



Negotiation, environment and territorial development

Green Negotiated Territorial Development (GreeNTD)

More than a methodology- an approach for improving equitable
access and sustainable management of territories

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MORE THAN A METHODOLOGY- AN APPROACH FOR IMPROVING EQUITABLE ACCESS
AND SUSTAINABLE MANAGEMENT OF TERRITORIES

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Foreword

The approach presented in this document does constitute a further development of the previous ones, the Participatory and Negotiated Territorial Development (PNTD) and the Improving Gender Equality in Territorial Issues (IGETI). Greening the Negotiated Territorial Development approach (GreeNTD) highlights the increased relevance that the search for an equilibrium between the social, economic and ecological sphere has in our daily life.

FAO had already underscored that shrinking natural resources were putting major categories of (agricultural) systems at risk (SOLAW, 2011). Evidences are coming from the field of decreased social cohesion and increased conflicts for accessing and using these more and more limited resources by an increased number and variety of stakeholders. This is why GreeNTD has been primarily thought to support field interventions, with special attention to countries going through protracted crisis.

However, the proposed approach can also be seen as a framework to facilitate the transition towards integrated and cross-sectorial approach to sustainable agriculture, as foreseen by the new SDGs. The interconnected nature of SDGs, aiming at increasing the balance between social, environmental, and economic sustainability of development, call Governments and actors to look more carefully at the social and environmental dimensions of sustainability in agriculture, and to considering its role as major provider of ecosystem services and their relationship to human well-being. SDGs also call for a renewed partnerships among actors, with special focus devoted to the ones left behind, their needs as well as potential as major actors for change, in particular at local level.

Trade-offs often exist across the three dimensions of sustainability: social, economic and environmental. In resources-scarce environments, choices often need to be made between conservation and production options; between short-term needs and long-term needs; and between agricultural development models that affect food security, equity and rural poverty in various ways. Decision making requires a clear understanding of these trade-offs, and of the implications of various possible options, and more systematically searching for synergies between ecosystem services, and the way to take advantage of them.

Taken independently from each other, sectoral approaches alone can result in conflicts on resources use across sectors and sub-optimal allocation and management of these resources. A core element of a more integrated approach to the different agriculture sectors for a transformative change towards sustainability, fully reflected in the SDGs relates to how these sectors are governed. Building a common approach requires the development of a common understanding and better dialogue across sectors. Governments are calling for support of the UN and beyond, for establishing mechanisms able to enforce the comprehensive, cross-sectorial approach required to implement and monitor SDGs. These dialogued and negotiated components are at the core of the GreeNTD proposal.

It also requires involving different stakeholders, including private sector and civil society, and developing partnerships for effective action at different levels. Achieving progress on the SDGs makes it necessary to align and enhance investments in

agriculture and to prioritize actions that have the potential to achieve measurable results on the ground. The GreeNTD is thus proposed as a possible approach to enhance social cohesion and concerted actions towards the concrete implementation of the Socio-Ecological Territorial Agreements that are promoted at local level, as first step of concrete and measurable actions.

Executive summary

Natural resources have increasingly become very important geopolitical stakes of importance. Land, forests water and, in general, the biological diversity of given territories are trapped in contradictory management dynamics. While their role in providing essential support to the planet's life and to the human communities is very clear from a scientific point of view, their ownership and management are subjected to different logics and mechanisms are resulting into a growing number of small and large-scale conflicts.

This document introduces an innovative approach, that represents the most advanced and comprehensive one, based on many years of experiences and projects carried out all around the world. The GreeNTD is a people centered, process-oriented socioecological approach to territorial development. It is based on a multi-stakeholders engagement to foster a progressive consensus (Socio-Ecological Territorial Agreement - SETA) leading towards a holistic, multiscale and negotiated vision.

The active inclusion of all actors in territorial development interventions is crucial for sustainable development, because it allows recognizing the key role that each of them plays, existing power asymmetries within communities, households and institutions, and how they influence people's capacity to play an active role in development and be assured that they are heard.

In this sense, GreeNTD aims exploring i) how men and women, ethnic minorities or marginalized people are differentially engaged as socio-economic agents; ii) which are the gendered or indigenous institutions promoted by such coalitions; iii) how those institutions (including historically constructed informal rules and social norms) differentially affect men and women and minorities in the access and use of assets; iv) which are the differential development outcomes between various groups of stakeholders, (e.g. gender, ethnicity, age, socio-economic class, caste), and how they are influenced by spiritual-cultural perceptions of their roles within their territories. Focusing on understanding the differentiated roles, responsibilities and relations, and how these are managed, the GreeNTD assists development actors to promote gender equality in access and management of land and other natural resources.

A negotiation, right-based and gender sensitive approach characterizes the GreeNTD, making it a comprehensive and more adapted to a rapidly changing international context; its proper use foster the resilience of the local communities and their sustainable development.

1. Introduction

Natural resources have increasingly become very important geopolitical stakes of importance. Land, forests water and, in general, the biological diversity of given territories are trapped in contradictory management dynamics. While their role in providing essential support to the planet's life and to the human communities is very clear from a scientific point of view, their ownership and management are subjected to different logics and mechanisms are resulting into a growing number of small and large-scale conflicts.

Natural systems and human systems have been co-evolving since the Homo Sapiens appeared on the planet and began to increasingly impact the natural environment around him. This mutual interference has become more unbalanced partially due to the increase of human population with a fast growing number of people on the planet, facing the limited availability of renewable resources available. The agricultural revolution, at first, and then the industrial revolution, offered unique tools to humans to improve the efficiency of the processes for transformation of the natural resources into commodities.

Towards the end of the last century, the international community realized the importance of investigating the limits of the human development, as consequence of a growing knowledge of the natural systems dynamics and their importance for the human life and the stability of the planet. The concept of 'sustainable development' was successfully introduced in the worldwide public debate in 1992, thus resulting in a series of conceptual and operational tools made available to the various countries and communities.

The traditional economic approaches, based on the classic theories, proved to be very limited in understanding the comprehensive set of values related to the natural resources and their uses. That is why in the last decades scholars have been confronting with the challenges offered by the concept of sustainable development and its articulations, in the environmental, social and economic discourses. The conceptualization of the ecosystem services did represent a very important theoretical achievement in this direction; furthermore, the 'engineering' of these services has become an important planning tool promoted by various international organizations (e.g. UNESCO MaB Program, UNEP, IUCN, WWF, etc.).

The holistic approach – originally conceived within the natural science – has largely 'contaminated' other domains, redirecting the planning process' focus on an articulated and comprehensive picture, instead of looking at its sectorial components (water, forests, land, etc.). The landscape scale was therefore identified as the most appropriate to design and plan integrated environmental interventions.

Contemporarily to the theoretical developments, many industrial and commercial practices got implemented in various countries of the world; many of them proved to be quite unsustainable, mainly for neglecting the natural resources dynamics and making a growing use of the non-renewable resources. It is crucial to rethink the very concept of natural resources and find support in the juridical and political structures of the international economic system, in order to confront economic

views and logics of resources exploitation, which are the product of the *longue durée*, and find support in the juridical and political structures of the international economic systems, it is critical to rethink the very concept of natural resources. Social and ecological dimensions are to be brought back at the heart of natural resources management processes. Revised and improved approaches focusing on values that guide interactions with nature and international economic relations are needed, so that solidarity, complementarity and justice become priorities.

“Given the scale of change, it is no longer possible to find a specific, discrete answer for each part of the problem. It is essential to seek comprehensive solutions which consider the interactions within natural systems themselves and with social systems. We are faced not with two separate crises, one environmental and the other social, but rather with one complex crisis which is both social and environmental. Strategies for a solution demand an integrated approach to combating poverty, restoring dignity to the excluded and at the same time protecting nature”.

Encyclical letter “*Laudato Si’*” of the Holy Father Francis

The UN system was first given the mandate from its member states to address the most urgent environmental and social planetary emergencies (e.g. desertification, deforestation, loss of biodiversity, environmental migrations, etc.) by adopting a more comprehensive, multidimensional and interdisciplinary approach. Each agency interpreted this new trend in terms of reforming its internal governance structure and redesigning their major sectors. Table 1 summarizes the main internationally recognized territorial designations, their key characteristics and their links with FAO. In FAO, different technical units in recent years elaborated and tested several Territorial/Landscape/Marine Development approaches¹, with a common feature; namely, that considering natural and human components as a whole, thus stressing a holistic and inclusive view of natural resources. These approaches address the challenge of global change, and, in particular, the increased limitation of natural resources to meet national and global demands for food and agriculture production (FAO, 2011a). In those approaches, the analysis of the depletion of natural resources is not limited to the human actions, which directly cause their degradation, but it also focused on the historical, political and social causes that resulted in those territorial actors’ behaviors.

In addition to the environment-related consideration, social aspects become more and more relevant in the interventions’ programming. The recognition of the role of people and of their social and political aggregations in natural resources management resulted in refocusing the attention to the process and to its characteristics: the more traditional top-down hierarchical governance structure was replaced by a multi-stakeholder and grass-rooted perspective. In doing so, the asymmetries of the various actors’ role and importance in the overall picture emerged, resulting in an increased complexity of the planning process.

¹ Just to mention some FAO approaches: Participatory Land Use Development, Integrated Watershed Management, Landscape Approach, Integrated Coastal Area Management and others, finally consolidated into the Participatory and Negotiated Territorial Development (PNTD, 2005). More recently, evolving collaborations with other divisions (e.g., ESP group) have allowed incorporating a gender perspective, Improving Gender Equality in Territorial Issues, IGETI (FAO 2012), facilitation and capacity building activities, challenging Indigenous issues (FAO 2014) and addressing protracted crisis (FAO 2014).

Table 1
Main internationally recognized territorial designations

Designations	Main issues	Key documents	Secretariat/s	Links with FAO
World Heritage Sites	Natural and cultural heritage preservation and management	World Heritage Convention (1972) and its Operational Guidelines (last version 2003)	World Heritage Centre (UNESCO)	Cultural Landscape (a specific category of the WHL) and GIAHS
Biosphere Reserves	Nature conservation, sustainable development, research and innovation	Statutory Framework of the World Network of Biosphere Reserves (1995), Lima Declaration and Action Plan (2016)	MaB Secretariat at the Natural Sciences Division of UNESCO	Biodiversity conservation, forestry, fishery, natural resources management and research
Geoparks	Geology and tourism	Statutes of the International Geosciences Program and the Operational Guidelines for UNESCO Global Geoparks	Secretariat of the Global Geoparks (UNESCO)	Soil and land use
Ramsar sites	Preservation and sustainable use of wetlands	Convention on Wetlands (1971) and the Fourth Ramsar Strategic Plan (2015)	Ramsar Secretariat (IUCN)	Sustainable use of water resources and fishery

Balancing issues of self-determination, sovereignty, and social cohesion is not simple and it largely depends on local conditions (FAO, 2014). For this reason, and in order to facilitate a constant fruitful interaction amongst the various players, people-centered and process-oriented methods are to be preferred, to facilitate a constant fruitful interaction amongst the various players.

The continuous process of back-and-forth between conceptual and normative works, on the one side, and fieldwork experiences offered by various projects/programs implemented in different countries, on the other side, resulted in a growing sensitivity towards more holistic and inclusive approaches. Indeed, the implicit link between the planning component of a given space and the overall land governance dimension became at stake in the discussion.

