DEVCO
Environment Week 2018

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

Expert-led & interactive training on a **structured policy dialogue approach** focusing on environment and climate change.

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

- Identifying opportunities, productive venues and entry points for policy dialogue;
- Appreciating lessons from practice and evaluations and what experience suggests;
- Using tools for conceiving, organizing a consistent and meaningful engagement in PD and monitoring progress;
- Dealing with people, problem and process dimensions in preparing and facilitating policy dialogue.

Practical experiences with policy dialogues in environment and climate change

- Good practices, obstacles, lessons learnt, existing support tools and networks;
- Experienced colleagues from DG ENV, CLIMA, DEVCO EUDs and/or EEAS (green diplomacy) will share their insights and examples related to policy dialogue;
- Successes, failures, challenges and lessons learnt in policy dialogue on 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.

Issues to discuss

- **The basics** – what is policy dialogue, what is it not, what can be realistically achieved, and how to do it best
- **Mobilisation of resources** (financial and human) to allow policy implementation.
- How to **treat sensitive matters** without being accused of overstepping boundaries
- How to **keep environment high in the agenda**
- **experiences, HQ backing services/backstopping; toolboxes; networks**
- **Strategic prioritisation of investments** in the sector.
- **Dialogue multisectoriel** (environnement/pastoralisme/agriculture) sur les thématiques : conservation/pastoralisme
- **Engaging stakeholders** in policy dialogue
- How could we conduct policy dialogue with government that could **result into government taking lead** in the sector and translating into actions on the ground?
- **Cooperation DGs/Delegation – Partner Institutions**: models/format; best encouraging experience and practise
- Support to **Development partners' groups** or other working groups for improved effectiveness.
- What is policy dialogue and **concrete instructions** to conduct it.

Issues to discuss

- How to **get counterparts interested** in the issue knowing that they have lack of funds and very little or no legal obligations

- How to raise the **interest of Environment-related Ministries in poor countries** with poor implementation capacities.

- At a time when new development partners are flooding in (China, India, UAE) with sizeable funding, how to **keep EU's role as lead development partner in climate change** in a context of shrinking ODA funds (Seychelles high income, Mauritius aspiring to become high income)

- How to enforce **ownership by the beneficiary institutions** and ensure sustainability of the Environment and CC policies and actions.

- Dialog techniques and approaches with governmental actors and participative **inclusion of beneficiaries voices**; notably regarding climate change adaptation-mitigation and environmental protection issues

- Comment **dépasser l'absence de volonté politique**, qui peut exister sur un processus comme l'APV, où l'Accord est signé, mais fait face à de **fortes résistances lors de sa mise en application**, pour des raisons **d'intérêts (financiers) personnels.**

- How to **make the EUD managers engage** in thematic issues such as the Env
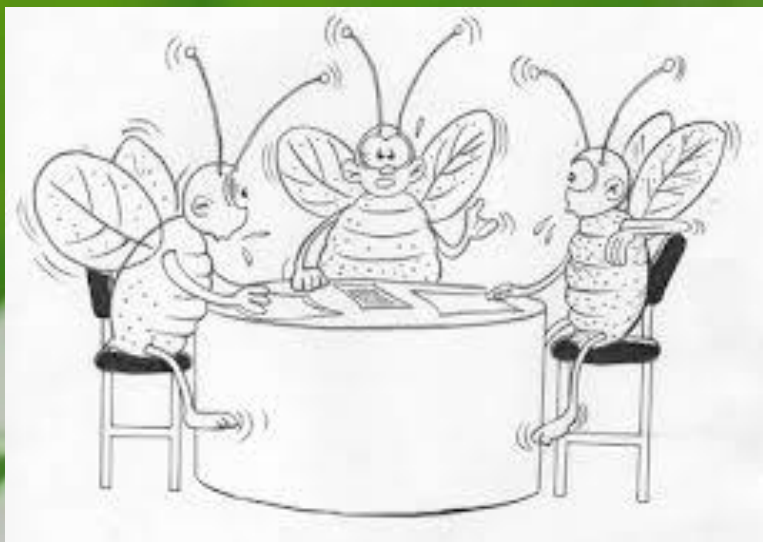
Throughout the day: space reserved for networking and regional meetings

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

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Break

Practical experiences with policy dialogues in environment and climate change
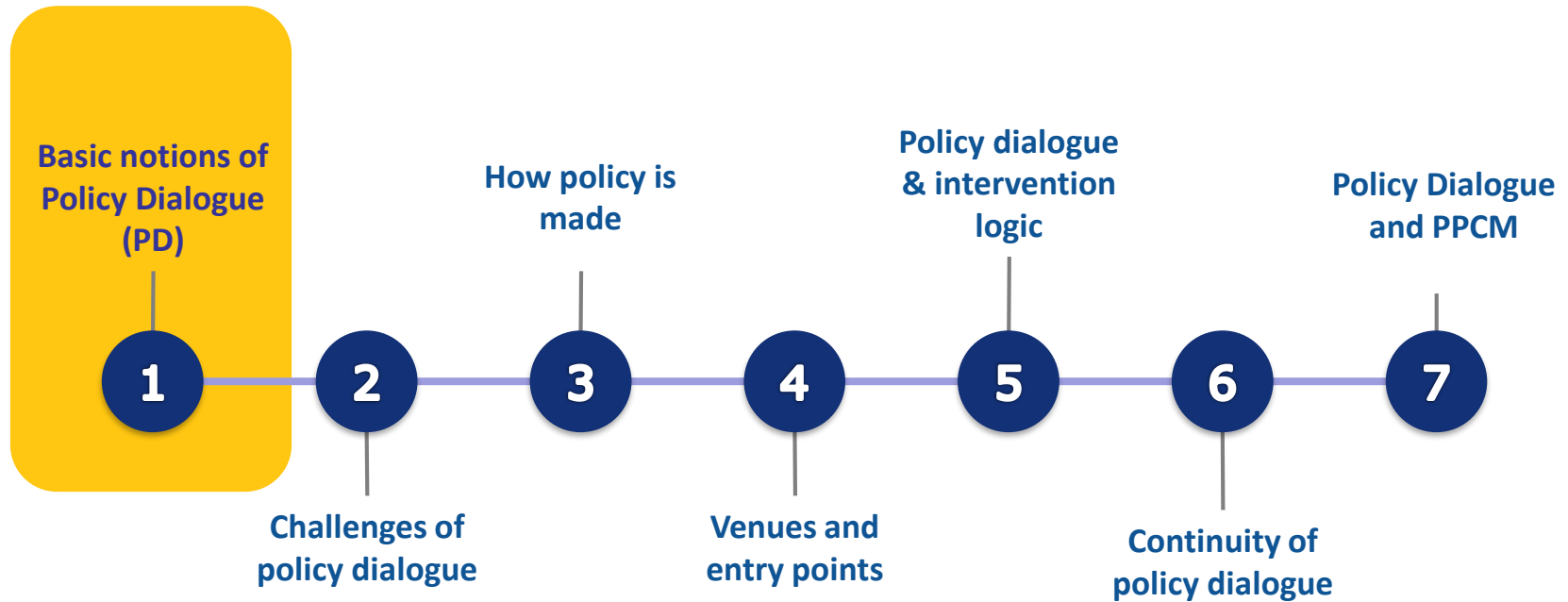
Policy dialogue lunch

Policy Dialogue in practice

Module 1:
Rationale, challenges and potential of a structured approach to Policy Dialogue

DEVCO Environment Week 2018, Brussels, 17 October 2018

Thomas Theisohn (thomas.theisohn@gmail.com)

Structure of Module 1

Basic notions of Policy Dialogue (PD)

