The role of multi-stakeholder forums in subnational jurisdictions

Methods training manual and tools for in-depth field research

Juan Pablo Sarmiento Barletti
Anne M Larson

CIFOR

RESEARCH PROGRAM ON
Policies, Institutions, and Markets
CGIAR

RESEARCH PROGRAM ON
Forests, Trees and Agroforestry
CGIAR

The role of multi-stakeholder forums in subnational jurisdictions

Methods training manual and tools
for in-depth field research

Juan Pablo Sarmiento Barletti
CIFOR

Anne M Larson
CIFOR

Photo by Manuel Lopez/CIFOR
In certain places of Guyana, indigenous communities are beginning to meet to discuss, organize and regulate subsistence and commercial hunting activities.

Contents

List of figures and tables

Acknowledgments

Introduction

What?

Through a comparative study spanning 14 case studies in 4 countries (Brazil – 4 case studies, Ethiopia – 2, Indonesia – 4 and Peru – 4), we will examine the equity and effectiveness of the processes and outcomes of multi-stakeholder forums (MSFs) set up around land use and land-use change (LULUC). Our key research questions around these concepts are:

1. Equity: Are/were the process and outcomes equitable? What is the evidence? How did/does the MSF address the power differentials among actors? Do they do this in a way that carries over outside the MSF, or that will have impact on and beyond the decisions of the MSF?
2. Effectiveness: Are/were the outcomes effective? What is the evidence? If successful, how does the MSF get people to adopt more sustainable ways of managing land? If not, why not?

Working Definitions

- **Multi-stakeholder forums** are purposely organized interactive processes that bring together a range of stakeholders to participate in dialog and/or decision making and/or implementation of actions seeking to address a problem they hold in common or achieve a goal for their common benefit. We will specifically engage with forums that bring together government and local actors in subnational jurisdictions.

- **Stakeholders** are groups and/or individuals that have a stake and/or interest in and/or right to the forest and that will be affected negatively or positively by land-use change. For the purposes of our research, we are interested in organizations rather than individuals. Examples of these include indigenous communities, grassroots organizations, forestry companies, eco-tourism firms, sub-regional governments, donor governments, and research institutions.

- **Land-use change** is a process through which human activities transform the landscape directly or indirectly. Examples include conversion of forests to agriculture and/or pastureland and efforts to stop such conversion; or conversion to legally protected areas. For our purposes, we will focus on efforts to propose land-use changes toward sustainability and/or stopping detrimental land-use change.

MSFs have received much attention from policy makers, practitioners and researchers for their potential as a more sustainable and democratic approach to decision making. Such forums are thought to help reach participatory agreements with outcomes that are more equitable and effective than, for example, those reached through so-called 'business as usual' approaches to decision making, which may be top-down, unisectoral and/or expert driven. This potential has led to growing expectations by donors for multi-stakeholder initiatives to be organized around land use and land-use change issues. This interest is also reflected in the results of prior research carried out by CIFOR on multilevel governance of land use and REDD+, which suggests that multi-stakeholder processes are broadly seen as a solution for more sustainable development alternatives. Cross-sectoral coordination is seen as particularly important because drivers of deforestation and degradation most often come from other sectors.

Yet, in spite of the optimism placed on multi-stakeholder approaches, and as is the case with other participatory decision-making mechanisms, such forums have received criticism in the scholarly and gray literature and from grassroots representatives. These critiques underline the failure of these initiatives to tackle power inequalities, arguing that such forums are yet another promising decision-

making solution that in practice trivializes local participation, limits opportunities for meaningful public debate, leads to outcomes that confirm unequal development practices, and fails to challenge the status quo. Many of these critics refer particularly to land use and land-use change, where trade-offs are inherent, and the actors involved are diverse and have marked differences in power.

Considering this evidence, and the growing resources and expectations placed on multi-stakeholder forums, our project addresses the pressing need for on-the-ground, comparative research on the process and outcomes of such initiatives. Through this study, we will analyze how MSFs are affected by their contexts, and the equity and effectiveness of their processes and outcomes. The project's field research at the subnational level draws from global experiences of MSFs analyzed through a Realist Synthesis Review that we carried out in advance of in-depth research (Sarmiento Barletti et al. n.d.). The in-depth field research has been designed to produce outputs that will inform decision makers and practitioners not only in subnational but also in national and global arenas. In addition to producing scholarly articles engaging with multi-disciplinary debates and policy briefs seeking to provide science-based recommendations to decision makers, practitioners, and local representatives, the project will also develop a tool to evaluate the equity and effectiveness of these decision-making initiatives. The tool will assist forum participants and others interested in these initiatives in finding ways to optimize their outcomes. This manual should be read in conjunction with the project's Literature review for in-depth research, which can be found at https://www.cifor.org/library/7150.

How and with whom?

The sections of this methods guide are aimed at gaining an understanding of the participants, processes and outcomes, of the 14 MSFs we are studying. **You will need to translate these questionnaires and tables into the language in which you will be carrying out your research.** The flowchart below is an illustration of the different components of our project that will serve as a roadmap for our research. Each section within this guide has a short introduction that contextualizes the research tool within the whole project, and that will also give you instructions on how to complete it. For questionnaires, these short introductions also include the number of people that you will need to interview for each section, and their characteristics.
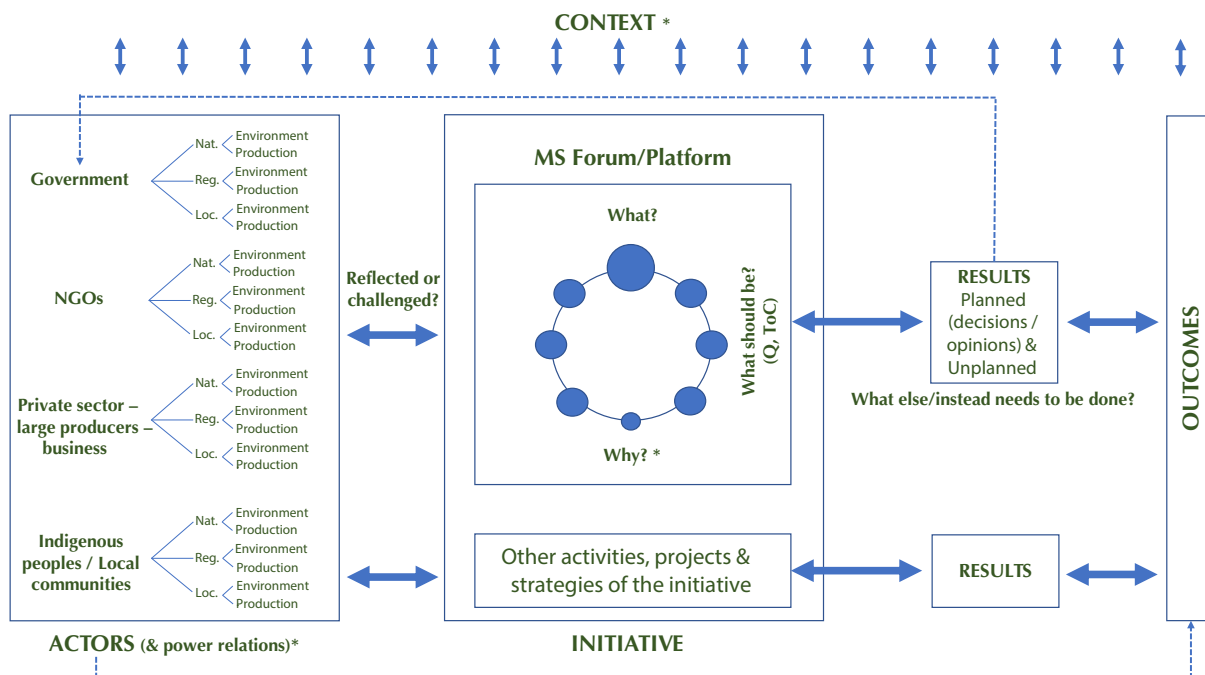

Figure 1. Project diagram

As for the who, your first step is to map out the groups of actors for the MSF you are studying, which will become the (initial) universe of your interviewees. You will follow the next steps in doing so:

1. It is likely that your MSF was included in one of our scoping reports. Your first step will be to check the relevant report and its database to get a general idea of the actors you will soon be engaging with. For those of you working in a Governor's Climate and Forest (GCF) Task Force member region, the stakeholder maps on http://network.gcftaskforce.org/ will be of great help. In general, these are actors at the local, regional, or national level.

2. Remember that at this point you are interested in more than just MSF participants, as you will be trying to map out all relevant land use and land-use change stakeholders in the area where you are carrying out your research. In the broadest sense, this means the actors that can affect or are affected by the kind of land use and land-use change decision making that your MSF engages with (and, more generally, by deforestation and degradation).

3. You will build upon the lists of stakeholders in our scoping reports by brainstorming the relevant actors based on what you know about the area (including your initial desk research or previous experiences in the region) and any information made public by the MSF.
   a. Think about what groups are most likely to be interested on the issues your MSF covers (e.g. forest-dependent communities or environmental non-governmental organizations [NGOs]), what groups are most likely to have an impact (e.g. in terms of their roles as policy-makers or in terms of being able to exert their power) on those issues, and what groups can inform the discussion carried out around the topic (e.g. donors or researchers).
   b. Think of what groups might be the greatest supporters and the greatest detractors of the MSF. As you go through this list, think of their motivations (in terms of land use and land-use change priorities) as you will use this to classify them later on.

4. You will also learn more about the government actors that are relevant to land use and land-use change issues as you carry out background research for Sections 1 and 2.

5. At this point, you should classify each organization that you have decided is relevant to your research using the codes in Table 2 below. These are not final as you will validate all of these codes with your Key Context interviewees, so set them all out on paper for these interviews. You will also validate the code that applies to each of your respondents when you interview them.

6. If you have not done so by now, divide them into the categories of actors for whom our questionnaires have been designed.

7. These steps will give you your first universe of participants for your research, but you should keep adding to it as you progress through your interviews and, especially, during your Key Context and MSF Organizer interviews. Ask them to tell you of anyone else, participant to the MSF or not, that you may have missed out in your list.

Once you have your list ready, email the coordinators with your list of interviewees with the name of their organizations, their position within it, and what questionnaire they apply to. We will then produce interview request letters for you based on these names and in the main national language of the country where you are carrying out research. The letters will all summarize the project and its main goals. You will then submit the interview request letter with a copy of the project's flyer in the main national language of the country.

The table below will give you an overview of who you will need to interview for what section of this guide. You will note that you will have to fill in some sections on your own and validate them with interviewees (e.g. Section 3 to be filled in by you, and then validated by MSF organizers). Please note that the table also indicates what interviews you will need to record and transcribe (you will upload the audio and texts periodically onto your project Dropbox).