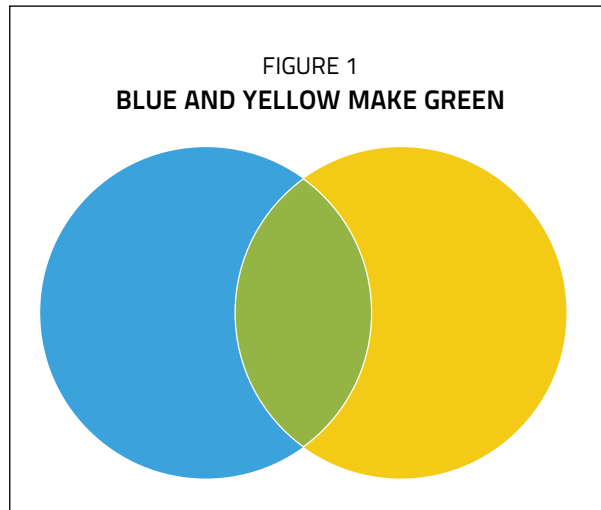
According to FAO, “land governance is mainly about power and the political economy of land”². Societal and ecological issues to be addressed at planetary scale are strictly related to management problems (Halliday and Glaser, 2011). They require systemic approaches as they are originated from deep-rooted, complex, interrelated processes that operate across different scales from global to local. The sectorial approaches related to specific natural resources (water, land, air) proved to be a very limiting factor within institutional and planning frameworks: to better serve the ultimate purpose of an integrated approach to be adopted involving multiple-stakeholders and multi-scale dimensions, the concept of territory as a socio-ecological system (SES), “neither humans embedded in an ecological system nor ecosystems embedded in human

² FAO/ UN-HABITAT. 2009. Towards Improved Land Governance. Land Tenure Working Paper 11

systems, but rather a different thing altogether” (Walker *et al* 2006) proves to be the most appropriate.

The purpose of this document is to illustrate an evolving analytical framework and its concrete feasible applications (provided in form of an annexed toolkit), designed to foster a multi-scale and multiple-stakeholders negotiated approach to territorial development. The “green” color comes from mixing its original components: the

blue (indicating marine ecosystems) and the yellow (recalling the color of crops, like wheat and corn and forests in autumn). Green is thus not only about land but it signifies all natural resources. The challenges are very many: a plurality of stakeholders with multiple visions and interests; different objectives and the resulting competition for the same resources, but with an unbalanced power relation within the decisions-making process (e.g., small fisherman units versus large-scale fishing or individual farmers versus agro-industrial enterprises); different policy levels influencing and impacting on stakeholder’ decisions and their interplaying at the various scales of pertinence.



Part 1. The Green Negotiated Territorial Development approach (GreeNTD)

1.1 DEFINING THE GreeNTD PROCESS

The GreeNTD is a people centered, process-oriented socio-ecological approach to territorial development. It is based on a multi-stakeholders engagement to foster a progressive consensus (Socio-Ecological Territorial Agreement - SETA) ideally leading to a holistic, multi-scale and negotiated³ vision. It promotes a concerted decision-making method involving the largest number possible of stakeholders.⁴

The approach promotes a parallel, complementary process of strengthening the weaker stakeholders – whoever they are –, and enabling them to actively participate in the decision-making processes. In particular, it deals with different/conflicting demands and interests posed by a variety of stakeholders, by using a combination of various approaches drawing from experiences of several FAO technical units and of other UN agencies experiences (see the Tool Box Annexed).

The ultimate objective is to minimize the human impact on the natural system, as illustrated in Figure 2).

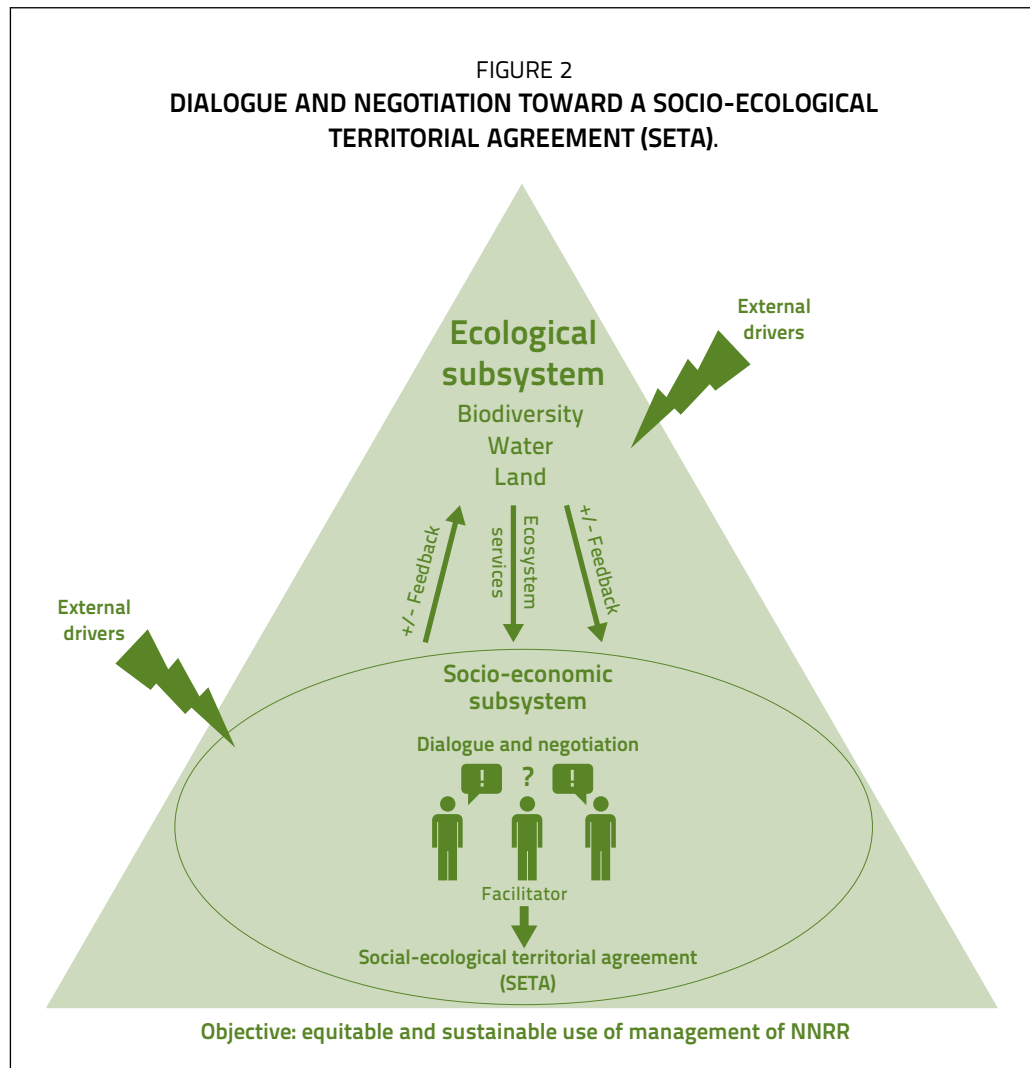
Natural resources are at the basis of almost all the ecosystem services,⁵ and provide a range of benefits to enhance socio-economic subsystems, which are the basis of the human livelihoods and well-being. On the other side, policy choices and human actions may result in either positive or negative impacts on the ecosystems' structures and functioning. Moreover, diverse human stakeholders, with their own vision/interests, and differentiated power positions, respond to ecosystem services and social factors, influencing institutional responses and their environmental effects. The proposed approach is not exclusively outcome-oriented; the focus is on the process of engaging relevant actors, opening the dialogue at various political/institutional levels, with the goal of finding a common ground to build consensus by confronting the stakeholders' different interests and guided them toward a negotiated socially legitimized agreement (SETA).

The GreeNTD approach serves both the purpose of (a) understanding the territorial complexity and (b) designing the most suitable development territorial model. This approach is adaptable to different scales of interventions and to various categories of stakeholders, namely: policy-makers; managers; communities; entrepreneurs and non-

³ Negotiation is a process in which two or more participants attempt to reach a joint decision on matters of common concern in situations where they are in actual or potential disagreement or conflict. <http://www.peacemakers.ca/publications/ADRdefinitions.html#negotiation>

⁴ UNEP (2004) introduced the term “ecological security”, as the provision of ecological safety nets to individuals who depend directly on ecosystem services for achieving many of the constituents of well-being.

⁵ Humankind benefits in a multitude of ways from ecosystems. Collectively, these benefits are becoming known as ecosystem services.



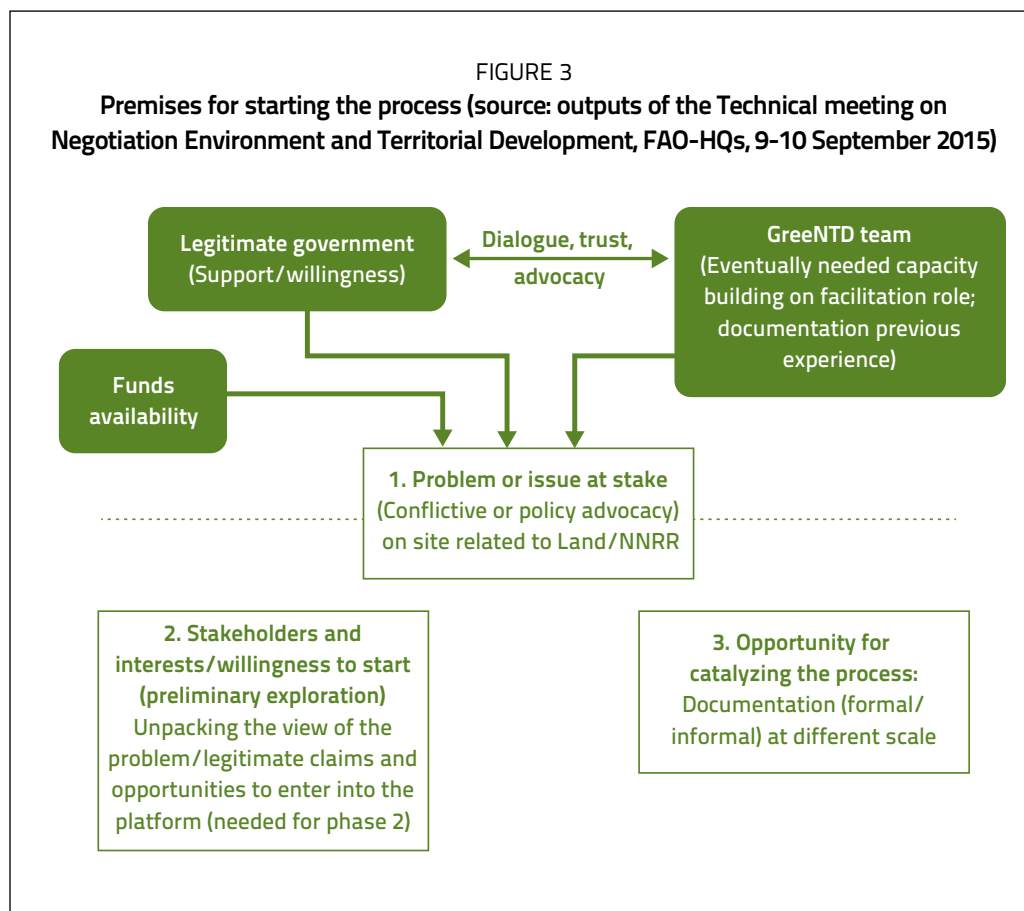
governmental organizations (NGOs); and those who supply expertise and economic resources, including academics, government scientists, consultants, investors and donor agencies. It is designed to primarily respond to the demands arising from different local contexts in which it is applied.

Who is requesting the intervention and for what reasons

Before assessing stakeholder's positions and interests, as well as potentialities and vulnerabilities of the given territory, it is very important to identify the explicit and implicit reasons for the request of external support and their implications with regard to the modalities of interventions.

This analytical process is significant because it highlights issues, which for various reasons, have not been expressed or taken into account by those requesting the intervention (the unsaid, hidden, and disguised issues). A (re)formulation of these issues is important, but the changes that this assessment can produce in the perception of territorial issues among various stakeholders, are even more important.

Many countries are carrying out institutional reforms to decentralize competencies and responsibilities for the management of land and natural resources at local level. Decision-making powers are delegated to decentralized political and administrative units and larger public participation in planning and implementing local development



is foreseen. Municipalities, communes and districts become the main institutional actors of the decentralization process at local level. While decentralization contributes in defusing the workload of central institutions and gives more and better attention to the local context and its dynamics, it also adds more tasks and responsibilities to local administrations, often without a correspondent increment in resources assigned to them. Local governments are progressively made responsible for designing and carrying out development interventions, yet, their decision-making powers, their capacity to assume new responsibilities, propose and conduct actions on their territories of competence, as well as their financial autonomy, remain very limited. This contradictory situation increases frustration among local administrators involved in land management and development, inhibits local initiatives and, in general, hampers stakeholders' will for action.