1

Challenges of policy dialogue

2

How policy is made

3

Venues and entry points

4

Policy dialogue & intervention logic

5

Continuity of policy dialogue

6

Policy Dialogue and PPCM
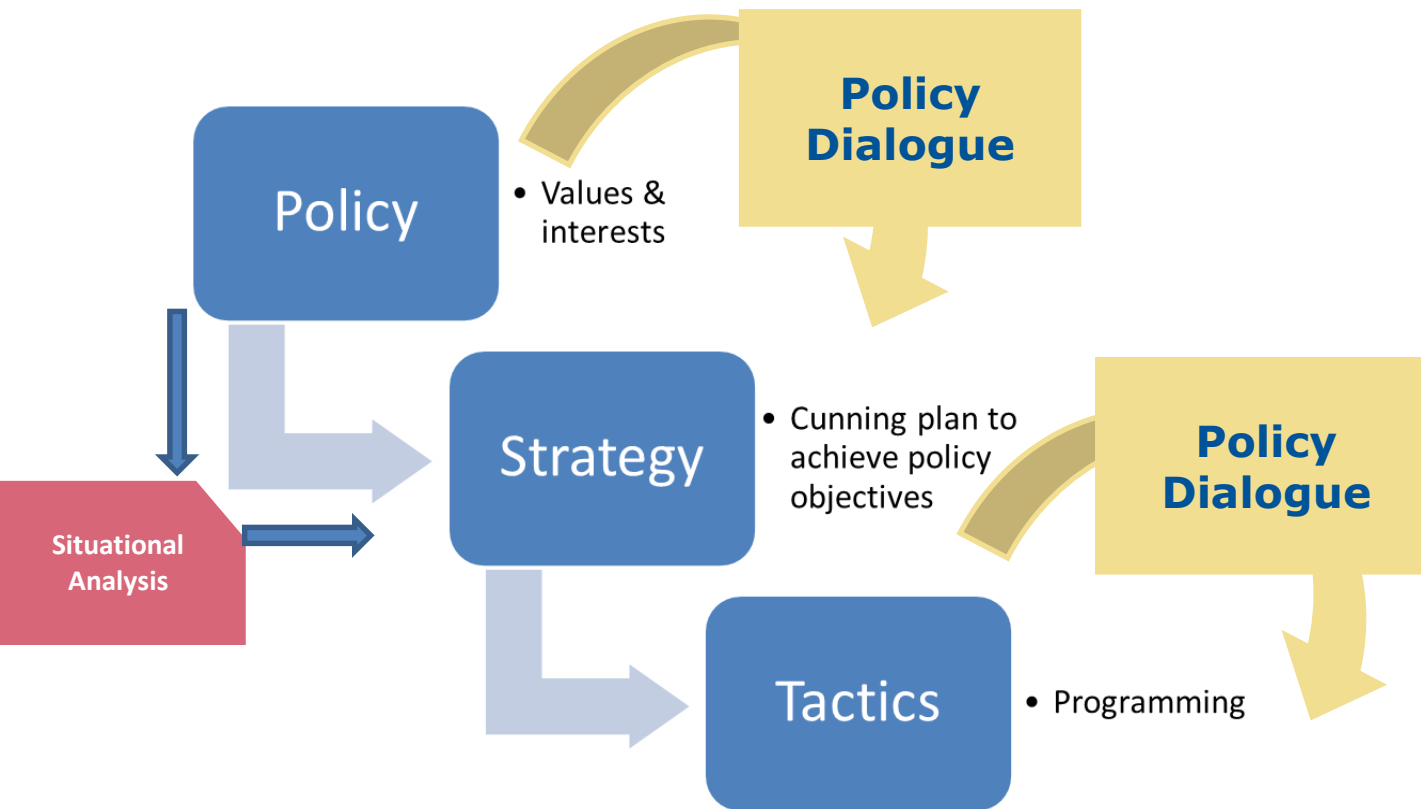
7

What is Policy Dialogue?

- **ESSENTIAL activity** (under Budget Support) and **CRUCIAL** (for other interventions)

- It is expected to **CONTRIBUTE** to the objectives of BS & other interventions

- Used to **MITIGATE** some of the **RISKS**

- **COHERENT** and in line with the **AGREED OBJECTIVES**

Adaptation of Annex 13, Budget Support Guidelines 2017

Cross-cutting themes are crucial !

**Policy dialogue is an** *'open and inclusive dialogue on development policies'*.

Policy Dialogue

Policy

- Values & interests

Strategy

- Cunning plan to achieve policy objectives

Policy Dialogue

Tactics

- Programming

Situational Analysis

"Policy dialogue is a process of communicating and negotiating values in a landscape of power and knowledge imbalances"

AUSAID 2013

Multiple policy streams across sectors

Source: AUSAID 2013 **Thinking and Working Politically** AN EVALUATION OF POLICY DIALOGUE IN AUSAID
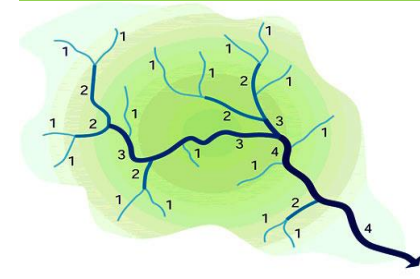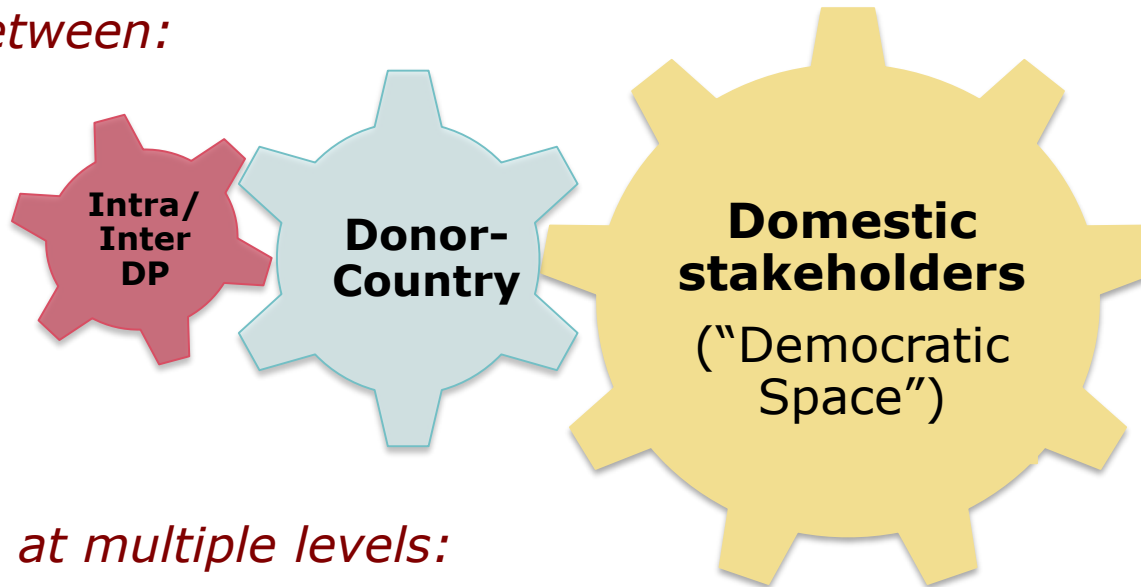
Two types of dialogue may be distinguished:

- **Political dialogue**, which in line with the Lisbon Treaty or other legal bases covers all EU external policies be they development, neighbourhood or enlargement, foreign and security, or migration policies.

- **Policy dialogue (PD)** covers the specific sectors of EU cooperation and supports the partner country's efforts to achieve the objectives laid down in their strategies.

Annex 13, Budget Support Guidelines 2017

« Dialogue politique »   –   « Dialogue sur les politiques »
Partnership Instruments / Dialogue facilities

Policy dialogue is continuous, dynamic, multidimensional, non-linear, purposeful exchange …

… between:

Intra/ Inter DP

Donor- Country

Domestic stakeholders

("Democratic Space")

»…In relation with partner countries, the **EU and its Member States will put renewed emphasis on country ownership, partnership and dialogue,** in order to contribute to greater effectiveness…

They will **promote open government dialogues with all stakeholders** during the decision-making, planning, implementation and review stages."

