Breaking Ground

CONVENING MULTI STAKEHOLDER POLICY DEVELOPMENT: A SHORT GUIDE AND AN OFF-WORLD CASE STUDY

This document is designed to show you how to bring people together to deliberate and form proposals for complex issues. We will teach you the basics of how to design a process to take a multi stakeholder group through learning, alignment and generating workable concepts to put into practice. In short, we're talking about a process with a few key steps:

1) Design	5) Foundations
2) Select	6) Expert input
3) Enroll	7) Concept development
4) Kickoff	8) Proposal refinement

These steps bring people together in a sequence of sessions designed to create respectful connections, open their mind, address the issues, and form a path forward. You might use this within an organization, or between countries, it's very malleable. In essence, it's a design process that maximizes the use of stakeholder wisdom to drive good results.

The social mechanics of such processes are complex enough that they require sufficient staffing and appropriate skill sets to project manage, deliver the experience and drive outcomes. For a multi stakeholder policy development process that brings together 10-15 stakeholders and addresses complex issues, you may need 3-6 months and 5-10 sessions of 2+ hours each, and likely a minimum of one full time person with appropriate skills supporting it to succeed.

This document will provide a starting point for you to replicate this process in your own context. This work is supported by the Open Lunar Foundation to encourage effective governance of resources in space and on Earth

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CONTEXT: BREAKING GROUND TRUST & THE DELIBERATION ON OUR RESOURCE RIGHTS (DOORR)

The Breaking Ground Trust is a perpetual purpose trust legally required to demonstrate effective stakeholder management of lunar resources. The Trust was created by the Open Lunar Foundation to showcase and promote practical space resource governance policies to inspire and set positive precedents for the lunar economy. Outer space may seem obscure and disconnected from issues of water, social equity, pandemic management and more, however it is more similar than many appreciate. Fundamentally, outer space is an area beyond national jurisdiction and thus the issue of space resource governance is a reflection of managing resource-sharing and cooperation challenges anywhere where an existing legal jurisdiction cannot solve the problem.
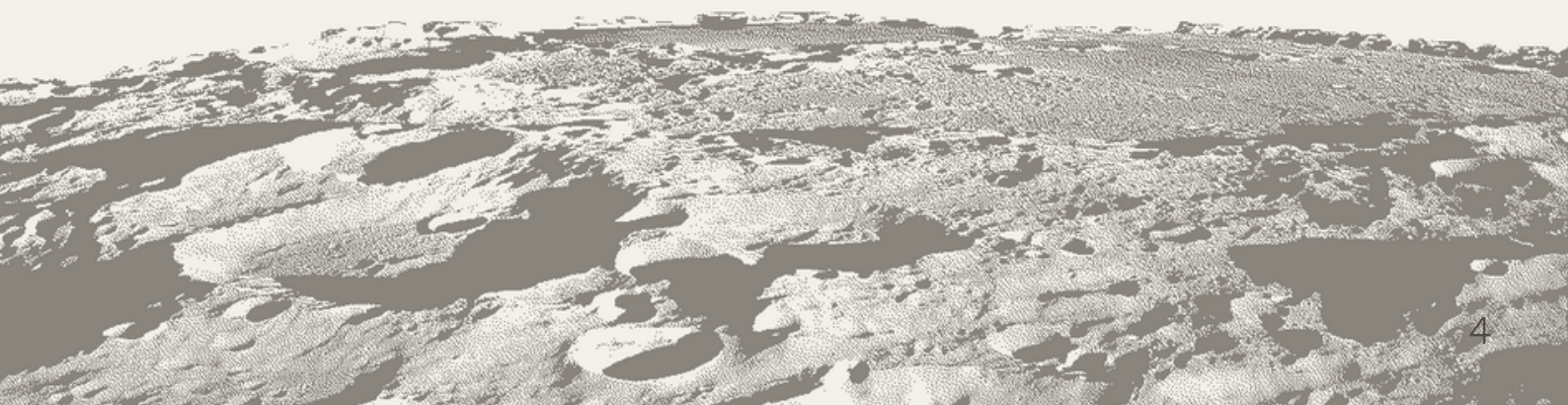
Resource management and property rights beyond Earth are in the process of being defined by the international community of state and commercial actors conducting missions. The Breaking Ground Trust convened a 5 month long policy development process called "DOORR" involving 11 experts from different stakeholder groups globally to build recommendations for how lunar resources should be managed by the trust.

