

# Policy Dialogue in practice

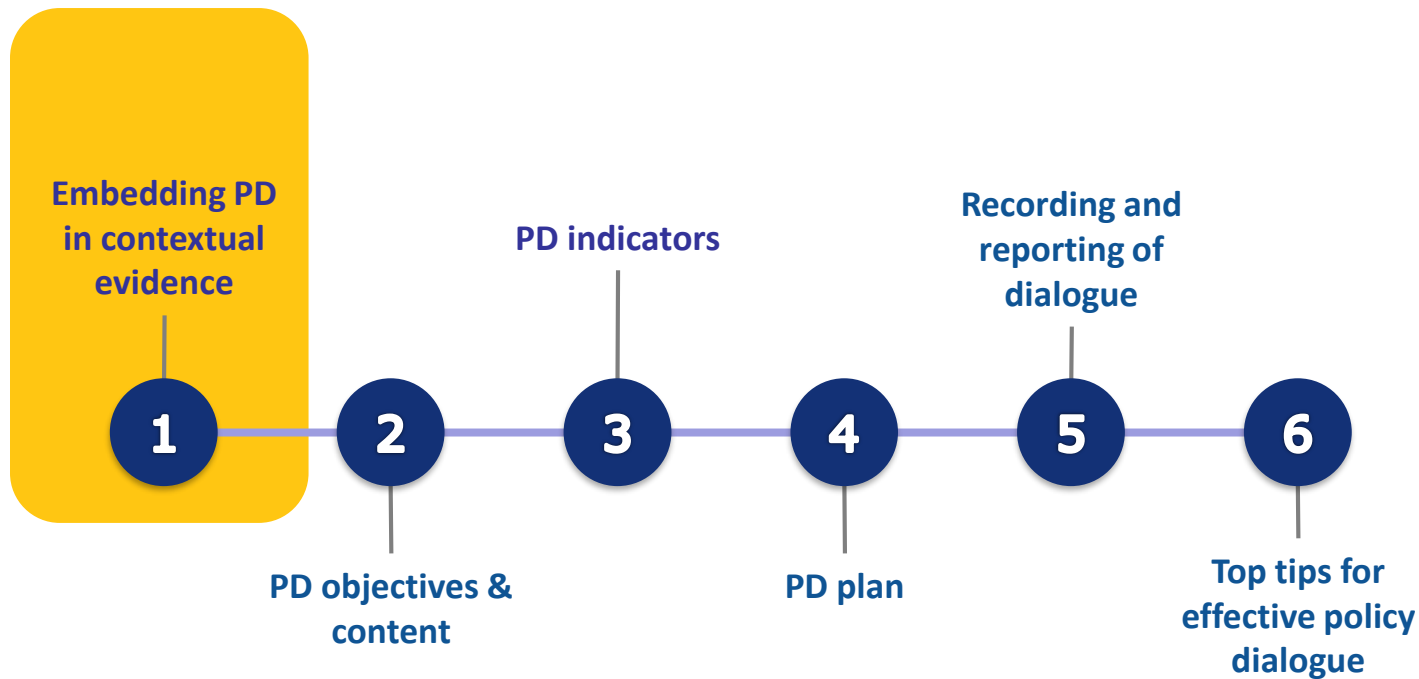
## Module 2: Strategic approach to policy dialogue Lessons, structured preparations, tools, monitoring, top tips ...

**DEVCO Environment Week 2018, Brussels, 17 October 2018**

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***What would make an approach  
to policy dialogue  
“structured” or “strategic”?***

## Structure of Module 2



## • **Country Environmental Profile**

“Three main tools are used to analyse in detail the relationships between a programme/project and environment and climate change:

- **Strategic Environmental Assessment (SEA)**, applicable to budget support and programmes/ projects that provide strategic-level support;
- **Environmental Impact Assessment (EIA)**, applicable to projects or specific investments;
- **Climate Risk Assessment (CRA)**, applicable to projects.”

DEVCO Mainstreaming Guidelines (2016)

- **Costing tools** (Poverty-Environment Initiative)

# Embedding PD in contextual evidence

## Understanding the EU Perspective

- **EU Policy agenda:** DEVCO, NEAR, LINE DGs, EEAS
- **International conventions & commitments**
- **Legal framework** for EU Cooperation
- **Priorities in country:** programming response strategy



## Understanding the country & sector context:

- **Understanding the stakeholder landscape:** stakeholder analysis, political economy (PEA): incentives and interests, drivers of change, capacity assessment (CA)
- **Where and how policy is made:** many elements influence policy making (e.g. role of the state, taxation, public expenditure...), existing venues, quality, formal and informal institutions and processes, dynamic factors, ...
- **Understand the reform space:** fiscal, political, policy
- **Assessments:** Macroeconomic and Public Policy Analysis, PFM and Budget analysis, Eligibility assessments, Fundamental values assessment, Risk Management Framework,
- **Previous experience** in country/sector: can affect the level of understanding and trust

**Learning throughout programme cycle management and on an ongoing basis !**

# Structure of Module 2



## Synthesis from budget Support (BS) Evaluations: Recommendations for the Way Forward (1/3)

### Reinforce the partnership basis of budget support

- The design of BS, its disbursement conditions and management processes should all have a **strategic problem solving and policy oriented focus**.
- Re-assert the fundamental importance of **respect for the ownership of the policy agenda** by the partner government.
- MoU for BS, so as to ensure that disbursements are **only suspended when justified** based upon the agreed provisions, processes and procedures.
- Where possible, seek to develop linkages between budget support operations and **wider strategic cooperation frameworks**
- In order to facilitate effective donor-donor relations as the basis of effective donor- government relations, the **number of donors, involved in GBS and SBS dialogue fora should be limited**.
- Introduction of a **clear division of labour between donors**.