What is different from the previous territorial development approaches?

From a sectorial and technically-focused towards a rights-based approach to sustainable development

The initial call of the Secretary General to the United Nations to mainstream human rights into all work of the United Nations dates back to 1997. In recent years it has been observed that different sectorial perspectives within FAO and UN⁶ agencies in general – are moving towards a more integrated approach, according to which

⁶ See for example: <http://unep.org/disastersandconflicts/IntroductionEnvironmentalCooperationforPeacebuilding/Mediation/tabid/794616/Default.aspx>; <http://peoplefoodandnature.org/wp-content/uploads/2014/06/Toward-Viable-Landscape-Governance-Systems-What-Works.pdf>.

development is expected to bring about an improvement in the living conditions of people, by assuming a rights-based approach (RBA) to development (Gneiting, 2009).

The integration of socio-cultural, economic and environmental components, essential to the concept of sustainable development, implies that all actions taken to improve the human condition and the ecological system are beneficial for future generations⁷. According to this approach, sustainability while addressing the major challenges of the society ensures that the human welfare is not jeopardized and ecosystems continue to operate (Redman, 2014). If sustainable development is to be achieved, economic growth and ecological integrity has to be combined with the concept of human development and respect for human rights. FAO supported the development of a number of global frameworks and guidelines based on international and regional human rights instruments⁸ to provide secure tenure rights to land, fisheries and forests, and also initiatives to improve governance.⁹ This reflects a growing trend towards the use of RBA to development. The RBA is an inherent dimension of the concept of 'people-centered sustainable development', which constitutes a comprehensive process directed towards the full realization of all human rights and fundamental freedoms.¹⁰

"It makes perfect sense to link human rights to sustainable development: the right to life cannot be realized without basic rights to safe water, air and land. A human rights approach allows the quality of life of all people to be a central part of decision making."

(Adebowale *et al.* IIED Opinion paper – www.iied.org)

Such evolutionary approach raises new challenges that add to the past ones in terms of holistic characterization of the given resources, as described below:

- Engagement of different stakeholders.
- Moving from a rhetoric of participation to a rhetoric of interests negotiation, thus contributing to leveling power asymmetries amongst different stakeholders, particularly women and other marginalized groups.¹¹
- Securing the right to accessing information and participating in decision-making.
- Leading a process of negotiation that contributes to rebuild confidence/trust amongst stakeholders and thus allows moving from one (lower) level to another (higher) one.
- Securing a friendly environment by promoting its preservation and the protection of the basic human rights.

⁷ <http://unac.org/wp-content/uploads/2013/07/HRandSD-EN-PDF.pdf>

⁸ <http://www.fao.org/righttofood/right-to-food-home/en/>

⁹ <http://www.fao.org/nr/tenure/voluntary-guidelines/en/>

¹⁰ UN General Assembly resolution 1161 (XII). In this resolution, the General Assembly expressed the view "that a balanced and integrated economic and social development would contribute towards the promotion and maintenance of peace and security, social progress and better standards of living, and the observance of and respect for human rights and fundamental freedoms.

¹¹ To support actions led by governments at different administrative levels as well as local NGOs and CSOs working for the promotion of gender equality in land access and territorial development FAO launched the Improving Gender Equality in Territorial Issues guideline (IGETI, FAO 2012), as a result of the convergent path between PNTD and SEAGA.

Gendering contents and gaining equality in territorial development

Although attention and commitment towards gender equality and empowerment of women in territorial development interventions increased over the years, results in translating these commitments into standards and operational practices remain modest. This is mainly due to structural and cultural barriers, poor knowledge/understanding of gender related issues, lack of skills and abilities to integrate gender dimensions and engage local women in territorial development, and a lack of institutional ownership and responsibility. Sensitivity and adaptive capacity of individuals and societies are largely shaped by roles, responsibilities and entitlements associated with various markers of social identities and power relations, including, for instance, gender but also ethnicity, age, socio-economic class, and caste (Carr and Thompson, 2014). Disentangling the complex intersectional¹² character of social inequality and power relations becomes a key issue in strengthening the resilience of communities and reduces the territorial vulnerabilities. For instance, the exclusion of women – in many situations the primary users and custodians of the land – has inevitably transferred land use decisions to stakeholders who have very little knowledge or interest in the sustainable use of land (UNEP, 2004).

The active inclusion of all actors in territorial development interventions is crucial for sustainable development, because it allows to recognize the key role that each of them plays, existing power asymmetries within communities, households and institutions, and how they influence people's capacity to play an active role in development and be assured that they are heard (FAO, SEAGA 2001). In this sense, the present approach aims exploring i) how men and women, ethnic minorities or marginalised people are differentially engaged as socio-economic agents; ii) which are the gendered or indigenous institutions promoted by such coalitions; iii) how those institutions (including historically constructed informal rules and social norms) differentially affect men and women and minorities in the access and use of assets; iv) which are the differential development outcomes between various groups of stakeholders, (e.g. gender, ethnicity, age, socio-economic class, caste), and how they are influenced by spiritual-cultural perceptions of their roles within their territories. Focusing on understanding the differentiated roles, responsibilities and relations, and how these are managed, the GreeNTD assists development actors to promote gender equality in access and management of land and other natural resources. Land and natural resources remain a primary source of livelihoods in many rural settings. Improving men and women's access to resources is more likely to contribute to sustainable resources assets and to enhance resilience of communities while reducing social vulnerabilities (Dube, 2014).

1.2. WORKING TOWARDS SOCIO-ECOLOGICAL TERRITORIAL AGREEMENTS (SETA)

In short, GreeNTD seeks to achieve a (series of) negotiated agreement(s) (Socio-Ecological Territorial Agreement - SETA), composed by a set of concerted actions (a portfolio of projects/programs/policies) towards the socio-ecological and economic development of a given territory and its populations. SETA focuses on the contractual outcomes and on the decisions agreed by all the relevant stakeholders as socially legitimized, thus being an open door for the process to be continued on new, broader and more complex issues (scaling up, news stakeholders at upper levels, new trades, etc.). Therefore, the initial SETA becomes the basis for a renewed and constructive dialogue on territorial development issues.

¹² As intersectionality refers to the interactions among multiple dimensions of social and power relations (McCall, 2005)

Assessment of the needs, rights and responsibilities to implement the agreement: temporal, financial, human and social resources

Once an agreement is reached upon the activities and/or projects to be carried out, the discussion between the stakeholders moves on to cover all the aspects of the implementation phase: this includes a verification of the resources and technical capacities that are needed to conduct all the component activities included in the SETA. This assessment is followed by the identification of the source/s of necessary resources and technical assistance and by a clear definition of the roles, rights and responsibility of each of the players. All these aspects will be included in the final agreement.

The subsequent implementation phases of the agreement have to be flexible and open to redirect programming and action, in order to take advantage of new opportunities arising from lessons learned. The precondition for this ability to adjust the direction of the implementation process is represented by a monitoring and evaluation system¹³, focused on both outputs and process indicators.

The initial SETA can be seen as the first step of a longer process. An entire set of Tools (from # 21 to # 24 in the Toolkit) is suggested to facilitate the consensus seeking for a SETA. Whilst moving into its concrete implementation, the usefulness of the agreement is to contribute in creating a sense of confidence/trust amongst concerned stakeholders and their immediate neighbors, so as that a further higher and wider process might be promoted. This process is a never-ending one. Even when it might be possible to reach the national policy and legal level, thus influencing the revision or enactment of new instruments, more activities are needed at the local level to consolidate the implementation phase (see Tool #25 and #27).

The concrete actions (with the relative responsibilities) to be undertaken (by whom, where, for how long...) that have been agreed do represent an important aspect of the process. However, there is another one equally if not more important, that is the process of bringing people back into the decision making arena concerning the territories they live with.

1.3. REWIND FROM SETA BACK TO STEP ONE: ENGAGING PEOPLE

The previous session highlighted the most critical aspect of the entire approach: namely, how to install a trust/confidence building process that convinces and allows people to accept getting into it. Engaging people is thus a structural issue to be tackled seriously from the very beginning.

Willingness to initiate a dialogue

How can powerful stakeholders be convinced to share part of their power?

At first, some stakeholders may voice skepticism about the objectives and conditions for their engagement into an open dialogue and negotiation. In fact, the stakeholders' willingness to participate is mainly related to their perception and experience of the obstacles and limitations of the process, but also their interests and their fears. This also includes powerful stakeholders, such big landowners or elites, which aim at the maintenance of the status quo, and the protection of their historically privileged

¹³ See Phase 4, section 2.2, part 2

positions. It is then necessary to consider what kind of leverages might be used in order to stimulate their engagement into the process. The 4R analysis (Tool #9) and the Power Analysis (Tool #10) are the most suitable to be used in this phase (see details in the annexed toolbox). In this context, a smooth social pressure exercised by structured organizations and public institutions might be extremely important. Moreover, one of the preconditions to enter into the dialogue is the strengthening of the bargaining power of marginalized and less powerful stakeholders, such as women, and young people, IPs and IDPs, which implicates managing existent asymmetries in power relationships. Weak and marginalized people/groups have much more to lose in a negotiation process, thus the risk of manipulation and control by the dominant group is high. The adoption of a GreeNTD approach leads to the shift from a logic of privileges to a logic of rights; in this view, everyone has to be seen as agent of possible changes. The Tool # 2 (Focus Group Discussion) and the Tool # 3 (semi-structured interviews) are recommended in this phase.

One of the keys for the success of a dialogued process is to find ways to counteract the defense attitudes of the elites in maintaining the status quo to protect¹⁴ their historical privileged position, and to motivate them towards a change. For instance, in the Lempira Sur project¹⁴ economic and technical benefits seem to have been essential to the establishment of trust among stakeholders and to the success of policy change. All stakeholders, ultimately, saw benefits deriving from a change in the production system, as an entry point of dialogue; this meant that the project did also ensure the success of the rich and powerful landowners, in convincing to cease part of their power.

Finally, why would politicians choose to take active part in dialogue and share power? Motivations might include: (1) improving their reputation at local level, with international donors, and the national electorate, hence responding to the will of their constituency; (2) increasing their sphere of influence or decreasing their competitor's sphere of influence; (3) finding allies at local level to face constraints in time, budget and capacities; (4) believing in democratic, participatory processes as an approach to achieve the harmonization of interests, the management of conflicting situations, the inclusiveness of decision-making process; (5) interest in a specific policy area (Grindle, 2000).

It is important to point out that, at all levels, governments might have strong interests and hidden agendas. In many cases, decentralized institutions (whether local or municipal) might represent the best entry level in a concerted attempt to influence social, cultural and political change and to improve the design of and coordination between the interventions at the different decision levels (from civil society and related organizations to the state and its decentralized bodies).

¹⁴ A stakeholder analysis conducted in the Lempira Sur project in Honduras found that the actors opposed to the project's interventions were the landowners, the teachers, and the mayor. Most of the land (down watershed) belonged to large farms, principally dedicated to cattle ranching using the landless as farm workers or renting out small pieces of land to them. Communities and small farmers occupy the isolated upper part of the watershed. In this agricultural frontier area the landowners and local elites have historically played the most important role of influence over decision-making and strategies of life of local people (the so-called patronato structure). They are not motivated to change and normally the law of violence and psychological submission and intimidation prevail. This leads to a situation with a number of hidden and open conflicts.