European Consensus (2017)

… at multiple levels:

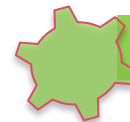- *Global/Regional/national/sub-national levels*
- *Technical and strategic levels*
- *Formal and informal*
- *Content focus and depth*
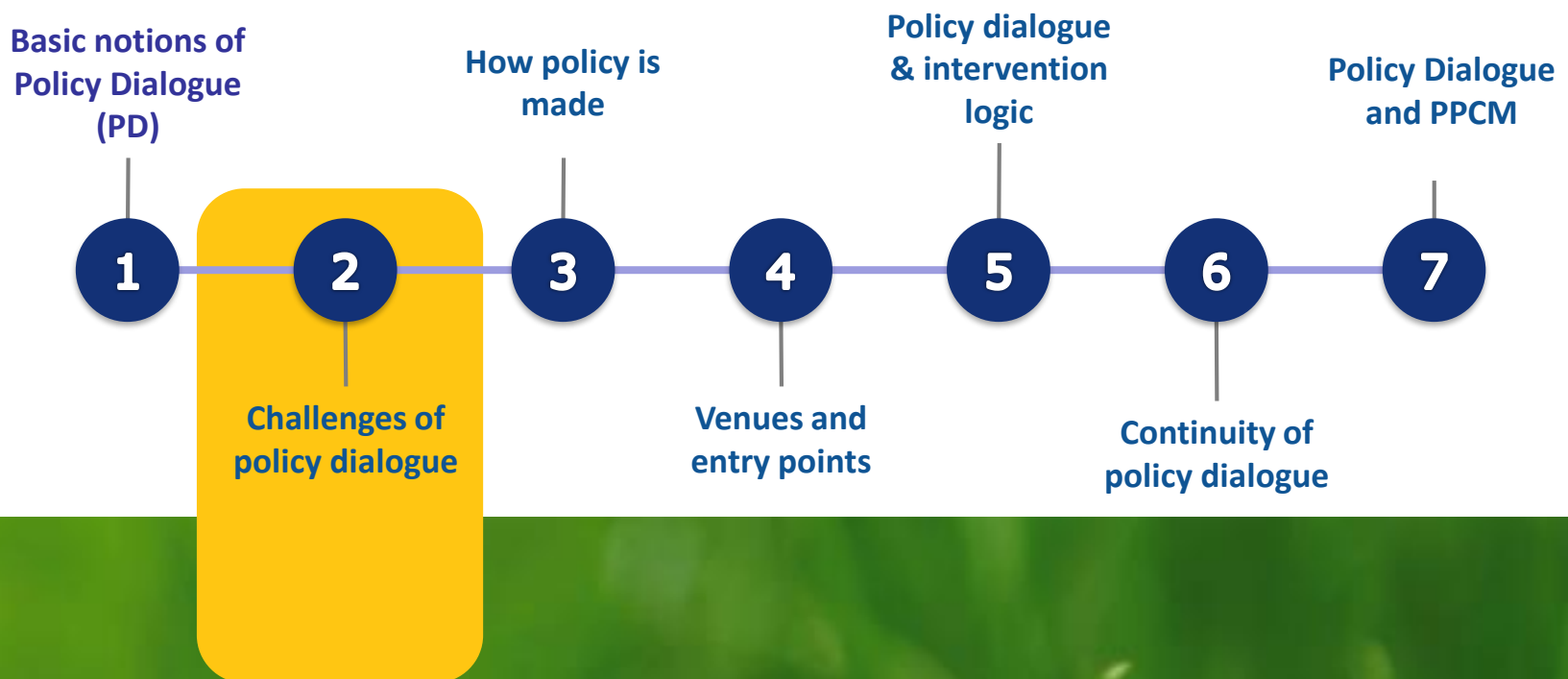
Intra-EU and intra DEVCO dialogue!

… and evolving over time !

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Policy Dialogue and PPCM

1 **2** **3** **4** **5** **6** **7**

Challenges of policy dialogue

Venues and entry points

Continuity of policy dialogue

What challenges do you face with Policy Dialogue on Environment?

Why?

From where do problems arise?

A key premise:
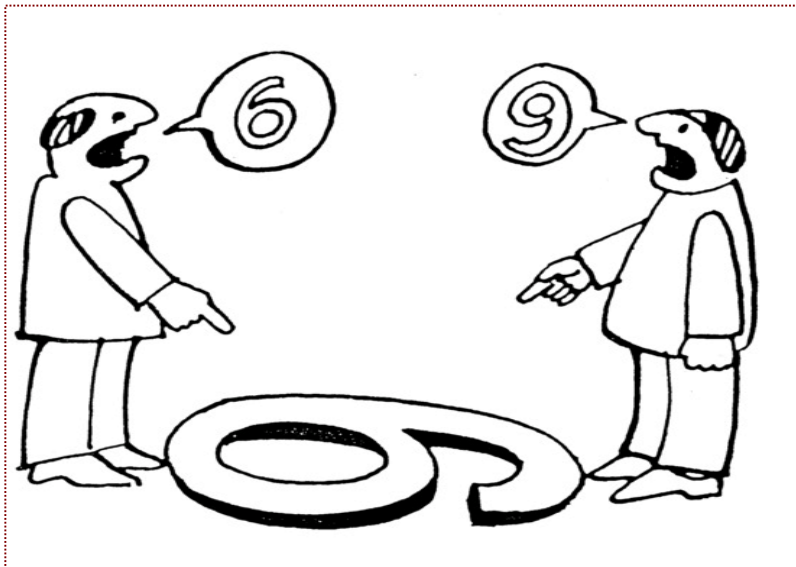
please, put yourself into
the shoes of
your counterparts!

Challenges

- In context of complex institutional set-up in BiH, and division of competences in the environment sector this is very challenging issue and **to high degree politicised**.
- **Identify common interest themes; continue discussing; constant changes in government** has been a challenging.
- Sometimes **access to senior** government/minister level proves difficult in the **absence of significant EU funding** in these areas
- However the policy environment remains weak (reforms poorly implemented) and **institutional organisation + capacities** need to be reinforced .
- **Indicators and target definition** is always complicated
- Challenges arise often around loosely related political/horizontal issues (**eg politically hot topics**)
- The environment sector in BiH is very complex and challenging. The biggest challenge is **putting the right policies in place** and strategic **prioritisation of investments** in the sector.
- **Pas assez d'exemple** sur les bonnes pratiques. Il est assez difficile d'engager le **dialogue multisectoriel** (environnement/pastoralisme/agriculture).
- The challenge has been to **get the government on top of the environment and climate change agenda** and to implement the agreed policies and strategies developed. Most of the actions in environment and climate change are financed by Development Partners.

Challenges

- **Limited institutional capacity** of the partner country public agencies; lack of regional/local action plans for implementation of the National policy.
- Balancing between collective group objectives versus bilateral interests. Workload of project / **programme management on the one hand and policy dialogue on the other.**
- **Internal organisation of the Ministry** of Environment
- Level of **knowledge and commitment of counterparts**
- To **raise interest of concerned Ministries at highest level** because policy dialogue does not specifically comes with an **envelope of funds** directly allocated to them (unlike with the project approach)
- **Limited experience** with policy dialogue.
- The main challenge has been to discuss policy issues, objectives and indicators in a context **outside budget support**. In fact, climate change is **not the focal sector** in Mauritius.
- It is not working well considering that the **implementation of the relevant policies** and the corresponding legislation is lacking in Kosovo
- The most challenge aspects are **how to harmonize EU policies**, governmental policies/regulations and beneficiaries needs and timings
- Résultats mitigés. Oui, c'est un vrai défi.
- Does not always work as the **technical discussions don´t move higher**

Risks of Dialogue Failure

PEOPLE	PROBLEM	PROCESS
• No leadership • Conducted with the "wrong" actors • Flickering representation: stakeholders scope and mandate • Mindsets, Stereotypes, lack of trust • Lack of technical expertise • Interests and power (also on the EU/donor side)	• Partial coverage/ empty dialogue • Issues not treated • Lack of solid content and result-oriented focus • Agenda controlled by interest/political priorities (hidden agenda) • « Empty » Forum • Venues non conducive: trust	• Unclear/purposeless process • Overall environment in partner countries • Ad hoc organisation of PDs • Trapped in over-formalised settings • "Little leverage" -> little interest

