



# D&D Principle and Design Do's & Don'ts

## Insights from the Front Line

Summary from Saturday Morning Plenary, October 2005 C2D2 Ottawa Conference

**What are the keys to enhancing the effectiveness, outcomes and impact of our Dialogue and Deliberation practice, no matter what the methodology, scale and approach adopted?**

This question was the focus of the Saturday morning plenary session at the first Canadian Conference on Dialogue and Deliberation in October 2005 in Ottawa Canada. The session was facilitated and designed by Myriam Laberge and Miriam Wyman, with invaluable input from Diane Abbey-Livingstone and Ray Gordezky, and Graphic Facilitation provided by Christine Valenza and Sara Waldston.

From the outset, we intended to offer the results of the Do's and Don'ts work as a 'work in progress' for continued refinement by the global D&D community, as part of C2D2's contribution to the growing body of collective intelligence around D&D practice. After the conference, Myriam Laberge compiled and consolidated the data, then met with Jan Elliott and Miriam Wyman by phone several times to further analyze and summarize the raw data into this Summary. Daryl Rock helped us in our initial conversation to explore options for what we might do with the results, once complete.

It has taken us a bit more time than we'd hoped ( , but we are pleased at last to finally deliver on our promise by offering this Summary into the D&D community.

With warm wishes for our ongoing growth together,

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**How the Results from the Plenary Were Summarized**

As we looked over the wealth of information that was produced in our 90 minutes together, we tried to think through what would be most useful as well as most true to the "data." We first tried to sort the information into "buckets" that shared some elements of design or principles, and tried to identify what each term meant.

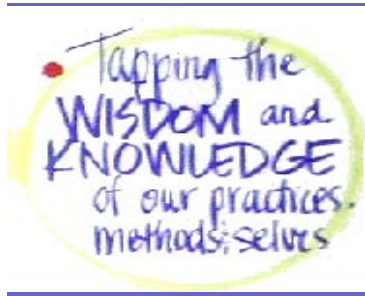
We found ourselves wondering whether there are principles that are "inviolable" - things that must be part of any D&D process - for it to be considered legitimate and meaningful. We wanted to figure out what is essential for a D&D process to have process integrity? And what are the essential things that underpin our work and guide us in design, implementation and follow up?

Here then, for **your** consideration and reflection, are the outcomes of our collective thinking and our best attempt to synthesize the wealth of information and experience that C2D2 participants provided. As part of this synthesis, you will also see the "raw data" - we have made only minor changes in the language for consistency and coherence.

For the most part, we came out of this exercise feeling that indeed *there are principles that are inviolate - things that must characterize any dialogue or deliberation process; these actually do underpin our work and guide us in design, implementation and follow-up.* These include things like transparency about purpose, accountability, inclusivity, commitment to feedback - what Dr. Peter A. Singer has called "procedural values".

Design relates to aspects of the dialogue or deliberation itself, like matching approach to situation or numbers, ensuring comfortable and conducive physical arrangements, creating guidelines for engagement, etc. In general, design flows from principles, and careful design is essential to ensuring that principles are 'lived out.' That is, principles and design are very closely connected and not always easy to distinguish. So we found ourselves moving away from our initial idea of first identifying principles and then talking about design.

You will find much that is familiar in this synthesis. And you will also find gaps, as we did - places where we found a small number of points - notably with respect to capacity building and evaluation. This was not really a surprise for a couple of reasons. First, we had limited time in our plenary and could not possibly cover everything. And second, because these are areas that are very challenging and where we tend to have the least information.



**We invite you to use this Summary as a platform for further reflection and conversation.** Researchers and practitioners may wish to flesh out this information further, add stories, and make it come alive. It will also be

made available on the C2D2 website for our collective use ([www.c2d2.ca](http://www.c2d2.ca)).

We hope this seed legacy of the C2D2 2005 Ottawa conference takes root and helps our larger D&D community continue to grow, blossom, and bear fruit.