Table 1. Who is interviewed for what (and what interviews you need to record, transcribe and translate)

SECTION	DESCRIPTION	KEY CONTEXT INFORMANTS (5)	MSF ORGANIZER (2–3, up to 5)	MSF PARTICIPANT (25–30)	NON-PARTICIPANT (10)	YOU	RECORD, TRANSCRIBE, AND TRANSLATE
1	National Data Table	Yes (Validate)				Yes (1 per country)	
2	Jurisdictional/Regional Data Table	Yes (Validate)				Yes	
3	MSF Typology Table		Yes (Validate)			Yes (Scoping report)	1–2 best
4	Key Context Questionnaire	Yes					All
5	TOC Questionnaire		Yes				
6	Q-Methodology		Yes	Yes			1–2 best
7	Participant Questionnaire			Yes			1 best
8	Non-Participant Questionnaire				Yes		1–2 best
9	Partial Participant Questionnaire			Yes			
10	Non-Participant Focus Group Questionnaire				Yes		

* In general, it is very important that whenever you take down notes during ANY interview or input ANY answers into our database you include quotes that we can quote in our publications.

More on the how

Sections 1 and 2 are both factsheets, one for the national level and one for the subnational level. Only one national factsheet will be filled for each country, but we will have a subnational one for each of the regions we will work in. These tables should be filled out early in your research so as to have a good idea of the wider context you are working in before getting into interviews. You will complete these tables with information from relevant published sources (ideally completing each table from the same source), and will complete any missing information with your Key Context Informants, with whom you will also validate both tables. In general, please remember to show where each piece of evidence comes from on the space provided on each table.

Section 3 is a typology table that describes each MSF through a set of 18 categories. This task is a priority and should also be done early in your research so as to give you a good idea of the basics of the MSF you are studying before interviewing too many people about them. We have completed tables for those MSFs that were studied as part of our scoping reports, but you will still need to validate the table with MSF organizers. As you validate, ask for specific examples of how these characteristics played out, based on what happened in the MSF, for each category. For those MSFs that were not included in our scoping reports, you will fill and validate the table with MSF organizers.

Sections 4–7 are all questionnaires. For our data to be meaningful, it is important that we get good detail from these interviews so please remember to ask your respondents to explain their answers by

making reference to specific events that took place during the MSF you are studying, or of specific issues within their land use and land-use change context. So, a 'Yes' or 'Strongly Disagree' on its own won't cut it, we need people to back up their statements with some kind of evidence (even if it is based on their perceptions). As you take down this detail, keep in mind three crucial aspects of your practice that will affect the quality and usefulness of the data produced in these interviews, and thus the quality of the outputs that we will be able to produce as a team:

1. You must take notes for each question/subsection as the project database is designed for you to input answers for each question/subsection. Please do not make summary notes for a set of questions instead. If your respondent does not want to or cannot answer a question, note why where you would normally input their answer. As we are all using the same questionnaire and database, it is also important that you ask all questions as they stand. Do not amend them unless you have been instructed to do so and contact the project coordinators if you are having trouble translating any term.
2. Keep in mind as you take down your notes that your reports must clearly differentiate between what the literature says, what your respondents say, and your own ideas. Just like we ask our respondents to explain their claims, our own must also be backed up with clear evidence.
3. Your interviewee sample must keep a balance between government (different levels and offices), NGOs, grassroots organizations (Indigenous Peoples/Local Communities [IP/LCs]), and private sector actors (if available). It should also balance those who hold environmental and development land use and land-use change priorities, and as many women in relation to the number of men as possible (based on their participation on MSFs).

Section 4, the Key Context Questionnaire, is the first of the questionnaires in this guide. You will run this questionnaire with five Key Context Informants with authoritative knowledge of the region you are working in. They should be people who have been recommended to you as the ones with such authoritative knowledge; you should use these recommendations to justify their selection. These informants will not have participated in the MSF you are studying and will not be interviewed for anything else apart from helping you validate the tables you filled for Sections 1 and 2. Your five Key Context Informants will include one actor each from academia, NGO, government, grassroots organization and private sector, of whom at least two should be women.

Section 5, the Theory of Change Questionnaire, is the first part of the interview you will hold with 2–3 (up to 5) MSF organizers, that is, convenor(s)/organizer(s) and related representatives from the same organization(s). The total number should be based on the number of organizers and the potential of finding different perspectives among them. As you set up these interviews, keep in mind gender balance, as well as a balance between organizations or sectors if there was more than one involved in organizing/convening the MSF. You will also run a Q-Methodology interview (the first part of Section 6) with these 3–5 interviewees.

Sections 6 and 7, the Q-Methodology and Participant Questionnaire, is our project's central research tool. You will run this interview with 25–30 MSF participants that are not organizers, and represent a balance of different positions (e.g. gender, government and private sectors, IP/LC organizations, NGOs, donors, women's organizations), as well as levels, if relevant.

Section 8, the Non-Participant Questionnaire, completes the broad picture of the MSF and the context that both created it and affected its functioning and outcome. You will run this section with ten actors that have not taken part in the MSF you are researching and are not being interviewed about anything else. They might include IP/LC, farmer and/or women's organization representatives, local government officials, professors, private sector representatives, or eco-tourism firms. At least three of these interviews should be carried out with representatives of local or regional grassroots organizations (not NGOs). They should also represent the diversity of actors who are not participating but who, for one reason or another, perhaps should be – that is, they are directly or indirectly affected by the decisions or activities of the MSF. Ideally their names will come from the interviews conducted previously. Please ensure gender balance to the extent possible.

Sections 9 and 10 complete the whole picture by allowing you tailored interviews with official participants in an MSF that may seldom participate or not participate at all, and instructions and questions to run focus groups in indigenous/local communities that are important stakeholders in the MSF you are studying, but are unrepresented at the actual MSF.

If you have any questions about the application of any of these tools, email the rest of the research team, or post this on one of our WhatsApp groups, as they may have similar questions or solutions. The contact details for the whole team are at the end of this section.

What else do you need to know?

Interviewees: Consent and coding

In general, once you have set up an interview and are ready to go, you must start by explaining our project to your interviewee and answering any questions they may have. Please remember that you must offer all of our respondents a guarantee of either complete or partial anonymity. If your respondent chooses to be completely anonymous, we will only use codes that are unidentifiable to refer to anything they may have said, and will make no mention of their names anywhere in our publications. You must, however, tell them that that their names will be shared with the project convenors in case we need to contact them (e.g. to invite them to a feedback workshop or to clarify one of their answers). If your respondent chooses partial anonymity, we will also use an unidentifiable code to refer to their statements in our publications, but will include their name in the list of all the people we interviewed for the project. You must make their choice of degree of anonymity clear in the relevant tab of the Project's database. Please remember that you must also remind your respondents that they can stop any interview whenever they want to.

All your respondents must be coded, and those codes will be used to make reference to evidence in your report. This is especially important when using direct quotes as evidence (which we encourage you to do). Codes will include a shorthand version of **7 different characteristics**, each summarized into three characters, which will add to **21 characters in total**. The 7 characteristics are:
1. the country where you are carrying out your research;
2. the site the interview refers to;
3. the level;
4. the entity they represent (e.g. ILO – Indigenous/Local Organization);
5. their land use and land-use change priority (e.g. ENVironment or PROduction);
6. their gender;
7. the interview number.

You will validate each interviewee's code with them when you interview them. However, please remember that even if you will code all your interviewees, you must still keep a record of their full name, the organization they represent, their position in said organization and their contact details, as we might need to get in touch with them as we go through your notes. This information will all be inputted into two different tabs of our database (see Tabs 1 and 2 of Project Database).

For example: You are carrying out research in San Martin (Peru), and have interviewed an MSF participant. Your interviewee: works for a regional indigenous federation, is a woman, is the third person you have interviewed in that region, and her land use and land-use change priority is environment. Thus, you would code her as: **PER-SAM-REG-ILO-ENV-FEM-003**. Whenever you make reference to something she said in one of your reports, you will need to cite two things: (1) her code; and (2) the cell(s) on the project Excel database where you have inputted the data you are attributing to her. It is important that you do this as it will allow us to go straight to the data if we want to know more about what she said. There is an example of how to do this on Table 4 of this section.

Table 2. Coding your interviewees (follow this order, from left to right; codes are explained in Table 3)

Country	Site	Level	Entity	LULUC priority	Gender	Interview number
BRA	ACR	NAT	GOV	ENV	FEM	00X
	PPC	REG	NGO	PRO	MAL	
	MGR	LOC	PRI			
	PAR		ILO			
ETH	OR1 (Share)	NAT	GOV	ENV	FEM	00X
	OR2	REG	NGO	PRO	MAL	
		LOC	PRI			
			ILO			
IND	EKL	NAT	GOV	ENV	FEM	00X
	JAM	REG	NGO	PRO	MAL	
	WJV	LOC	PRI			
	CKL		ILO			
PER	LOR	NAT	GOV	ENV	FEM	00X
	MDD	REG	NGO	PRO	MAL	
	SAM	LOC	PRI			
	UCA		ILO			

Data: Using the database and coding

You will input the data from your interviews into the project database provided. It has one tab per section, most of which are organized by interviewee (rows) and question/sub-question (columns). As you will soon see, all answers to each of our questions/sub-questions will be inputted as a combination of the number of the section (e.g. 4), the question number (e.g. 1), and then any sub-question letter/ number (e.g. A; 4.1.A). That is why it is important that you take down notes or an answer for each question/sub-question in this booklet. You will input the answers into each cell, which you will follow (in the same cell) with the codes that describe and connect each answer to the rest of the database.

In general, don't think of coding as mere labeling, but think of it as a way to link pieces of data to our research objectives and to the rest of the data. As such, it is the basis of our analysis. The table below includes the Pre-Set Codes that we will start with, but feel free to add more Emergent Codes as you carry on with your research. If you do, notify the coordinators AND make a note of it on the tab of the Project Database with the codes (Data Codes). You will soon notice that more than a single piece of data might fall under more one descriptor. This is fine and, to play it safe, you should use all descriptors that you think work for that piece of data. In fact, when you code your data ask yourself these three questions:
1. What analytical questions might you ask yourself later on that this text would help you answer?
2. What would be the easiest way to find information about X when you are carrying out analysis for a report or article?
3. Are there any other analytical questions that we might have later that this text may help us answer besides the more obvious terms on it?