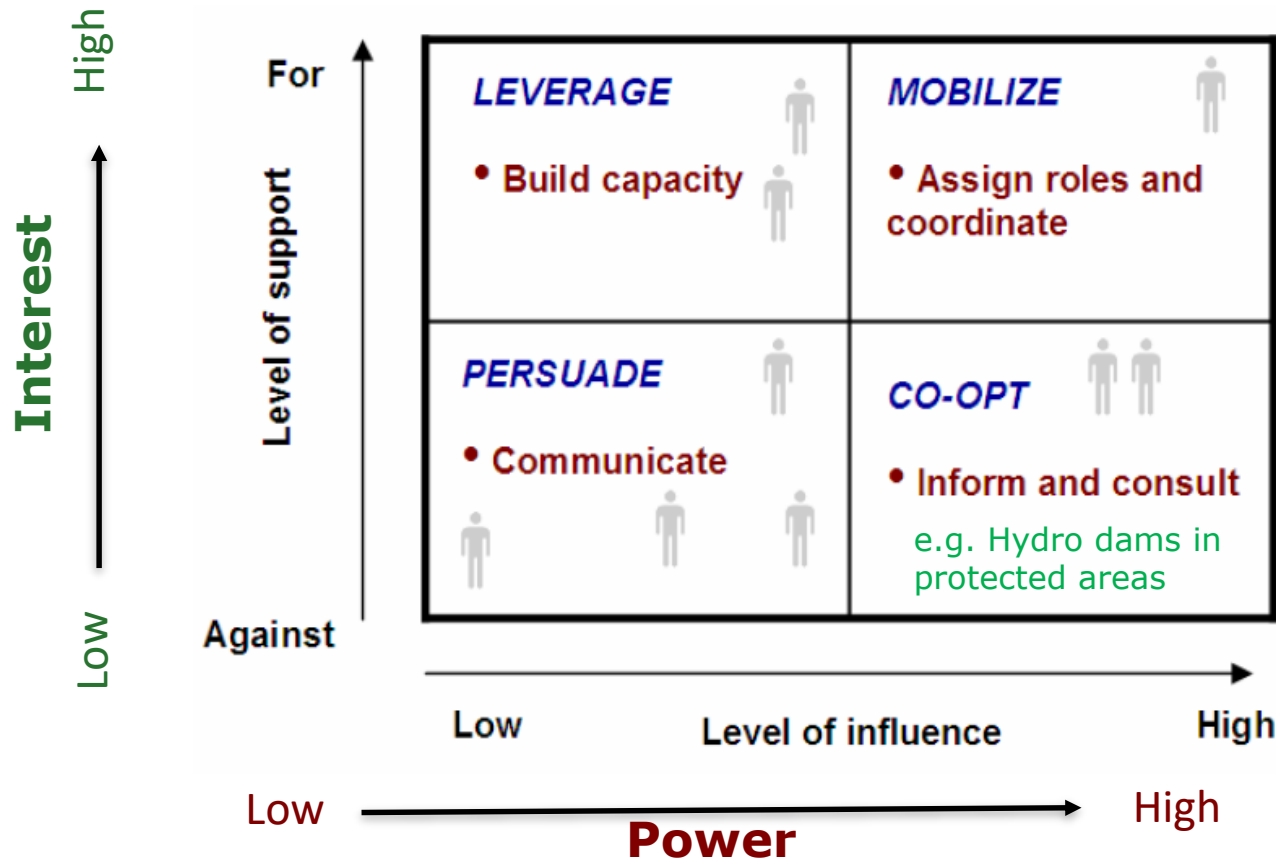**The environment and climate change nexus adds complexity!**

Experience

Ivan BORISAVLJEVIC

Tajikistan:
Lessons from first policy dialogue on integrated water resource management ("People, Problem, Process")

Policy Dialogue engages diverse stakeholders

Interest (High / Low)

Power (Low → High)

Level of support (For / Against)

Level of influence (Low → High)

LEVERAGE
- Build capacity

MOBILIZE
- Assign roles and coordinate

PERSUADE
- Communicate

CO-OPT
- Inform and consult

e.g. Hydro dams in protected areas

"STAKEHOLDERS"

Political structures, government departments, organisations, groups, networks, coalitions, media and opinion leaders, individuals

"INTEREST"

Measures the degree of importance attached to the issue by the various stakeholders and how they are likely to be affected by it

"POWER"

Measures the influence stakeholders have and the degree to which they may help achieve or block the reform

Different PEOPLE may need to be handled differently

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EUD's roles in engaging with the partner country

EU INSTITUTIONS

DG DEVCO

DG NEAR

Line DGs (DG TRADE, DG MARE, DG Env.,etc)

European External Action Service - EEAS

EUDs

MEMBER STATES

PARTNER COUNTRY

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1 2 3 4 5 6 7

Understanding who makes policy helps identify opportunities

- **Representative model**
  Liberal democratic view

- **Rational actor model**
  Expert view

- **Bureaucratic politics model**
  Scepticism

- **Interest group model**
  Pressure and lobbying

- **Policy network model**
  Differentiated and disaggregated policy process

- **Third Sector and NGO advocates**
  NGOs represent 'their' clients

- **Elitist model**
  Decisions taken in a closed insider circle

Based on: John Wanna, John Butcher, Benoit Freyens, 'Policy in Action', 2010, p. 173

Donors	Government	Civil Society
Regional / International Leads	Office of the President	INGOs
Country Heads	Ministers	Regional CSOs
Programme Advisors	Directors/Ministers – Federal	National CSOs
Sector Advisors	Directors - Regional	Local CSOs
Programme Staff	Directors - District	Grassroots CSOs

Policy Dialogue

Policy Dialogue

Review of Literature and International Practice in Policy Dialogue » July 2011 »

Whatever "model" may resonate with your context, in order to influence in a meaningful way, you need to identify **who "calls the shots"** or how decisions come about in space (where) and time (when).

Choices of policy instruments …

… depend on context

- **Political preferences**: interventionist states may use fiscal policies and spending programmes more than regulatory instruments

- **History**: how has typically been treated an issue in the past?

- **Capacity**: Human resources, social capital, institutional framework

	Direct	Indirect
Monetary	Provide	Tax
	Purchase	Subsidise
Non-monetary	Prohibit	Inform
	Require	Implore

Source: Norman Flynn: Public Sector Management

Role of perverse subsidies, e.g. differential between agriculture and industry leading to black market!

… may not imply large expenditure programmes
… can be supported through policy learning / offering alternatives
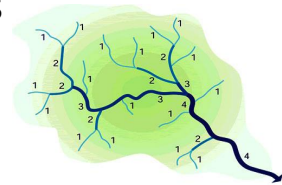**… should not be imposed!**

Policy Transmission & Budget

- **Difficult political decisions** on resource collection and allocation

- **Repetitive budget cycle**: policy formulation, analysis, execution, tracking, performance evaluation.

- The budget is fundamental for **accountability**

Planning and budgeting in the Health Sector (Rwanda)

Reality checks

- How to make resources available for policies?

- How to ensure budget execution enables implementation of policies?

- How to improve the policy performance of governments through the budget cycle?

- How to ensure room in annual budget for a new policy?

The budget is one of the main public sector instruments to achieve society's goals:

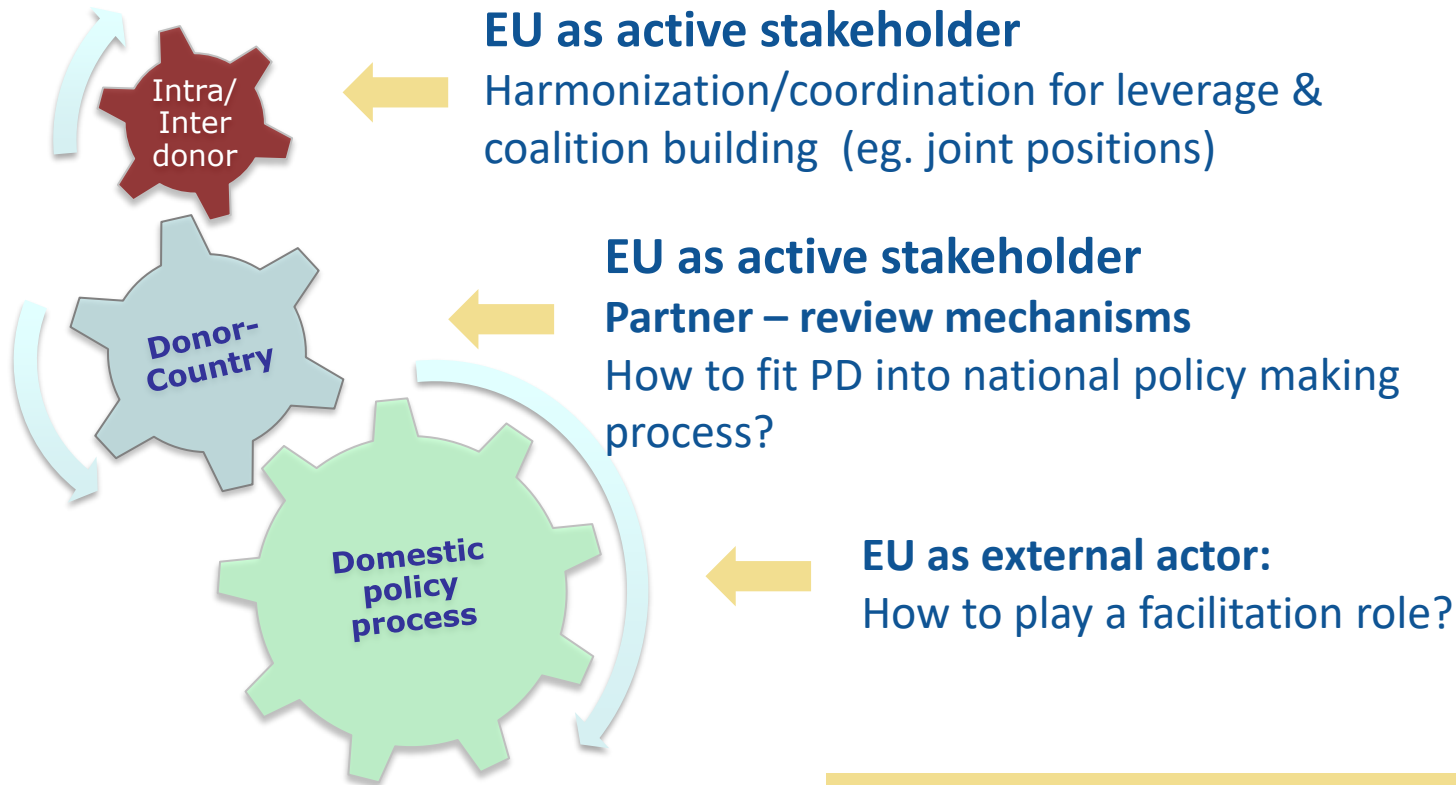**It is a representation of government's preferences and priorities.**