WHY DELIBERATIVE POLICY DEVELOPMENT?

Most policy is formed politically. From schools to companies, housing associations to congress or parliaments there are persistent power dynamics involved in who has a say. Popular policy making models involving elected representatives have a range of issues including low inclusion, vested interests, low complexity tolerance, optimization for popularity or marketability, and low incentive to learn. A particularly tricky reality is that most decisions about issues in the 2020s and beyond are not just technically complicated, they're dynamic, interrelated and mutually reinforcing. What we do to modify wildfire management touches watershed management which impacts urban zoning plans then affecting housing prices and supply. Issues that cut across multiple fields of expertise, different segments of the population, and a complex web of factors demand a high-learning, high-empathy decision making environment. People involved in complex policy making should participate with an authentic desire to produce a good result. Deliberative decision making can be conducted in small groups of people who represent a variety of stakeholder perspectives and expertise, and it can complement existing traditional governance structures to be pragmatic within existing constraints. This is already utilised in cases such as the 'Citizens Convention For Climate' in France. Whatever your application, using intentional, well designed sequences of discussions between carefully selected stakeholder representatives will support good governance. https://www.amacad.org/publication/twelve-key-findings-deliberative-democracy-research
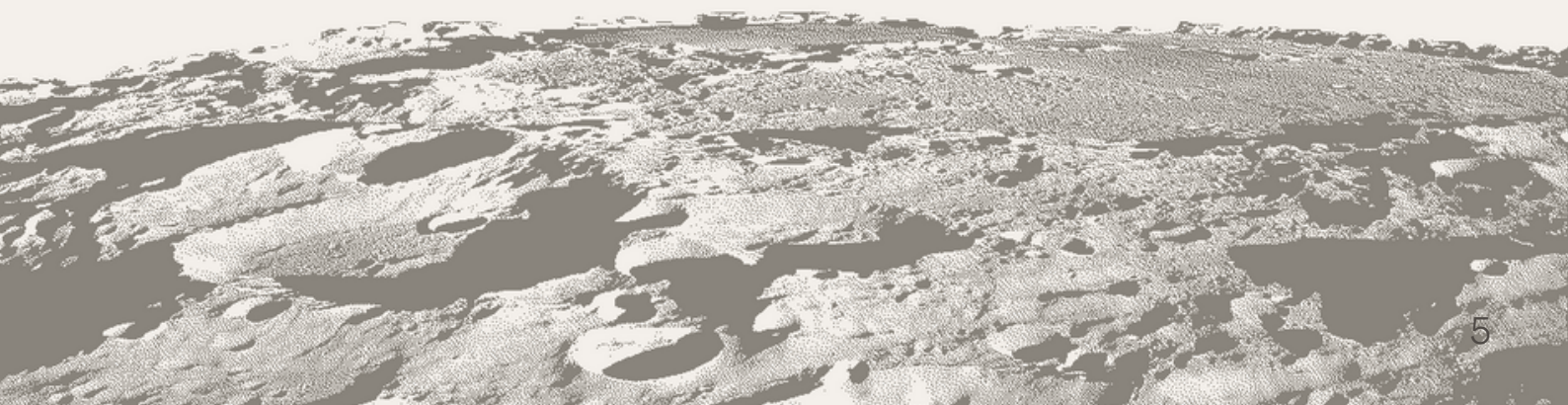
STANDARD PROCESS GUIDELINES

| Stage	How-to	Timing Example
Design	Plan your goals, scope, budget, timeframes, stakeholder types and size of group. Define success and resourcing. Decide design constraints like online/offline, full days or half days. If you're inside an institution you'll need to use this time to enroll all the major internal stakeholders which will support this to happen. Hire a facilitator if you don't have one.	Two Months
Selection	Identify what types of stakeholders you want to include, and build a multiple-criteria outline of the attributes and prerequisites for participation (sufficient time availability, location variety, demographic diversity). Compile your list of people you could involve, and select from it using a selection process of your choice.	
Enrolling	Contact everyone you wish to be involved and have 1-1 meetings with them to ensure they understand the responsibilities, and build excitement.	