Table 3. Coding your data

Level/scales (to complement codes)		
1 – Local community/village		
2 – Municipality		
3 – Regional		
4 – National		
5 – International		

Respondents (for a more specific description than original coding)		
ILC – Indigenous/local community	NGO	IMP-S – Stakeholder importance level (high/low)
ILO – Indigenous/local organization	PRI-S – Small private sector actor	INF-S – Stakeholder influence level (high/low)
GOV-N – National government	PRI-L – Large private sector actor	
GOV-R – Regional government	UNR – University or research institute	POW-S – Stakeholder power level (high/low)
GOV-L – Local government		

Collaboration COL		
By actors involved (e.g. COL-GOV/NGO/PRIS)		

Context CON		
CON-Decentralization	CON-Income	CON-Rights
CON-Development	CON-Law enforcement	CON-Sociocultural
CON-Economic	CON-Legal	CON-State control
CON-Environment	CON-Livelihood	CON-Tenure
CON-Government	CON-Politics	

Doing things otherwise DTO [Note: this refers to ways of dealing with LULUC issues other than MSF]		
DTO-Law	DTO-Protest	DTO-Regulations

Drivers DRI [Note: this refers to the wider context the MSF addresses]		
DRI-DD (low / med / high)	DRI-Inequality (low / med / high)	
DRI-Equity (low / med / high)	DRI-Sustainability (low / med / high)	

Equity EQT		
EQT-Evidence	EQT-Outcome	EQT-Resources
EQT-Failure	EQT-Power	EQT-Voting
EQT-Impact	EQT-Procedure	

Effectiveness EFC		
EFC-Benefits	EFC-Evidence	EFC-Failure
EFC-Challenges		

Interaction INT		
By actors involved (INT-GOV/NGO)		

Land use LUS		
LUS-Conflict		
LUS-Previous (Agriculture / Agroforestry / Commercial Forestry / Community Forestry / Concession / Conservation / NTFPs[1] / Hunting / Illegal extraction / Legal extraction / Indigenous lands / Livestock / Oil palm / Tourism / Primary forest / Secondary forest / Other)		
LUS-Current (Agriculture / Agroforestry / Commercial Forestry / Community Forestry / Concession / Conservation / NTFPs / Hunting / Illegal extraction / Legal extraction / Indigenous lands / Livestock / Oil palm / Tourism / Primary forest / Secondary forest / Other)		
LUS-Planned (Agriculture / Agroforestry / Commercial Forestry / Community Forestry / Concession / Conservation / NTFPs / Hunting / Illegal extraction / Legal extraction / Indigenous lands / Livestock / Oil palm / Tourism / Primary forest / Secondary forest / Other)		

Table 3. Continued

Land-use change		
LUC-Conflict	LUC-History	LUC- (Agriculture / Agroforestry / Commercial Forestry / Community Forestry / Concession / Conservation / NTFPs / Hunting / Illegal extraction / Legal extraction / Indigenous lands / Livestock / Oil palm / Tourism / Primary forest / Secondary forest / Other)
LUC-Consequence	LUC-Infrastructure	
LUC-Current	LUC-Other	
LUC-DD	LUC-Ownership and/or tenure	
LUC-Development	LUC-Scale (Nat / Reg / Loc))	
LUC-Environment		

Legitimacy LEG		
LEG-Apolitical	LEG-Legal	LEG-Participation
LEG-Challenges	LEG-Outcome	LEG-Transparent
LEG-Evidence	LEG-Procedure	LEG-Technical
LEG-Improvement		

MSF		
MSF-Alliances	MSF-Manipulation	MSF-Trust
MSF-Collaboration	MSF-Negotiation	MSF-Strength
MSF-Conflict	MSF-Objective	MSF-Success
MSF-Control	MSF-Outcome	MSF-Weakness
MSF-Gender	MSF-Voting	
MSF-GOV (Nat / Reg / Loc)	MSF-Trust	MSFSuccess1 – Not at all
MSF-Impact	MSF-Top-down	MSFSuccess2 – Somewhat
MSF-IP/LC	MSF-Politics	MSFSuccess3 – Very Little
MSF-Last word	MSF-Transparency	MSFSuccess4 – Great Extent

Outcome OUT		
OUT-Alliances	OUTLEG – Outcome Legitimacy	OUTEQT – Outcome Equity
OUT-BAU	OUTLEG1 – Great extent	OUTEQT1 – Great extent
OUT-Challenge	OUTLEG2 – Somewhat	OUTEQT2 – Somewhat
OUT-Conflict	OUTLEG3 – Very little	OUTEQT3 – Very little
OUT-Contested	OUTLEG4 – Not at all	OUTEQT4 – Not at all
OUT-Failure		
OUT-Impact	OUTEFC – Outcome Effectiveness	LUCOUT- (Agriculture / Agroforestry / Commercial Forestry / Community Forestry / Concession / Conservation / NTFPs / Hunting / Illegal extraction / Legal extraction / Indigenous lands / Livestock / Oil palm / Tourism / Primary forest / Secondary forest / Protected area / Other)
OUT-Markers	OUTEFC1 – Great extent	
OUT-Success	OUTEFC2 – Somewhat	
OUT-Supportive	OUTEFC3 – Very little	
OUT-Transformative	OUTEFC4 – Not at all	
OUT-Unplanned		

Participation PAR		
PAR-Avoidance	PAR-Gender	PAR-PRI-L
PAR-Challenge	PAR-GOV (Nat / Reg / Loc)	PAR-PRI-S
PAR-DD driver	PAR-IP/LC	PAR-Quotas
PAR-DEV	PAR-Legitimate	PAR-Representation
PAR-ENV	PAR-Multisector	PAR-Selection
PAR-Exclusion	PAR-NGO	PAR-UNR
PAR-FPIC		

Table 3. Continued

Power POW		
POW-Alliances	POW-Influence	POW-Subversion
POW-Contestation	POW-Informal	POW-Source
POW-Explicit	POW-Network	POW-Technical
POW-Exclusion	POW-Outcome	
POW-Formal	POW-Over resources	POW-with
POW-History	POW-Politics	POW-to
POW-Implicit	POW-Process	POW-over
POW-Inequality		

Process PRO		
PRO-Agenda setting	PRO-Legitimacy	LEGPRO1 – Great extent
PRO-Capacity-building	PRO-Justice	LEGPRO2 – Somewhat
PRO-Challenges	PRO-Negotiation	LEGPRO3 – Very little
PRO-Collaboration	PRO-Organizer	LEGPRO4 – Not at all
PRO-Consensus	PRO-Politics	
PRO-Conflict	PRO-Rushed	EFCPRO1 – Great extent
PRO-Decision-making	PRO-Technical	EFCPRO2 – Somewhat
PRO-Discrimination	PRO-Unrelated claims	EFCPRO3 – Very little
PRO-Effectiveness	PRO-Voice	EFCPRO4 – Not at all
PRO-Equity	PRO-Voting	
PRO-Exclusion		EQTPRO1 – Great extent
PRO-Fairness		EQTPRO2 – Somewhat
PRO-Funding		EQTPRO3 – Very little
		EQTPRO4 – Not at all

1   Non-timber forest products.

So, for example, you will input answers as below, under each question/sub-question and in detail, and will include the codes that you think best describe that data.

Table 4. Inputting your data

Interviewee ↓	Question→	6.3.d	6.3.e
PER-SAM-REG-ILO-ENV-FEM-003		No, I had to consult with my organization as sometimes my individual position on something was not exactly what our bases might have wanted. As we represent some communities that wanted the road to take place, even though we as an organization opposed it, we had to go back to them and find a middle-ground whenever proposals were made. [PAR-IP/LC; CON-Political; DRI-DD; LUC-Infrastructure]	I expected to be able to have the demands of my organization heard by the government and private sector. I may have been too optimistic as although I made myself heard, little of my input went into the initiative for a road in Manu National Park that was the outcome of the MSF which I thought was unfair. My organization is now considering striking and blockading the existing road to force the government to set safeguards as they extend it. [EQT-Outcome; EQT-Participation; LUD-Infrastructure; PAR-IP/LC; PAR-GOV; PAR-PRIV; DTO-Protest; LUC-Protected Area]

Table 4. Continued

Interviewee ↓	Question→	6.3.d	6.3.e
PER-SAM-NAT-NGO-PRO-MAL-004		Yes, I knew what our wider strategy was on the topic. So, for example, I always tried to steer the conversation toward REDD+ and convincing local representatives (with examples of the work my NGO has done elsewhere) that they could make more money out of it than what they currently make selling timber informally, and local government officials that it would help the region hit its deforestation targets. [LUC-REDD; CON-Source of Income; PAR-NGO; INT-NGO-IP/LC; INT-NGO/Gov; POW-Technical]	I expected to put REDD+ on the local agenda. I achieved this to an extent because the regional government set up a Workgroup for REDD+ as an outcome of the MSF. Local communities also asked me to return to give them more information about REDD+. [LUC-REDD; PAR-NGO; INT-NGO-IP/LC; INT-NGO/Gov]

If these were your answers, when you write your report and wanted to provide evidence for a case when an indigenous organization refused to accept the outcome of a forum, and decided to protest post facto, you would cite it as (**PER-SAM-REG-ILO-ENV-FEM-003 / 6.3.e**).

And finally: Reporting

You will present a set of reports throughout your research that will inform our publications later down the line. All of these reports will be reviewed and approved by the project coordinators. The deadlines depend on when you start your research and are all in your contracts. The reports are the following:

1. A map of stakeholders and other related actors for the MSF and land use and land-use change context that you are studying. This will include an initial list of interviewees, from which the coordinators will prepare interview request letters for you.
2. A preliminary 2-page report reflecting on the first five Q-Methodology interviews. The report will include your reflections on the method and any recommendations for moving forward. You will also annex your notes and transcriptions of the five interviews.
3. Regardless of how many MSFs you are studying, you will need to produce one report per MSF (30 pages, Times New Roman, 12pt, single spaced). You will first submit a draft report and will only submit your final product after receiving comments from the project coordinators. Your report will follow a structure that you will receive from the project coordinators.
4. By the end, you will have also: entered all Q-sorts in the Q-database; uploaded all field and interview notes, in English, into the project's database; uploaded all required audios and transcriptions onto your project Dropbox; contributed to at least one CIFOR blog and/or journal article; prepared a PowerPoint presentation summarizing your findings; and a report on the feedback workshop for the dissemination of results (pending funding).

You can now move on to the research tools. Again, please get in touch with the coordinators and the team if you have any questions. It could be about a term that you are finding hard to translate, about tips on how to run an interview more effectively, or about the best way to record Q-sorts. Don't forget that you may be carrying out research on your own, but you are part of a team of 12 people.

1 National level data table

Who/how?

As this is national level data, we only need one per country. Copies of this table will be filled from (ideally) a single source of data (start with the CIA World Fact Book if you cannot find a national source for this data). Those in charge of this table will then validate (and complete any missing parts) with their Key Context Informants. Please contact the project coordinators if you have any questions or observations.

Why?

This first table and the following one in Section 2, in conjunction with the Key Context Interviews and the context questions that we will ask during the application of the Non-Participant Questionnaire, will allow us to understand the backdrop to the MSFs we are studying. This is important for us as we want to know more about how the context in which your MSFs sits may have affected the reason why it was set up in the first place, as well as its process and outcome. Through these tables and the context-related interviews you will carry out later on, you will be learning about the power that the region/ state has in relation to the central government, which will then help us build a picture of the kind of context that leads to an MSF's 'success' (or not). This will also depend on the extent to which different sectors of the government are participating in the MSF, what type of changes are being proposed by its outcome, and how these may align or clash with the other uses the different sectors interested in land use and land-use change might have in mind.

This table is specifically aimed at understanding the relative power of the subnational government, or level of decentralization, in country comparison.

Keep in mind

Our two central research questions are about:
1. Equity: Are/were the process and outcomes equitable? What is the evidence? How did/does the MSF address the power differentials among actors? Do they do this in a way that carries over outside the MSF, or that will have impact on and beyond the decisions of the MSF?
2. Effectiveness: Are/were the outcomes effective? What is the evidence? If successful, how does the MSF get people to adopt more sustainable ways of managing land? If not, why not?