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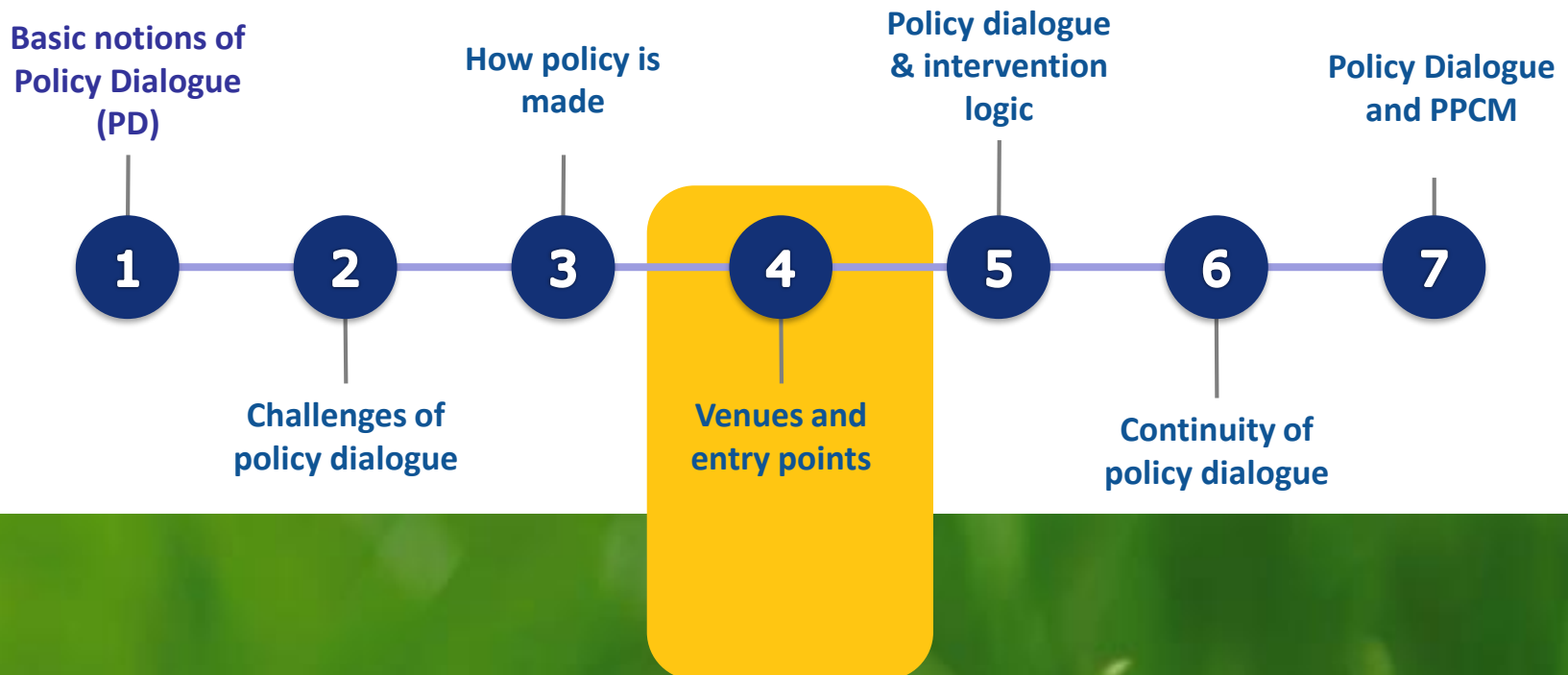# Experience

Herley Richard JULIEN

Haïti:
Policy dialogue for mainstream climate change adaptation to the national budget

"Traction" with domestic policy making

EU as active stakeholder
Harmonization/coordination for leverage & coalition building (eg. joint positions)

EU as active stakeholder
Partner – review mechanisms
How to fit PD into national policy making process?

EU as external actor:
How to play a facilitation role?

Intra/ Inter donor

Donor-Country

Domestic policy process

Policy dialogue is part of the development assistance "toolkit" that **aims to support partner's domestic reform**

Structure of Module 1

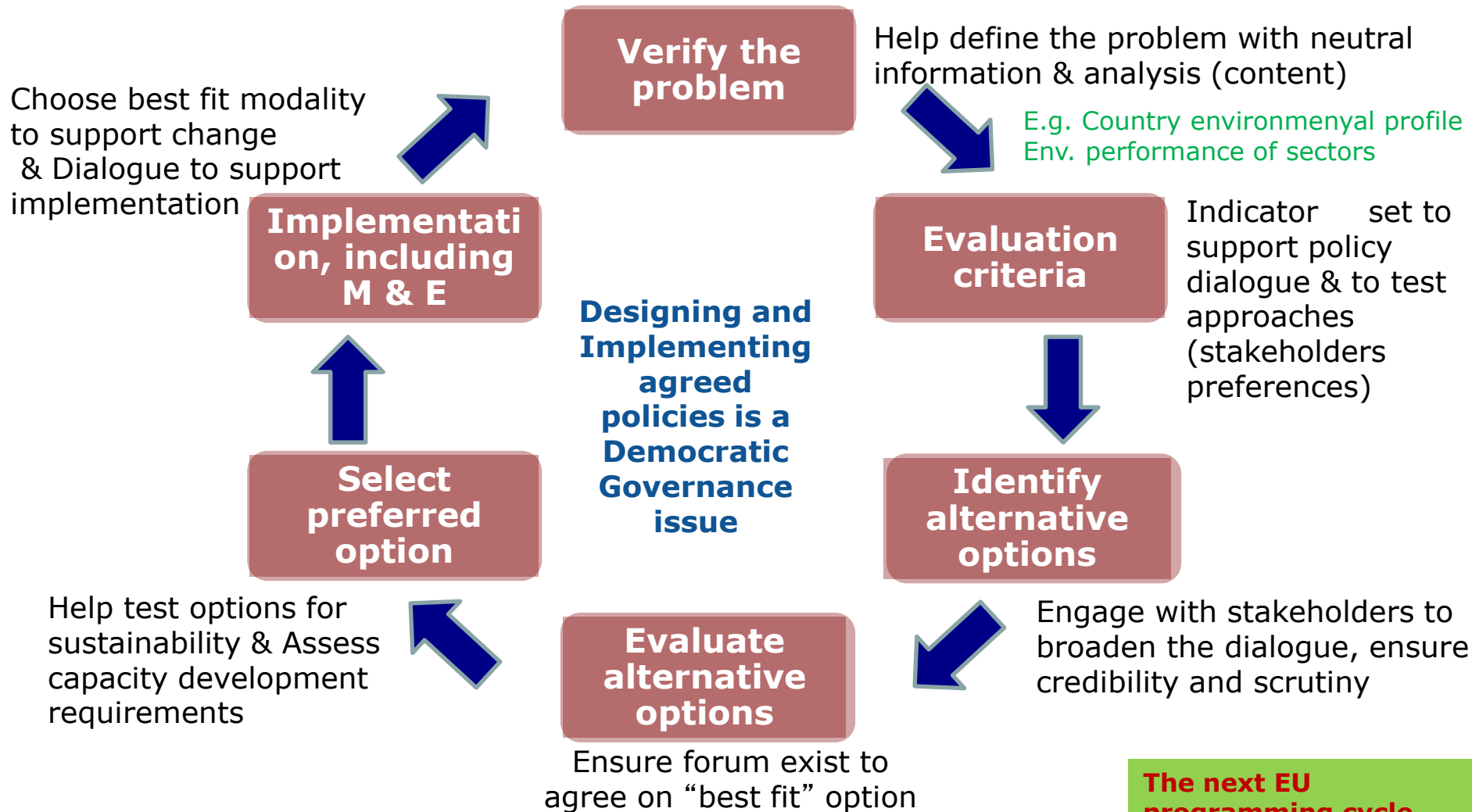**Basic notions of Policy Dialogue (PD)**