## Synthesis from budget Support (BS) Evaluations: Recommendations for the Way Forward (2/3)

### Nurture strategic problem-solving dialogue

- The design of budget support, its disbursement conditions and management processes should all have a strategic problem solving and policy oriented focus.
- The overall scope of dialogue should be limited so as to be consistent with the capacity and expertise of the partner government
- A separation between the forward-thinking dialogue and the process of “auditing” progress to decide on disbursements
- Problem-solving discussion to include external ‘third-party’ stakeholders, such as academics or subject matter specialists
- Programme of research and evaluation work to strengthen continuously the analytical basis of the policy dialogue.
- Donors to strengthen their expertise in policy analysis and dialogue, including: division of labour, recruitment, placement and training of staff, share good practices across countries



## Synthesis from budget Support (BS) Evaluations: Recommendations for the Way Forward (3/3)

### Maximise opportunities for promoting Social Accountability

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- **Access** to the policy documents, progress reports and conclusions, emerging from the Budget Support policy dialogue.

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- **Deepening citizen engagement** in the debates on public policies and public spending choices:

- Access to the documentation, progress reports and budgetary data produced through the Budget Support dialogue should be systematic and guaranteed, potentially through a dedicated internet portal;
- Support to CSOs in improving understanding of public budgets and public policy issues;
- Innovative channels to engage the private sector and civil society in the policy debates.

**Solution seeking dialogue is not about doom but opportunities:  
Going green & access to markets, resource efficiency, jobs, future ...**

## PD Content: What are the “Influencing” objectives? (long/short term)

### FOCUS ON

- ✓ What is relevant, timely and adds value in context
- ✓ EU values and policy priorities
- ✓ Substance/solution finding where it matters
- ✓ Few selected issues (e.g. systemic bottlenecks)
- ✓ Connecting related policy dialogue streams
- ✓ What is discussable now. (Save for opportunities)
- ✓ Concertation & harmonization with DPs
- ✓ Broadening/deepening evidence & understanding
- ✓ Coherence, Risks, Sustainability etc.

### AVOID

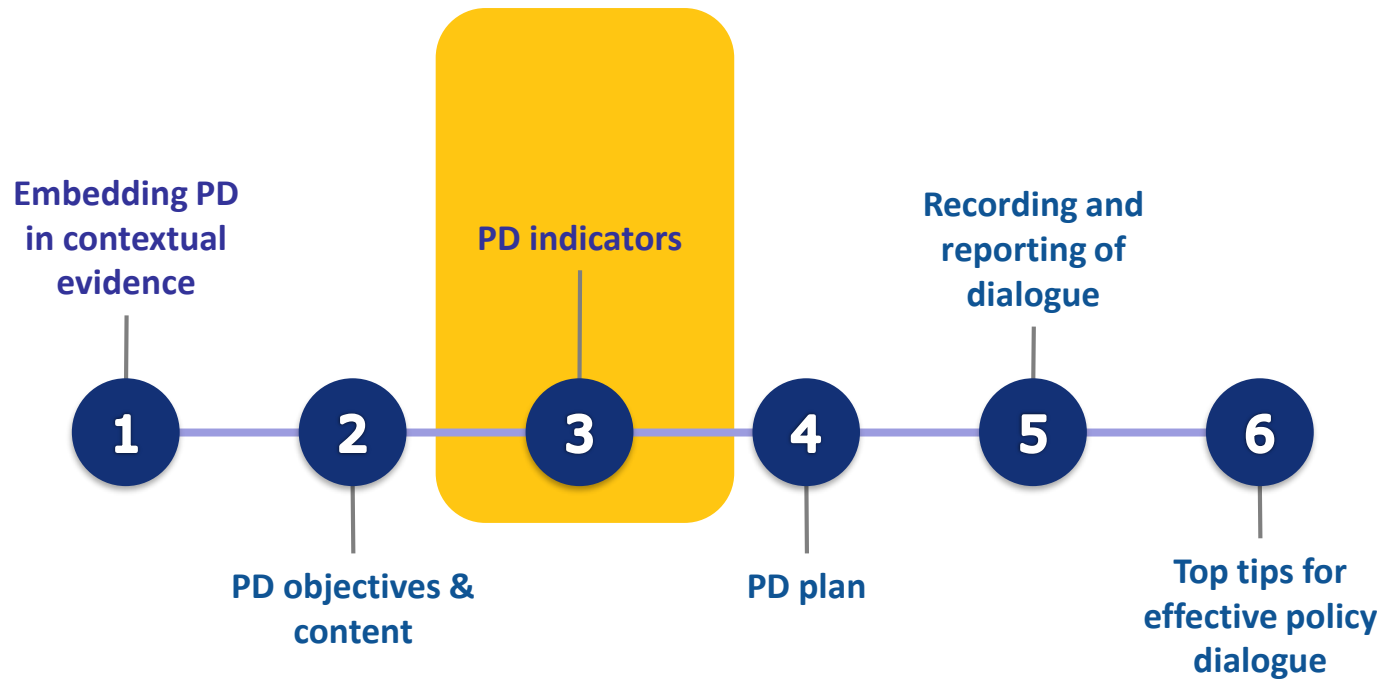
- ✗ Belabouring the evident and negative
- ✗ Myopic perspectives, sub-sectorial issues, operations
- ✗ Crowding out substance by focusing on administration
- ✗ Overloading & fragmenting: venues and issues
- ✗ Increasing Transaction cost

**Focus may change with operations.  
PD should always remain relevant  
and add value!**

### Examples of “Influencing” objectives

- Promoting progressive access to information legislation
- Ensuring that national health indicators & targets abide by the SMART principles
- Development of a strategy for improved “Doing business” conditions/procedures
- Establishing ground rules for Government and DP putting into practice Aid Effectiveness principles.
- Inclusion of non-state and sub-national actors in justice sector working group
- Rationalization of ad hoc evaluations into one sector wide review
- Diagnostic study on human resource management in the public sector

## Structure of Module 2



# Indicators: How would you measure progress and results of PD?

## Measuring progress and results

- Align and link into country processes.
- Seek joint frameworks!