# Synthesis

## PRINCIPLES

By *principle*, we meant a general value and guiding norm of behaviour and conduct for conveners, designers, facilitators and participants - before, during and after a dialogue and deliberation event. In D&D practice then, what principles do we consider “inviolable”? What do we believe must guide or characterize any dialogue or deliberation process, and underpin our work in all aspects of design, implementation and follow-up? From the data provided by the 300+ participants at the C2D2 2005 Saturday Morning Plenary, we extracted the following answers, and list them in no particular order:

### Transparency and Openness

- ◆ Be transparent and explicit about the terms of engagement

### Honour Diversity and Be Inclusive

- ◆ Be inclusive of the whole community
- ◆ Honour diversity and difference
- ◆ Honour different ways of knowing and giving voice
- ◆ Welcome and encourage diversity of perspectives
- ◆ Be mindful of the challenges of diversity
- ◆ Recognize and respect traditional/local wisdom and knowledge
- ◆ Explore differences as they enrich possibilities

### Equality of Access and Opportunity

- ◆ To process
- ◆ To information and learning
- ◆ To giving voice
- ◆ To a broad range of diversity aspects

### The Public/People Are Important Actors That Matter

- ◆ Our processes and design must honour this

### Collective Wisdom Is In the Group

- ◆ Honour the wisdom of the group and the individual in design and process
- ◆ We all can contribute
- ◆ We all belong
- ◆ We will know what to do

### Process Must Have Legitimacy

- ◆ Is there “legitimate” reason to do this in the minds of all affected?

- ◆ Ascertain there is a real and legitimate reason to engage

### Co-creation of Process and Conversation

- ◆ Collaborative design wherever possible
- ◆ This is “our” conversation/process
- ◆ Work with people, don’t impose
- ◆ Shared responsibility
- ◆ Involve stakeholders in process design

### Active and Deep Listening

- ◆ Both are critical to dialogue
- ◆ Reflection and silence are also important aspects of dialogue

### Processes and Groups are Living Systems

- ◆ The unexpected will happen
- ◆ Emergent process and design flexibility

### Commitment to Making a Difference and to Feedback

- ◆ What difference will this make?
- ◆ Honour participants by providing feedback on outcomes and results
- ◆ Ensure the intention and commitment of decision-makers
- ◆ Obtain commitment to follow-through

### Commitment to Assessing Impact

- ◆ What difference have we made?

### Sustainability and Capacity Building

- ◆ Build capacity for long-term success

### Impartiality and Fairness of Process and Convenor

### Commitment to Learning

- ◆ Creating informed public judgement through learning

## DESIGN CONSIDERATIONS

By *design*, we meant considerations such as process, logistics, space, participation, etc.

### Clear Purpose & Intent - Why Do This?

- ◆ Clarify the compelling issue, purpose, outcomes, goals
- ◆ Be transparent and explicit about the terms of engagement

### Outreach - Who Will We Include?

- ◆ Determine best way to engage
- Bring a diversity of ‘voices’ from the system in the room

### Methodology & Process - How Will We Achieve This?

- ◆ Start with the end in mind (choose design/method according to desired outcome)
- ◆ Be strategic in selecting the appropriate approach from the variety of methods
- ◆ Provide a variety of ways to engage
- ◆ Attend to the needs of ‘whole people’- physical, emotional, mental, spiritual
- ◆ Allow for flexible and emergent design (expect the unexpected!); go with the flow
- ◆ Ensure adequate advance participation preparation and reflection

### Logistics/Event Planning

- ◆ Plan for the logistics of the event
- ◆ Select physical space with optimum characteristics for planned event

### Create Safe & Empowering Space

- ◆ Establish and obtain agreement on values/behaviour norms/ground rules
- ◆ Develop group capacity for, and practice of, active listening
- ◆ Adopt processes that foster productive conflict and handling of differences/emotion

### Clarity of Roles

- ◆ Ensure neutral, competent facilitator
- ◆ Clarify roles and expectations

### Shared History/Experience

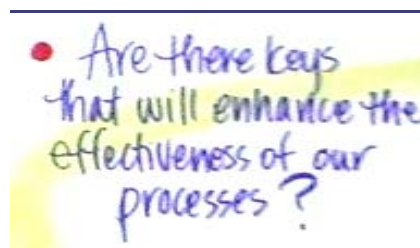
- ◆ Take time to create a shared understanding of history and for people to tell their stories
- ◆ Help connect participants to one another and around common goals

### Power Issues/Dynamics

- ◆ Help create a more level playing field

### Time for Reflection

- ◆ Build in ample time for reflection
- ◆ Don’t be afraid of silence and personal reflection



# Saturday Morning Plenary - Process

## HOW THE RESULTS WERE GENERATED

The focus question we asked in October 2005 remains a persistent question in the field of dialogue and deliberation, and our discussion on that beautiful fall morning in Ottawa provided valuable insights. The session itself acted on one of the key principles – that the whole is greater than the sum of the parts. We set out to tap the rich lore of expertise and experience of conference participants around this question.

