

Session 3 / Group 1: How to better organise measuring progress in Policy Dialogue on Environment and Climate Change in the EUD?

Imagine you were Head of Cooperation convinced of the critical importance of strategic and structured policy dialogue aiming to develop the EUD as effective and credible policy dialogue partner.

1. **What actions, systems/routines or tools would you prioritize to make it happen? Why?**
Please focus on “How to better organise measuring progress in policy dialogue”
2. **What support would you like to have from HQ?**

Please use:

1. **Annex 13** – “Policy Dialogue in the context of Budget Support”, and think this through **beyond the context of budget support!**
2. **Examples from your own experience** in your current or previous postings
3. **The discussion during the day and the selected slides below** (and earlier ones):

The ideas you generate will be shared with all participants as take-away.

Please determine a **moderator** and a **rappporteur** for the group to provide some highlights to the plenary. You have **30 minutes** in the group and **3 minutes** to report.

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

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

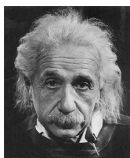
- **Is there a shared vision and a credible process?**
- **Clarified issues:** technical reports and notes, briefings
- **Established stakeholders:** mapping, participation log, commitment, capacity assessments
- **Structural elements:** formal and informal fora established, minutes
- **Established practices:** 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.

Session 3 / Group 2:
How to better plan and resource
Policy Dialogue on Environment and Climate Change in the EUD?

Imagine you were Head of Cooperation convinced of the critical importance of strategic and structured policy dialogue aiming to develop the EUD as effective and credible policy dialogue partner.


1. **What actions, systems/routines or tools would you prioritize to make it happen? Why?**
Please focus on “How to better plan and resource policy dialogue”
2. **What support would you like to have from HQ?**

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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

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.



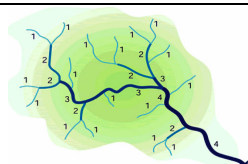
III. Closure: Solution Seeking and Consensus Building

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

Added value Uptake

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Based on Peter S. Adler Kristi Parker Celico December 2003 <http://www.beyondintractability.org/essay/policy-dialogue>



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

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

... evolving over time !

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.

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Session 3 Group 3:

How to better organise recording and reporting of Policy Dialogue on Environment and Climate Change in the EUD?

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Please focus on “How to better organise recording and reporting of Policy Dialogue”
2. **What support would you like to have from HQ?**

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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!



Useful Rules in Record Keeping (1/2)

- **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**
- **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
- **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)

Source: Brokering Guidebook

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Useful Rules in Record Keeping (2/2)

- **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
- **Remember to double-check** that all partners (and other key stakeholders) are comfortable with the communications and record-keeping approaches
- **Take time to educate** all those involved in the value of good record keeping to enhance the efficiency, effectiveness and impact of the partnership
- **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

Source: Brokering Guidebook

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