## Results

- **Long term changes** as results of capacity development
- **Outcomes** that make a difference to people (demand side)
- **Process indicators** / intermediate results

## Indicators

- cannot be limited to sector markers, such as **SMART** indicators.
- Reflect stakeholders values, commitments and expectations (see **RACER** indicators)

## Possible process indicators

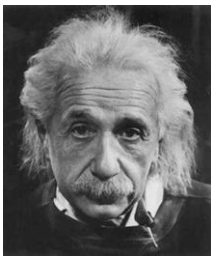
- **Is there a shared vision and a credible process?**
- **Clarified issues:** technical reports and notes, briefings
- **Established stakeholders:** mapping, participation log, commitment, capacity assessments
- **Structural elements:** formal and informal fora established, minutes
- **Established practices:** mandates and decision making rules, proceedings for managing debate and forums
- **Mutual trust & accountability:** evaluations (joint), log of indicators and targets, assessments and decisions

- The number of indicators and ‘trigger actions’ included within any Performance Assessment Framework should be **government-determined, limited in number**, and focused on results or reform actions of **genuine strategic importance**.
- The number of indicators based on process actions or on output measures should be limited, with the primary focus placed on the **targeting and tracking of outcomes**.

## SMART Objectives and RACER Indicators

### SMART

- **Specific**
- **Measurable** (verifiable)
- **Achievable** (at an acceptable cost)
- **Relevant** (considering what needs to be assessed)
- **Timebound** (measurable within the timeframe of the project and with a specific frequency)



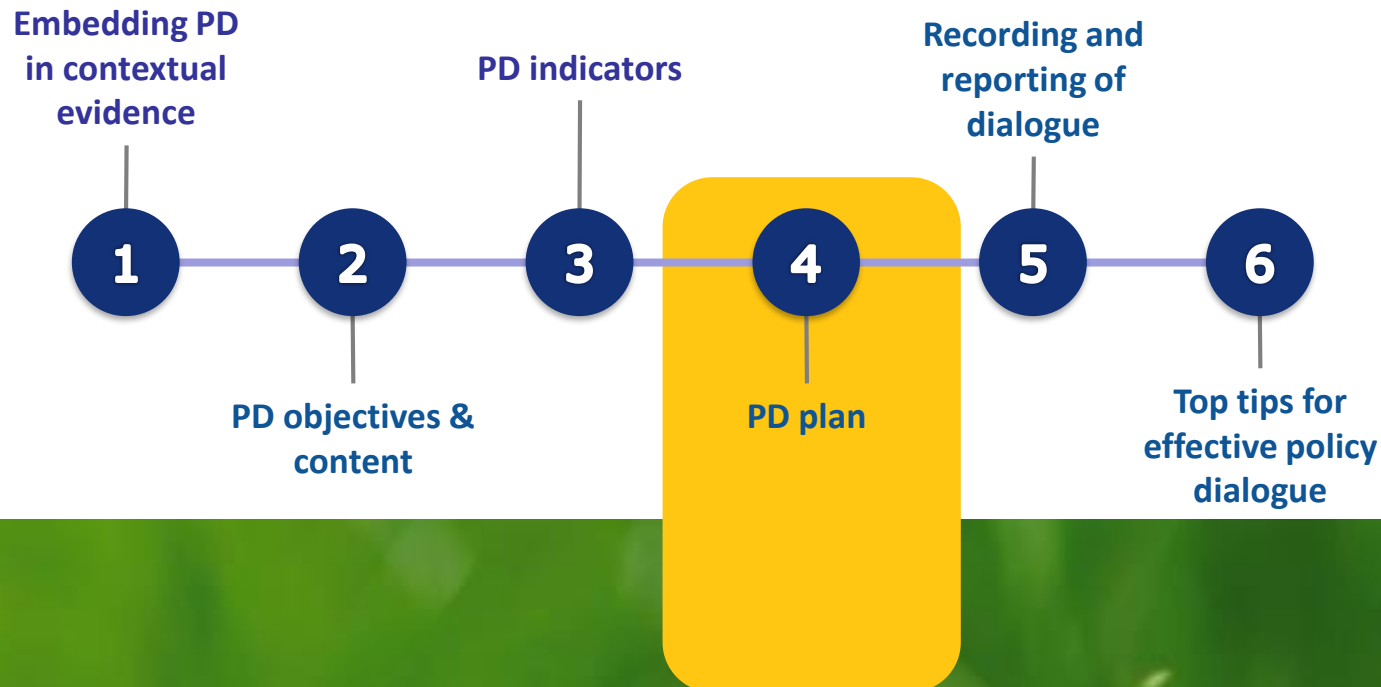
***“Not everything that counts can be counted,  
and not everything that can be counted counts.”***

A. Einstein

### RACER

- **Relevant:** the indicator should have a strong correlation with the objective that the programme/policy aims to achieve
- **Acceptable:** the indicator must be easily understood and should be accepted by all stakeholders.
- **Credible:** The indicators must be accessible to non-experts, unambiguous and easy to interpret.
- **Easy:** it should be possible to collect the data with available resources, based on the principle of ‘proportionate analysis’ (appropriate scope and depth)
- **Robust:** The indicators should be sensitive enough to monitor changes; therefore it is important to select them according to the time lag between the action and the expected change that points to current progress towards long-term or future improvements.