We began from the premise that we are all learners in the Dialogue and Deliberation community, and that all of us have something to teach and share from our unique perspective and history. We knew that everyone had thought about these questions and had good knowledge and experience with what worked and with what didn't.

Being together presented a great opportunity to take our individual experience further – to talk together about what's involved in ensuring that our dialogue and deliberation efforts are "right" and "consistent," and that they help anchor and solidify underlying approaches to dialogue and deliberation. We knew it would be useful - interesting, too! - to gather participants' collective experience and then return it to the C2D2 community and others to encourage continued discussion.

You may recall how the session unfolded: Participants sat at round tables in small groups. We had C2D2 and Art for Change star-shaped "stress reducing" toys in different colours – these helped ensure that there were different perspectives at each table – public policy, community development, organizational development, etc. (Some of us keep the C2D2 star close to hand for moments when "stress reduction" is important!) And our instructions were as follows:

Take 2-3 minutes to silently reflect on the questions below by way of preparing yourself to share a 'best story' from your practice:

1. Where has your Dialogue and Deliberation experience/practice mostly focused to date (i.e. public policy, community development, organization development, all of these; novice/student; other)?

2. Think about one peak D&D experience from your past:
  - Purpose and desired outcomes
  - Process/method/tool/approach
  - Scale/scope (for example, number of people/groups; duration/geography; special challenges; on-line/in-person, etc)
3. One key design consideration or principle from this story.

Our premise in this plenary was that no matter what the methodology, scale, approach or context, we can enhance the effectiveness, impact and outcomes of our dialogue and deliberation practice by paying attention to certain key design considerations and principles.

Half the room was asked to explore some important Do's and Don'ts of 'design', and the other half, of 'principles'. By *design*, we meant considerations such as process, logistics, space, participation, etc. By *principles*, we meant agreements and guiding norms of behaviour for participants before, during and after a dialogue and deliberation event.

In the report back, some tables provided us with their most important 1 or 2 Do's and Don'ts regarding both design and principles. These were recorded by the graphic recording team. All tables also took their written work on Do's and Don'ts to the graphic recording team either to be added to the record of the session, or for future analysis. And we – as organizers of the session – gathered up and transcribed everything that was recorded (see *Raw Data*, pages 4-6).

## BUILDING ON THIS WORK

This work belongs to all of us in the D&D community. In the spirit of the Saturday Morning Plenary in Ottawa on that fine day in October 2005, we invite you to **continue the dialogue, adding to and refining this initial body of work so that it can enhance the effectiveness, outcomes and impact of all our efforts for many years ahead.** As you build on our synthesis, or create new ones from the raw data on the pages that follow, or generate new insights, **consider sharing your work** through the:

- ◆ **C2D2 website** ([www.c2d2.ca](http://www.c2d2.ca)); Email: [info@c2d2.ca](mailto:info@c2d2.ca)
- ◆ **NCDD website** ([www.thataway.org](http://www.thataway.org))

## ACKNOWLEDGEMENTS

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- ◆ Copies for NCDD: Peter Niemczak, Canadian Library of Parliament



## Raw Data from Plenary (cont'd from bottom of page 6)

	• Report back to participants in a timely fashion
D	• Feedback to participants; timely
D	• Report back on Next Steps
D	• Don't forget to follow up!
P	• Sharing information
EVALUATION	
	• Establish a timely evaluation process for measuring progress and results
D	• Evaluate what we do
P	• Check that the outcomes will lead to the long-term impact desired
P	• Create checkpoints for monitoring progress toward outcome and impact

# Raw Data from Plenary

• What DESIGN CONSIDERATIONS and PRINCIPLES are important?