Stage	How-to	Timing Example
Kick-off	Send out a group email to all involved to formally begin the work together and establish the shared norms and plans ahead, and set up an online discussion space if appropriate for people to talk between sessions. Schedule all the sessions upfront to avoid constant calendar adjustments.	Two Months
Relationships and Foundations	Convene the first session around building relationships and a sense of shared purpose. Example Agenda: • Welcome and formal beginning • Personal stories - who are you and why did you show up • The plan for our work and the purpose of this project	
Testimony/ Expert input	Educate the group. Invite experts from the field to do short presentations for the group over multiple sessions. This will need to be prepared in advance, scheduling with key voices who may be busy and thus need to be organized during the "enrollment" phase.	One month

Stage	How-to	Timing Example
Concept Development	Facilitate reflection and individual thinking time, as well as group discussion of ideas and brainstorming early options.	One month
Proposal refinement	Define a clear set of options to take forward, refine them through further discussion. Have smaller groups work on details, and large group consensus building through big group discussions. You can also vote during this phase, if voting is part of a process you want to run. Narrow down the options, and summarize the key outcomes. Refine those outcomes together.	Two weeks
Closure	Confirm the group supports the outcomes of the deliberation, confirm the uses of the outputs and the ways to communicate them.	Two weeks
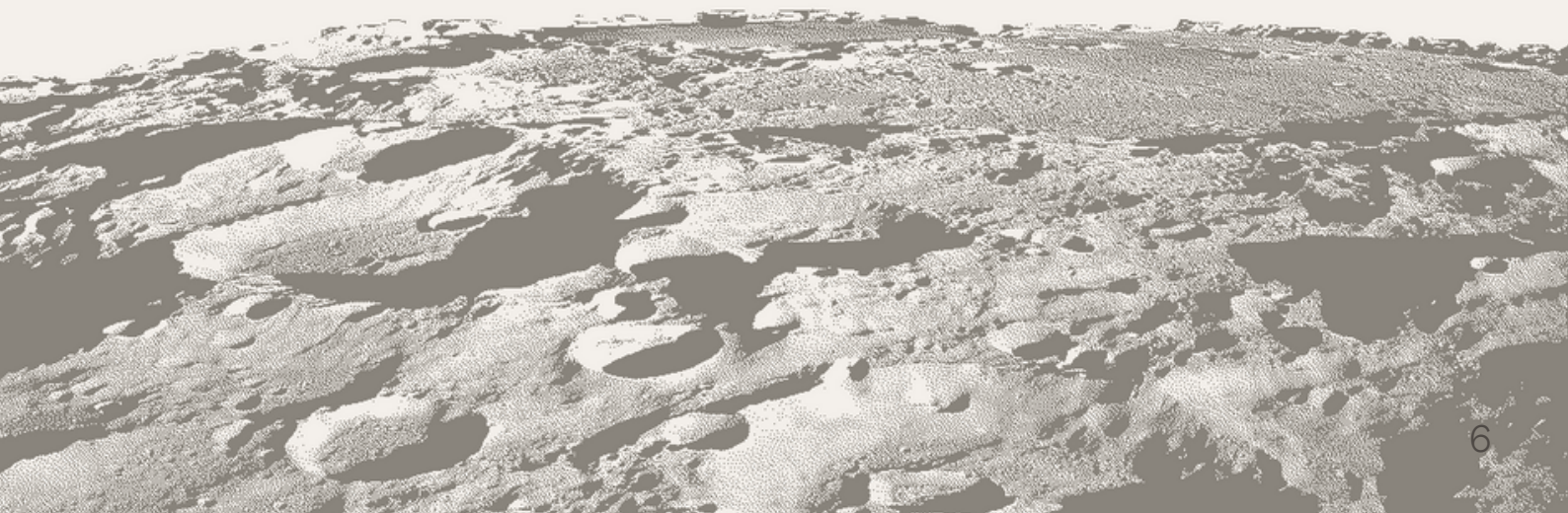
RISKS TO MANAGE:

- **Group Size:**
  Ensure the group is not unwieldy to coordinate. If the group exceeds 10-15 people you will need to frequently operate multiple subgroups to maintain conversation flow, and ensure everyone is expressing themselves effectively. It is always tempting to add more people from more specific stakeholdership perspectives, but unless you can resource that effectively and support them all to participate well it won't add more value necessarily and may make participation feel tokenistic.

- **Facilitation Skills:**
  It is useful to have more than one person involved who understands how to support an effective group process, but at a minimum you will need one skilled facilitator. With a risk of insufficient facilitation skills, ensure the facilitator is supported with coaches and mentors.