The project therefore aimed at working on the correlations of forces to create the necessity of negotiating distinct interests and power at play and neutralizing or reducing the opposition to change to guarantee the effectiveness of local governance. For this reason from the first phases of the project, the work implied powerful landowners, supporting them through subsidies for recuperating lands and the technification of production processes. FAO PNTD 2005

Ability to enter into dialogue

The stakeholder dialogue is considered as a key instrument for facilitating effective communication between companies, governments, NGOs, science and other societal groups. A dialogue attempts to stimulate partners to learn from each other and strengthen relationships in order to take collective action. Dialogue is more ‘process-oriented’ than ‘issue-oriented’. It is also more a continuous process than a process with a clear start and a clear end. At first, a dialogue is about learning and discovering each other’s thoughts and values, and identifying possible connections. It is about exploring divergences and communalities and, subsequently, reaching an agreement or creating surplus value)¹⁵. Therefore, one of the preconditions to enter into a dialogue is to strengthen the bargaining power of marginalized and less powerful stakeholders so to reduce power asymmetries to the minimum. For instance, Improving Gender Equality in Territorial Issues (FAO, IGETI 2012b), aims at assist stakeholders to promote gender equality in management of natural resources and territorial development, through revealing existing gender inequalities, and assess the stakeholders’ visions and livelihood strategies.

- What are some of the preconditions necessary to i) (re) establish dialogue and ii) build trust among stakeholders to participate on issues addressing gender equality in territorial development? iii) include women in the negotiation process?
- What determines the common ground to start territorial dialogue on promoting gender equality in access to land and other natural resources?
- How should the stakeholders (women and men) willingness i) to start involving in dialogue and ii) stimulate community understanding of the benefits achieved in promoting gender equality in territorial development?
- What are the determinants of the stakeholders’ assurance on ownership of the process addressing gender equality and access to land?
- How should sustainability of the dialogue process be ensured?
- What are the terms and conditions for continuous renegotiation on different at different levels in regard to gender equality in territorial development? poverty and to remain out of poverty without the continuous receipt of transfers.

Sources: FAO, IGETI 2012b, p24

The process has to be flexible and iterative to consider the existing power disparities before, during, and after the negotiation. Nevertheless, weaker groups might be able to find “countervailing powers” to attract other, more powerful parties to negotiation (Gray, 1989). The challenge for weaker, disenfranchised stakeholders is to find sources of power that they can tap into in order to gain legitimacy and access to mainstream discussion. In many cases, the conditions for strengthening the ability to enter dialogue are the redefinition of the legal and institutional environment and the definition of legitimate rules recognizing rights and means to defend them. All the parties can be part of the process when the rules are clear; the decision to get involved is founded on reliable information (Ramirez, 2001). In this phase of the process, the Tool # 6 (Conflict Time Line) and the Tool # 7 (Conflict Map of Resources) are of good support.

¹⁵ What Characterize a strategic stakeholder dialogue? <http://www.ib-sm.org/translation%20ch2%20stakeholderdialogue.pdf>

BOX 1

Mozambique Land Law and local participation

Mozambique inserted the mechanism of consultation into the Land Law (1997). This requirement foresees that all investors must consult with local communities to see if the land they want is ‘free from occupation’. If it is not, the person requesting the land must negotiate the ‘terms governing the partnership between the [existing] title holders by occupation and the person requesting the land’ (Land Law Regulations, Article 27 (3), in Serra 2012:89). How this process takes place, and whether local people really do ‘participate’ or are merely manipulated, in meetings with more powerful people, is also a critical area of debate. What is clear is that for consultations to be transparent and genuinely protective of local interests, legal education and support for communities are essential. In any process involving community land – such as a consultation to decide if a certain area is ‘free from occupation’ – all community members are expected to participate (for example, through community meetings with their leaders). This is still poorly understood and rarely applied in practice. Recent glaring examples of consultas being manipulated and signed by pliable leaders without wide internal consultation include land concessions to the new oil and gas industry, but the failure to adequately include all community members is well documented over several years

Source: Tanner, C. and Bicchieri M. 2014. When the law is not enough. Paralegals and natural resources governance in Mozambique. FAO, Legislative Study 110. http://www.fao.org/fileadmin/user_upload/legal/docs/1_FAO_Legislative_Study_110.pdf

BOX 2

Initial agenda: the example of Paraguay

In an experience in Paraguay, a country with historical high levels of land concentration in few hands, the fear for an aggressive agrarian reform program by the newly elected Government was enough to convince big landlords to seat down to a negotiation table. Although they were not willing to discuss the fundamental economic power distribution, they recognized that they had some issues that were detrimental even for their agri-business, in particular in relation to the opening-up and promising market for meat products of the European Union. Aspects related to cadaster and land administration were therefore items that they would have accepted to discuss with Government and with peasant movements. From the peasants’ point of view, they were not interested on discussing agrarian reform with the landlords, since they considered that this was a policy that the new government had to put in place, although they recognized that they didn’t have enough votes and power in the new Parliament. Even from their side, land administration issues and corruption of the Land Institute were acceptable issues to be discussed even with landlords. After having double-checked with all of them, and deepened the analysis of the internal problems within the Land Institute, possible options to move ahead with their new managers were identified, and an initial agenda for a Negotiation Table was set-up.

Source: http://www.mag.gov.py/index-noti.php?pag=not_ver.php&tit=Boletin%20informativo...&idx=134345#.Vh0N62527To
http://www.rpc.com.py/noticias/mesa_de_dilogo_en_el_marco_de_la_reforma_agraria_639.html?page=920

Attempts to grant equal power can take place both outside the direct interaction between parties (e.g. during a pre-negotiations phase) or during the process itself. Some examples include:

- Modifying the procedures used to manage the process, e.g. ensuring that what is at stake for the weaker party is better considered by others.

- Willingness to meet in settings in which the weaker party feels more comfortable.
- Adopting some aspects of customary procedures, which are familiar to the weaker party.
- Using legal advocacy/action, or political action to change the legal framework of rights to resources (e.g. in Nicaragua, through legal advocacy the people of Awas Tingni secured territorial rights to their land according to traditional rules of land tenure).
- Mobilizing and organizing strategies – by forming associations or other local organizations to press claims and defend interests, forming alliances with external organizations, which provide support and resources.

Agenda setting

Engaging stakeholders is primarily linked to the initial agenda setting; it is suggested that all of them are asked to seat and negotiate an agreement at the conditions to reduce the initial critical issues. Therefore, setting the initial agenda represents a very delicate and potentially critical issue to be handled with care. Here is where the external Facilitation Team (FT)¹⁶ will start to play a key active role.

Methods as the Open Space Technology (see Toolkit #1) proves to be very appropriate at this initial scope.

¹⁶ The role of the Facilitation Team is of crucial importance through all the process: it is described in detail in Phase 3, as far as the FAO role is concerned.

Part 2. GreeNTD: towards a legitimate Socio-Ecological Territorial Agreement

2.1. DEFINING THE PERIMETER

Once a set of initial issues ('problems') are identified and shared by the various stakeholders, an analysis has to be done by the Facilitation Team (FT) of experts with the purpose to reflect the closest picture to the reality. For this purpose, the Tool # 5 (Situation Analysis) and the Tool # 8 (Socio-Ecological Unit) are particularly useful. Assuming that what might be a 'problem' for a range of stakeholders, could be seen as an 'opportunity' for the others, all different (sometimes conflicting) views have to be considered in order to better understand the logic and coherence of all positions and interests. Tool # 14 helps to explore the Governance System in place, which defines the legal and institutional conditions of a given situation.

Focusing on interests instead of positions

At the beginning of the process, each party does its best to convey its stake on a given topic; in some cases, this is clearly manifested, in other cases it is shadowed by other lateral issues.

"Reconciling interests rather than positions works for two reasons. First, for very interest usually exist several possible positions that could satisfy it. All too often people simply adopt the most obvious position...."

Lewins, 2001

It is the interests that define the problem. On the opposite, framing a negotiation as a contest of will over positions aggravate the entangling process; it is likely to make the negotiation a lengthy procedure and puts at serious risk its effectiveness in addressing actor's needs, desires, concerns and fears. Furthermore, the tactics of coercion and manipulation of information that often accompany the expression by the stakeholders of their positions work at the detriment of a transparent information exchange and a dialogue based on the interests.

Stakeholders have multiple interests. This diversity is at the heart of any opportunity for the (FT) to find a common interest over which dialogue among the actors can start.

An example of common interests' exploration is provided by a case study in the Brazilian Amazon, where the project opened the dialogue starting with a discussion over the less conflicting elements. In this example, in order to protect forest biodiversity from the spreading of fire, it was recognized a common interest of women in the communities for the protection of children's health. The project organized a health campaign, with the main objectives of opening the dialogue, re-establishing confidence between the

communities and public actor, reducing power asymmetries and limiting the impacts on peoples' livelihoods. Reaching agreement on how to achieve the common goal then became the focus of the negotiation.

Stakeholders' interests are assessed for coherence with regard to the economic, social, cultural, environmental and political components of the territorial system as well as the territorial trends and dynamics identified.

Any diagnostic operation is time and resources consuming. Therefore, it is advisable to start by small issues, in order to be able to delimit the extent of the problem and of the different positions/interests: this will not exhaust a too large amount of time and resources.

2.2 PHASES AND KEY ISSUES DESCRIBING THE PROCESS

Phase 1. Views: Understanding the socio-ecological system

The objective of the first phase is to conduct a rigorous diagnostic of the issues identified and listed in the agenda by the different stakeholders, and the related territories. Territory, issues, stakeholders form a complex socio-ecological system (SES). Territory represents the spatial dimension of the social system interactions that is related to a set of ecological conditions; in fact, the sustainability of the local territorial systems depends on this set of relations. These interactions are mediated by the broader social, economic, and political settings (i.e. actors and governance system) and related ecosystems (i.e., resource system and resources units¹⁷) within which the SES is embedded (Leslie *et al.* 2015). At this purpose an entire set of Tools (from # 12 to # 14) are available in the annexed Toolkit.

The Ecosystem Services (ES) concept identifies the set of benefits that humankind is given by the natural resources. ES became popular recently, in relation with the Millennium Ecosystem Assessment (MA) in the early 2000. Ecosystem services are grouped into four broad categories: provisioning, as the production of food and water; regulating, as the control of climate and disease; supporting, as nutrient cycles and crop pollination; and cultural, as spiritual and recreational benefits.

Natural resources dynamics are conditioned by human actions displaced on given territories. For example, fishery is directly related to sea and freshwater and to all the coastal zones that contain these habitats. These water systems, however, are strictly correlated with the terrestrial ones that are hosting several activities (agriculture, tourism, residential development, wastewater treatment, transformations, etc.), directly or indirectly influencing fishery. All these inter-relations have to be reflected in the SES management approach. Its definition requires a comprehensive analysis of the interactions and networks existing in a community and its vicinity (Chouinard *et al.*, 2015). Tools # 15 and 16 are suggested to help a rapid assessment of the ES related aspects.

SES is composed of multiple subsystems/variables that interact across scales and are influenced by different ecological, socio-economic and political drivers (Mc Ginnis and Ostrom, 2014). This complexity requires an assessment of vertical and horizontal

¹⁷ The SES framework was originally designed for application to a relatively well-defined domain of common-pool resource management situations in which stakeholders (resource users) extract resource units from a resource system McGinnis, M. D., and E. Ostrom. 2014

dimensions and an analysis of the existing socio-ecological systems, including governance and actors', to understand the roles and the behavioral patterns and their interdependencies. Analyzing local information and indigenous knowledge may help to gather insights on the own capacities of local actors and needs (integration of knowledge systems: maps of boundaries of territory by perceptions versus biophysical maps and data: about drivers such as climate change). The diagnostic is not expected to consider the various elements separately, but rather their interactions. The diagnostic is expected to capture the multifunctional, multisector, and multiple scales (temporal and spatial), levels of interactions. This process cannot be completed at once; it is suggested to begin with a well-defined territory and set of issues, to be progressively improved over time and space.

Stakeholders and territory

A stakeholder is any individual, social group or institution that 'holds' a 'stake' (literally 'has an interest') in a given context. Stakeholders are those who can influence decisions, as well as those who are subject to the decisions taken.