**LEGEND:** P-Participants labeled these items as a Principle; D-Design

CLEAR PURPOSE & INTENT	
	<ul style="list-style-type: none"> <li>Clarify the compelling issue, purpose, outcomes, goals</li> </ul>
D	<ul style="list-style-type: none"> <li>Clear understanding of intent and issue and communication of this</li> </ul>
D	<ul style="list-style-type: none"> <li>Have an end point</li> </ul>
D	<ul style="list-style-type: none"> <li>Set context/review agenda</li> </ul>
P	<ul style="list-style-type: none"> <li>Compelling issue or purpose – you must care</li> </ul>
P	<ul style="list-style-type: none"> <li>Goal focus</li> </ul>
P	<ul style="list-style-type: none"> <li>Understanding the context: Why? (Then Who, What, How)</li> </ul>
P	<ul style="list-style-type: none"> <li>Stick to goal</li> </ul>
P	<ul style="list-style-type: none"> <li>Clarify outcomes and objectives</li> </ul>
P	<ul style="list-style-type: none"> <li>Clear understanding of objectives</li> </ul>
P	<ul style="list-style-type: none"> <li>Integrity of process</li> </ul>
P	<ul style="list-style-type: none"> <li>Recognize that dialogue is part of wider peace-building process, a social and political dynamic</li> </ul>
P	<ul style="list-style-type: none"> <li>Be clear and honest about purpose</li> </ul>
P	<ul style="list-style-type: none"> <li>Be clear about process, desired outcomes and connect that to what's possible before and after dialogue</li> </ul>
P	<ul style="list-style-type: none"> <li>Problem definition</li> </ul>
P	<ul style="list-style-type: none"> <li>Credibility</li> </ul>
P	<ul style="list-style-type: none"> <li>What action are we going to take?</li> </ul>
<ul style="list-style-type: none"> <li>Be transparent and explicit about the terms of engagement</li> </ul>	
D	<ul style="list-style-type: none"> <li>Keep "outcomes sought" open</li> </ul>
D	<ul style="list-style-type: none"> <li>Explain how input will be used</li> </ul>
D	<ul style="list-style-type: none"> <li>Transparent methods</li> </ul>
P	<ul style="list-style-type: none"> <li>Transparency</li> </ul>
P	<ul style="list-style-type: none"> <li>Timescales – respect</li> </ul>
P	<ul style="list-style-type: none"> <li>Chart clear givens and limits</li> </ul>
P	<ul style="list-style-type: none"> <li>Terms of engagement that are understood and agreed on</li> </ul>
P	<ul style="list-style-type: none"> <li>Transparency of purpose</li> </ul>
P	<ul style="list-style-type: none"> <li>Outcome is honest – transparent process</li> </ul>
p	<ul style="list-style-type: none"> <li>Lay out assumptions about why and how we will work together; also (lay out) assumptions of organizers</li> </ul>

METHODOLOGY & PROCESS – HOW WILL WE ACHIEVE THIS?	
	<ul style="list-style-type: none"> <li>Start with the end in mind (choose design/method according to desired outcome)</li> </ul>
D	<ul style="list-style-type: none"> <li>Form follows function – deconstruct problem – appropriate methodology</li> </ul>
D	<ul style="list-style-type: none"> <li>Form follows function</li> </ul>
P	<ul style="list-style-type: none"> <li>Question/problem – why we are doing this influences method</li> </ul>
P	<ul style="list-style-type: none"> <li>Leadership and imagination to create spaces for connection to begin</li> </ul>
<ul style="list-style-type: none"> <li>Be strategic in selecting the appropriate approach from the variety of methods</li> </ul>	
D	<ul style="list-style-type: none"> <li>Process – strategic process design</li> </ul>
P	<ul style="list-style-type: none"> <li>Citizen panel – jury – deliberative poll</li> </ul>
P	<ul style="list-style-type: none"> <li>Revolving fishbowl</li> </ul>
P	<ul style="list-style-type: none"> <li>AGM with public and interest groups</li> </ul>
P	<ul style="list-style-type: none"> <li>Public consultations</li> </ul>
<ul style="list-style-type: none"> <li>Provide a variety of ways to engage</li> </ul>	
D	<ul style="list-style-type: none"> <li>Build in various ways to engage: in person; written</li> </ul>
D	<ul style="list-style-type: none"> <li>Interactive activities</li> </ul>
D	<ul style="list-style-type: none"> <li>Appropriate use of technology</li> </ul>
D	<ul style="list-style-type: none"> <li>Multiple spaces: multiple methodologies</li> </ul>
P	<ul style="list-style-type: none"> <li>Give choice: participation; when; how</li> </ul>
P	<ul style="list-style-type: none"> <li>Accept different levels of participation</li> </ul>
P	<ul style="list-style-type: none"> <li>Choice of how you can participate</li> </ul>
<ul style="list-style-type: none"> <li>Attend to the needs of 'whole people'- physical, emotional, mental, spiritual</li> </ul>	
D	<ul style="list-style-type: none"> <li>Don't be so focused on ideas/outcomes that you neglect the personal dimension</li> </ul>
D	<ul style="list-style-type: none"> <li>Don't sit all day</li> </ul>
D	<ul style="list-style-type: none"> <li>Processes for the people, not the contrary</li> </ul>
D	<ul style="list-style-type: none"> <li>Providing a variety of mediums and cater to learning styles</li> </ul>
P	<ul style="list-style-type: none"> <li>Don't lose the fun!</li> </ul>
<ul style="list-style-type: none"> <li>Expect the unexpected; go with the flow</li> </ul>	
D	<ul style="list-style-type: none"> <li>Respond to emerging insights and happenings; stay open to the nature of the conversation</li> </ul>
D	<ul style="list-style-type: none"> <li>Responsive, flexible approach; model</li> </ul>
P	<ul style="list-style-type: none"> <li>Don't be too controlling/inflexible</li> </ul>
P	<ul style="list-style-type: none"> <li>Risk-take</li> </ul>
P	<ul style="list-style-type: none"> <li>Flexible/adapt method to energy dynamics of particular group</li> </ul>
P	<ul style="list-style-type: none"> <li>Pacing; flexible time</li> </ul>
P	<ul style="list-style-type: none"> <li>Follow the passion</li> </ul>