- **Losing Focus:**
  There are a lot of ways to get off-track, but a few examples are: the discussions becoming very emotional and overly focussed on individuals, getting stuck in one section of the conversation over multiple sessions, unpacking complexities endlessly so the conversations feel divergent and ideas focused and do not converge. Manage through tighter facilitation and getting consent to move forward.

- **Expectations vs Reality:**
  It is common for people to feel unsure whether a process is "going how it's supposed to". This can make people self conscious, or doubt the usefulness of participating. To prevent this, continuously provide reminders that the process has phases and explain what can be expected in each before and during each.

COST AND RESOURCING

A standard team for delivery: 0.5FTE Facilitator | 0.5FTE Project Manager | 0.2FTE Executive/Sponsor | 0.2FTE Admin.
Assume this staffing is required for two months of preparation and 4-6 months of delivery and one month of wrap up.
Costs are primarily staff time, but also include technology costs and costs of attendance. The latter could vary widely depending on whether you pay a stipend for participation, or offer reimbursements such as cost of childcare.

EXTRA TECHNIQUES WHICH HELPED DURING DOORR THAT YOU MIGHT WANT TO CONSIDER

- Send a clear agenda, summary notes from previous session and timing confirmation 1-2 days prior to each session
- Referred to the sessions as "sessions", never "meetings"
- Ensure in depth notes are taken and write summaries to send between each session
- Reflect as a staff team after each session to refine the agenda for the next
- Record every session and make a 3-4 minute video edit of highlights from each to play at the beginning of the next one
- Don't reschedule a session unless a majority are unavailable. Set the expectation that this is consistent and involves reliability of all involved.

CONCLUSION

Deliberative policy development is applicable to many scenarios so we are sharing our blueprint for use by others. In our case we are modeling stakeholder driven management of lunar resources as a demonstration of resource rights outside of any national jurisdiction. As you utilize these concepts, remember to consider the overall design of your process, who should be involved, and the sequence or flow of a series of discussions over time. It's essential to resource your team effectively to have the skills to deliver this experience to a clear outcome.
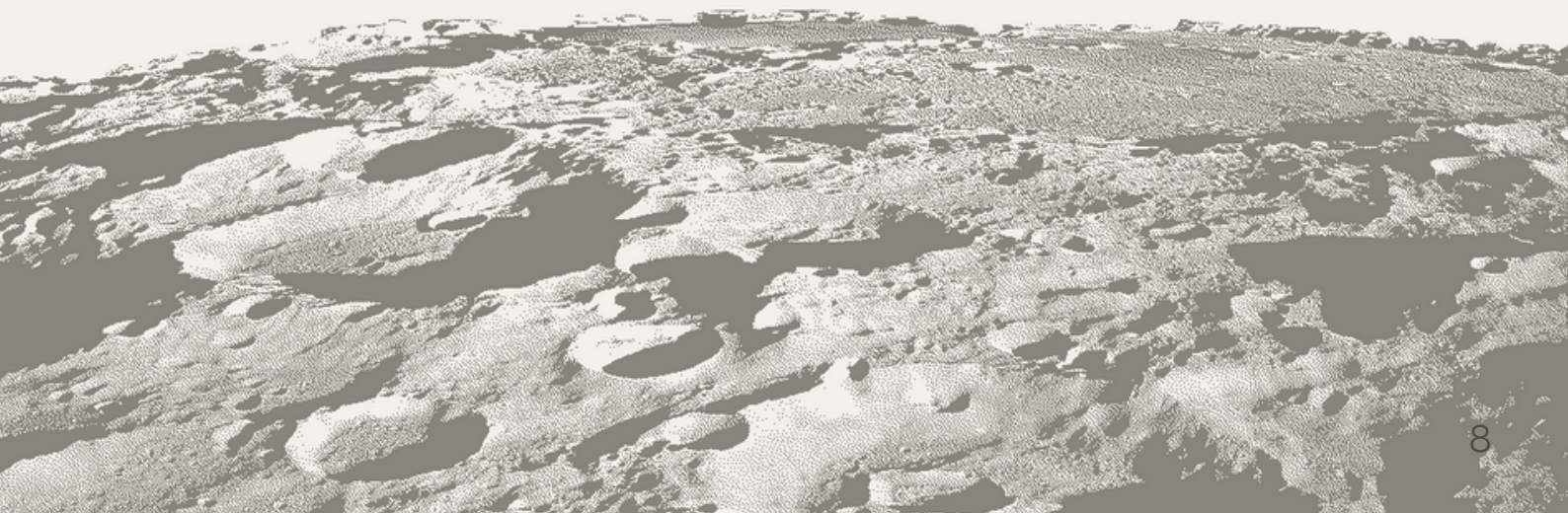
APPENDIX 1 - DESIGNING DELIBERATION: KEY IDEAS

