

Facilitator Terms of Reference – Key Elements

This document is a part of a series of Guidance notes designed to assist users of the Effective Collaboration Action methodology. You can find the full methodology [here](#).

This Guidance note focuses on providing advice to you and the Backbone Team as you hire the role of facilitator in your collaborative effort.

Use of this Guidance

This document is designed to support the development of a terms of reference (ToR) for a facilitator in collaborative action efforts. We know you will be using your own templates with different information depending on how your initiative is set up. We see value in sharing two key components of a Facilitation TOR that can be tailored to your needs—the scope of work of a facilitator and key competencies needed to do the job well in the context of collaborative action and systemic change. There are a few examples at the end of the document from specific projects that might be helpful.

The importance of a facilitator in a Collaborative Action effort

Having an independent facilitator to support your effort to bring about systemic change through collaborative action is essential. The facilitator's independence from the backbone team is key to building an environment and 'container' or space that holds all perspectives equally and listens to all voices. In doing so, the facilitator will set the foundations for a neutral, safe space to work together, where participants can trust the process – whether it be a platform, a dialogue, a learning journey or co-inquiry series and whether it takes place over a week or 2 years.

A facilitator will bring process expertise to the work and support the design of workshops / (online) meetings, to make the best use of all your stakeholders' time. They will also be key in bringing a systemic change perspective and ensuring all the stakeholders are engaged in the appropriate way.

Scope of facilitator's work

Below are the key elements of the facilitator role:

Understand the Context

- To be prepared by doing some pre-work to understand the relationships between dialogue participants; power dynamics; the social, political and

cultural context; and the historical background. It is desirable to become familiar with the specific technical language of the commodity or food system related to the collaborative action process.

Design

- Design effective collaborative processes either virtual, face to face, or a combination of both. Prepare agenda designs and facilitation notes for all engagements, workshops and events to support the logical flow of content and group process dynamics.
- Use tools to build consensus and generate trust between participants.
- Ensure design allows all to participate in the process (cultural-responsive and marginalized-people inclusive)
- Be able to communicate concepts of system thinking in a simple and accessible way.
- Integrate capacity building in the knowledge of system thinking concepts in the design of the process.
- Integrate learning and adapting in design.

Deliver

- Deliver independent process facilitation to support meetings stated objectives
- To guide participants by generating curiosity and asking respectful questions, without siding with any of the groups.
- To listen, understand and return to the group what is being said in order to promote reflection.
- To keep the group focused on the subject at hand in order to keep momentum.
- To summarize and emphasize agreements and disagreements.

Integrate

- To record what happens during the dialogue and liaise with project team to ensure workshop/meeting records and reports are produced accurately and in a timely manner.

Considerations for procurement arrangements

Determine the length of the collaborative action and consider hiring a facilitator that covers the entire length of engagement for consistency of process. This consistency is really important in multi-stakeholder efforts that are trying to bring about change. Because the facilitator will be responsible for creating an environment of trust for participants and for methodologically holding the process and participating in its design, building a safe, open and transparent container is important and a consistent presence can ensure this happens.

It is therefore important that the facilitator(s) joins the journey for the duration of the dialogue and designing the ToR according to that (see Jurisdictional Dialogue ToR below as an example).

Consider in the ToR or develop additional terms to include a Co-facilitator who can support or cover for the lead facilitator in case of absence for different reasons, including internet connection failures, in case it is a virtual process.

Finding a good facilitator

You are looking for someone with:

- More than ten years of experience designing and facilitating using a variety of approaches and tools with an emphasis on employing a systemic thinking approach and design thinking
- Ten years of experience working with multi-stakeholder, multi-sector groups forging collaboration, and collective agreement across differences of opinion and perspectives
- Astute political instincts. Multiple experiences of working in different political and cultural contexts. The ability to see how it will impact and influence the process and commitment to adapt these processes to the current context
- An excellent collaborative work style, with an openness to change and ability to receive/integrate feedback
- A track record with ways to promote diversity and inclusion in dialogue
- An excellent ability to plan/project manage, organize, implement and report on work
- Demonstrated experience in virtual facilitation and use of virtual tools
- The ability to work under pressure and tight deadlines

- Outstanding communication and advocacy skills
- Excellent presentation and facilitation skills
- Demonstrated integrity and ethical standards
- Fluency in both _____ and English

The following are a few examples of Terms of Reference for facilitator. Please adapt accordingly for your Collaborative effort and timelines.

Examples of Term of Reference

The Following are examples of different sections of TOR's for facilitators.

Example #1. TOR for a Platform Systems Change Facilitator from Mongolia/Cashmere Project

Scope of Work

1. Support for preparing and delivering the MSCP Plenary Meeting

Provide support in designing the November workshop, including guides for session topics, session activities, and frameworks using a system change and collective impact approach.

- Provide support for stakeholder workshops in advance of the November meeting to develop the shared mission and agenda for sustainable cashmere and the platform.
- Train local facilitators to conduct activities during the November meeting or pre-meeting workshops.
- Produce a report documenting key agreements from the November meeting.