Stakeholders will therefore be the key entry point to assist in the identification of the issues at stake for a territory in a given area, and through their history, help understand the root causes of certain dynamics.

How to identify and characterize the stakeholders?

Conducting a stakeholder analysis, which considers action strategies, relationships, their different interests, pressures (internal or external to social groups) and groups' bargaining power, it is possible to assess trends in the use/management of the territory, as well as risks and tensions and, finally, evaluate stakeholders' margins of flexibility and capability to enter a dialogue/negotiation process. Tools # 9, 10 and 11 are designed to support this phase of the process.

This analysis risks to give too much attention only to the (sometimes apparently) 'dominant and 'most visible' stakeholders or those who are formally organized; their opinion is normally voiced and taken into serious account.

The identification of the stakeholders is closely related to the scale of the analysis and to the scope of the problem; additionally, it is supported by the information provided by key players. Irrespective of how and where they are identified, methodological precautions are to be taken; in particular:

- Avoid focusing only on the 'institutional' stakeholders;
- Avoid focusing only on stakeholders who are strictly located in an area;
- Avoid relying exclusively on information provided by key informants that could influence the analysis and lead to/accentuate exclusion of certain groups.

It is recommendable to take into account the following aspects during the analysis, their situation in terms of social category and status:

- Resources (owned and/or relevant to the stakeholders), in terms of environmental capital (biotope: potentials and limitations), financial capital, material capital, human capital (knowledge, competencies, abilities) and social capital (relationships, networks).
- Practices (technical and social of stakeholders) and reports about stakeholders

(what they do and how they interpret it, what meaning do they give to it). These practices can be converging, diverging and sometimes conflicting.

- Perceptions and/or visions of the stakeholders' own situation; this depends on the information available to the stakeholders (quantity, quality) as well as on their points of reference, experience, social status, cultural and social categories and representations.

Analysis of the institutional setting

It is important to clarify the difference between 'institutions' and 'organizations'. An institution consists of the formal and informal rules by which stakeholders interact and involve a range of areas, such as normative structures, culture, legal frameworks, policies and trends. Organizations are defined as formalized entities that involve a cluster of people who are brought together for a common purpose. Organization both conforms to and influence institutions. They include a wide spectrum of human activity and can be categorized as private or public, for-profit or non-profit, governmental or non- governmental, and so forth (Lusthaus *et al.*, 2002).

Conceived as a continuum composed of a set of rules, forms of access and modalities of use, i.e. institutions, the territory reflects the relationship between a set of rules and the related stakeholders. Problems arise when one or more of these components no longer fit with the others, thus creating a distortion in the system. For example, the coexistence of a set of unclear or not formalized rules (formal or customary) as in the case of:

- Access to land (e.g., problem in the distribution and access to fertile soil within the community).
- The management of natural resources, with improper or overlapping uses (e.g. competition over a transhumance corridor or fertile areas).
- Security (e.g., environmental risks, etc.). For this scope, the tools # 9, 10 and 11 are particularly useful.

The existence of formal rules doesn't always mean that the local practices are well taken into consideration; for example, the existence of formal rules not taking into account traditional (customary) practices of land access and use (as in the case of indigenous territorial management systems) may contribute to the progressive collapse of those local equilibrium, already altered by other changes (migration, demographic transition, agro-industrialization, speculation over land and resources, etc.). Consequently, such an unclear regulatory framework leaves the field open to competition and rivalry with consequent unequal and predatory relationships of force.

These issues contribute to generate critical situations, which manifest with varying intensity and modalities depending on the context. Such situations generate area-specific problems of competitive and improper uses of land and natural resources.

The analysis of power asymmetries

The analysis of relationships of strength and power of the various stakeholders helps to get a coherent picture of their interests and power influence: i) *What are*

BOX 4

The Case of the Ewaso Ng'iro Catchment Area, Kenya

In this semiarid African region, livestock production (through group and independent ranches) is the predominant livelihood. Likewise, because of its richness in wild fauna it attracts international tourism which is often a reliable source of income for pastoralist groups organized in conservancies. Different driving forces, such as climate change, increasing numbers of livestock and incremental pressure on the natural resources in the area have forced herders to continue to rely on their mobility (transhumance) for adapting to low rainfall, dry spells and water access. Different actors (4 county governments whose boundaries converge, wealthy ranchers (mostly of European descent), pastoralist groups (Turkana, Samburu, Masai, Rendille, Borana, etc.), herders that manage other people's cattle (owners that live in Nairobi), NGOs



working on wildlife preservation, community based ranches and conservancies, private conservancies, and absentee landlords, hold different levels of information and economic power, hence, a clear example of asymmetries of power emerges. As resources are consumed unsustainably, on the one hand respect for public property is not de facto observed and tribal disputes from traditional systems breaking down are also a constant. Other pressures on the land include national investments that have not been clearly explained to the current users, unregistered land currently occupied by Mozambique inserted the mechanism of consultation into the Land Law (1997). This requirement foresees that all investors must consult with local communities to see if the land they want is 'free from occupation'. If it is not, the person requesting the land must negotiate the 'terms governing the partnership between the [existing] title holders by occupation and the person requesting the land' (Land Law Regulations, Article 27 (3), in Serra 2012:89). How this process takes place, and whether local people really do 'participate' or are merely manipulated, in meetings with more powerful people, is also a critical area of debate. What is clear is that for consultations to be transparent and genuinely protective of local interests, legal education and support for communities are essential. In any process involving community land – such as a consultation to decide if a certain area is 'free from occupation' – all community members are expected to participate (for example, through community meetings with their leaders). This is still poorly understood and rarely applied in practice. Recent glaring examples of consultations being manipulated and signed by pliable leaders without wide internal consultation include land concessions to the new oil and gas industry, but the failure to adequately include all community members is well documented over several years. Several communities in the area, and ranchers who want to continue promoting private conservancies as buffer zones to stop herders from coming into their land. Considering the complexity of the situation due to the plurality of actors that hold different levels of power and the driving forces that are producing the stated changes, FAO is exploring an appropriate approach to address this situation.

the power relationships at stake? ii) What are their means of influence¹⁸, e.g., access to governmental institutions and politicians, access to distribution media, sources of information, knowledge, economic integration levels, social networks, etc. iii) What does influence mean?

A useful instrument to analyze power relationships was developed by Chevalier (2001). A matrix that compares the type of power source, the position, the level of power and the interests between stakeholders to get a coherent picture of their interests and power (both negative and positive) in order to underline potential conflicts or tensions, their reason and modalities (Tool #10).

Table 2 illustrates the position of stakeholders in the process in relation to their influence.

Table 2.
Influence / Importance Matrix

Stakeholder power / potential	Power/High Stake / Importance	Low Stake/ Importance
High Influence / Power	Most critical stakeholder group: collaborate with	Useful for decision and opinion formulation, brokering: mitigate impacts, defend against
Low Influence/ Power	Important stakeholder group, in need of empowerment: involve, build capacity and secure interests	Least priority stakeholder group: monitor or ignore

Once power relationships are well defined it is important to explore the stakeholders' potential margin of flexibility, to determinate their bargaining power and to allow the emerging of common interests. The 'Rights and Risks' approach was proposed by the World Commission on Dams (WCD, 2000)¹⁹ as a practical and principled basis to identify all legitimate stakeholders in negotiating development choices and agreements. Nevertheless, a responsibility dimension results necessarily as a means to inform decision-making at different levels (Bird *et al*, 2005). The authors argue that rights are often incomplete without clarity on duties, obligations and responsibilities.

Defining the roles and responsibilities of different stakeholders can help thus monitor and evaluate decision-making processes. It also creates necessary conditions for constructive negotiation at different stages, building on previous experience, as well as providing mechanisms to seek accountability and redress when rights are violated or when risks are borne disproportionately by individual interest groups (e.g. those to be displaced, the poor and vulnerable)

Bird *et al*, 2005: 11

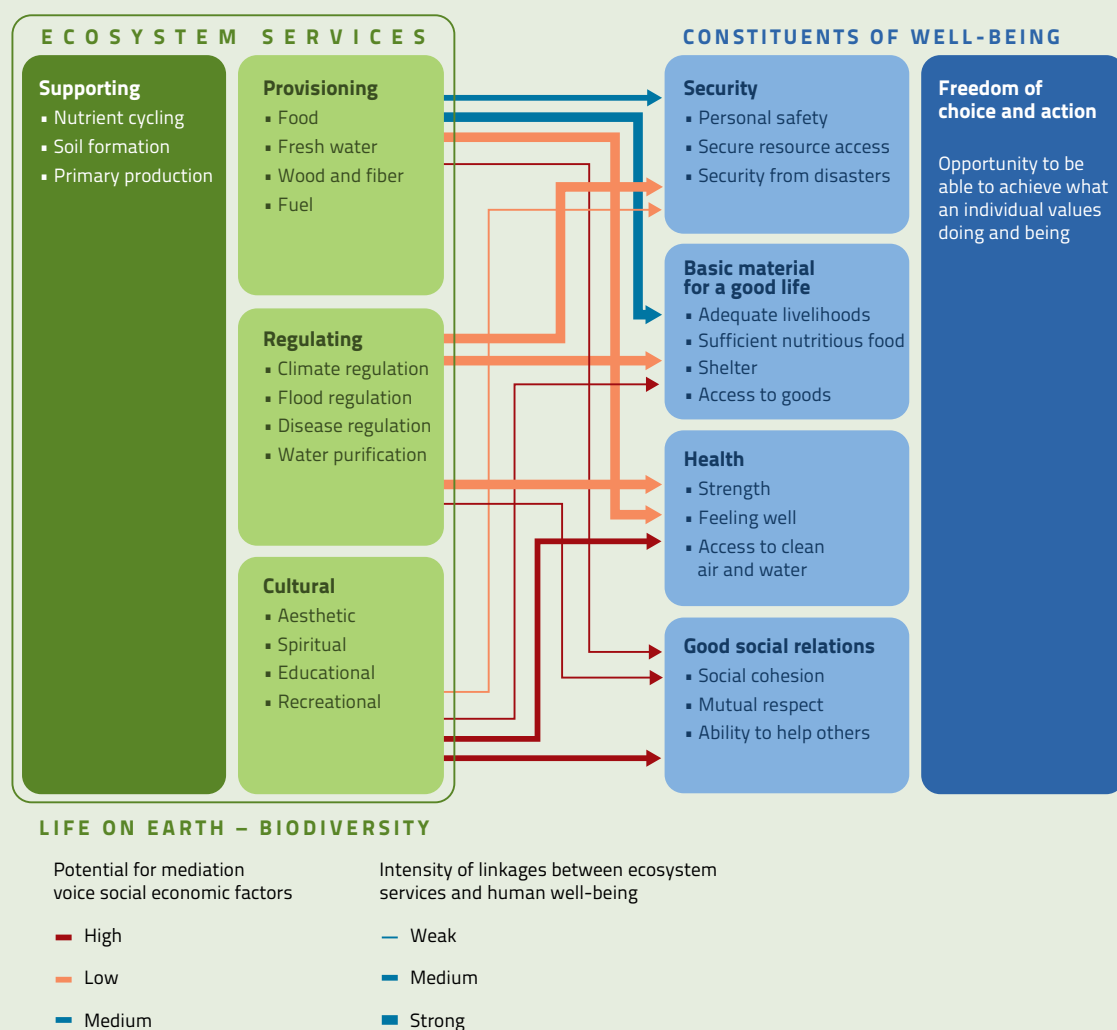
¹⁸ 'Influence' is the power a stakeholder has to facilitate or impede the achievement of an activity's objectives. 'Importance' is the priority given to satisfying the needs and interests of each stakeholder (FAO 2005: 36, op. cit)

¹⁹ The Commission proposes that an approach based on "recognition of rights" and "assessment of risks" (particularly rights at risk) be developed as a tool for guiding future planning and decision-making. This will also provide a more effective framework for integrating the economic, social and environmental dimensions of options assessment and the planning and project cycles' (WCD, 2000: 206).