This table shows a synthesis of typical phases of work completed in policy deliberation. This particular expression draws on a variety of major schools of thought but is not from one specific lineage.

Conditions	Getting the right people involved, setting the tone & clarifying mandate.
Familiarizing	Build rapport, dissolve power distance, personal introductions and relationship building conversations.
Direction setting	Establish the content focus of the work, including hearing all the points of view from folks involved, and setting the shared agenda.
Learning	Large input of facts, figures, stories, evidence, case studies. Drown in information. Practice not resisting information that appears divergent.
Orienting	Talk at length about how to make sense of all this information and what it appears to mean for the needs at hand.
Opening	Personally generating ideas as an individual: What can I see as being possible? What can I get behind?
Concept development	Articulating ideas which pop up as being good starting points. Use creative momentum to come up with a lot of ideas.
Practical application	Clarify and refine ideas into something pragmatic. Plan how to try it and evaluate it with evidence.

DESIGN PRINCIPLES

You will design according to the values and priorities of your context, however these are some important cornerstones of process design to consider, and key resources to refer to:

Phased Approach
Otto Scharmer's Theory U to inform phases of discussion from information gathering to ideation and productivity.

Group commitment
Peter Block's "Six Conversations" for commitment.

Preparatory buy-in
Dialog Interviews as a precursor to group time together.

"Good enough"-ness
Art of Hosting's Open Space Principles "The people who are here are the right people, and the conversations we have are the ones we needed to have".

Prototyping > Planning
"Agile", "Design thinking" and "Adaptive Governance" from terrestrial ecosystem management to clarify complexity by interfering with it.

Go Beyond Reports
"Reports recommending action seem to be drowning out action. It's as if we believe that writing a report is 90 percent of the work." - Zaid Hassan.
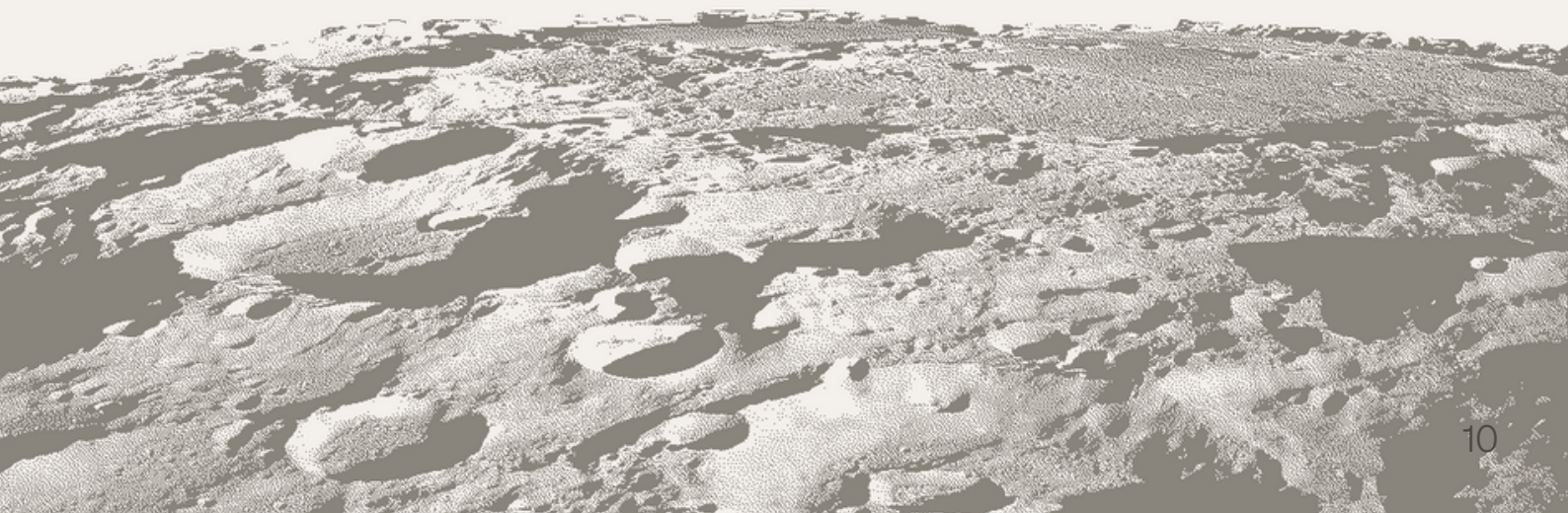
APPENDIX 2 - SELECTION CRITERIA TABLE FOR DOORR