1 National level data table

ISSUE	ANSWER	EXPLAIN	SOURCE
1.1. Are subnational authorities elected by popular vote or appointed by the national government? [The subnational authority overseeing the MSF's jurisdiction.]			
1.2. What portion of the national budget is managed by the regions/ states relative to central government? [Note: Show the trend over the past 10 years.]			
1.3. Deforestation rate (national)			
1.4. NDC rankings (CIFOR study)			
1.5. Do subnational governments have the right to establish local taxes? What portion of regional budgets are raised through local taxation (and does not pass through national budget and get returned to region)?			
1.6. Do subnational governments have the right (or not) to sign agreements with NGOs to receive funds? With foreign donors?			
1.7. Do subnational governments have the right to formulate their own local legislation regarding land?			
1.8. Do subnational governments have the right to formulate their own rules regarding land-use plans (relation to central government plans)?			
1.9. Do subnational governments have the right to own land? If so, what type, and how much land does the subnational government own in the region? [Type is relevant if there is a limit on the kind of land that can be owned by the government, such as a regional protected area.]			
1.10. Do subnational governments have the right to title land without central government approval?			
1.11. Do subnational governments have the right to issue at least some kinds of concessions (to allocate land/ resources to third parties) without CG approval?			
1.12. Do subnational governments have the right to title and allocate over a significant portion of their land?			

2 Jurisdictional/regional level data table

Who/how?

You will each fill in this table for the region in which you are working, from (ideally) a single source of government data. You will validate (and complete any missing parts) with your Key Context Informants. Please contact the project coordinators if you have any questions or observations.

Why?

This, the previous table, the Key Context Interviews, and the context questions that we will ask during the application of the Non-Participant Questionnaire, will allow us to understand the backdrop to the MSFs we are studying. This is important for us as we want to know more about how the context in which our MSF sits may have affected the reason why it was set up in the first place, but also its process and outcome. Through these tables and the context-related interviews you will carry out later on, you will be learning about the power that the region/state has in relation to the central government, which will then help us build a picture of the kind of context that leads to an MSFs 'success' (or not). This will also depend on the extent to which different sectors of the government are participating in the MSF, what type of changes are being proposed by its outcome, and how these may align or clash with the other uses the different sectors interested in land use and land-use change might have in mind.

This table is specifically aimed at understanding land use and land-use change, forest livelihoods and socioeconomic characteristics of the region; and also the relative power of the subnational government, in relation to the central government in practice.

Keep in mind

Our two central research questions are about:
1. Equity: Are/were the process and outcomes equitable? What is the evidence? How did/does the MSF address the power differentials among actors? Do they do this in a way that carries over outside the MSF, or that will have impact on and beyond the decisions of the MSF?
2. Effectiveness: Are/were the outcomes effective? What is the evidence? If successful, how does the MSF get people to adopt more sustainable ways of managing land? If not, why not?

2 Jurisdictional/regional level data table

ISSUE	ANSWER	EXPLAIN	SOURCE
2.1. Deforestation rate (region)			
2.2. Deforestation rate (area within MSF)			
2.3. Area and percentage of forest cover and type of forest (e.g. dry, tropical, highland) in region			
2.4. Area and percentage of forest cover and type of forest (e.g. dry, tropical, highland) in area within MSF			
2.5. Main economic activities (region)			
2.6. Main economic activities (area within MSF)			
2.7. Main drivers of deforestation and degradation (region)			
2.8. Main drivers of deforestation and degradation (area within MSF)			
2.9. Percentage of population in the region dependent on the forest for their livelihoods (include key forest products)			
2.10. Percentage of population in the area within MSF dependent on the forest for their livelihoods (include key forest products)			
2.11. Population percentages by ethnicity (region and area within MSF)			
2.12. Poverty level and extreme poverty level – number and percentage (region and area within MSF) [Note: All regions within the same country must use the same source for this data.]			
2.13. GINI coefficient for the region, if available			
2.14. Annual budget of the subnational government within which the MSF is set and main source(s) of those funds (e.g. related to mining or oil or other payments, local taxation, central budget allocations, etc.)			
2.15. Has the regional government experienced, in the past 5 years, a situation in which subnational LULUC policies/plans were disregarded or overridden by a national government entity?			
2.16. Has the regional government, in the past 5 years, filed any kind of official complaint or action against a national government entity?			

3 Multi-stakeholder forum typology table

Who/how?

Complete one of these tables for the forum(s) you are studying. Start with the scoping report, if your MSF was covered in the scoping study for the country you are working in, and validate this information during your interviews with all 2–3 (and up to 5) MSF organizers. Take note (and please send those notes to the project coordinators) if there are clashes between the ways they describe their MSFs as that kind of material interests us, but build your final table with the descriptors noted down as they described their MSF.

Please remind all MSF organizers that they can select more than one descriptor per category (if more than one, number 1+ by importance). In general, please make sure that you get good detail for each of these characteristics from your interviewees (ask them to give you specific examples of how each characteristic played out in the MSF) so that we can understand their perceptions and motivations, and later on understand what kind of combinations of MSF characteristics lead to what kind of outcomes.

Why?

These typology tables are very important for our research as they will be one of the ways through which we will compare all of the MSFs we are studying. Based on this data we will also be able to develop a more general typology for MSFs.

Keep in mind

Our two central research questions are about:
1. Equity: Are/were the process and outcomes equitable? What is the evidence? How did/does the MSF address the power differentials among actors? Do they do this in a way that carries over outside the MSF, or that will have impact on and beyond the decisions of the MSF?
2. Effectiveness: Are/were the outcomes effective? What is the evidence? If successful, how does the MSF get people to adopt more sustainable ways of managing land? If not, why not?

3 Multi-stakeholder forum typology table

3.1 FOCUS / JUSTIFICATION	1. Problem	Explain and expand.			
	2. Conflict				
	3. Opportunity				
	4. Other				
3.2 STAKEHOLDERS	3.2.a. TYPE	3.2.b. # OF ORGS.	3.2.c. PART'S BY GENDER	3.2.d. QUOTAS?	Explain and expand. Note: Participation as individuals or representing organizations? Always the same people or did they rotate?
	1. State		1. Male	1. Gender	
	2. NGO/CSO		2. Female	2. Local	
	3. Private			3. Other	
	4. IP/LC				
	5. Donor				
	6. Academia				
3.3 CONVENER / ORGANIZER	1. State	Explain and expand.			
	2. NGO/CSO				
	3. Private				
	4. IP/LC				
	5. Donor				
	6. Academia				
3.4 DECISION-MAKING	1. Top-Down	Explain and expand.			
	2. Debate				
	3. Negotiation				
3.5 OUTCOME	1. Binding	Explain and expand.			
	2. Recommenda.				
	3. Coordination				
	4. None				
3.6 IMPACT	1. Transformative	Explain and expand. Note: Supportive (shallow change) – attempts to address local situation without transformative change			
	2. Supportive				
	3. BAU				

3 Multi-stakeholder forum typology table: Continued

3.7	RANGE	1. International	Explain and expand.
		2. National	
		3. Subnational	

3.8	FORUM / PARTICIPANTS MANDATED BY	3.8.a. FORUM	3.8.b. PARTIC'S	Explain and expand.
		1. Law	1. Law	
		2. Donor	2. Donor	
		3. Voluntary	3. Voluntary	

3.9	PROPOSED CHANGE	1. Simple	Explain and expand.
		2. Difficult	
		3. Very Difficult	
		4. None	

3.10	DURATION OF MSF	3.10.a. PLANNED	3.10.b. ACTUAL	3.10.c. TERM	Explain and expand.
		1. Short (≤2 years)	1. Short (≤2 years)	1. Fixed	
		2. Medium (<5yr)	2. Medium (<5yr)	2. On-going	
		3. Long (5+ yr)	3. Long (5+ yr)		

3.11	EFFECTIVENESS OF OUTCOME [IF MSF OVER/ OR HAS ALREADY HAD IMPACT]	3.11.a. INTENDED	3.11.b. ACTUAL	Explain and expand. Please provide sources, such as copies of aerial photos, etc. The claim of effectiveness should refer to specific land-use changes or avoided changes or changes in behavior that made this possible. [Note: We need evidence here, any claims need to be documented.]
		None	None	
		1. Short-term (≤2yr)	1. Short-term (≤2yr)	
		2. Med-term (<5yr)	2. Med-term (<5yr)	
		3. Long-term (5+yr)	3. Long-term (5+yr)	

3.12	CONFLICT RESOLUTION MECHANISM	3.12.a. AVAILABLE	3.12.b. IF YES	3.12.c. IF USED	Explain and expand.
		1. Yes	1. Used	1. Successful	
		2. No	2. Unused	2. Unsucce.	

3.13	FUNDING	1. Fully [By?]	Explain and expand.
		2. Partly [By?]	
		3. All self-funded	

3 Multi-stakeholder forum typology table: Continued

3.14 MAIN CLAIM FOR LEGITIMACY FOR	3.14.a. ORG'RS	3.14.b. PARTI'S	Explain and expand.
	1. Technical	1. Technical	
	2. Participation	2. Participation	
	3. Legal	3. Legal	
	4. Transparency	4. Transparency	
	5. Other	5. Other	
	6. None	6. None	

3.15 ADAPTIVITY	1. Inflexible/rigid	Explain and expand.
	2. Flexible/unfocussed	
	3. Flexible/focus	

3.16 CRITERIA FOR SUCCESS (STARTING / OUTCOME)	3.16.a. ORGANIZER'S (START)	3.16.b. PARTICIPANT'S (START)	3.16.c. ORGANIZER'S (OUTCOME)	3.16.d. PART'PANT'S (OUTCOME)	Explain and expand. List the criteria.
	1. Clear	1. Clear	1. Clear	1. Clear	
	2. Unclear	2. Unclear	2. Unclear	2. Unclear	

3.17 PURPOSE / SCOPE	3.17.a. PURPOSE	3.17.b. SCOPE	Explain and expand.
	1. Single	1. Narrow	
	2. Multiple	2. Wide	

3.18 FPIC PROVISIONS	3.18.a. AVAILABLE	3.18.b. IF YES	Explain and expand.
	1. Yes	1. Law and/or ILO169	
	2. No	2. Donor mandate	
		3. Partial	
		4. Not enforced	

4 Key context questionnaire

Who/how?

You will interview five non-MSF participants with authoritative local knowledge: one each from academia, NGO, government, grassroots organization, and the private sector. At least two of them should be women. Before carrying out this interview, you must complete Sections 1 and 2 of this guide as well as your stakeholder mapping and classification, as you will validate both with your interviewees. Your classification will use the same categories through which we will code our interviewees. As for validating your classification, you do not need to go interviewee by interviewee but instead should validate how you have classified their organizations.

Why?

This questionnaire, in conjunction with your desk research and Section 7, will allow you to write the historical overview that will go in your report. This overview should help us understand why the MSF was set up to address the issue it does and why it ended up with the outcome that it did. Importantly, this overview should include any salient historical processes that we need to be able to understand contemporary land use and land-use change and the kind of power relations the MSF is set within and/or it is trying to address. This can include conflicts, land tenure reforms, changes in development priorities, economic booms/busts, social protests, etc. If you know of any that you think are key to understand the MSF, use them as prompts for questions 4.3.a. and 4.3.c.