## Structure of Module 2



# Elements of a Policy Dialogue Plan



## Beginnings, middles, and ends of & possible steps for PD events

### I. Start up: Issue Focusing and Convening

- Appraising possible conflict.
- Organizing leadership, sponsorship, and willingness to convene.
- Gaining the participation of key stakeholders.
- Designing a forum and a strategy.
- Establishing protocol and forging working agreements on the issues to be addressed.



### II. Management: Information Exchange and Discussion

- Organizing productive and respectful exchanges of information.
- Pushing the parties to understand the positions and underlying interests of all stakeholders.
- Helping the parties discover, clarify, or create the highest joint gains possible.



### III. Closure: Solution Seeking and Consensus Building

- Assisting the parties in making informed choices.
- Capturing agreements and helping ratify, memorialize, and prepare for implementation

**Added  
value  
Uptake**

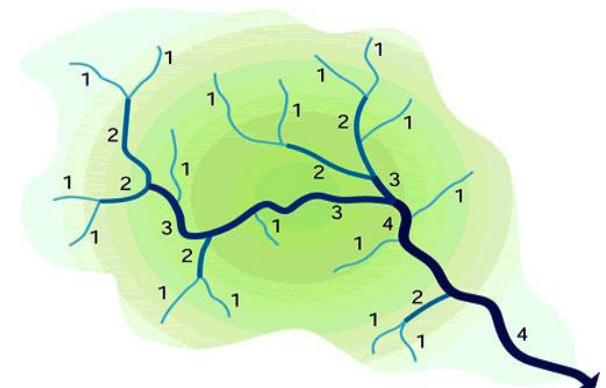


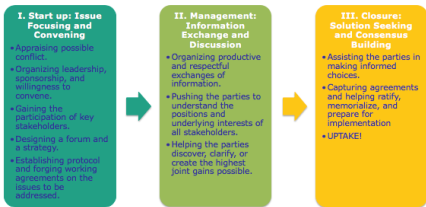
# Differentiating opportunities and dialogue strategies?

1. Organise / Facilitate “dialogues”

2. Prepare for negotiation

3. Engage in spaces of others





## DIALOGUES for SCOPING A GREEN ECONOMY (IIED TOOL 2013)

### Step 1. Preparing the dialogue

- **Clarify the purpose** and context for a dialogue. (awareness-raising and opinion-sharing / mapping green foundations / assessing particular green economy initiatives / strategy scoping )
- **Scoping meeting** with the stakeholders
- Commissioning a **brief background paper** (independently produced) to aid discussion, not foreclose it!

### Step 2. Holding the dialogue

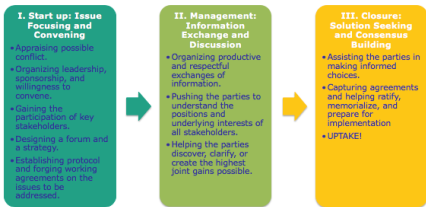
- **Agenda** should offer the opportunity to work through • drivers • vision • precedents • models • players • follow-up
- **Hosting:** If possible, an overarching authority
- **Participants:** 25 - 50 participants, atmosphere of free debate, encourage shifting from entrenched positions
- **Chatham House Rule** has proven effective
- **Timing:** two to four days. Poss. local-level dialogues (Timeliness matters eg. part of the national development plan review.

### Step 3. Writing up the dialogue

- **Independent** and/or a representative group of participants.
- reflect the **agreed purpose** , not foreclose further exploration, clarify the **state of consensus** or difference, and
- postulate **priority issues and options** for consideration.

### Step 4. Keeping the dialogue alive

- **moving into diagnosis and action and empowering stakeholders**
- **e.g.** platform for continued exchange, learning, experimentation, debate and assessment and to build momentum behind new policy 'asks'; Action Learning Group for a Green Economy; South Africa's Green Economy Accord is another means



## What is Talanoa?



Talanoa is a traditional word used in Fiji and across the Pacific to reflect a process of inclusive, participatory and transparent dialogue. The purpose of Talanoa is to share stories, build empathy and to make wise decisions for the collective good. The process of Talanoa involves the sharing of ideas, skills and experience through storytelling.

During the process, participants build trust and advance knowledge through empathy and understanding. Blaming others and making critical observations are inconsistent with building mutual trust and respect, and therefore inconsistent with the Talanoa concept. Talanoa fosters stability and inclusiveness in dialogue by creating a safe space that embraces mutual respect for a platform for decision making for a greater good.

**SEA Participatory Workshops: What then? Injecting findings in ongoing dialogue ...**



## 10 Essentials for preparing negotiation

### PEOPLE

1. Interpersonal Relationship
2. Mandate
3. Stakeholders Map

### PROBLEM

4. Motivations, Interests and Positions
5. Solutions at the table
6. Criteria of Justification
7. Solutions away from the table (B.A.T.N.A)

### PROCESS

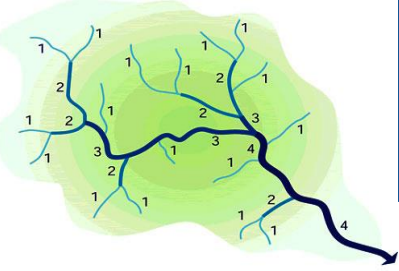
8. Structure of meeting and agenda setting
9. Communication
10. Logistics

**e.g.  
Negotiating the  
implementation of  
conventions and  
their legal  
obligations**

## **Experience**

Sebastian GIL

**UNEP Kenya:  
Negotiating resolutions of the  
UN Environment Assembly**



## Simple Tools: Policy Dialogue Planning Horizon

A simple matrix that allows to map levels and spaces for policy dialogue. You can use it as a mapping tool. Keep in mind that each venue has its own attributes in terms of focus on issues, levels of interlocutors, technical vs political, formal vs informal etc. You can also mark sequencing with arrows. Can easily reproduced on a board. Reinvent as you see fit!