<ul style="list-style-type: none"> <li>Allow for flexible and emergent design (expect the unexpected!)</li> </ul>	
D	<ul style="list-style-type: none"> <li>Contingency: adaptability, dealing with unknowns and unknowable</li> </ul>
D	<ul style="list-style-type: none"> <li>Sometimes it's just serendipity!</li> </ul>
P	<ul style="list-style-type: none"> <li>Acknowledge need for flexibility</li> </ul>
P	<ul style="list-style-type: none"> <li>Don't constrict exploration of ideas</li> </ul>
P	<ul style="list-style-type: none"> <li>Flexibility/adaptability</li> </ul>
<ul style="list-style-type: none"> <li>Ensure adequate advance participant preparation and reflection</li> </ul>	
D	<ul style="list-style-type: none"> <li>Opportunity for learning and reflection prior to event</li> </ul>
D	<ul style="list-style-type: none"> <li>Provide material in advance</li> </ul>
D	<ul style="list-style-type: none"> <li>Preparation (documentation sharing)</li> </ul>
P	<ul style="list-style-type: none"> <li>Give them information</li> </ul>
P	<ul style="list-style-type: none"> <li>Education of process – background info (principles)</li> </ul>
P	<ul style="list-style-type: none"> <li>Pre-planning</li> </ul>
P	<ul style="list-style-type: none"> <li>Support creating neediness (reflection, question, article)</li> </ul>
P	<ul style="list-style-type: none"> <li>Plan, plan, plan – be prepared to be flexible/but being respectful of intents/honouring commitments</li> </ul>
COLLABORATIVE DESIGN PROCESS – WHO WILL DESIGN THE PROCESS?	
<ul style="list-style-type: none"> <li>Involve stakeholders in the design of the process</li> </ul>	
D	<ul style="list-style-type: none"> <li>Collaborative/co-creative design team</li> </ul>
D	<ul style="list-style-type: none"> <li>Involve audience in the design of the process (collaborative process)</li> </ul>
D	<ul style="list-style-type: none"> <li>Involve stakeholder in design</li> </ul>
P	<ul style="list-style-type: none"> <li>Give people responsibility</li> </ul>
P	<ul style="list-style-type: none"> <li>Change culture of organization - work with people</li> </ul>
P	<ul style="list-style-type: none"> <li>Include stakeholder</li> </ul>
OUTREACH – WHO WILL WE INCLUDE?	
<ul style="list-style-type: none"> <li>Determine best way to engage</li> </ul>	
D	<ul style="list-style-type: none"> <li>Ask best way to engage and communicate</li> </ul>
D	<ul style="list-style-type: none"> <li>Participant selection work required up front: random; target groups; representatives</li> </ul>
D	<ul style="list-style-type: none"> <li>Go to them...don't expect them to come to you</li> </ul>
D	<ul style="list-style-type: none"> <li>Appropriate outreach</li> </ul>
D	<ul style="list-style-type: none"> <li>Recruitment process needs to be transparent</li> </ul>