2. Public Advocacy – Cashmere systems mapping and scenario planning

Cashmere leverage points report. A report that highlights the top leverage points to shift the cashmere sector to being high quality and sustainable, laying out key focus areas for Mongolia's cashmere industry.

Scenario brief. A short publication that can be communicated to government and cashmere industry stakeholders to lay out potential futures and build the case for change.

- Hold conversations with key stakeholders to clarify the scenarios (where needed).
- Produce a brief with the scenarios developed by participants for sharing within the industry and the greater public.
- Make changes to the scenarios based on stakeholder feedback.

3. Platform Road Map upgrade using systems change lens

Platform activation upgrade. Assemble a plan of events and digital platforms to build momentum, bring stakeholders together, connect them with the cashmere platform, and act as a beginning of a longer journey towards system change.

- Plan a series of events and identify platforms participants can continue communicating on online to develop continuous communication and trust between key stakeholders in the community between the start of the project and the end of the year.
- Lay out a roadmap of workshops, meetings, and capacity building for community leaders for the next year to build the community's capacity for acting systemically and collectively, including to jointly build the collective action plan with key stakeholders and to develop initial collaborations between stakeholders for systems change.

4. Accelerating Collective Action

This area of work includes a series of initial activities designed to build stakeholder commitment, relationships, and surface community leadership in the cashmere industry.

- Deep listening support. Provide support for existing field research on deep listening methodology and to align the field research with the leverage points identified for the leverage points report and to uncover change opportunities offered by COVID-19.
- Support in developing the conversation guides for interviews.
- Calls to provide feedback on the field research as it is happening and identify new research questions and directions.
- Identify and scope experiments. In partnership with stakeholders, identify and scope out an initial set of experiments and “low hanging fruit” projects that activate the technical working groups and serve to build collaborations between participants around systems change in the COVID-19 recovery.

- Guide discussions with key stakeholders to identify and scope out potential collaborations and experiments.
- Support the development of the experiments, including the questions they are seeking to answer, how they might be conducted, and how they might be evaluated.

Expected Outputs and Deliverables

Deliverables/ Outputs	Estimated Duration to Complete	Target Due Dates	Payment schedule	Review and Approvals Required
Q4 activation plan with description of events, agenda and target groups Building on previous COVID-19 TWG discussion and reporting, produce an expanded report identifying initial leverage points for Mongolia’s cashmere industry, including a system map.	3 days	1 November 2020	10%	Mongolia Platform Manager, UNDP Mongolia Deputy Resident Representative
Leverage Point Report (Less than 20 pages.) and Scenario brief	15 days	15 November 2020	20%	
Final Workshop Report	6 days	30 November 2020	20%	
Platform prototyping brief	10 days	10 December 2020	20%	
2021 Road Map for collective action describing workshops, meetings, and capacity building programs over 2021	4 days	15 December 2020	30%	

Example #2. Platform Facilitation Responsibilities/ Capabilities

This example is to share a different set of responsibilities for a facilitator that may add to your understanding of what you can request of facilitation.

Facilitation Scope of Work/ Responsibilities:

The facilitator will be responsible for creating an environment of trust for participants and for methodologically conducting the process and participating in its design. It is therefore important that the facilitator sticks with the platform for the duration of the dialogue.

Under the overall guidance of the Project Manager, the Facilitator will be required:

- To understand the relationships between dialogue participants/ platform members; power dynamics; the social, political and cultural context; and the historical background.
- Support on engagement with stakeholders regarding National Action Plan implementation and policy work (Conservation Agreements; land use planning policy) and review products of consultants
- To prepare facilitation notes and design of agendas for Steering Committee and Oil Palm meetings and events to support the logical flow of content and group process dynamics.
 - To use tools to build consensus and generate trust between participants.
- Deliver independent process facilitation of plenary meetings events to support meetings stated objectives
 - To guide participants by generating curiosity and asking respectful questions, without siding with any of the groups.
 - To listen, understand and return to the group what is being said in order to promote reflection.
 - To keep the group focused on the subject at hand in order to keep momentum.
 - To summarize, document and emphasize agreements and disagreements.
- To liaise with project team to ensure meeting/event minutes and reports are produced accurately and delivered in a timely manner.
- To support strengthening of the platform, in terms of:

- help preparing and facilitating the oil palm platform meetings,
- developing the Strategy and Action Plan and related partnership agreements,
- developing the platform governance and any other document needed to finalize a strengthened the Platform, including finalizing the vision and collaborative action plan, clear commitments and a performance monitoring and evaluation matrix.

Deliverables and Key end results:

- Facilitation Notes for each Meeting
- Facilitation briefing slides / training notes for sub-facilitation team (including project team)
- Summary agenda for each Meeting for participant distribution
- Final reports from each meeting (based on reviewing drafts providing by the platform team)
- Multi-stakeholder platform meetings facilitated and debrief reports written.
- Platform Steering Committee meetings facilitated and debrief reports written.
- Monthly monitoring report on platform dialogue progress with clear recommendations for action to improve dialogue and decision making amongst key stakeholders, as necessary; including Steering Group meetings, and plenary meetings

Example #3. Jurisdictional Dialogues

This example was for a virtual jurisdictional dialogue. Some of the language can be useful with a variety of facilitation needs.