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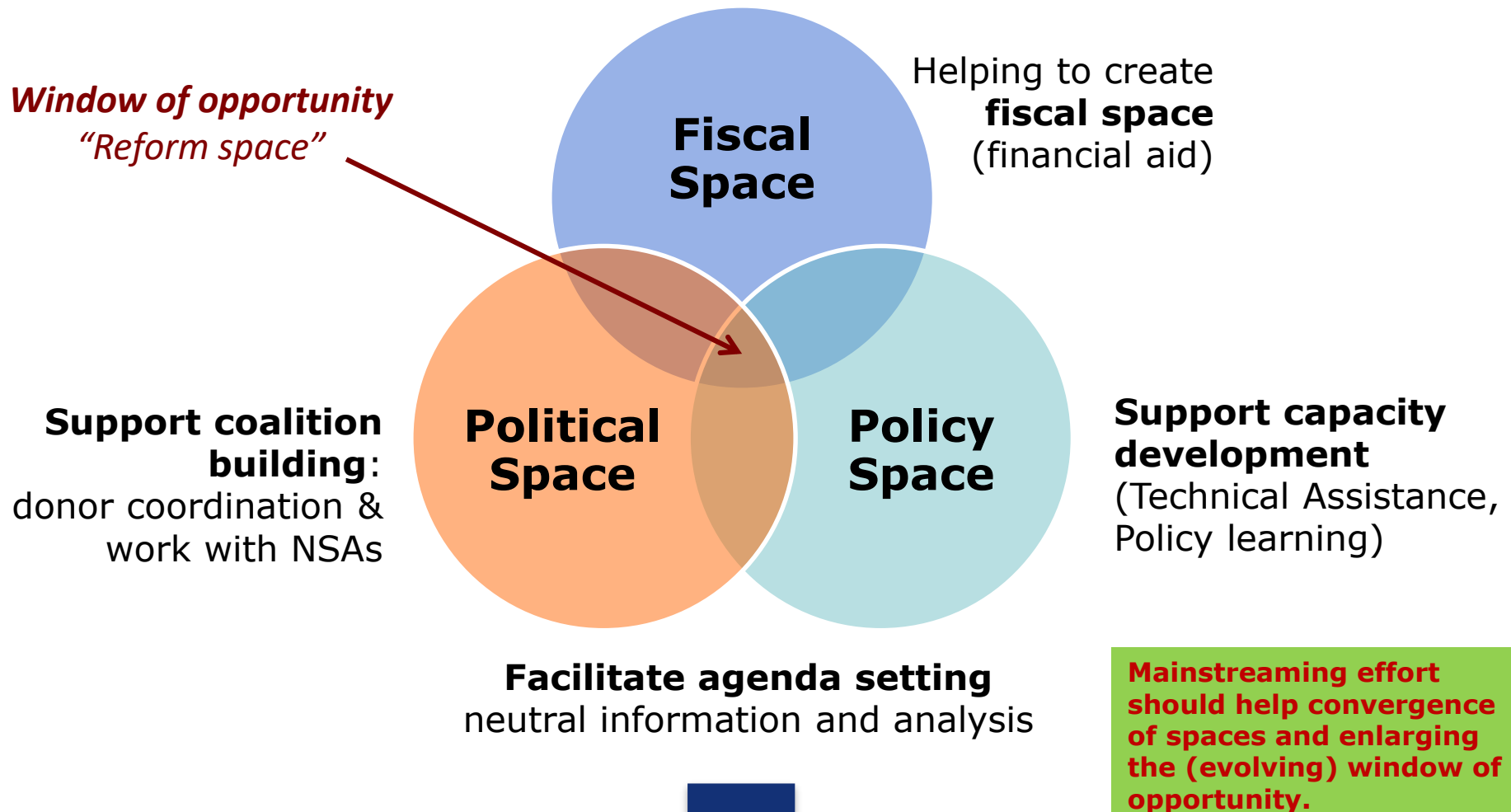1 2 3 4 5 6 7

Types of venues

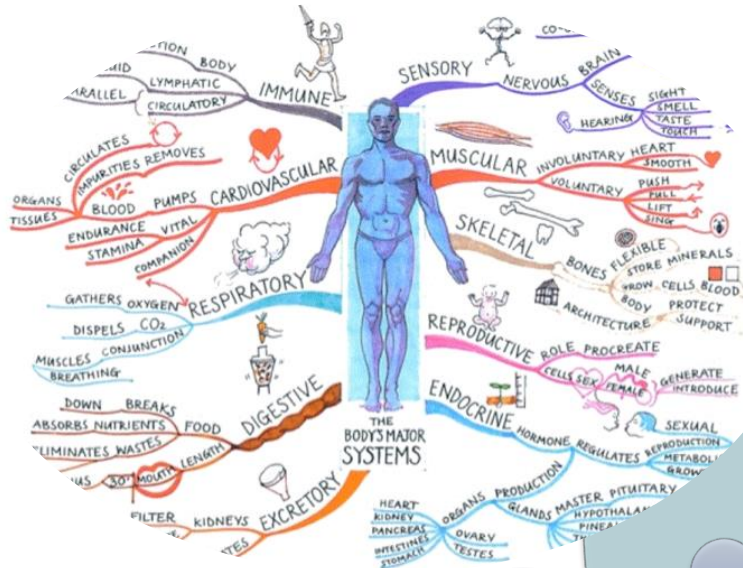|	
Sector Working Groups	Technical issues, break down complex themes into smaller pieces =>agenda? Mandate?
Donor coordination (many forms, formal and informal)	Lead donors role and Division of Labour to become operational, preparatory to SWGs, hidden agendas made
Establish informal dialogue	Trust can only be built over time through genuine concern for others
Documentation	Concept notes, briefing, analysis, evaluations; usually joint work, published and accessible, possibly publicly presented

The Policy cycle and Entry points

Verify the problem

Help define the problem with neutral information & analysis (content)

E.g. Country environmenyal profile
Env. performance of sectors

Choose best fit modality to support change & Dialogue to support implementation

Implementation, including M & E

Evaluation criteria

Indicator set to support policy dialogue & to test approaches (stakeholders preferences)

Designing and Implementing agreed policies is a Democratic Governance issue

Select preferred option

Identify alternative options

Help test options for sustainability & Assess capacity development requirements

Evaluate alternative options

Engage with stakeholders to broaden the dialogue, ensure credibility and scrutiny

Ensure forum exist to agree on "best fit" option

The next EU programming cycle starts soon!

Policy process: a compound of inter-dependent spaces

Fiscal Space

Political Space

Policy Space

Window of opportunity
"Reform space"

Helping to create **fiscal space** (financial aid)

Support coalition building: donor coordination & work with NSAs

Support capacity development (Technical Assistance, Policy learning)

Facilitate agenda setting neutral information and analysis

Mainstreaming effort should help convergence of spaces and enlarging the (evolving) window of opportunity.

European
Commission

Ecosystem

It's all about system capacity!