Keep in mind

Our two central research questions are about:
1. Equity: Are/were the process and outcomes equitable? What is the evidence? How did/does the MSF address the power differentials among actors? Do they do this in a way that carries over outside the MSF, or that will have impact on and beyond the decisions of the MSF?
2. Effectiveness: Are/were the outcomes effective? What is the evidence? If successful, how does the MSF get people to adopt more sustainable ways of managing land? If not, why not?

Remember

- All five Key Context Interviews **must be recorded, transcribed and translated**, and uploaded onto your project Dropbox.
- Ask all questions as they stand (do not amend any unless you have been instructed to do so).
- Take interview notes in relation to **each** question, do not bunch up your notes by section or write down a summary answer for a set of sub-questions.
- If your respondent refuses to or cannot answer a question, note this down and explain why.
- Ask them to explain all of their answers with **specific examples** of events that took place during the MSF or of issues within their land use and land-use changecontext.
- Any notes that do not fit under these questions should be entered into a final section called 'Other'. These will be very important for your report.

4 Key context questionnaire

Instructions for Interviewees

The Center for International Forestry Research (CIFOR) is conducting a research project about multi-stakeholder forums. We define MSFs as purposely organized interactive processes that bring together a range of stakeholders to participate in dialogue and/or decision making and/or implementation of actions seeking to address a problem they hold in common or achieve a goal for their common benefit. We are interested in learning about the wider context in which this MSF developed, and will ask you questions in relation to it that will allow us to learn more about the interactions between the key actors involved in the MSF, and about land use and land-use change in your area.

Your contribution is very important to us! Your responses will be anonymous. We would like to include your name in a list of people interviewed only: Do you give your permission?

_____ yes, that's fine _____ no, I prefer not to

4.1. Tell me about yourself. How have you been involved in issues related to land use and land-use change? [Prompt: Planning, regulations, farming, working for conservation, etc.]	
4.2. Validate the tables in Sections 1 and 2 with your interviewee.	

The following questions follow from our interest in understanding how land use and land-use change work in your region/state/etc., and in knowing more about how MSFs may affect and be affected by this context:

4.3.a. In your opinion, what salient recent historical events should we be aware of in order to understand the current dynamics of land use and land-use change in your region? This can include conflicts, land tenure reforms, changes in development priorities, economic booms/busts, social protests, elections, large development projects, introduction of new policies, large NGO projects, etc. Please list them and tell us about them.	*If you know of any that you think are key to understanding the MSF, use them as prompts. Get respondents to think about how power relations between different stakeholders played out in/as a result of the events they mention.*
4.3.b. Based on your perception of these events: 4.3.b.i. Which of these affected the reason why the MSF was organized? How?	4.3.b.i
4.3.b.ii. Which of these have affected the MSF's process? How?	4.3.b.ii
4.3.b.iii. Which of these affected its outcome? How?	4.3.b.iii
4.3.c. Are there any other salient regional/national events that you think we should be aware of? Why?	*If you know of any that you think are key to understanding the MSF, use them as prompts. Get respondents to think about how power relations between different stakeholders played out in/as a result of the events they mention.*

These questions are about the key activities driving deforestation and/or degradation in your area.

4.4.a. Please list the activities driving deforestation from high to low impact, and then do the same with the activities driving degradation. [Explain]	
4.4.b. Please list the activities driving deforestation and degradation from easiest to hardest in terms of how difficult it would be to change them. [Explain]	
4.4.c. Is there much opposition (from the government, NGOs, IP/LCs) to deforestation and degradation in your state/region, or is it not seen as a problem? [Explain]	

4 Key context questionnaire: Continued

In your opinion, how do/have the following factors (too much or too little) affect/ed the wider context that created MSF X and that the MSF seeks to address?	
Factor (too much/too little)	**Evidence of presence/absence and how they affected MSF**
4.5.a. Government recognition of right to and/or interest in participation of underrepresented groups [too much/too little] [Explain]	
4.5.b. Government commitment to multisector collaboration [too much/too little] [Explain]	
4.5.c. Local/regional national interest in conservation and preservation (by communities, government, private sector, etc.) [too much/too little] [Explain]	
4.5.d. Power inequalities between LULUC actors (technical, financial, resource control, etc.) [too much/too little] [Explain]	
4.5.e. Gender inequalities in access to participation in decision making and/or resources [too much/too little] [Explain]	
4.5.f. Central government control over LULUC decision making [too much/too little] [Explain]	
4.5.g. Enforcement of LULUC-related laws and regulations [too much/too little] [Explain]	
4.5.h. Government commitment to decentralization and devolution of decision making to subnational governments [too much/too little] [Explain]	
4.5.i. Powerful groups that clearly influence the MSF's process and/or outcome [too much/too little] [Explain]	
4.5.j. The impact of funding available on the MSF (e.g. limited time-scale, allowed for adaptability) [too much/too little] [Explain]	
4.5.k. Sources of income for local communities not based on deforestation/degradation [a lot/a little] [Explain]	
4.5.l. Political and social sensitivities surrounding the issue of conservation [too much/too little] [Explain]	
4.5.m. Indigenous peoples distrust of other groups and organizations (e.g. government, private sector, NGOs) [a lot/a little] [Explain]	
4.5.n. Existence of informal and/or traditional decision-making institutions [too much/too little] [Explain]	
4.5.o. Tenure security and/or recognition of rights to land and resources for IP/LCs [too much/too little] [Explain]	
4.5.p. Regional / national development policies that emphasize extraction of NFTPs [too much/too little] [Explain]	

4 Key context questionnaire: Continued

The following questions are about the key actors in regard to land-use change in your area.	
4.6.a. [You will have carried out your stakeholder mapping and classified all key stakeholder organizations based on the characteristics we will code them by before this interview. Bring your maps and list with you to the interview. See the instructions in the Introduction to this guide.] As you know, we are interested in understanding MSF X. We have singled out the following key stakeholders (by organization) to the issues, which we have characterized in this following way.	
4.6.a.i. Have we missed any actors (from any sector) that we should consider in our research? They may be at the national, regional, or local level. If so, please list them and tell us why we should include in our research.	
4.6.a.ii. Do you agree with our assessment? Why or why not? [Explain]	
4.6.a.iii. How would you group these organizations instead? Why? [Explain]	
4.6.b. In your opinion, who are the main actors contributing to deforestation and forest degradation? [Explain]	
4.6.c. In your opinion, who are the main actors promoting or involved in alternative land-use activities such as forest conservation, reforestation, afforestation, REDD+? [Explain]	
4.7.a. What determines power in terms of an actor's ability to impact (making it worse or addressing it) deforestation and degradation? Explain your answer by setting out which of all the actors you mentioned in your two previous answers were the three most powerful and three least powerful agents in terms of their ability to impact deforestation and degradation in your region in the past two years? [Explain]	
4.7.b. Which of these actors do you think are most likely to have a positive influence on MSF X? How can this be nurtured or enhanced? [Explain]	
4.7.c. Which of these actors do you think are most likely to have a negative influence on MSF X? How can this be countered or mitigated? [Explain]	
4.7.d. In your opinion, whose needs, interests and expectations are most likely to be met by MSF X? Why? [Explain]	

5 Theory of change questionnaire

Who/how?

You will run these interviews with 2–3 (up to 5) of the organizers/conveners of the MSF you are studying. These interviews must be run before the Q-Methodology interviews (Section 6). If the makeup of the organizing body allows it, your sample of interviewees must keep a gender balance.

Why?

Theories of Change (TOCs) differ from any other methods of describing initiatives because they:
- show causal pathways by specifying what is needed for goals to be achieved (X is needed for Y to happen);
- require an articulation of underlying assumptions which can be tested and measured;
- change the way of thinking about initiatives from what you are doing to what you want to achieve.

Keep in mind

Our two central research questions are about:
1. Equity: Are/were the process and outcomes equitable? What is the evidence? How did/does the MSF address the power differentials among actors? Do they do this in a way that carries over outside the MSF, or that will have impact on and beyond the decisions of the MSF?
2. Effectiveness: Are/were the outcomes effective? What is the evidence? If successful, how does the MSF get people to adopt more sustainable ways of managing land? If not, why not?

Remember
- All TOC interviews **must be recorded, transcribed, and translated**, and uploaded onto your project Dropbox.
- Ask all questions as they stand (do not amend any unless you have been instructed to do so).
- Take down interview notes in relation to **each** question, do not bunch up your notes by section or write down a summary answer for a set of sub-questions.
- If your respondent refuses to or cannot answer a question, note this down and explain why.
- Ask your interlocutors to explain all of their answers with **specific examples** of events that took place during the MSF or of issues within their LULUC context.
- Any notes that do not fit under these questions should be entered into a final section called 'Other'. These will be very important for your report.

5 Theory of change questionnaire

5.1.a. Tell me about yourself. How have you been involved in issues related to land use and land-use change? [Prompt: planning, regulations, farming, working for conservation, etc.]	
5.1.b. I have classified you as [LULUC priority, entity, etc.]. Do you agree with that classification? These categories do not give the whole spectrum of what you represent, but only the aspects we think are most relevant for this study.	
5.2. What did you think would get people to change their land-use behavior so that it is more sustainable; what did you think was the problem that needed to be addressed? [Explain]	
5.3. What role did the MSF play in this? How did you intend for it to work? [Explain]	
5.4. What did you understand as the conditions that would ensure that change was sustainable and long-term? [Explain]	
5.5.a. Did you consider how (i) local politics, (ii) development priorities and (iii) power inequalities between forum participants might shape the MSF's planning, running and outcome? [Explain with examples]	5.5.a.i.
	5.5.a.ii.
	5.5.a.iiii.
5.5.b. What were your main concerns about context, and how did you address them? [Explain]	
5.6.a. How did you decide what stakeholders to include? Why? (i) How did you intend them to be involved in the process? (ii) Did any of them choose to not participate? [Explain]	5.6.a.
	5.6.a.i.
	5.6.a.ii.
5.6.b. Was the MSF's outcome aimed at targeting any specific stakeholders? (e.g. trying to change the LU behavior of a specific group). [Explain]	
5.7. Did you have a strategy for dealing with opposing positions? [Explain]	
5.8. How were stakeholders meant to know if the MSF had been successful or not? [In the short term? Long term?] [Explain]	

5 Theory of change questionnaire: Continued

Retrospectively, and based on the knowledge that you now have: [Note: They must explain all of their answers]	
5.9.a. How effective was the MSF? [Great Extent / Somewhat / Very Little / Not at All] [Explain]	Please provide sources, such as copies of aerial photos, etc. [The claim of effectiveness should refer to specific land-use changes, or avoided changes; changes in behavior that made this possible.]
5.9.b. How equitable was the MSF? [Great Extent / Somewhat / Very Little / Not at All] [Explain]	[Ask for **clear** examples here]
5.9.c. Were you addressing the right problem? [Explain]	
5.9.d. Why did your proposed solution work / fail? [Explain]	
5.9.e. How would you evaluate its success/failure? [Explain]	
5.9.f. What were the three greatest challenges you faced in the process? [Explain]	
5.9.g. What were the three main opportunities brought about by the MSF? [Explain]	

6 Q-Methodology instructions and questionnaire

Who/how?