# Raw Data from Plenary

## PRINCIPLES & DESIGN

<b>CREATE SAFE &amp; EMPOWERING PSYCHOLOGICAL SPACE</b>	
• Establish and obtain agreement on values/behaviour norms/ground rules	
D	• Firm hold on fundamental values/norms: container; safety
D	• Converse (what are our values?)
D	• Create: a physical/mental space so people are empowered
D	• Shared acceptance of values
D	• No rudeness, true dialogue
P	• Allow participants to create their own agreements/behaviour norms
P	• Safety and comfort in group: harassment; sexism; racism; hierarchy
P	• Creating a space that is empowering/values all voices
P	• Honesty/openness/inclusion
P	• Fair, non-offensive appropriate techniques
P	• Don't assume people play by rules
P	• Considerations of confidentiality, respect for privacy
P	• Respect and creating "safe" spaces – trust
P	• Don't change the rules after beginning, without consensus
P	• The environment must be conducive to equip and empower participants
P	• Considerations of confidentiality, privacy
• Develop group capacity for, and practice of, active listening	
D	• Everyone feels listened to equally; all are heard
D	• Talk around the table: not to and from the front of the room
D	• Opportunities to express themselves – tell them stories
P	• Observers/participant role are key – take time to think
P	• Everyone feels listened to equally (follow-up documentation)
P	• Provide equal opportunity (ways for different groups to contribute)
P	• Don't discount something you might think is insignificant

• Adopt processes that foster productive conflict and handling of differences/emotion	
D	• Create safety
D	• Psychological space
D	• Handle conflict/diverging opinions
D	• Tension is not favourable to D&D
D	• More open mind from both sides
D	• Group dynamics
P	• People have "space" to explore
P	• Addressing/respecting emotion
P	• Bring out the contradictions, conflicts
P	• Don't start with emotionally-charged dialogue

<b>TIME FOR REFLECTION</b>	
• Build in ample time for reflection	
D	• Allot enough time
D	• Don't overload
D	• Make sure people have enough time
D	• Don't pack agenda (provide breaks)
D	• Provide enough time for deliberation & reflection (active engagement)
D	• Incorporate brainstorming so all ideas can come forward
P	• Balance info and discussion
P	• Make time and space for people to tell their own stories/connect to values

• Don't be afraid of silence and personal reflection	
D	• Time for silence
D	• Build in time for reflection – structure it so people tune into themselves and each other
P	• Self-awareness (your emotion)

<b>CLARITY OF ROLES</b>	
• Ensure neutral, competent facilitator	
D	• Planning, preparation and selection of quality facilitators
D	• Good facilitator
P	• Act with integrity
P	• Leader must stay neutral
• Clarify roles and expectations of participants, convenors, decision-makers, etc.	
P	• Roles clarified, respected, shared
P	• Involvement/participation of organizers/facilitators, logistics, design

<b>CAPACITY BUILDING</b>	
• Build capacity for long-term success	
D	• Must build capacity for longevity
P	• Continuity

<b>SHARED HISTORY/EXPERIENCE</b>	
• Take time to create a shared understanding of history and to tell their stories	
P	• Need to create a shared history
P	• Must have background knowledge (as mediator or leader)
P	• Clutch to pre-deliberative ideas/values/solutions, yet don't be expected to somehow leave these things at the door
P	• Expect people, groups and communities to put aside their values, feelings, expectations and sense of justice
P	• Actions were taken in the past – trust building and "walk the talk"
P	• Think tank – many levels to stories
P	• Conflict on curriculum (long-time conflict)
P	• Make time and space for people to tell their own stories/connect to values
P	• Shared stories (Hebrew translated the story into English)
• Help connect participants to one another and around common goals	
P	• D&D communities/NGO's on conflict resolution, organizational work – find common ground
P	• Were able to find common ground
P	• Connect participants to one another/issue

<b>POWER ISSUES/DYNAMICS</b>	
• Find ways to create a more level playing field	
D	• Inequitable seating – power structures/hierarchy reinforced
D	• Inequitable seating; don't reinforce power structures or hierarchies through space and set up
P	• Don't assume all are equal (systemic power)

<b>DOCUMENTATION AND REPORTING BACK</b>	
• Prepare an accurate and comprehensive report of work completed	
F	• (Be) mindful of collection method
F	• Record the conversation and validate what was heard
D	• Follow-up documentation
P	• Assure accuracy of record; decision reflects dialogue
P	• Comprehensive; accurate; rigour

(Raw Data cont'd at bottom of page 3)