To select the DOORR delegates we filled out 3-5 names per box on this table (below). We identified the key types of expertise and stakeholdership which would benefit the process to gain outcomes which are meaningful across the industry and beyond, and listed that in a table against geographic location to ensure a global set of viewpoints. We used the concept of delegates wearing "hats" to signal that each delegate might wear multiple hats, and that it was not that one person was the singular representative of the entire field, but instead their experience was one of the hats they wear. For example someone might be both an engineer and work in a commercial company position. The culture around this in the group itself was positive and ensured that no one saw each other as coming from one vantage point or having a vested interest to push their views from one side only. During selection for DOORR, we crowdsourced suggestions from our acquaintances to find suggestions for each box, and then did research, reference checks and interviews to invite participation of people who would join as delegates. We had to be very careful to not over emphasize the US perspective since so much space knowledge is in the US that was the biggest challenge during selection. Some perspectives were not available and we attempted to compensate for this using the expert input. Selection was conducted by the facilitation and convening team.

	Geographical Location					
	North America	South America	Oceania /Antarctica	Asia	Europe	Africa
Engineer Hat						
Geology Hat						
Chemistry Hat						
International Security Hat						

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	North America	South America	Oceania /Antarctica	Asia	Europe	Africa
Astronaut Hat						
Economic Hat						
Business/ Industry Hat						
International Space Law Hat						
Property Rights Hat						
Historian Hat						
Rights of nature/ environment Hat						
Human Rights Hat						
Non- space faring nation Hat						
Global governance/ ABNJ Hat						

APPENDIX 3 - RUN SHEETS FOR EACH DOORR SESSION

Session 1

5 min	Arrival / settling
5 min	Formal welcome
10 min	Team introductions
70 min	Delegates personal intros
2 min	Close
Follow up	Email a thank you with the warmth of the discussion still fresh

Session 2

5 min	Welcome back & Recap last session
5 talks in 75 minutes 10 min talk 5 min Q&A	Presentations & QA sections
5 min	Reflections
5 min	Wrap up and reminders

Session 3

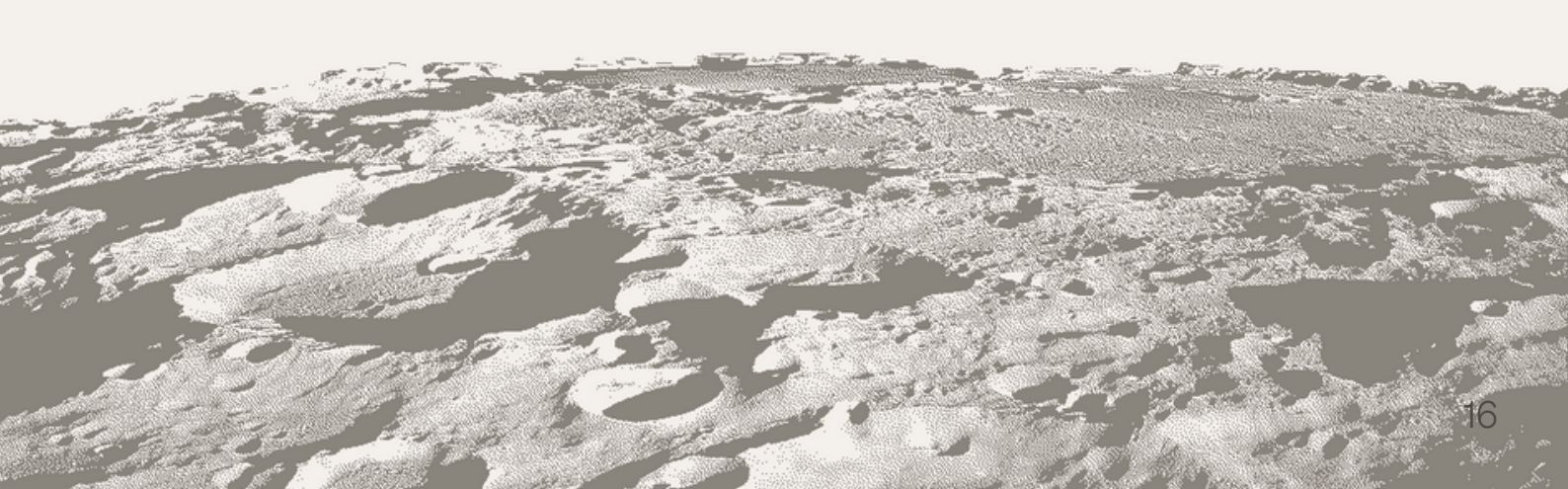| 2 mins	Welcome back
10 mins	Reminder/Refresher from last session
60 mins	Presentations
15 mins	Reflections on the Presentations
2 mins	What to expect from the upcoming DOORR sessions
2 mins	Close