A. PURPOSE, OBJECTIVES & FORMAT

Purpose: To convene key stakeholders working on forest and commodities production issues – at both provincial and national level – in the province of XYZ in order to connect and amplify their individual efforts towards systemic change of sustainable commodities production.

Objective: Strengthening Stakeholders Participation in Spatial Data Collection for Sustainable Commodity Development in XYZ Province with a system thinking approach.

Intended Outcomes:	Approaches / Format:
To establish the foundations and good practices for an on-going stakeholder dialogue – carried out virtually during times of Covid19 social distancing – in order to ensure momentum in spatial data collection for the regional planning for sustainable commodity development.	Responding to constraints imposed by social distancing, the XYZ Jurisdictional Dialogue (the Dialogue) has been conceived and prepared as a suite of virtual action-learning exchanges.
To strengthen the transformative agency of participants towards supporting the systemic implementation of a spatial data collection system for sustainable commodity production.	The Dialogue is designed as a very collaborative process using system thinking as an enabling lens to promote collaboration.
To identify synergistic actions that will connect and amplify participants own efforts towards the systemic implementation of a spatial data collection system for sustainable commodity production.	The Dialogue uses custom-made short videos/ animations for effective content sharing between weekly virtual workshops.
	The virtual workshops use professional facilitation experienced in co-creative collaboration and system change.
	The virtual workshops use Zoom and other digital tools to facilitate and stimulate group discussion, sustain participation and support convergence towards agreed outcomes.
	Participants will learn and apply key concepts and tools of system thinking while dialoguing and identifying concrete actions that progress the ambition of a spatial data collection system for sustainable commodity production.

B. SCOPE OF WORK

The consultant will be responsible for leading and coordinating the design and facilitation of six virtual workshops adapting the generic model of Jurisdictional Dialogue described in annex 1. The Lead Facilitator will coordinate with the co-facilitator, define main roles within the Facilitation Team and ensure that system thinking is integrated in the process.

The design and facilitation by the consultant will support constructive exchanges between forest and agricultural commodities actors as contribution to a spatial data collection system for sustainable commodity production. The collection, analysis and visibility of spatial data plays an important role in regional planning for low-emissions development at the jurisdictional level, improving the understanding of land-use and land-use change, requiring multi-stakeholders' engagement and informing decision-making towards sustainable commodity production.

More specifically, each virtual workshop will last up to 120 minutes – spread over a period of 6 weeks thus allowing cycles of action and reflection – and will take place between day Month 202_ (week 35) and day Months 202_ (week 41).

The XYZ Jurisdictional Dialogue will be attended by up to 40 participants from local and national government, private sector, civil society and development organisations who will be expected and actively encouraged to attend all six virtual workshops.

This Dialogue format has been designed to address busy schedules, thus only requiring participants to devote 3 hours per week in dialogue activities.

The deliberations and findings of the XYZ Jurisdictional Dialogue will contribute to a final case study video illustrating how heightened collaboration between actors and initiatives underpins more systemic sector transformation.

Working directly with the xx Senior Adviser, Project Coordinator, and the Country Leads from XYZ and ABC based in _____ the scope of the assignment includes:

Phase 1 – Understanding the context

- Engage with ABC and XY teams to fully understand the rationale, purpose, model, success criteria, risks, roles and responsibilities and status of preparation of the Dialogue.
- Literature review to understand the work of XYZ Team, XYZ Programme, ABC and XYZ projects in _____
- Literature review and preparatory calls to understand the political and economic context, content and state of progress of spatial data collection and regional planning for low-emissions development at the jurisdictional level.

Phase 2 – Designing the sessions

- Design the detailed collaborative process and agenda of 6 virtual workshops in alignment with annex 1.
- Prepare detailed facilitator notes with division of roles of the Lead Facilitator and Co-Facilitator.
- Brief co-facilitators and technical advisers
- Identify a backup co-facilitator.

Phase 3 – Facilitating the sessions (iterative)

- Lead the facilitation of six virtual workshops

Apply adaptive management to adjust the design of each session as the dialogue unfolds

C. EXPECTED OUTPUTS/DELIVERABLES

Deliverables (Month – Month 2020)	Estimated # days to complete	Due Date	Review and Approval
Deliverable 1: A one-page report submitted for validation explaining the context and articulating the ambition and objectives of the XYZ Dialogue in support of the spatial data collection and land-use planning and outlining the overall facilitation approach.	2	5 days after the contract is signed	The report will be validated by _____
Deliverable 2: Full and self-explanatory facilitation notes for each virtual workshop, allowing any back-up facilitator to take over if needed, and including an evaluation grid.	4	10 days after the contract is signed	The notes will be validated by the _____
Deliverable 3: Facilitation of six virtual workshops including appropriate and stimulating group processes, maintaining sustained participation, guiding the group to agreed outcomes, and modelling a positive professional attitude.	6	By Friday, DATE	The facilitation will be reviewed by _____
Total	12		