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Policy dialogue to be accurately integrated in the Action Document

"**4. Description of the action** (max. 3 pages,)

4.1 Overall objective, specific objective(s), expected outputs and indicative activities
< **For project modality**, list all expected results: Overall objective (expected impact), specific objective(s) (expected outcome(s)), and expected outputs (if defined at this stage) – in line with the results chain of the Logframe Matrix in Appendix.
<List here the main indicative activities. Where possible, these activities should be grouped per expected outputs.)>

For Budget Support modality
< In case of budget support, consider both budget support and complementary support >
please list all expected results:
- Overall objective : the expected impact of the policy supported through BS,
- specific objective(s) : the expected outcome(s) of the policy supported through BS,
- the induced outputs of the policy supported through BS
- the direct outputs of the budget support contract (indicatively one for each input: financial transfers, **policy dialogue**, performance, capacity development)

Please refer to the guidance provided in Chapter 2.3.3 and Annex 2 of the Budget Support Guidelines (2017). This results chain should be reflected in the Intervention Logic under section 4.3.of the Action Document as well as in the summary of Intervention Logic in Annex 1. >
< For budget support, present the main inputs (budget support, performance assessment, **policy dialogue** and, when appropriate, complementary support). >"   (AD template 2018)
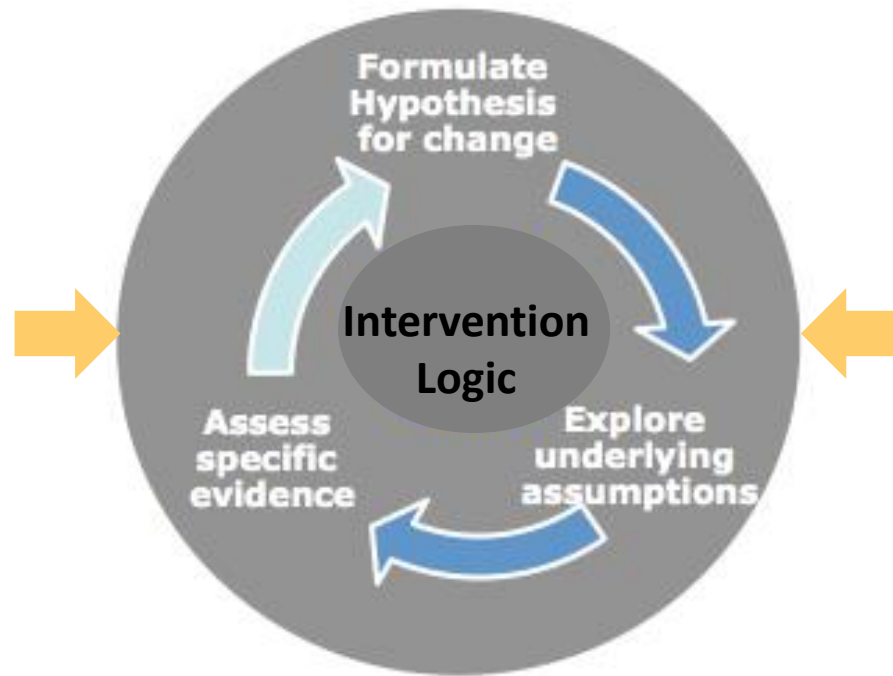
4.2. Intervention logic
"… Explain briefly how the financial transfers together with **policy dialogue**, performance assessment and capacity development is expected to contribute effectively to improved outputs, outcomes and ultimately impact."
                                                                                      (AD instructions 2018)

Policy dialogue and intervention logic (2/2)

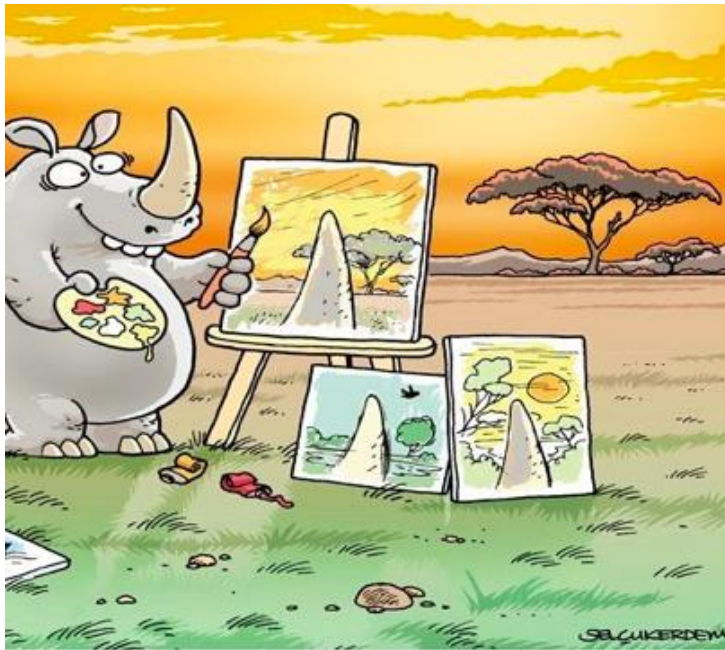The Intervention Logic
is a critical
subject of Policy
dialogue!...

Intervention Logic

Formulate Hypothesis for change

Assess specific evidence

Explore underlying assumptions

...and Policy dialogue is an
is an important
part of the
Intervention
Logic!

It is important, in the AD, to explain briefly how the financial transfer **together with policy dialogue** and possible complementary support **is expected to contribute effectively to improved outputs, outcomes and ultimately impact.**
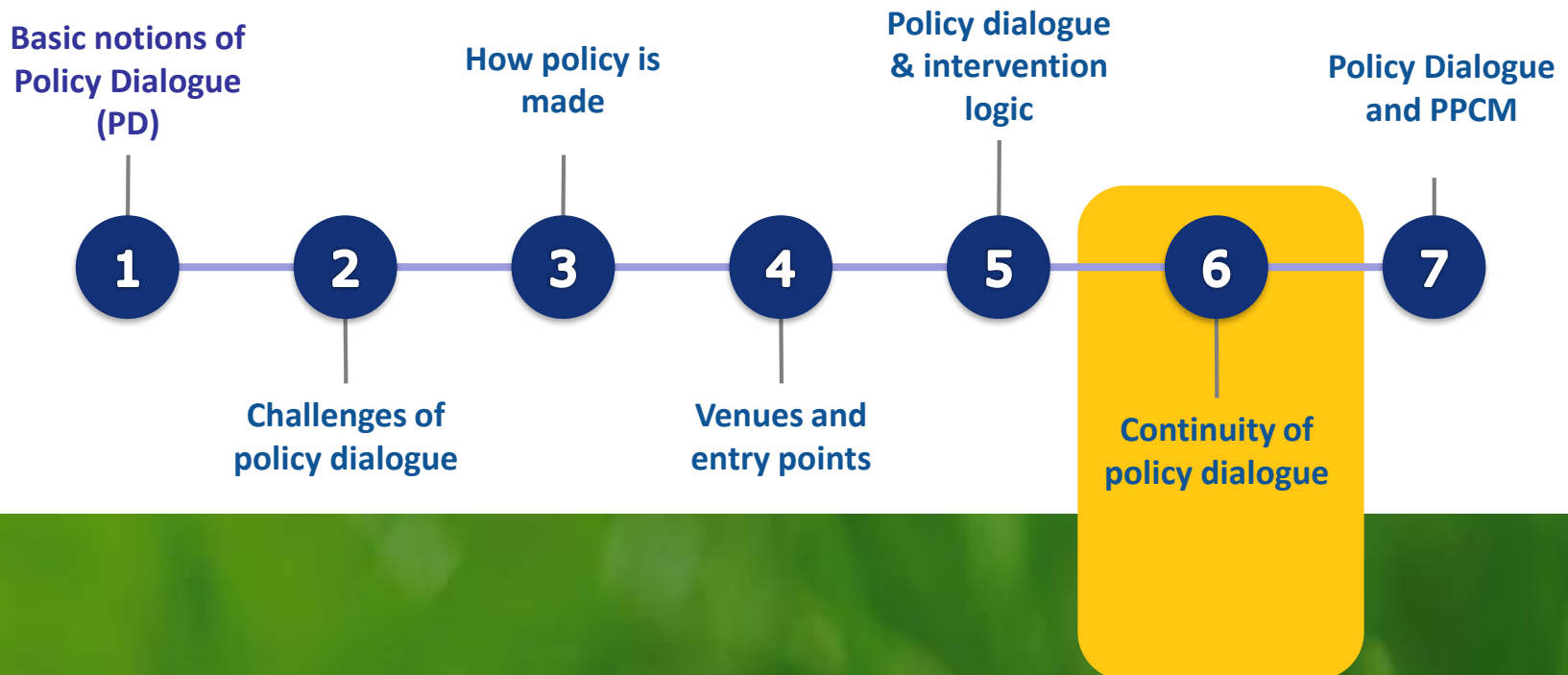
"We should have talked about it!"