BOX 5 Linkage between ES and human well-being

Human well-being has five main components: the **security** (a safe environment, resilience to ecological shocks or stresses), the **basic minimum material for a good life** (access to resources for a viable livelihood or the income to purchase them), **health** (adequate food and nutrition, avoidance of disease, clean air and water, etc.), **good social relations** (realization of aesthetical and recreational values, ability to express cultural and spiritual values, etc.), and **freedom of choice and action**. However, how well-being and ill-being, or poverty, (see Alcamo *et al* 2003: 90) are expressed and experienced depends on the context- and situation-, reflecting local social and personal factors such as geography, ecology, age, gender, and culture (Prescott-Allen, 2001).

Ecosystems underpin human welfare through provisioning, regulating, and cultural services. Thus, human well-being is affected by changes in the composition and functioning of ecosystems and the resultant flow of ecosystem services (i.e., ecosystem integrity). Well-being also depends on the supply and quality of safety nets, technology, and institutions. The figure below illustrates the drivers and the links between ES and the determinants and constituents of human welfare. Noteworthy that the spatial and temporal forms of these links, as well as their complexity, vary greatly (i.e., some relationships are immediate and others are lagged).



Historical analysis

The historical analysis of the local territorial system defined as “modality of social organization based on its relationship with the environment” is pivotal for a coherent understanding of stakeholders’ global visions and livelihood strategies.

The objectives of a historical analysis are to describe in a coherent framework the causes of the existing issues, stakeholders’ visions regarding access to and use of land and natural resources and current dynamics on the territory and possible future trends. This is the basis for the formulation of alternative options of interventions to be discussed around the negotiation table. It is essential not to lose sight of the historical evolution of national and international policies and economics (macro dimension) and their effects on the territorial situation and the problems being considered.

The Ecosystem Services (ES) and their links with human well-being

The social-ecological system analysis focuses on the interactions between humans and nature and, in particular how social and ecological aspects alter one another across spatial and temporal scales and how they do ‘co-evolve’. It is to be noted that every socio-economic system is embedded within an ecological system. While uses and management practices are embedded in institutions, and these can be nested within other institutions (Olsson, 2003).

A socio-ecological system approach focuses on maintaining functioning ecological systems to secure the flow of a range of ecosystem services important for human well-being (see Box 5). This approach leads us to better understand the relationship between humans and nature (Raymond *et al.*, 2013), i.e., how human needs and wellbeing interact with quantities and qualities of the natural resource base, and how changes to the natural environment, governance systems and political settings impact human activities.²⁰

An Ecosystem Service-based approach allows considering the effects of management practices on complex SES with much larger extent. ES management is challenging, because of the multiple positive (synergies), negative (tradeoffs)²¹ and non-linear relationships between services and the multiple levels at which management can be applied. Management greatly affects the synergies and tradeoffs between services and the strength of the relationships between them, in SES (Lescourett *et al.*, 2015). Moreover, trade-offs between ES depicts the strength of linkages between categories of ecosystem services and constituents of human well-being that are commonly encountered, and includes indications of the extent to which it is possible for socioeconomic factors to mediate the linkage (e.g. whether or not is possible to purchase a substitute for a degraded ecosystem service. Tool # 16 is specially designed for the purpose of ES rapid assessment. Several additional and more complex methods (see for instance, tool#17) do exist but they require proportionate human and financial resources which are not always available.

²⁰ For more understanding on ES framework and its evolution see: Martín-Ortega *et al.* What defines ecosystem services-based approaches? In Martín-Ortega J. *et al.* 2015.

²¹ A synergy is can be viewed as where the use of one service increases the benefits supplied by another and a trade-off as a situation in which the use of one service decreases the benefits supplied by another service, now or in the future (after Bennett *et al.*, 2009)

Multi scale relationship

Land use and land management practices may create trade-offs between ES at different scales (Goldman *et al.*, 2007). The definition of the scale at which the ES are provided implies the specification of the boundaries of the ecosystem that needs to be taken into consideration and this will affect the identification of the institutional setting to be involved (FAO, 2011).

The diagnosis may be carried out by using a variety of different methods and tools, derived from FAO and other institutions expertise: a selection of them is proposed in the annexed Toolkit

Phase 2. Horizons: Outlining coherent and feasible proposals

It is becoming more and more evident that competing claims for (decreasing) natural resources is not only limited to the physical dimension (having more land, more water,...), but it involves the ecosystems services provided by these resources in relation with a given territory. This is why once the initial agenda (of concrete issues) is shared and an initial diagnostic (of these issues) is completed (Phase 1-Views), then the Facilitation Team is expected to start outlining different coherent and feasible

BOX 6

Assessing ES at different spatial scales

The assessment of the total value of a given ecosystem service is likely to involve different stakeholders at different scales. Hein *et al.* (2006) point out how taking into account different spatial scales can lead to the identifying of varying preferences amongst different stakeholders directly or indirectly involved in the management. They analyzed the case of the De Wieden wetlands (in the Netherlands), one of the most important peat lands in northwestern Europe, which is of vital importance for the supply of provisioning services (fish and cut reeds traditionally used for thatched roofs), recreational activities (an estimated 172.456 visitors per year) and the conservation of biodiversity (water birds, butterflies, dragonflies and a population of reintroduced European otter). At the local level, residents are mostly interested in the benefits that they can receive from the use of available resources, such as fishes and reeds, while at national level stakeholders are mainly interested in the potential of this area for biodiversity conservation.

This discrepancy also points out the importance of identifying the appropriate institutional level for decision making. A local management plan driven by the preferences of residents will probably not adequately reflect the conservation values of De Wieden at the national and international levels, while a management plan based on national and international regulations could overlook the economic value of provisioning activities for improving local residents' livelihoods. Considering potentially diverse stakeholders' perspectives at different spatial scales will allow the finding of ways to reconcile different interests and priorities and to make policies and decisions that better reflect the total value of the ES of that areas (FAO, 2011).

(Source: FAO. 2011. Payments for Ecosystem Services and Food Security <http://www.fao.org/docrep/014/i2100e/i2100e.pdf> p. 92)

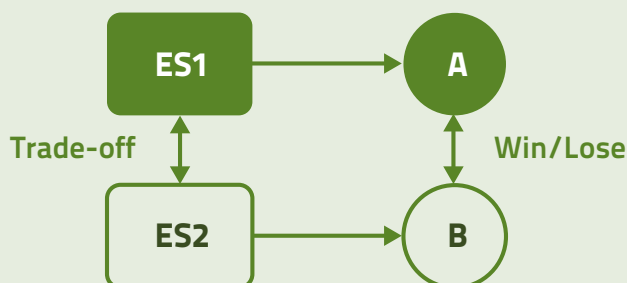
proposals to animate the negotiation phases. It is important to highlight that there is no one best scenario; scenarios/proposals should be tools to facilitate the negotiation amongst concerned stakeholders. There should be an iterative process by which they can be modified according to the status of the negotiation. The Facilitation Team should therefore be seen also as a provider of human and technical support to readjust these proposals along the process. For this purpose, a set of Tools (from # 18 through # 20) are suggested to support this phase.

Minimizing trade-offs between ES

Various access mechanisms and contexts mean that different individuals and groups benefit from different ES to a different extent. As a result, each change in ES flows from an ecosystem creates ‘winners’ and ‘losers’ (see Box 7). Thus, trade-offs between different ES also lead to trade-offs between the wellbeing of different people (either between or within communities), due to their reliance on, or access to different ES (Daw *et al.*, 2011).

Nonetheless, it is rare that only a single person, group or organization demands on any given ES, and in many cases multiple stakeholders compete over the use of the multiple ES²². In these cases, although trade-offs are common, there is a need to develop win-win scenarios.

BOX 7
‘Winners’ and ‘losers’ from ES trade-offs



Different individuals and groups benefit from, and rely on, different ES to different extents because of access mechanisms and individual contexts.

For example, the establishment of a marine protected area will reduce the overall number of fishermen in that area, while improving opportunities for tourism revenue. Some fishermen will lose their livelihood (losers), while others, who had skills and opportunities to benefit from tourism, would improve their well-being (winners) through new employment opportunities (e.g., tourist guide, artisan, etc.).

Source:: Daw *et al.*, 2011

²² “a set of associated ecosystem services that are linked to a given ecosystem and that usually appear together repeatedly in time and/or space” or “A set of associated ecosystem services that are demanded by humans from ecosystem(s)” http://www.openness-project.eu/sites/default/files/SP_ES-Bundles.pdf

BOX 8

Exploring positive synergies of ES: the case of pollinators

A full-sized GEF/UNEP/FAO project "Conservation and Management of Pollinators for Sustainable Agriculture, through an Ecosystem Approach" (2009-2013), addresses the need to identify practices and build capacity in the management of pollination services. The immediate objective is to harness the benefits of pollination services provided by wild biodiversity for human livelihoods and sustainable agriculture, through an ecosystem approach in selected countries (Brazil, Ghana, India, Kenya, Pakistan, Nepal and South Africa).

The project seeks to show how the services of pollination can be conserved and used sustainably in agriculture through the application of the ecosystem approach. Project outcomes are being tested, evaluated and showcased in a set of representative farming systems in selected countries with wide diversity of ecological zones and farming patterns. Through the development of good agricultural practices for pollination services, built on an extended knowledge base, capacity is being increased and awareness rose to promote wise management of pollinators and their services.

The outcomes of the global project are expected to expand global understanding, capacity and awareness of the conservation and sustainable use of pollinators for sustainable agriculture.

Source: Grieg-Gran M. and Gemill-Herren B. 2012. Handbook for participatory socioeconomic evaluation of pollinator friendly practices. FAO 2012 GEF/UNEP/FAO <http://www.internationalpollinatorsinitiative.org/jsp/globalpollproject.jsp>

Being aware of and accounting for factors leading to a trade-off (private interest, provisioning versus other ES, local stakeholder) and the reasons why trade-offs are often the outcome, it may be possible to create the synergies we seek to achieve (Howe *et al.*, 2014). Indeed, when considering examples of win-win, it appears that in many cases the reasons why they succeeded in creating synergies between different ES is related to the managers having avoided or overcome the reasons at the origin of the trade-offs, namely: failure to account for all benefits or stakeholders, failed management and an assumption that provisioning services should always dominate any other services. Improved cropland and grassland management, expansion of agro-forestry systems and protection of forested areas, potentially through the creation of riparian buffer zones can all create win-win opportunities (Branca *et al.*, 2013).

Pollination exemplifies a 'positive synergy' for the maintenance of biodiversity,²³ resulting in a key ecosystem service to society, thus the major crop species worldwide are at least partly resilient to on animal pollination (Klein *et al.*, 2007). Indeed, our diet would be greatly impoverished, both nutritionally and culturally, if pollination services further decline (Steffan-Dewenter *et al.*, 2005). Moreover, pollination is also the flagship example of a 'positive externality'; bees kept or encouraged by one person will provide a benefit to many fruit growers within their flight range, without the growers recognizing or paying for the costs to maintain the bees (Grieg-Gran and Gemill-Herren, 2012).

²³ Pollination is an essential process in the sexual reproduction of angiosperm species, more than 260.000 of which (88%) rely on animals pollen transfer. In turn, approximately 300.000 animal species are attracted to visit angiosperm flowers by pollen and nectar rewards (González- Varo *et al* 2013)

Noteworthy that win-wins are more common when regulating ES (e.g. nutrient cycling and water purification) or cultural (e.g. spiritual or historical value²⁴) are to be considered, i.e., actions taken to strengthen one also strengthen others. The scope is than to develop an ES mapping²⁵ that reflects the delivery of ES and the human actions affecting ecosystem integrity over different scenarios of territorial development. Scenario planning allows the description of how the future might unfold on the basis of coherent assumptions about the relations among drivers of change and key aspects of the system²⁶: *how have ecosystem services and their valuation changed? How have these changes affected human well-being?*

Access to, and exchange/share of information

The (limited or lack of) access to reliable information is profoundly disempowering. It undermines people's capacity to take decisions and defend their own interests, and it leaves them as easy prey to deliberate manipulation.