You will run Q-Methodology with 25–30 participants in the MSF you are studying, right before running the Participant's Questionnaire with them. Your interviewees should be a balance between government (different levels/offices), NGOs, grassroots organizations (IP/LC organizations), and private sector actors (if available). It should also balance those with environment and those with production land use and land-use change priorities. Be mindful that you should interview as many women in relation to the number of men as possible (based on their participation in the MSF). You will also run Q-Methodology with your set of MSF organizers/conveners after running the TOC questionnaire with them. To run Q-Methodology, you will need to make all 42 Q-phrases into reusable cards (with the phrase on one side, and its number on the other), and make a reusable version of the Q-grid on any material you find easy to work with.

Why?

The Q-sorting exercise and discussion will tell us about stakeholders' perspectives on how, why, and when MSFs (as a method) work. This will be implicit in their sorting, and explicit in the follow-up discussion of their specific choices. This will also build up our understanding of how stakeholders think about the key issues around land use and land-use change where they live, and about the power relations between the stakeholders in this context.

Keep in mind

Our two central research questions are about:
1. Equity: Are/were the process and outcomes equitable? What is the evidence? How did/does the MSF address the power differentials among actors? Do they do this in a way that carries over outside the MSF, or that will have impact on and beyond the decisions of the MSF?
2. Effectiveness: Are/were the outcomes effective? What is the evidence? If successful, how does the MSF get people to adopt more sustainable ways of managing land? If not, why not?

Remember
- All Q-discussions **must be recorded, transcribed, and translated**, and uploaded onto your project Dropbox.
- Ask all questions as they stand (do not amend any unless you have been instructed to do so).
- Take down interview notes in relation to **each** question, do not bunch up your notes by section or write down a summary answer for a set of sub-questions.
- If your respondent refuses to or cannot answer a question, note this down and explain why.
- Ask your interlocutors to explain their answers with **specific examples** of events that took place during the MSF or of issues within their land use and land-use change context.
- Any notes that do not fit under these questions should be entered into a final section called 'OTHER'. These will be very important for your report.

Q-methodology summary for interviewers

1. **Participants (P-set):** We're not after a random sample but after 25–30 respondents per MSF that will give us a fair representation of the different positions in the Forum. Based on their perception of MSFs as a method, we will ask each interviewee to sort the cards based on how much they agree/disagree with the statements on each card.

2. **Sort a sample of items (Q-set):** Your interviewee will sort all 42 cards into three piles → Agree / Disagree / Neutral

3. **Into a subjectively meaningful pattern (Q-sort):** Then they will sort all cards on our grid. You will note down their Q-sort (take a photo of it and upload it onto Dropbox), and feed it into the project's database.

4. **Once they are done, ask each interviewee to explain the reasoning behind their Q-sort.** Specifically, we want to know more about the six statements they agree with the most, and the six they disagree with the most. Interviewees will refer to their wider experience of MSFs, as we are asking them about their perception of the method) – that's fine. Answers to the participant questionnaire, however, should only be about the MSF under study.

5. **Which factors are analyzed (Q-analysis):** Q-analysis will allow us to find correlations within the whole set of data, and account for the variance within it. We'll be looking for similarities (patterns) between respondents through their Q-sorts. Our aim is to identify and describe these perspectives and cluster people together who think similarly. In brief, we'll take everyone's Q-sort and find the correlation between that and everyone else's Q-sort, and work out shared opinions.

6. **And will yield a set of factors whose interpretation reveals a set of perspectives (the F-set):** Our goal is to end up with rich descriptions of how people feel and think about the topic in question.
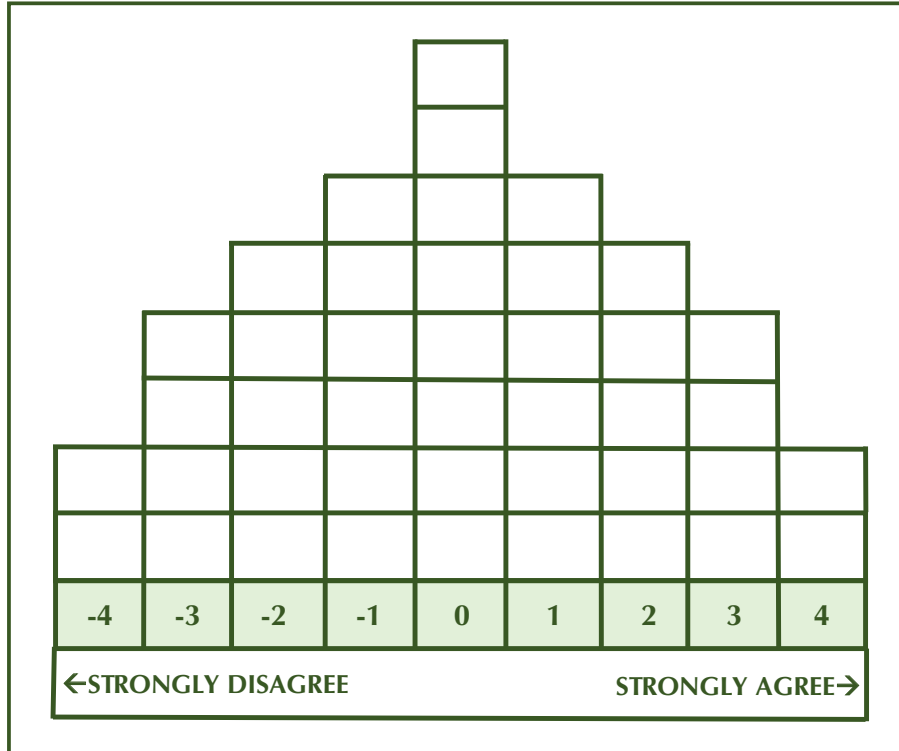

Figure 2. Our project's Q-Methodology grid

Q-set: To be made into 42 reusable cards, one per statement

1. Successful MSFs adapt to the circumstances as needed, rather than sticking to their original objectives.
2. Successful MSFs make decisions based on the common good.
3. Successful MSFs take 'the politics' out of LULUC issues by making them technical.
4. Effective MSFs have those driving DD at the table.
5. An MSF is a waste of time if its outcome is not mandatory for all relevant actors.
6. There should be a minimum quota for IP/LC and/or women representatives in each participating group.
7. Successful MSFs include capacity-building elements for IP/LCs to participate effectively.
8. Successful MSFs have an unbiased facilitator.
9. An MSF's objective should be set by the convenor before including other participants.
10. If participants are too transparent with information, maps, and legal documents, others may use that to further their own agendas.
11. Participants must be ready to compromise some of their beliefs to reach an agreement.
12. In case agreement cannot be reached, the government must decide.
13. MSFs are often a waste of time because some participants use them to make unrelated claims.
14. It is more important for a MSF to be effective than to include the participation of all stakeholders related to an issue.
15. Government regulations on the private sector would be more effective than an MSF.
16. Enforcing the law is a better option than an MSF.
17. IP/LCs would be better off fighting for their interests through social action (collective action, their grassroots organizations) rather than through MSFs.
18. Securing land tenure rights for IP/LCs is a better solution than an MSF.
19. Decision making would be fairer if the government consulted each stakeholder group separately.
20. MSFs are only effective when all participants have proven technical knowledge on an issue.
21. For an outcome to be fair, only those actors holding rights over the area in question should take part in decision making.
22. MSFs help solve problems because they bring together government actors (e.g. development and environment planners) that would normally not work together.
23. In MSFs, all participants feel like equals with a real say in their futures.
24. MSFs build bridges that are likely to lead to future positive outcomes (even if not right now).
25. MSFs improve information sharing and transparency.
26. In MSFs, the final decisions are in hands of legitimate actors.
27. MSFs make people be more reasonable with their demands.
28. Participants in an MSF feel like they 'own' the outcome, and so are more likely to implement it.
29. Making laws simpler to comply with is a better solution than an MSF.
30. MSFs create opportunities for the less powerful to link with potential allies.
31. MSFs can empower IP/LCs and/or previously marginalized groups (by e.g. gender, race, caste).
32. Corporate social responsibility projects lead to better relations between the private sector and IP/LCs than MSFs.
33. No matter what the MSF decides, powerful actors (companies, government) will keep deforesting.
34. It doesn't matter what the MSF decides because it will never be implemented.
35. MSFs are just a way to create the *appearance* that participants are equals, which makes things worse for the less powerful.
36. Because MSFs only address immediate problems, rather than their underlying causes, their outcomes will never change the status quo.
37. No matter how the MSF is designed, IP/LC representatives will lack the confidence to voice their interests.
38. No matter how the is MSF designed, powerful actors always find a way to dominate the conversations held during it.
39. MSFs do not work because they are usually rushed.
40. MSFs disempower IP/LCs by giving others with fewer rights over their ancestral territories equal participation in decision making.
41. For an outcome to be fair, every participant must be speaking on behalf of an interest group that selected him/her to represent them.
42. MSFs create an artificial context of collaboration and equity that won't persist after it ends.

6 Q-Methodology questionnaire

6.1.a. Tell me about yourself. How have you been involved in issues related to land use and land-use change? [Prompt: planning, regulations, farming, working for conservation, etc.]	
6.1.b. I have classified you as [LULUC priority, entity, etc.]. Do you agree with that classification? These categories do not give the whole spectrum of what you represent, but only the aspects we think are most relevant for this study.	

We will now start with the card sorting exercise.

Step 1: Start by reading the statements on all 42 cards. As you do, separate them into three piles based on whether you Agree, Disagree or are Neutral with each statement. You do not need to distribute the cards equally or make them match the spaces on the response grid; for now, you are only going through the cards and doing preliminary sorting. You may have noticed that all cards have phrases on one side and numbers on the other. Those numbers are random and will be used to compare how you sort the cards with how other research participants sort them

Step 2: Please sort all 42 cards onto the response grid provided, ordering them in terms of how much you agree or disagree with each statement. The bottom of the grid is numbered from -4 to 4. Please use -4 for the statements you disagree the most with, and 4 for those you agree the most with. As you will soon see, the method will force you to prioritize as you sort. We know that there might be more than two phrases that you strongly agree with (or disagree with) but, for the purpose of this exercise, you must follow the grid. You can move the cards around as much as you want until you are happy with it.

-4	-4	-3	-3	-3	-3	-2	-2	-2	-2	-2	-1	-1	-1	-1	-1	-1	0	0	0	0

0	0	0	0	+1	+1	+1	+1	+1	+1	+2	+2	+2	+2	+2	+3	+3	+3	+3	+4	+4

6 Q-Methodology questionnaire: Continued

Step 3: Once you are done sorting, I will ask you to take me through your sorting. If you feel like you want to change cards around at this point, please do so. I would like you to tell me more about the six statements you agreed with the most (+4 and +3), the six you agreed with the least (-3 and -4), and two phrases that I will select from those you sorted in the neutral area (0). For <u>each</u> statement, I would like you to: tell me why you set it where you did (e.g. why -3 and not -4, and vice versa), and give me a specific example for <u>each</u> card based on your experience of MSFs.

-4	
-4	
-3	
-3	
-3	
-3	
0	
0	
+3	
+3	
+3	
+3	
+4	
+4	

You must run both the Q-sort and Q-sort discussion before moving on to the following questions.
If your respondent is an MSF organizer, stop here.