	DP	DPs Harmonization	DP - Gov	Gov	Democratic space	CS	"Out of the box"
Global							
Regional							
National							
Sector							
Sub-national							
District							
Municipal							
Grassroots							

**Engage where it adds value  
and advances reforms**

**incl. South – South dialogue**

This tool allows you to differentiate the local, the national, the regional and the global level of your PD.

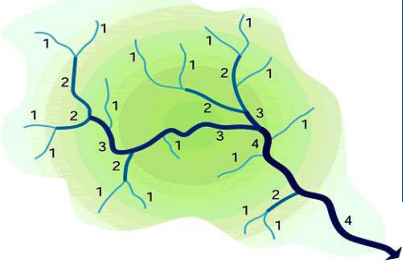
It also allows you to identify who you are developing a dialogue with: with other donors, with the government, with the civil society...

And also if your PD is technical or strategic, formal or informal, etc.

**... evolving over time !**

- ✓ *Technical and strategic levels*
- ✓ *Formal and informal*
- ✓ *Content focus and depth*





## Simple Tools: Sequencing

*A tool that can be easily replicated on a flip chart of board to map policy dialogue venues on a timeline. It helps identify opportunities and to plan backward what is required to seize these opportunities. It also allows to see how related processes can be connected. Reinvent as you see fit.*

### POSSIBLE Complementary venues

Formal

Informal

### ESTABLISHED In Sector/Theme venues

Formal

Informal

**Map and anticipate for  
timely & “good fit”  
engagement**

This tool helps you  
organise the sequence of  
your PD. What comes  
first.

And also differentiate the  
formal from the informal

**Timeline**

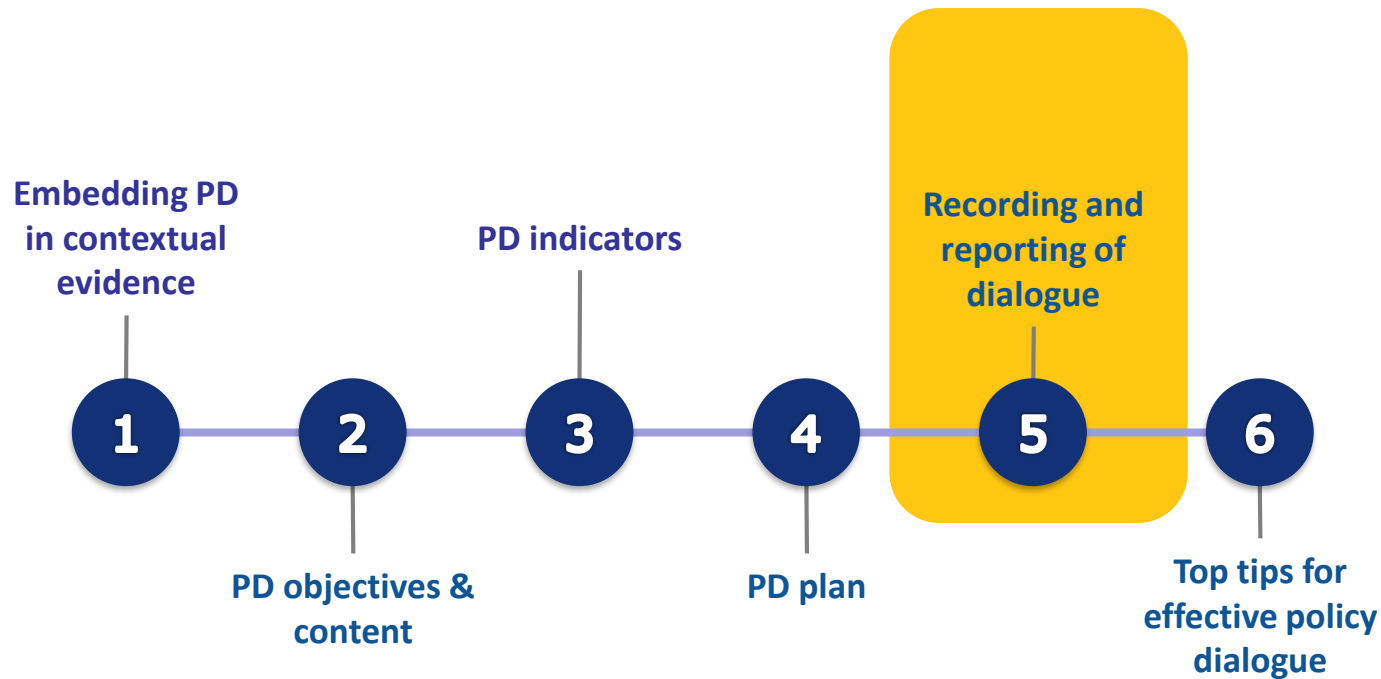
### ESTABLISHED Related cycles / venues

Formal

Informal

**Simple instruments (PD tools) can help keep track and  
plan a policy dialogue strategy in space and time.**

## Structure of Module 2





# Multiple places for record keeping ...

## A multitude of documents contain relevant records

- documenting the concept, objectives, key actors, framework, history and steps of the process:
- **concept notes, briefing notes, minutes, proceedings, agendas, correspondence, back-to-office reports, Aide Memoires, monitoring reports, assessments, etc.**