Ensuring transparency and sharing information throughout the process is a basic principle to guarantee quality of the information provided. Indeed, all the data and information collected, as well as all the studies elaborated should be accountable to the public involved for peer-reviewing.

Transparent communication and good relationships are also keys to the stakeholders' comfort in sharing their worries and their interests, and give them the courage to explore possible options on how their goals can be met at the same time with the goals of others. An atmosphere of mutual trust is the basis for constructive co-operation and the reaching of a compromise. Transparency will help to avoid hidden agendas and suspicion amongst the different parties and thus to prevent situations in which all the stakeholders try to protect solely their own interests rather than finding the most suitable compromise for all the parties involved. The key point in the organization of an information and communication program is the choice of methods and tools to collect and manage the information.

Furthermore, in order to facilitate the information flow between the stakeholders and select adequate channels for divulgation (especially to the marginalized stakeholders), several communication strategies can be used. There are many qualitative methods (e.g. participants observation, unstructured, focused observations, participatory methods, and focus groups) commonly used, referred to as soft ways.²⁷

²⁴ The importance of cultural services has consistently been recognized, but in the rare instances in which there is any further consideration, they are often characterized as being "intangible," "subjective," and difficult to quantify in biophysical or monetary terms, thus retarding their integration into the ES framework. Of course, subjectivity relates to some extent to all ES: to qualify as a service, ecosystem structures and functions must contribute to meeting human needs and wants, which necessarily includes intangible and subjective aspects because the selection of ecological structures and functions, and their particular characteristics, that are considered to benefit humans changes with knowledge, technical, social, and cultural development.

²⁵ "Mapping the provision of ecosystem services poses several challenges. The first challenge is linked to the fact that landscapes are heterogeneous with an uneven spatial distribution of goods and services. Within this biophysical variation there is also variation of land use and land management. The second challenge is linked to the fact that different ecosystem services might be characterized by different spatial patterns." (FAO 2011: 87)

²⁶ This is not an easy undertaking. As Ottaviani points out, "In human-modified ecosystems, the management of ecosystem services is aimed at increasing synergies and decreasing trade-offs amongst ecosystem services. In situations in which a driver of change strongly affects two different ecosystem services that do not strongly interact with each other, addressing the driver is expected to have an effect on both ecosystem services provision." (FAO 2011: 87)

²⁷ for an exhaustive list and description see FAO Participation website, <http://www.fao.org/participation>

Phase 3. Negotiation: seeking consensus for territorial development

Negotiation is one of the most common approaches used to take decisions and manage disputes. It is an essential part of governing and programming in the pursuit of equitable and sustainable territorial development, which is able to respond to actual needs and visions of the stakeholders operating and interacting within a given territory. Moreover, negotiation plays a key role in increasing the legitimacy of the entire process. The more the final achievements are shared by the stakeholders, the more sustainable will the territorial development be for the future.²⁸

According to FAO, “negotiations are a vehicle of communication and stakeholder management. As such, they can play a vital role in assisting policy-makers to obtain a better grasp of the complex issues, factors and human dynamics behind important policy issues” (FAO, 2008).

For the purpose of the GreeNTD approach, the term “negotiation” has to be interpreted in a wider sense, as an aggregate of the diversity of interests²⁹ in a given space, by a variety of different –and sometimes conflicting – stakeholders. Stakeholders are not playing at the same level, due to the power asymmetries³⁰, thus a key role has to be played by the (FT)³¹ on this particular aspect. An entire set of Tools (from # 21 through # 24) is dedicated to the negotiation and consensus seeking.

Negotiation at different levels and focused on sustainable territorial development opportunities

Being the GreeNTD an iterative process, different tables of discussion might be set up to deliberate territorial development opportunities without damaging the ecological integrity. These issues are addressed by acknowledging different levels and scales in the search for appropriate solutions to be reached by consensus.³² A clear connection has to be established between local stakeholders - expressing their views and concerns and providing information about the local socio-ecological system - and the different levels of the governance system in order to find viable solutions and define appropriate territorial strategies.

²⁸ “Policy dialogue, regulation-negotiation (“reg-neg”), shared decision-making. These terms refer to negotiated approaches to the formulation of public policies or regulations. In “policy dialogue,” “reg-neg,” and “shared decision-making,” representatives of affected parties and sectors of the public (termed “stakeholders”) work together with government officials to develop policies or regulations. These participatory public decision-making processes differ from two conventional approaches to government decision-making. First, in traditional decision-making processes government (or the civil service working under a legislative, regulatory or policy framework) makes decisions based on the advice of selected experts, and with the influence of lobby groups. A second conventional model is more broadly consultative: government consults with a representative group of people through advisory councils, public hearing processes and lobby groups and then independently makes a decision. Public dissatisfaction with these conventional approaches has led to increased demand for participation in public decisions by interest groups (stakeholders). <http://www.peacemakers.ca/publications/ADRdefinitions.html#casemanagement>

²⁹ “Interests motivate people; they are the silent movers behind the hubbub of positions. Your position is something you have decided upon. Your interests are what caused you to so decide” (Fisher R. and Ury W. 1991)

³⁰ Weaker groups risk losing much from negotiations in which power differences are very acute and powerful groups often take unilateral actions refusing to negotiate or collaborate.

³¹ See more in: <http://www.fao.org/3/a-y4300e/y4300e09.pdf>

³² “Through consultation and consensus-building, local authorities would learn from citizens and from local, civic, community, business and industrial organizations and acquire the information needed for formulating the best strategies.” (UNCED 1991).

Tips: At which scale we negotiate, and at which level will be the agreement?

The agenda setting defined at the beginning of the process (see phase 1), as well as the efforts to promote engagement of concerned stakeholders are expected to result in the identification of an initial common ground set of themes) to start a negotiation. In addition to that, the scenarios setting (see phase 2) is expected to allow the FT to explore in better details the issues agreed, from the different stakeholders' viewpoints and with the specific technical expertise that might be needed in order to generate problem-solving options.

Through the stakeholders' analysis, the positions and interests of each of them, their distance and relationships for each of the agreed items of the agenda are to be visualized, in order to give the Facilitation Team an understanding of the margins of maneuvering during the negotiation.

The Role of the Facilitation Team (FT)

The Facilitation Team (FT) has several important contributions to make to this process, from the initial support to the agenda setting and scenario building, up to supporting the negotiation mechanism and then the implementation of the SETA.

Much time may be needed to ensure the comprehension, participation and satisfaction of the people of the area as well as that of the local and national government authorities. This is clear in the case of the more socially oriented activities, such as pasture management committees, cooperatives and credit for small farmers, yet it applies at all levels.

Implementation will often depend on efficient project management. The proposals formulated by the actors for the negotiation will outline financial and human resources needed for their implementation and also contain requests for external assistance. Once an agreement is found on the kind of activity or projects to carry on, the discussion between the actors should move on to cover all the aspects of the implementation phase: this includes a verification of the requirements, the resources and also the technical capacities (fund management, community banks, etc.) the actors need for carrying out all the components of the SETA. This assessment is followed by the identification of the source of needed resources and technical assistance and by a clear definition of the roles (revenues, responsibilities, rights, and relations) of each of the actors. All of these aspects might require the support of the Facilitation Team.

In implementing the agreement, local actors as well as government administrations need to develop organizational capacity and technical and entrepreneurial skills (financial planning management). The building or strengthening of technical capacities of all the actors in development is a necessary precondition to make sure that decentralization does not give rise to diminishing support services, and that, in view of the growing responsibilities of local administrations, decentralized functions can still be carried out.

In order to implement the activities described above, specific trainings are needed to prepare the Technical Staff of interested agencies/institutions to carry out the tasks. To this extent FAO made available a specific training course from which interested agencies/institutions can start.³³

³³ FAO.2014. Territorial Facilitation - A one-week training course <http://www.fao.org/3/a-mk754e.pdf>

Basic principles of interest-based negotiation

The innovative negotiation approaches centered on problem-solving have, in recent years, received much attention from the researches and scholars of the collective negotiation. This is mainly because these approaches abandon the obsession for a 'win-win' solution result, emphasizing more on the process than on the outcome.

Tips: Who decides what is negotiable or not? Who guarantee the negotiability?

In the interest-based negotiation, the first principle is to deal separately with the demands of the individuals and the issues debated by the parties. The process requires mutual respect and confidence (an endless process that starts at the beginning of the stakeholders' engagement) by the participants in the negotiation, i.e. frank and open discussions and recognition of the legitimacy of each party to defend its interests.

Tips: Clarify if past responsibilities should be taken in consideration: how to deal with intergenerational justice in the negotiation?

The second principle consists of focusing on the interests at stake instead of concentrating on the positions. Multiple interests lie behind each of the stakeholders' positions. It is the stakeholders' interests that define the problem and open the way for its solution. It is the interests that define the problem. On the opposite, framing a negotiation as a contest of will over positions aggravate the entangling process; it is likely to make the negotiation a lengthy procedure and puts at serious risk its effectiveness in addressing stakeholder's needs, desires, concerns and fears. Furthermore, the tactics of coercion and manipulation of information that often accompany the expression by the stakeholders of their positions work at the detriment of a transparent information exchange and a dialogue based on the interests.

The third principle consists in formulating a vast range of options prior to start the decision-making process. Stakeholders may have multiple interests. This diversity is at the heart of any opportunity for the facilitating team to find a common interest to base the stakeholders' dialogue. The common ground might be established around issues which are sensitive for their involvement, also at the condition of changing the initial perspective. It is even more likely that very critical and basic interests are not addressed during the first round of negotiation.

Tips: Aim at quick wins, even in a situation of scarcity of information. Starting negotiations is preferable, even when information at hand is not exhaustive.

The fourth principle relates to the evaluation of options available, based on objective criteria defined by the parties (laws, regulations, costs, etc.), in order to avoid conflicts in the implementation of the agreed solutions (Fisher and Ury, 1991).

Tips: A legal framework is the base for any discussion. Tools (e.g., decision tree) should be useful in order to help the facilitator to understand how to approach the negotiation. E.g., if there is a legislation on the matter, then the negotiation should focus on how to implement it, if legislation is missing, international standards should be taken as an objective (e.g., The Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security, FAO 2012b), or new arrangements should be built.

Ground rules to guarantee a fair negotiation process

The ground rules help in defining roles, tasks, competencies and responsibilities, the negotiation objectives, and the mechanisms to ensure the participation by all parties and an agreement on the rules for communication. In particular, parties will have to find an agreement over the type of process they want to set up (whether a direct person-to-person or a third party), the preferred status of the third party (whether partial or impartial and whether an outsider or an insider), the meeting format (individual and/or joint negotiations), the dialogue process (defining who is allowed to speak, how, style of communication, and participation) and the process of reaching an agreement, including decision format and enforcement.

To level out persistent asymmetries in stakeholders' capacities and bargaining power, it is essential to agree upon ground rules to guarantee a fair negotiation process. Weaker groups risk losing much from negotiations in which power differences are very acute and powerful groups often take unilateral actions refusing to negotiate or collaborate.

A risk of conflict management procedures is that they may allow a powerful stakeholder to capture the process and use it to coerce the other stakeholders to accept its position, under the guise of a democratic-looking procedure. This can only be prevented by creating conditions that are favorable to fair settlement as a precondition of the conflict management process. In particular, it is essential that stakeholders involved in a conflict resolution/consensus building processes:

- agree on the mandate of the group,
- identify issues that are on the table for discussion and those that are not,
- set clear ground rules - especially on the kinds of unilateral action that stakeholders can take away from the table during the process and related to communication and information - and
- set clear decision-making rules (e.g. what happens if the group cannot reach consensus on an issue).³⁴

To find ways for the disadvantaged people to speak or be represented where this is not permitted by customary norms, the FAO Project on Participatory Upland Conservation and Development (PUCD)³⁵ in Pakistan, used photography and slide language to allow women to participate in the identification of solutions and in negotiating common actions to overcome problems related to the conservation of natural resources.