You should have already completed the TOC Interview with this organizer. If not, carry it out now.

7 Participant questionnaire

Who/how?

You will run this interview with 25–30 participants to the MSF you are studying, right after running Q-Methodology with them.

Why?

The questionnaire will build up our understanding of how stakeholders think about the key issues around land use and land-use change where they live, and about the power relations between the stakeholders in this context. This will help us understand what reasonable expectation there is that the proposals emerging from the MSF are meaningful.

Keep in mind

Our two central research questions are about:
1. Equity: Are/were the process and outcomes equitable? What is the evidence? How did/does the MSF address the power differentials among actors? Do they do this in a way that carries over outside the MSF, or that will have impact on and beyond the decisions of the MSF?
2. Effectiveness: Are/were the outcomes effective? What is the evidence? If successful, how does the MSF get people to adopt more sustainable ways of managing land? If not, why not?

Remember

- Ask all questions as they stand (do not amend any unless you have been instructed to do so).
- Take down interview notes in relation to **each** question, do not bunch up your notes by section or write down a summary answer for a set of sub-questions.
- If your respondent refuses to or cannot answer a question, note this down and explain why.
- Ask your interlocutors to explain their answers with **specific examples** of events that took place during the MSF or of issues within their land use and land-use change context.
- Save any notes that do not fit under these questions for your report.

7 Participant questionnaire

Instructions for Interviewees

The Center for International Forestry Research (CIFOR) is conducting a research project about multi-stakeholder forums. We define MSFs as purposely organized interactive processes that bring together a range of stakeholders to participate in dialogue and/or decision making and/or implementation of actions seeking to address a problem they hold in common or achieve a goal for their common benefit. We are interested in your experience of Forum X and would like to hold an interview with you during which we will ask you specific questions about your experience of it. In general, we want to understand how the forum worked, its impact on land use/land-use change in [region X], and what issues may have affected this impact. **Please explain all your answers by referring to specific examples of your experience of MSF X.**

Your contribution is very important to us! Your responses will be anonymous. We would like to include your name in a list of people interviewed only: Do you give your permission?

_____ yes, that's fine _____ no, I prefer not to

7.1.a. Tell me about yourself. How have you been involved in issues related to land use and land-use change? [Prompt: Planning, regulations, farming, working for conservation, etc.]	
7.1.b. I have classified you as [LULUC priority, entity, etc.]. Do you agree with that classification? These categories do not give the whole spectrum of what you represent, but only the aspects we think are most relevant for this study.	

The following questions are about your participation in MSF X. Please explain all your answers with clear examples.

7.2.a. How many meetings are there per year? How many did you attend in the last year? [Example]	
7.2.b. Why did you participate in the MSF? How were you selected? (By your organization AND by the organizer/convenor) [Example]	
7.2.c. Do you represent a particular group of people or 'interest group'?	
7.2.d. What does 'representation' mean to you? How do/did you play this role? [Example]	
7.2.e. What did you expect to achieve from your participation? What did you achieve? [Example]	

The following questions are about the MSF's outcomes [if none yet, skip]. Please explain all your answers with clear examples.

7.3.a. To what extent do you believe the activities/outcome of the MSF actually addressed/are addressing the underlying causes of unsustainable land use? [Great Extent / Somewhat / Very Little / Not at All] [Explain with an example]	
7.3.b. To what extent do you believe the outcome was/will be equitable? [Great Extent / Somewhat / Very Little / Not at All] [Explain with an example]	
7.3.c.i. What evidence do you base that on? [Ask for clear examples here] If you have documentation, can we have a copy?	
7.3.c.ii. What prevented/might prevent further equity? What would have made it more equitable?	

7 Participant questionnaire: Continued

7.3.d. To what extent do you believe the outcome was/will be effective? [Great Extent / Somewhat / Very Little / Not at All] [Explain]	
7.3.d.i. What evidence do you base that on? [Ask for clear examples here] If you have documentation, can we have a copy?	
7.3.d.ii. What prevented/may prevent further effectiveness? What would have made it more effective?	
The following questions are about the MSF's overall impact [if none yet, ask with regard to experience to date]. Please explain all your answers with clear examples.	
7.4.a. What were/have been the most important benefits/successes brought about by the MSF? [Prompt: Legitimacy, equity, alliances, unintended benefits]	
7.4.b. What were/have been its main problems/ challenges/failures? [Prompt: Legitimacy, equity, unintended consequences, unequal power relations among participants, conflicting interests, failure to implement its outcome]	
7.4.c. To what extent did/does the MSF address power differentials between its participants in the LULUC context it sought to address? [Great Extent / Somewhat / Very Little / Not at All] [Explain]	
7.4.d. To what extent did/might the MSF have an impact in leveling the playing field more generally (e.g. outside the specific LULUC issue it dealt with) in the region where it was set? [Great Extent / Somewhat / Very Little / Not at All] [Explain]	
7.5.a. MSFs have been proposed as a transformative solution for more equitable and effective decision-making processes. Based on your experience, do you agree? [Great Extent / Somewhat / Very Little / Not at All] [Explain]	
7.5.b. Can you think of a better (e.g. non-MSF) solution to the issue the MSF sought to address? [Explain with examples.]	
7.6. Do you have any other final comments on land-use change and/or MSFs in your area?	

8 Non-participant and context questionnaire

Who/how?

You will run this interview with ten non-participants of the MSF, keeping a balance between government (different levels/offices), NGOs, grassroots organizations (IP/LCs), private sector actors (if available), and those with environment or production land use and land-use change priorities. Be mindful that you should try to interview as many women in relation to the number of men as possible.

Why?

To build up your understanding of how your interlocutors understand the key issues around land use and land-use change where they live and the power relations between the key stakeholders within this context. This questionnaire, with your desk research and Section 4, will inform the historical overview that will go in your report. If you know of any historical events that you think are key to why the MSF works the way it does, use them as a prompt for question 8.2.a. and/or 8.2.c.

Keep in mind

Our two central research questions are about
1. Equity: How did/does the MSF address the power differentials among actors? Do they do this in a way that carries over outside the MSF, or that will have impact on and beyond the decisions of the MSF?
2. Effectiveness: How does the MSF get people to adopt more sustainable ways of managing land?

Remember

- All of these interviews **must be recorded** and uploaded onto the project's Dropbox.
- Ask all questions as they stand (do not amend any unless you have been instructed to do so).
- Take down interview notes in relation to **each** question, do not write down a summary answer for a set of sub-questions.
- If your respondent refuses to or cannot answer a question, note this down and explain why.
- Ask your interlocutors to **explain all of their answers**, and ask them to give you **specific examples** of events that took place during the MSF or of issues within their LULUC context.
- Any notes that do not fit under these questions should be entered into a final section called 'Other'. These will be very important for your report.

8 Non-participant and context questionnaire

Instructions for Interviewees

The Center for International Forestry Research (CIFOR) is conducting a research project about multi-stakeholder initiatives. We define MSFs as purposely organized interactive processes that bring together a range of stakeholders to participate in dialogue and/or decision making and/or implementation of actions seeking to address a problem they hold in common or achieve a goal for their common benefit. [Include an example from a well-known local/national MSF]. Although you did not participate in MSF X, we are interested in learning about your perception of what it sought to do and its outcome, and will ask you questions that will allow us to understand the kind of impact it has had on land use/land-use change in your (region/state/district/municipality). We would also be very grateful if you could help us examine the general context of your (region/state/district/municipality) in regard to land-use change so that we can understand the issues that may affect the functioning and outcomes of MSFs.

Your contribution is very important to us! Your responses will be anonymous. We would like to include your name in a list of people interviewed only: Do you give your permission?

_____ yes, that's fine _____ no, I prefer not to

8.1.a. Tell me about yourself. How have you been involved in issues related to land use and land-use change? [Prompt - planning, regulations, farming, working for conservation, etc.]	
8.1.b. I have classified you as [LULUC priority, entity, etc.]. Do you agree with that classification? These categories do not give the whole spectrum of what you represent, but only the aspects we think are most relevant for this study.	
The following questions are about the key actors in regard to land-use change in your area. Please explain all your answers with clear examples.	
8.2.a. In your opinion, who are the main actors contributing to deforestation and forest degradation? [Explain]	
8.2.b. In your opinion, who are the main actors promoting or involved in alternative land-use activities such as forest conservation, reforestation, afforestation, REDD+? [Explain]	
8.3.a. What determines power in terms of an actor's ability to impact (making it worse or addressing it) deforestation and degradation? Explain your answer by setting out which of all the actors you mentioned in your two previous answers were the three most powerful and three least powerful agents in terms of their ability to impact deforestation and degradation in your region in the past two years? [Explain]	
8.4.b. Which of these actors do you think are most likely to have a positive influence on MSF? X How can this be nurtured or enhanced? [Explain]	
8.4.c. Which of these actors do you think are most likely to have a negative influence on MSF X? How can this be countered or mitigated? [Explain]	
8.4.d. In your opinion, whose needs, interests, and expectations are most likely to be met by MSF X? Why? [Explain]	

8 Non-participant and context questionnaire: Continued

The following questions are about MSF X. Please explain all your answers with clear examples.	
8.5.a. Why did you not participate in MSF X?	
8.5.b. If invited but did not take part - why were you invited and why did you not take part? [Note N/A if not invited] Do you take part in any other non-MSF land-use change initiatives? [Explain]	
8.5.c. Have you previously taken part in an MSF? Why? [Example]	
8.5.d. What may affect a stakeholder's ability or desire to participate in an MSF? [Prompt – cost, perceived legitimacy, possibility of achieving a positive result, etc.] [Explain]	
8.6.a. How well do you think that your organization's views were represented at the MSF? Why? [Example]	
8.6.b. Were your own personal views represented at the MSF? How / why? [Example]	
The following questions are about your perception of the MSF's outcome. Please explain all your answers with clear examples.	
8.7.a. Were you affected by the MSF's outcome? How? [Example]	
8.7.b. To what extent do you believe the outcome was equitable? [Great Extent / Somewhat / Very Little / Not at All - Explain]	
8.7.b.i. What evidence do you base that on? [Ask for clear examples here]	
8.7.b.ii. What prevented further equity? What would have made it more equitable?	
8.7.c. To what extent do you believe the outcome was effective? [Great Extent / Somewhat / Very Little / Not at All - Explain]	
8.7.c.i. What evidence do you base that on? [Ask for clear examples here]	
8.7.c.ii. What prevented further effectiveness? What would have made it more effective? [Explain]	
8.7.d. Have there been any challenges/ opportunities to the implementation of the outcome(s)? [*Prompt – lack of technical capacities, funds, political will, interest, conflicts, different interpretations/expectations of its outcome*] [Explain]	
8.8.a. To what extent do you believe the activities/outcome of the MSF actually addressed the underlying causes of land-use change? [Great Extent / Somewhat / Very Little / Not at All - [Explain]	

8 Non-participant and context questionnaire: Continued

8.8.b. What is required for stakeholders contributing to deforestation and degradation to change their land-use practices? What types of incentives would MSF outcomes need to provide them to make their practices more sustainable? [Explain]	
8.8.c. What other non-MSF actions should be implemented by different stakeholders to address the drivers of land-use change? [Explain]	
8.9.a. MSFs have been proposed as a transformative solution for more equitable and effective decision-making processes. Based on your experience, do you agree? [Great Extent / Somewhat / Very Little / Not at All - Explain]	
8.9.b. What do you think would be a better solution to this issue? [Explain]	
8.10. Do you have any other final comments on land-use change and/or MSFs in your area? [Explain]	

9 Partial participant questionnaire

Who/how?