## How to structure and synthesize this?

- **An evolving policy dialogue plan:** will capture what has happened and how progress is made
- **Structured log book of informal meetings:** relating efforts of EUD to the process, logging positions explained and clarified, basis for negotiation and report
- **Regular analytical notes:** state of play of each PD, bridges between types of PDs and between sector PDs
- **Minutes of formal joint review meetings:** on agreements reached, progress, forward looking objectives and expected milestones.
- **Mechanisms for information sharing** among all stakeholders as well as internally.
- **Established EUD instruments:** Risk Management Framework, HoD disbursement file transmission note.

... need to come together somewhere to support structured policy dialogue!

## Experience

Johnny Cesar ARIZA MILANES

**Colombia:**

**Policy dialogue results reporting**  
within the framework of Budget  
Support "Sustainable Local  
Development »

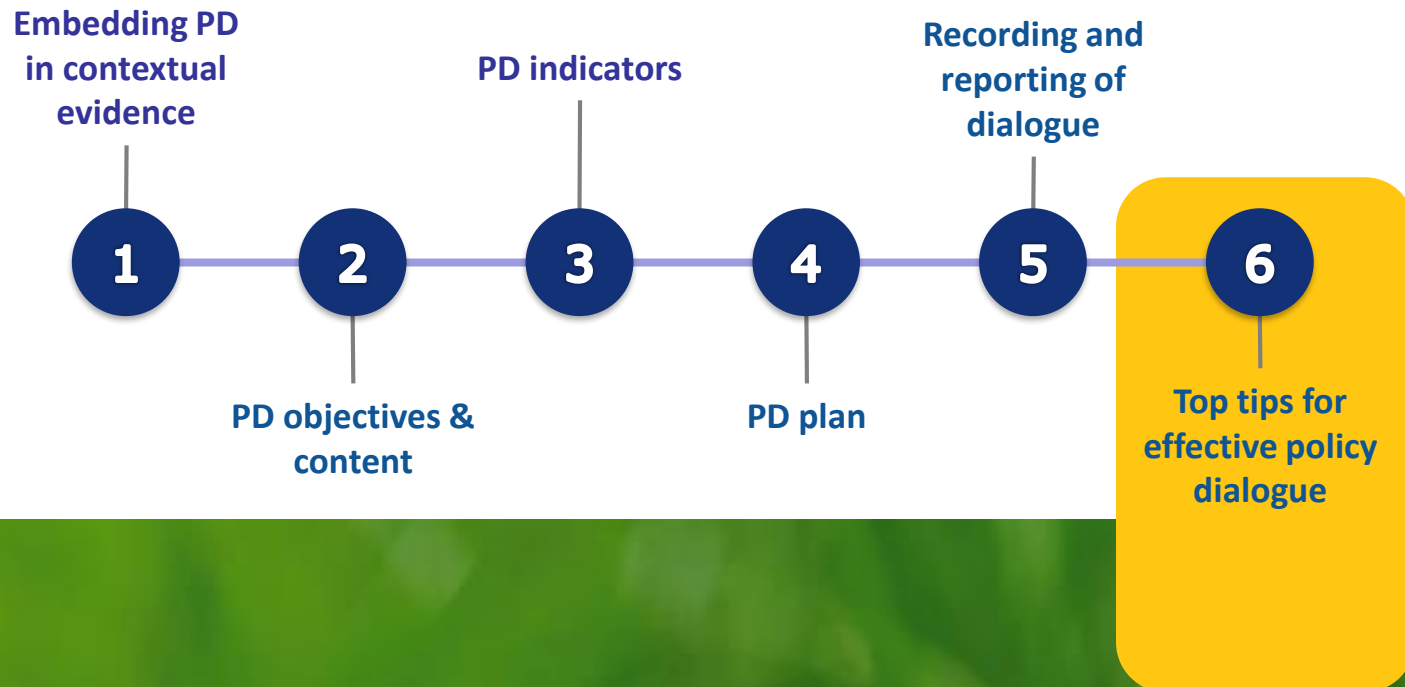
## Useful Rules in Record Keeping (1/2)

1. **Be imaginative about how you (and others) record events**, meetings and project activities. Use flip **charts**, ad hoc notes, logbooks, audiotapes, videotapes, photographs, cartoons or drawings – **anything that will capture and communicate information more vividly**
1. **Be selective** – only record information that is useful and relevant. Nobody ever wants to read pages and pages of what everyone said, rather it is more useful to provide information that prompts and reminds readers of key issues discussed and activities agreed or undertaken
1. **Choose good record keepers**– since record keeping is a highly skilled role, always allocate it to an experienced and confident colleague (not the most inexperienced, junior member of the team)

## Useful Rules in Record Keeping (2/2)

- 4. **Disseminate information appropriately** to meet the needs of different audiences including: partners; partner organisations; external donors; public officials; project staff and beneficiaries; media; reviewers and project evaluators; and other partnership practitioners
- 4. **Remember to double-check** that all partners (and other key stakeholders) are comfortable with the communications and record-keeping approaches
- 4. **Take time to educate** all those involved in the value of good record keeping to enhance the efficiency, effectiveness and impact of the partnership
- 4. **Build storytelling skills** with all those involved to help materials come alive since every bit of partnering activity – if one thinks of a partnership as a journey where those travelling together may have had to overcome insurmountable odds – is, after all, a story worth telling