Session 4

Welcome back		7 mins (5)
Talk in a group of 3	Reminder to take notes in the google doc Summarize comments in smaller groups	12 mins (10 mins)
Journalling	11 questions • What are some moments or experiences from the first 3 sessions which really stand out to you? • Were there any moments or topic of conversation that happened so far that made you feel taken aback or shocked? • What gives you a hopeful and exciting feeling when talking about lunar resources policy? • What have you been holding as a strong opinion that you are now softening your views on? • Right now, what can you see as success for you as part of this group? • What values do you observe yourself holding? • What do you think needs to be said in order to help the group move forward together? • Are you willing to bring that comment up? • If we focus on what we want to happen on the Moon, where would that take your thinking for lunar policy? • Fast forward 50 years, it's the year 2071: What would you like to be the case? What would make you feel proud? What would failure look like? • Are you willing to bring forward your visions for the best outcomes for the group and for this project overall?	15 mins (12)

Session 4

Groups of 3	Reminder to take notes in the google doc • Discuss what came out of your writing. You can cover as much or as little as you want. Please share the points you wrote about that really made your heart beat faster. • What's the first step or next step we need to take as a group of delegates to begin developing policy concepts together? • What needs to be said as we come back into the group now to help us all take a big step forward?	20 mins
Full group discussion	Welcome back into the whole group here. Now we have about 15 minutes to really bring out into the big group everything which has been bubbling up for you individually and in the small groups. Let's begin with the most recent question from the groups: What needs to be said as we come back into the group now to help us all take a big step forward? We don't need to answer or "solve" each other's ideas here, let's just bring it all out.	20 mins
Wrap up and define any homework		5 mins
Close		--

Session 5

Welcome back	Now we will begin to play with disagreeing with each other. What we're going to do is break into groups, and in each group there is a topic. In this case we have selected three groups to talk about three different countries. One person in each group will know more about the country than the others. What I want you to do is spend some time in those groups really theatrically disagreeing about those countries. Start off by each saying your impressions of that country, what do you think of first when I say.. England? What comes to mind? Tea, sarcasm, cold rain, the queen, colonial history. But I want you to say your impressions in a way that's so bold it's like "England is XXXXX" and then another person can say, "No way, England isn't like that at all, it's like XXXX". And the person who is in the group who knows more about the country can do a lot of disagreeing especially strongly. Perhaps if you know more about that country you can consider yourself the defender of it, and speak last. It's good to speak in many rounds. Like you might say "England has a boring sense of humour" and someone else says "No it doesn't, the humour is very accurate to the context" and someone else says "Ah but the humour is actually a defense mechanism" or something, and keep flowing. Are you ready to try?	10 mins
Conflict game	Now we will break in half. We are going to discuss spectrums and where we each sit along a spectrum. I'm going to give you two to talk about, and half your time should be on each. Number 1: Ensuring we include many vs being ok with it only being a few actors Number 2: Making the whole Moon a protected zone vs having the whole moon be able to be extracted from Spend half your time on each question, I'll remind you.	10 mins