This questionnaire is for only extraordinary purposes (e.g. an informant that is officially a participant but rarely attends or stopped attending meetings). **It will only work if the majority of your interlocutors answer the participant questionnaire in full**, as we are omitting some important questions on the kinds of stakeholders that take/took part in the MSF, among other questions.

Why?

The questionnaire will build up our understanding of how stakeholders think about the key issues around land use and land-use change where they live, and about the power relations between the stakeholders in this context. This will help us understand what reasonable expectation there is that the proposals emerging from the MSF are meaningful.

Keep in mind

Our two central research questions are about:
1. Equity: Are/were the process and outcomes equitable? What is the evidence? How did/does the MSF address the power differentials among actors? Do they do this in a way that carries over outside the MSF, or that will have impact on and beyond the decisions of the MSF?
2. Effectiveness: Are/were the outcomes effective? What is the evidence? If successful, how does the MSF get people to adopt more sustainable ways of managing land? If not, why not?

Remember

- Ask all questions as they stand (do not amend any unless you have been instructed to do so).
- Take down interview notes in relation to **each** question, do not bunch up your notes by section or write down a summary answer for a set of sub-questions.
- If your respondent refuses to or cannot answer a question, note this down and explain why.
- Ask your interlocutors to explain their answers with **specific examples** of events that took place during the MSF or of issues within their land use and land-use change context.
- Save any notes that do not fit under these questions for your report.

9 Partial participant questionnaire

Instructions for Interviewees

The Center for International Forestry Research (CIFOR) is conducting a research project about multi-stakeholder forums. We define MSFs as purposely organized interactive processes that bring together a range of stakeholders to participate in dialogue and/or decision making and/or implementation of actions seeking to address a problem they hold in common or achieve a goal for their common benefit. We are interested in your experience of Forum X and would like to hold an interview with you during which we will ask you specific questions about your experience of it. In general, we want to understand how the forum worked, its impact on land use/land-use change in [region X] and what issues might have affected this impact. **Please explain all your answers by referring to specific examples of your experience of MSF X.**

Your contribution is very important to us! Your responses will be anonymous. We would like to include your name in a list of people interviewed only: do you give your permission?
_____ yes, that's fine _____ no, I prefer not to

The following questions are about MSF X. Please explain all your answers with clear examples.	
9.1.a. Tell me about yourself. How have you been involved in issues related to land use and land-use change? [Prompt: planning, regulations, farming, working for conservation, etc.]	
9.1.b. I have classified you as [LULUC priority, entity, etc.]. Do you agree with that classification? These categories do not give the whole spectrum of what you represent, but only the aspects we think are most relevant for this study.	

The following questions are about your participation in MSF X. Please explain all your answers with clear examples.	
9.2.a. How many meetings are there per year? How many did you attend in the last year? [Example]	
9.2.b. Why did you participate in the MSF? How were you selected? (By your organization AND by the organizer/convenor?) [Example]	
9.3.a. Do you represent a particular group of people or 'interest group'? What does 'representation' mean to you? How do/did you play this role? [Example]	
9.3.b. What did you expect to achieve from your participation? What did you achieve? [Example]	
9.3.c. Why did you stop attending?	
9.3.d. What may affect any other stakeholder(s)'s ability or desire to participate in an MSF? [Prompt: Cost, perceived legitimacy, possibility of achieving a positive result, etc.] [Explain]	

The following questions are about your perception of the MSF's outcome. Please explain all your answers with clear examples.	
9.4.a. Were you affected by the MSF's outcome? How? [Example]	
9.4.b. Do you think you would have been able to make a difference on the MSF's outcome had you carried on participating? [Explain]	
9.4.c. In your opinion, what stakeholder(s)'s needs, interests and expectations are most likely to be met by MSF X's outcome? Why? [Explain]	

9 Partial participant questionnaire: Continued

9.4.d. In your opinion, what stakeholder(s)'s needs, interests and expectations are least likely to be met by MSF X's outcome? Why? [Explain]	
9.4.e. To what extent do you believe the outcome was equitable? [Great Extent / Somewhat / Very Little / Not at All] [Explain]	
9.4.e.i. What evidence do you base that on? [Ask for clear examples here]	
9.4.e.ii. What prevented further equity? What would have made it more equitable?	
9.4.f. To what extent do you believe the outcome was effective? [Great Extent / Somewhat / Very Little / Not at All] [Explain]	
9.4.f.i. What evidence do you base that on? [Ask for clear examples here]	
9.4.f.ii. What prevented further effectiveness? What would have made it more effective? [Explain]	
9.4.g. Have there been any challenges/opportunities to the implementation of the outcome(s)? [Prompt: Lack of technical capacities, funds, political will, interest, conflicts, different interpretations/ expectations of its outcome] [Explain]	
9.5.a. To what extent do you believe the activities/ outcome of the MSF actually addressed the underlying causes of land-use change? [Great Extent / Somewhat / Very Little / Not at All] [Explain]	
9.5.b. What is required for stakeholders contributing to deforestation and degradation to change their land-use practices? What types of incentives would MSF outcomes need to provide them to make their practices more sustainable? [Explain]	
9.6.a. MSFs have been proposed as a transformative solution for more equitable and effective decision-making processes. Based on your experience, do you agree? [Great Extent / Somewhat / Very Little / Not at All] [Explain]	
9.6.b. What do you think would be a better solution to this issue? [Explain]	
9.7. Do you have any other final comments on land-use change and/or MSFs in your area?	

10 Non-participant focus group questionnaire

Who/how?

You will run this focus group with three different groups of 6–10 non-participants to the MSF, in two different indigenous communities.

After presenting the project to the communal assembly, and depending on the availability of those present, you will invite the community to designate/elect one mixed group of 6–10 women/men, a second group of 6–10 women, and a third group of 6–10 men. No person will take part in more than one group.

Why?

Because we have found that indigenous organizations do not fully represent the views of the communities that they represent, for different reasons. These focus groups, and any information you may access outside of it, will broaden our picture of the potential equity and effectiveness of the MSFs we're studying.

Keep in mind

Our two central research questions are about
1. Equity: How did/does the MSF address the power differentials among actors? Do they do this in a way that carries over outside the MSF, or that will have impact on and beyond the decisions of the MSF?
2. Effectiveness: How does the MSF get people to adopt more sustainable ways of managing land?

Remember

- All of these interviews **must be recorded** and uploaded onto the project's Dropbox.
- Ask all questions as they stand (do not amend any unless you have been instructed to do so).
- Take down interview notes in relation to **each** question, do not write down a summary answer for a set of sub-questions.
- If your respondent refuses to or cannot answer a question, note this down and explain why.
- Ask your interlocutors to **explain all of their answers**, and ask them to give you **specific examples** of events that took place during the MSF or of issues within their land use and land-use change context.
- Any notes that do not fit under these questions should be entered into a final section called 'Other'. These will be very important for your report.

10 Non-participant focus group questionnaire

Instructions for Interviewees

The Center for International Forestry Research (CIFOR) is conducting a research project about multi-stakeholder initiatives. We define MSFs as purposely organized interactive processes that bring together a range of stakeholders to participate in dialogue and/or decision making and/or implementation of actions seeking to address a problem they hold in common or achieve a goal for their common benefit. [Include an example from a well-known local/national MSF]. Although you did not participate in MSF X, we are interested in learning about what you think about what it does and how it affects you.

Your contribution is very important to us! Your responses will be anonymous. We would like to include your name in a list of people interviewed only: Do you give your permission?
_____ yes, that's fine _____ no, I prefer not to

10.1. What do you know about MSF X? About Protected Area X?	*Quick opening question to get everyone on the same page – you might have to explain what the Comite de Gestion does, but do so 'neutrally' as described by what it is actually meant to do by law.*
10.2. How well do you think that your community's views and needs/priorities are/were represented at the MSF? Why?	***This should not take long to answer – they will either be well represented and well informed or they will not. They will be optimistic or pessimistic, or both.***
10.3. Whose needs, interests and expectations are most likely to be met by how MSF X manages PA X currently? Why?	
10.4. How is the current management of PA X by MSF X affecting your community? You personally? [Prompt: How you use the forest, ability to make money, etc.]	
10.5.a. What would you do differently if this group, participating right here in this discussion, was in charge of organizing the MSF X for managing PA X?	***This will be the core of the focus group. [3.d. depends on the focus of the MSF – is it to manage the protected area? Making rules for its management?]***
10.5.b. How would you organize the discussion to make decisions?	
10.5.c. Who would you invite to participate and why?	
10.5.d. Would you have quotas? For IPs, women, others? Why or why not? [What difference would they make?]	
10.5.e. How would you propose addressing (the focus of the MSF)?	
10.6. Do you have any other final comments on [Protected Area X] and/or land-use change and/or MSF X?	*Closing question*

This **Methods training manual and tools for in-depth field research** sets out the rationale and method for CIFOR's research on multi-stakeholder forums (MSFs). It was specifically designed to examine MSFs set up to address land use and land-use change at the subnational level in Brazil, Ethiopia, Indonesia, and Peru. This manual should be read in tandem with the project's **Framing literature review for in-depth field research**.

MSFs are purposely organized interactive processes that bring together a range of stakeholders to participate in dialogue, decision-making and/or implementation regarding actions seeking to address a problem they hold in common, or to achieve a goal for their common benefit. The growth of MSFs related to land use/land-use change reflects the awareness that environmental problems cannot be addressed without the effective engagement of the actors that determine land-use practices on the ground; nor can such problems be resolved within a conservation community when the drivers are located in other sectors. MSFs may produce more effective and sustainable outcomes by getting sectors and actors that have commonly held contradictory development priorities to coordinate and align goals through discussion, negotiation and planning. Nevertheless, MSFs may also be an expedient way to implement top-down approaches and create the illusion of participation. Scholars and activists note that 'MSF' may reify top-down approaches, and take the 'participation' of local stakeholders for granted in box-ticking exercises to please donors.

This research is timely because MSFs have received renewed attention from policy makers and development and conservation practitioners, in light of the growing perception of urgency to address climate change and transform development trajectories. The comparative project aims to contribute empirically to the study of MSFs and similar participatory processes. We hope others will find this manual useful for designing similar research initiatives.

cifor.org   **forestsnews.cifor.org**

Center for International Forestry Research (CIFOR)
CIFOR advances human well-being, equity and environmental integrity by conducting innovative research, developing partners' capacity, and actively engaging in dialogue with all stakeholders to inform policies and practices that affect forests and people. CIFOR is a CGIAR Research Center, and leads the CGIAR Research Program on Forests, Trees and Agroforestry (FTA). Our headquarters are in Bogor, Indonesia, with offices in Nairobi, Kenya; Yaounde, Cameroon; Lima, Peru and Bonn, Germany.