# Structure of Module 2

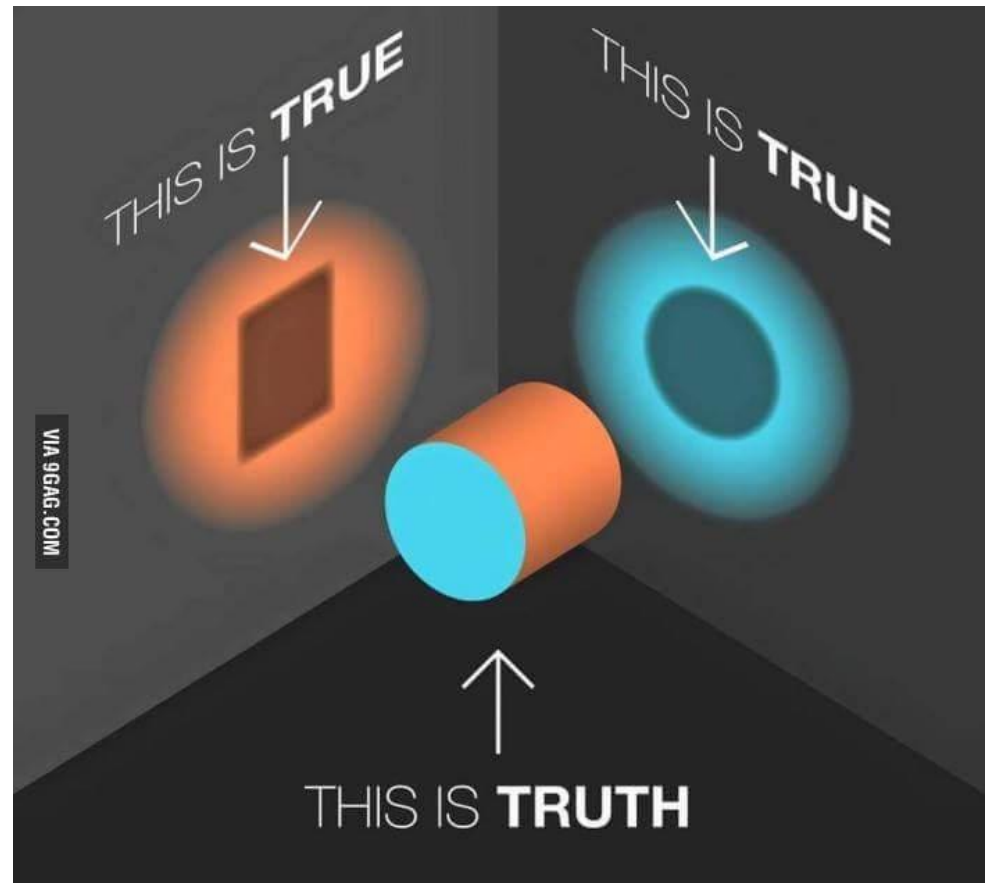


**ICE CREAM IS GOOD**

**An example of a cognitive bias**

## Principles for engaging in Policy Dialogue

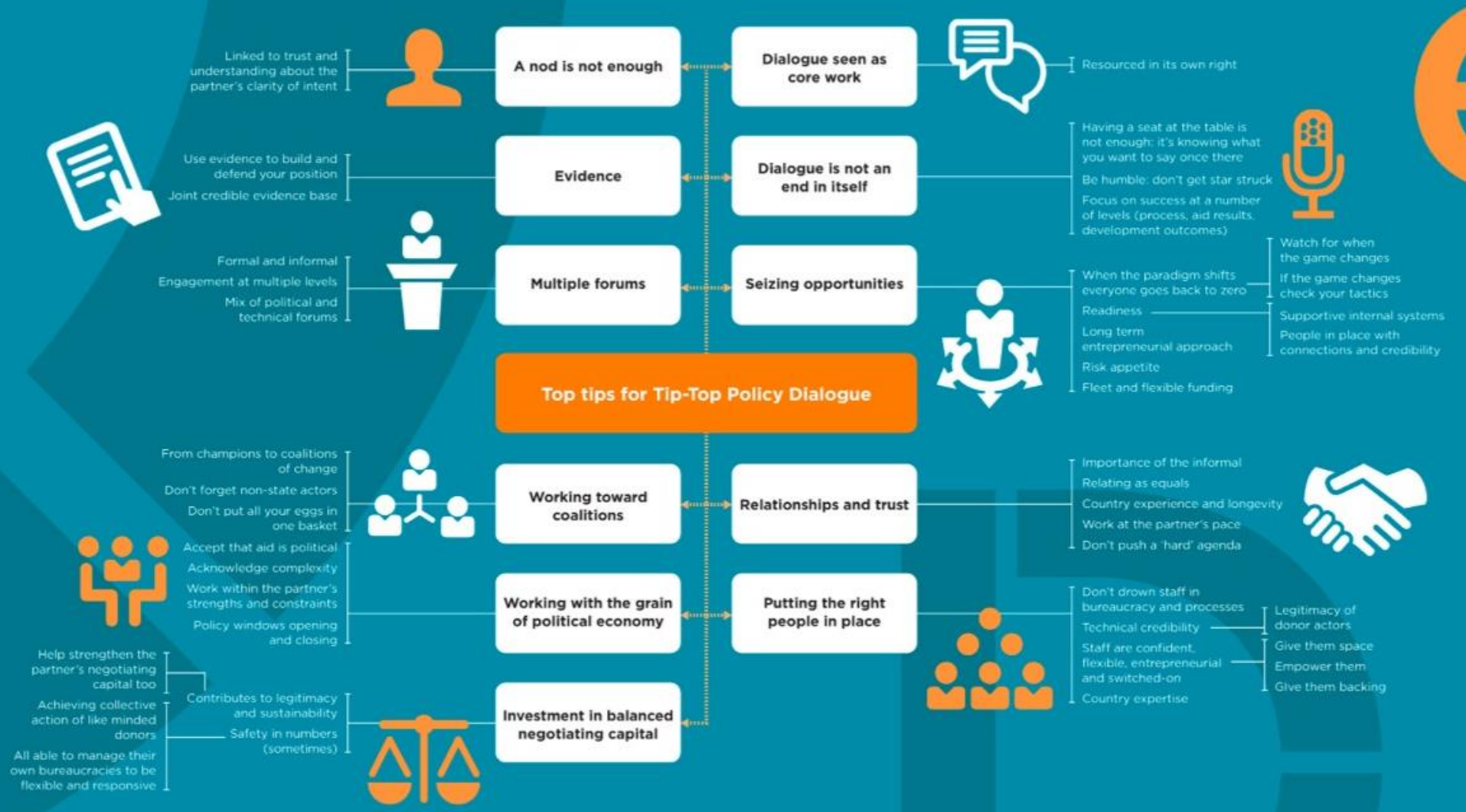
- Realism
- Alignment
- Trust/transparency
- Inclusive Dialogue
- Respectful
- Constructive
- Committed
- Responsive
- Iterative