The choice of the method for reaching an agreement should be made according to principles of "use, familiarity, cultural appropriateness and local acceptability". This because in some cases, norms and values governing the consensus building process are based on customary procedures. For instance, in some Mexican indigenous communities, authority structures are built around elders and the cargo system, within which the regidor holds traditional conflict management role.³⁶

Sometimes the predefined rules might not be sufficient to guide the decision-making process. Therefore, a third party might instead find support in symbolism with

³⁴ FAO. 2014. Territorial Facilitation - A one training course <http://www.fao.org/3/a-mk754e.pdf>

³⁵ Adapted from: Rijsberman, ND in FAO (2002)

³⁶ <http://www.fao.org/docrep/006/x2103e/X2103E09.htm>

subjective, emotional, cultural dimensions which may still facilitate a consensual identification of solutions and the joint formulation of an agreement.

Consensus building

At this point, it is important to combine efforts to rebalance bargaining power and actively involve all stakeholders in this process of negotiation to reach a broad consensus. This means that all stakeholders must be likely to contribute to the achievement of a lasting agreement.

However, it should be admitted that nothing will ensure that a well and fairly negotiated agreement involving the needed stakeholders will not be detrimental to the ecological system. Short term needs and expectations might “force” weaker stakeholders to accept proposals that might go against an ecological equilibrium. This is why the role of the FT is not only to promote a fair and informed negotiation mechanism, helping in setting basic scenarios, but it also involves the ecological assessment at the beginning as well as a sort of active moral suasion, making sure that the agreement is or will be in line with the ecological equilibrium. A better understanding of the linkages with ES and the impacts on human well-being enable the convergence of positions and reflect the diversity of objectives, perspectives and relationships in the territory. Win-win solutions will encompass actions taken to strengthen all the stakeholders.

The focus will be on the multi-functionality of the socio-ecological system and highlight the synergies between different ES. It is important to avoid focusing exclusively on the reasons why trade-offs arise, and conduct the discussion on the provisioning services, as the most important ones. For example, several studies have demonstrated that farmer-based agroecological systems, helping farmers to consider interactions between the different parts of social-ecological system, may create positive synergies of ES (e.g., maintenance soil health; recycle of biomass and nutrients; increase biological diversity and beneficial interactions among species and optimizing use of water, energy, nutrients, and genetic resources) (FAO, 2014). Synergisms occur when ecosystem services interact with each other in a multiplicative or exponential fashion (Rodríguez *et al.*, 2006).

Identification of immediate benefits for all actors

It is important to clearly translate the potential positive outcomes of a negotiated solution into immediate benefits (economic benefits, mobilization of funds for development projects, improvement of the peace and order situation as a precondition for a good business environment and general well-being, security of tenure rights, etc.) and costs that the achievement of a negotiated solution would spare. When an agreement satisfies the interests of all parties upholding it will be the parties’ direct concern.

Phase 4. Implementing the Socio-Ecological Territorial Agreement (SETA)

The outcomes of the decision making process might be manifold. When it is referred to the idea of a Socio-Territorial Agreement is not the contractual outcome that is intended to be stressed, but the fact that the decision taken by the actors together is socially legitimized thus is an open door for the process to be reactivated on new and broader issues. That is why when supporting the dialogue process the center of the attention is not on the extent the decision taken by the actors directly addresses the deep rooted social fractures, but on the finding of a common ground for an agreement

among the actors and the trust building during the process. This can form the basis for a renewed and constructive dialogue on territorial development issues.

On the other hand, the GreeNTD process might not have been successful in setting off any negotiation process because no common ground could be found as a base for dialogue among the actors or because key actors could not be part of the process given weak capacities or lack of legitimization.

The need to coordinate the various components of the process might force the Facilitation team to slow down some of the activities while concentrating the effort on others.

One of the key questions the GreeNTD approach faces is how to make sure that the awareness raising and capacity building activities bear the expected fruits in good timing with the opening of the dialogue among the actors and on key development issues.

In all of the above cases, the standstill of the process might depend on contingent as well as structural problems. Yet, if the actors are able to maintain the direction of the process towards their commonly agreed objective these obstacles might slow down the process but should be eventually overcome.

While keeping all the above-mentioned issues in mind the Socio-Ecological Territorial Agreement can result, among other things, in a conflict resolution, a territorial development plan, the delimitation of territorial boundaries taking into account customary rights, a new land tenure law. In addition, it can result in strengthened and reformed rural institutions with the creation of local organizations and local funds for income generating activities.

The agreement reached as a result of the negotiation process should define all the prerequisites (e.g. human, physical, social, and financial resources), the instruments and the roles and responsibilities required for the implementation of a Socio-Ecological Territorial Agreement.

An entire set of Tools (from # 25 through # 27) is dedicated to the enforcement of the preparation of the ground for the implementation of SETA.

Phase 5. Monitoring and evaluation

An effective monitoring and evaluation (M&E) system is a key tool for tracking and improving the process, by measuring the outputs and highlighting the impact of the implemented territorial development interventions, M&E aims at drawing lessons, as part of a structured process of feedback and social and institutional learning, to respond to changing circumstances and increased understanding, and managing adaptively so that the project is more likely to achieve its intended effects.

Monitoring, is designed to 'inform' the project management on whether the implementation is progressing as planned or corrective actions are needed. A well-designed program has to provide data on the progress of a project and whether it is meeting objectives.

Evaluation, is designed to “provide inputs for decisions” on strategy and management of the interventions at different levels, and on future policies, by identifying and disseminating the lessons learned and by making recommendations drawn from evaluation findings.

Particularly, it will be important to evaluate the entire process and its evolving, to contribute decisively to describe institutional, social and ecological changes and to evaluate causal claims. The evaluation involves the identification of key inputs as well as expected project outcomes, and the analysis of the initial assumptions on how these inputs would lead to the desired outcomes.

The various links in the chain are analyzed using a variety of methods, building up an argument as to whether the conceptual framework was implemented. It traces how the (short-term) project activities and outputs will cause (short to mid-term) outcomes and how these will lead in turn to (longer-term) socio-ecological impacts. Tools # 28 and #29 are suggested to report and assess outcomes achievements. Looking at the process, the evaluation will thus capture the complementary effects of the negotiation process, i.e., strengthening of social bonds, democracy and/or equality together with the specific content of the SETA.

In line with its systemic and inclusive nature, the monitoring and evaluation phase could be based on learning-oriented approaches like “experience capitalization”³⁷. From this vision, the capitalization of the GreeNTD process would entail going back to the experience to see what a plurality of stakeholders learned of it, without any pre-established framework or scheme, respecting their own subjectivity. Tool #30 is suggested for systematically integrate experience capitalization into the GreeNTD process. Through capitalization stakeholders critically reflect on and make sense of development experiences, turning the lessons into new and explicit knowledge which in turn can inform a new round of practice and be communicated to others who may also benefit from it (Tapella and Rodriguez-Bilella, 2014)³⁸. Moreover, capitalization conceived as a critical analysis of a development process could offer qualitative insights about the entire negotiation process, opening a deep dialogue among stakeholders to choose questions that express their learning and inform about the perceptions of different stakeholders about the dynamics that lead to the agreement.

Gender responsive monitoring and evaluation

An effective gender responsive monitoring and evaluation (GRM&E) process is an added value when compared to a ‘simple’ M&E path.

Three main types of evaluations are suggested, namely:

- i) to evaluate the process and, in particular, the work of the FT: how they lead the entire process, facilitate the meetings, the attention they pay to each party, taking in consideration also a gender perspective, their capacity to bring out everyone’s needs and to search for solutions, etc. Such an evaluation is possible if there is a co-facilitator, a person in a position to observe, intervene, and advise the Facilitation Team;
- ii) to evaluate the ‘secondary’ effects of the negotiation process. This type of evaluation is essential if one considers the process not only for the purpose of

signing an agreement, but also for the strengthening of social bonds, democracy and/or equality. The ultimate goal, and thus the emphasis of the approach, is not the preparation of a development plan or a territorial pact in itself, but, rather, facilitating the dynamics between different stakeholders (men and women) that lead to such agreements;

- iii) to evaluate the effects of the negotiation process on gender equality and women's empowerment. This is crucial in order to understand if women have increased their bargaining power within the household and the community. E.g.: Do women feel more comfortable in claiming for their interests and rights? Do the other stakeholders take into account women's voice? The answers to those questions will allow determining whether the negotiation process has been effectively gender responsive.

Several assessment criteria can be offered on the following topics:

- *Social ties*: mutual understanding and acceptance of the otherness (concerning also difference between men and women), trust building (not only between men, but also between men and women), the ability to act together, building awareness of territorial identity, number of conflicts, etc.;
- *Participation in public life*: overall perception of reality, awareness of the collective interest, strength of citizens' proposals, initiatives and actions, involvement of new stakeholders, active participation of women, enhanced self-esteem of themselves;
- *Changing balance of power, balancing power relations*: for example, people who had the habit of leading found themselves marginalized, or women gaining more bargaining power to claim for their rights.

Conclusions

In an international context of growing importance of natural resources (water, forests, land,) as stakes of geopolitical importance, FAO has a key role to play within the UN system, and, broadly, as a relevant player with the international community.

Rural development is sustainable when it is ecologically sound, economically viable, socially just, culturally appropriate, humane and based on a proper understanding of the territorial system.

These dimensions of sustainability are setting the frame for any development activity. To be sustainable, development interventions need to address the issue of power asymmetries resulting from unequal access to and control over resources and information, as well as that of unequal capacities.

This document introduces an innovative approach, that represents the most advanced and comprehensive one, based on many years of experiences and projects carried out all around the world. The GreeNTD is a people centered, process-oriented socio-ecological approach to territorial development. It is based on a multi-stakeholders engagement to foster a progressive consensus (Socio-Ecological Territorial Agreement - SETA) leading towards a holistic, multiscale and negotiated vision. It promotes a concerted decision-making mechanism involving the largest number possible of stakeholders.

Bringing people and process at the center of the entire approach represents a conceptual and operational evolution when compared with the previous more technocratic and sectorial interventions that proved to be very limited, if not counterproductive.

Therefore, the purpose of the GreeNTD approach is to reduce these asymmetries in supporting a process that aims at the creation of socially legitimized agreements by involving all stakeholders and leads to actors' commitment and ownership over the development process. Rebuilding trust between social actors is a means to and an end of the GreeNTD process and is achieved by reducing asymmetries between the actors, while leading them to negotiate territorial development activities.

A complete Toolkit complement this document, by providing a full set of well-tested methods and approaches, each of them specifically designed to facilitate one many aspects of the process. The Facilitation Team role proves to be crucial for the proper functioning of the GreenNTD; therefore, the Toolkit has been designed to be a user-friendly support to its action.

The Toolkit describes the complete cycle of the planning process, ranging from the first context and stakeholders' analysis through the implementation and its final evaluation; for each phase, the most appropriate approach is suggested in combination with the specific tools to be used for a proper implementation.

A negotiation, right-based and gender sensitive approach characterizes the GreeNTD, making it a comprehensive and more adapted to a rapidly changing international context; its proper use foster the resilience of the local communities and their sustainable development.

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Negotiation, environment and territorial development

Green Negotiated Territorial Development (GreeNTD)

More than a methodology- an approach for improving equitable access and sustainable management of territories

Human induced changes on natural environment are imposing major threats to many natural and modified ecosystems. Rural, but particularly peri-urban people are the most vulnerable and less able to adapt to these disturbances, and often face a double burden as their result, that is, the impact on their livelihood base in addition to direct health risks. In addition to that, the shrinking of natural resources and the increased competition over them is calling for a continuous renewal of the methodological approaches dealing with management decisions.

The **GreeNTD** is a people centered, process-oriented socio-ecological approach to territorial development. It deals with different/conflicting demands and interests posed by a variety of stakeholders, through a multi-stakeholders engagement to foster a progressive consensus (Socio-Ecological Territorial Agreement - SETA) ideally leading to a holistic, multi-scale and negotiated vision.