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Session 5

Spectrums discussion	Now we will break in half. We are going to discuss spectrums and where we each sit along a spectrum. I'm going to give you two to talk about, and half your time should be on each. Number 1: Ensuring we include many vs being ok with it only being a few actors Number 2: Making the whole Moon a protected zone vs having the whole moon be able to be extracted from Spend half your time on each question, I'll remind you.	10 mins
Purpose revisited	Now we need to come back to the core nugget of what we are here to do. Heloise will now share a short comment on bringing our focus back to the output, followed by Q&A for clarifications.	10 mins
Writing session	Now it's time to connect with your own ideas in some quiet time. We have ten minutes for writing, and I have five questions for you which I will read out each 2 minutes. Ready? Session 5 Journalling Qs? (1 min only for first one, all others 2 mins) • What is success for the door process overall? • What national laws would you be excited to see your country create? • What statements can independent actors like Breaking Ground make that governments cannot? • When the first samples are taken, what do you hope the lunar landing teams will share and what do you not mind if they don't? • What if this group could come up with 3 different approaches for 3 different teaspoons of regolith, what principles would you like to see? Perhaps they are different for each one?	10 mins

Session 5

Yes, And brainstorm	With all those thoughts floating around your mind, we're going to take all your ideas and funnel them into a brainstorm session now. We're going to share a blank google doc which we will capture things people say out-loud. I want this to be a "Yes, And" brainstorming experience. We will not discuss the pros and cons of each one, we just say them, see them come up on the screen, and someone else says Yes! And… to add another one to the list. Open your mind up and throw out ideas for what positions the DOORR can take, what assertions we can push, what starting points that can then become policy ideas later.	15 mins
Breakout discuss	To start winding our session down, I'm going to pop you into three breakout groups to discuss all those ideas that came up, what stood out, what is getting your attention.	10 mins
Dot voting	The last thing we will do today is to vote on your favourite ideas from that brainstorm. Please click the google form link I'm putting in the chat now. Please take 3 minutes in silence to check the boxes on FIVE ideas that you support or you want to see us do more with as a group.	3 mins
Reflect together	Now we have a few minutes to look at the results. (pull up on screen). Any reflections from what you see, and any reflections from any earlier parts of today's session as well?	7 mins
Close		1 min

Session 6

Welcome back		5 mins
Reacquainting with the ideas warmup	**Groups of Three to Warm Up** Let's begin by warming up. We will now move you into some random small groups to talk through the summary document and express any ideas, assumptions, interpretations of the concepts to be worked on.	10
Split into two groups	Decide which one of these you personally want to work on. When we open the breakout rooms, they will have names on them for each topic, you can choose which one to go into. If you see more than 6 people in a room, get someone to volunteer to move to the other one, or our team will suggest that folks move around to even out the groups. The goal is to expand on these ideas to make them practical, precise, specific, actionable. Discuss the concepts raised by each topic area and how real experiments could be run to demonstrate or prototype the larger ideas behind the actions.	30
Split into two groups		30
Discuss which ideas are strongest / priorities	Can I please get someone from each of the four groups to describe the major concepts coming out of each one, and we'll capture them all here. It's ok if there's many ideas from each session. We'd love to capture them all here.	15 mins
Close	Next time we meet will be our last session together. Our team will prepare a draft report for everyone to review and modify as you see fit that captures your recommendations from the DOORR process overall.	1 min

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Session 7

Welcome back		1 mins
Arrival chats	Random groups of 3 people "How are you coming into the final session today?" for 5-6 minutes	7 mins
Session outline	Walk through agenda	3 mins
Video	Play video	5 mins
Reading the draft report	Asking for overall comments on the outcomes which have been put into a draft report. Does it look right to you overall? Big group discussion.	15 mins
Walk through report	Whole group discussion to go through section-by-section of the written document. • Overall comments (10 mins) • S1 (15 mins) • S2 (10 mins) • S3 (5 mins)	40 mins
Wrap up content with report finalization process	All good to proceed with this report assuming we make all changes discussed? Yes? Ensure people understand they can specifically state their disagreement in the doc if they want to **Message us if you're unsure about something.**	1 min
Check - re 2022 ideas	Do you have any quick comments about ideas for 2022 that you want us to keep in mind? Like would you want to be involved more, or do you suggest we run any additional processes in addition to DOORR?	5 mins
Long check out round	1 minute per person stating their final comments on the process overall, and what mindset they are taking forward from this experience	15 mins
Close	Take a virtual group photo, thank yous goodbye	1 min