoegether.org/blog/2013/12/backbone-organization-or-backbone-function/>

Step 5. Sector Progress Monitoring Workshops

Reflect, exchange, learn and adjust

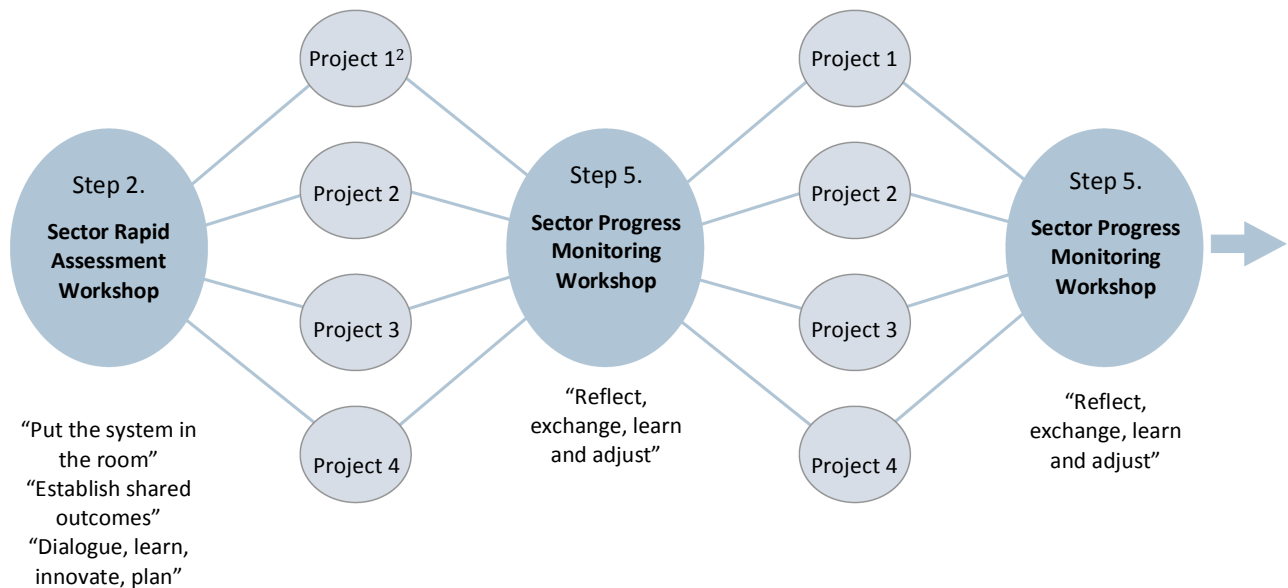
Following a period of each organization taking action, re-group the sector. Over about 2 days, in facilitated small and large group discussions, the key actors engaged in a sector wide change process together identify:

- What has been achieved thus far?
- What is working well? What are the challenges? What are we learning?
- What adjustments need to be made to sector action strategies, targets, or expected outcomes, and to how we are managing the process?

Outputs of Step 5:

- Periodic and sector wide identification of progress, achievements, learning
- An action plan for next steps and needed adjustments.

Figure 2. Iterative Implementation, Plan-Take Action-Learn-Adjust: 'Learning while doing' in a multi-stakeholder process ¹



¹Adapted from “Multi-stakeholder process and learning spaces”, Wageningen UR Centre for Development Innovation, Facilitating Multi-Stakeholder Processes and Social Learning Course, September 2010

²Discrete climate mitigation action projects. There could be any number of projects or programs depending on the scope of the strategy.

Step 6. Coordination and Support Infrastructure

Provide ongoing facilitation, monitoring and support to sector-wide actions

Sufficient resources and capacity will be needed to provide ongoing support to sector-wide implementation, such as:

- “3rd party neutral” workshop facilitation
- Inter-project coordination, communications support
- Results-based monitoring and reporting support (performance management)
- Management and facilitation of the overall 7 step multi-stakeholder process
- Support for prototyping promising areas and scaling up
- Documentation and knowledge support
- Logistics and technology support

Output of Step 6:

Sufficient and suitable support infrastructure and capacity is in place to enable overall effectiveness of sector strategies and the achievement of sector-wide climate change mitigation results.

Step 7. Communications

Communicate about progress, results and disseminate learning

- Regularly inform participating actors and all stakeholders of main activities, progress, challenges, learning, and results achieved.