**There may be more valid perspectives !**



# Top tips for effective policy dialogue





## Some key points to take into account

### Dialogue seen as a core work

- Resourced in its own right

### Dialogue is not an end in itself

- Having a seat at the table is not enough; it's knowing what you want to say once you're there.
- Focus on success at a number of level (process, aid results, development outcomes)

### Seizing opportunities

- When the paradigm shifts everyone goes back to zero
- Readiness
- Long term entrepreneurial approach

### Relationships and trust

- Importance of the informal - Relating as equals
- Country experience and longevity
- Work at the partner's pace
- Don't push a 'hard' agenda

### Putting the right people in place

- Don't drown staff in bureaucracy and processes
- Technical credibility
- Staff are confident, flexible, entrepreneurial and switched-on

## Experience

Oleksander KLITKO

**Ukraine:**

**Policy dialogue coordination  
inside the Delegation:**

Political section (leading)/Trade  
section – Operations sections

## THE ESSENTIAL

before

## THE OBVIOUS

<b>Relationship</b>	before	<b>any other action</b>
<b>Preparation</b>	before	<b>Action</b>
<b>Process</b>	before	<b>Problem</b>
<b>Value creation</b>	before	<b>Value claiming</b>
<b>Creativity</b>	before	<b>Reality check</b>
<b>Search for information</b>	before	<b>Search for solution</b>
<b>Internal consensus</b>	before	<b>External meeting</b>
<b>Active listening</b>	before	<b>Active Speaking</b>
<b>Evaluation</b>	before	<b>Decision</b>
<b>Validating commitments</b>	before	<b>Adjourning</b>

The background is a green-tinted image. In the center, there is a globe showing the continents of North and South America. The globe is surrounded by and partially obscured by blades of grass, suggesting a natural, earthy theme. The overall color palette is various shades of green.

# Coffee, Tea, Networking

**Wednesday, 17 October 2018**

**Room 1.D**

*Throughout the day: space reserved for networking and regional meetings*

**9:00-13:00 TRAINING ON POLICY DIALOGUE FOCUSING ON ENVIRONMENT AND CLIMATE CHANGE**

**Methodology and approaches: Policy dialogue - What? Why? How? A strategic approach to policy dialogue**

**Break**

**Practical experiences with policy dialogues in environment and climate change**

**Maria Del Carmen MARQUES RUIZ (EEAS)**

**Anne BERGENFELT (CLIMA)**

**Andrew MURPHY (ENV)**

**Juan Palerm (Moderator)**

**Q&A  
Discussion**

**Wrap up**

**Policy dialogue lunch**

*Throughout the day: space reserved for networking and regional meetings*

9:00-13:00 **TRAINING ON POLICY DIALOGUE FOCUSING ON ENVIRONMENT AND CLIMATE CHANGE**

**Methodology and approaches: Policy dialogue - What? Why? How? A strategic approach to policy dialogue**

Break

**Practical experiences with policy dialogues in environment and climate change**

## **Policy dialogue lunch**

- ☐ Structured continuation of the discussion over lunch around selected questions relating to the methodological issues, how to approach climate change diplomacy or other environment related policy dialogue;
- ☐ Participants may also propose issues they may want to discuss in a group.

# 1. Training evaluation (preferably electronic)

## Policy dialogue lunch



### 2. Take-aways

- What have you found useful or inspiring?
- What would be useful to take back to their delegations?

### 3. Suggestions for future training

- Content / issues to be covered
- Case experiences, examples
- Dynamics, length, methodologies, ...

#### 14:00-15:30 REGIONAL MEETINGS I

Central Africa	Room 3.04
East and Southern Neighbourhood	Room 3.B
West Africa	Room 1.D

#### 15:30-17:00 REGIONAL MEETINGS II

America	Room 3.04
Asia and Pacific	Room 3.B
East and Southern Africa	Room 1.D



A green-tinted image of a globe, likely representing Earth, with the text "THANK YOU!" overlaid in white, bold, sans-serif capital letters. The globe is partially obscured by green foliage and grass in the foreground, creating a sense of being in nature. The text is centered horizontally and vertically on the globe.

**THANK YOU!**