Outputs of Step 7:

Accountable and transparent dissemination and communication of:

- The good work being done by participating actors
- The concrete progress, results, and learning, as well as the remaining challenges to be addressed and adjustments to be made in an effective action strategy for reducing GHG emissions in that sector.

4. A Note on Facilitation Tools and Good Practices

Among the many facilitation tools and good practices which can be applied to build stakeholder engagement and to this model, there are five important skill areas which will need to be available to support the above process:

1. The “Problem Posing Methodology”, also known as “Generative Dialogue”

Unlike in most public consultation or conferences, where data is usually collected and then processed by organizers resulting in a plan or a report, in generative dialogue, stakeholders create a draft plan together in ‘real time’. This results in a high degree of ownership and commitment to the plan by them.

Implementation will follow more easily, as the engagement and “fit” is already there. This method will often result in innovation and synergistic approaches, as stakeholders build on the ideas, the learning, and often resolve areas of conflict during a workshop. This is something which can add value far beyond what is possible in a more traditional consultation, conference, or negotiation process.

2. Index Cards for Data Collection in Workshops

Blank file cards or index cards are used to collect individual participants ideas. These are written with large visible print and can be clustered or organized in themes during the workshop. There are ways to use and display the cards in workshops which enable the participants to manage complex issues or prioritize in an effective, participatory, and transparent manner.

3. The Learning Cycle and Reflective Monitoring

Kolb's learning cycle of "Experience, Reflection, Generalization, Application", provides the framework for facilitating action learning and social invention by participants, as well as for reflective monitoring of activities and making adjustments to action plans.

4. Results-Based Management, Monitoring, and Evaluation

Sponsors of a multi-stakeholder approach as well as its participants will expect concrete and practical results from any investment that is made. Outcome-based approaches and participatory tools combine well to focus the interests and resources of all stakeholders on achieving important results. Products of this approach should include a shared framework of expected outcomes and performance measures (targets or indicators), as well as a shared monitoring and evaluation, reporting and communications plan.

5. Ongoing Support and Coordination

As in step 3 and step 6 above, a key success factor and lesson learned for this process is that there needs to be an effective lead agency or secretariat who can provide ongoing support, facilitation, coordination, and day to day management of the process, as well as monitoring and support to the maintenance of the directions initiated by stakeholders in a workshop.

5. Entry Points for Strengthening a Multi-Stakeholder Change Process

The 7 steps of this model are likely the useful main steps and components of a comprehensive multi-stakeholder planning and action change process. However in practice, each situation is unique, and the entry point for strengthening stakeholder engagement could potentially be at any point along the seven steps of the model.

A good practice is to use a workshop to set or re-align direction, through either a Sector Progress Assessment workshop or a Sector Progress Monitoring Workshop, depending on the circumstances.

Specialized skills are needed to run such large workshops so that they are both productive and enjoyable. It is also a good practice to identify assets and what is working well early on in a process, as often stakeholders will find innovative ways to build on existing success and good practices.

6. Conclusions and Looking Ahead

At the time of this writing, it is still too early to know if a transition off carbon will be driven by a strong global agreement. At the same time, there is increasing leadership and momentum among sub-national governments, municipalities, and non-state actors. Building agreements, partnerships, and shared commitment among this level of actors is critical.

Regardless of where the momentum comes from — top-down, bottom-up, market driven, or a mix of these, — climate leadership organizations need to be opportunistic in the sense of strategically convening, building on success, and fostering collaborative action among the stakeholders and actors who

can make change happen in a given sector or on a particular issue. Building capacity in effective multi-stakeholder facilitation and process needs to be a priority for how we move forward on mitigating climate change.

The change process tools proposed here and other similar approaches have the potential to strengthen and quicken the transition which is so urgently needed. In principle, it would be possible to apply the model outlined here simultaneously to 15 to 20 sectors and large-scale global strategies. Over a 50-year time span, collaborative multi-stakeholder processes, sponsored by a suitable international organization, could help to mobilize the needed change. At the same time, by engaging a range of stakeholders spanning multiple perspectives and interests, collaborative win-win process could potentially transform sectors and economies in ways which can address the multiple policy objectives for sustainable development. Such an approach needs to be strengthened now, in order to gain momentum in the months and years and decades to come.

Contact Info

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