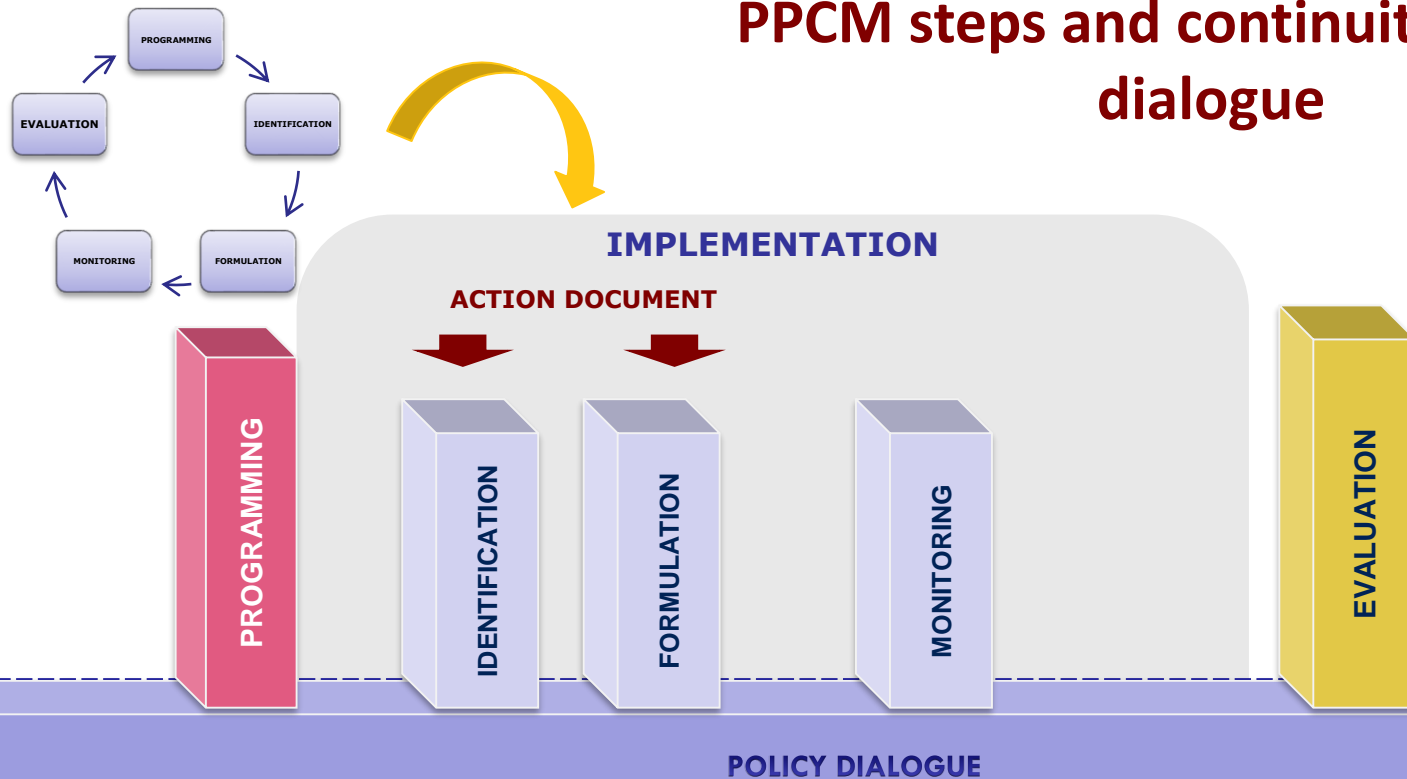## Assumptions are masters in disguise …

Assumptions (Instructive examples)

- Reform related **risks** are adequately managed
- Stakeholders share a **common understanding** of reform priorities and direction
- **Political feasibility** of reforms is duly taken into account
- Implementation is **adequately sequenced** and proceeds at a reasonable pace
- **Expectations** are adequately managed
- **Reform momentum** is sustained
- **Local ownership** principles are honoured through processes of validation by a wide cross-section of national stakeholders
- **Blueprint approaches are avoided**
- Plans and proposals are **realistic and feasible** and the 'politics of implementation' is duly taken into account
- **Resources are made available** by the Government to support the rollout of reforms
- A **viable interface** between bottom up approaches and top down reforms is created
- **Broader public sector reforms** do not hinder sector-wide reform processes

Source: Drawn from EU Health Sector Support Programme, Libia

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Challenges of policy dialogue

Venues and entry points

Continuity of policy dialogue

PPCM steps and continuity of policy dialogue

PROGRAMMING

IDENTIFICATION

EVALUATION

MONITORING

FORMULATION

IMPLEMENTATION

ACTION DOCUMENT

PROGRAMMING

IDENTIFICATION

FORMULATION

MONITORING

EVALUATION

POLICY DIALOGUE

STAKEHOLDER PARTICIPATION AND COALITION AROUND VISIBLE CHANGE PATHS
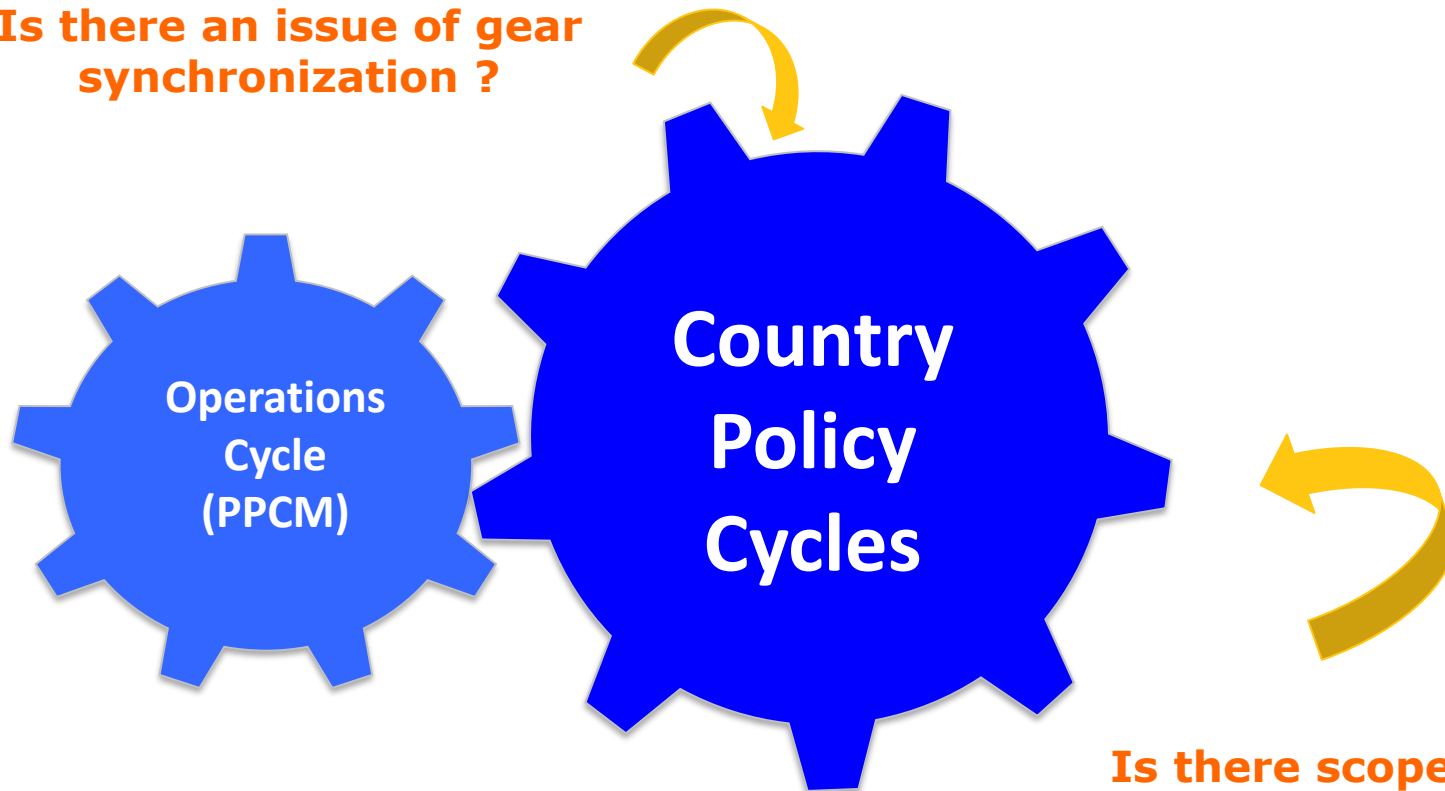
ANALYSIS, EVIDENCE, LESSONS, LEARNING

SEA as key instrument
➢ **Use purposefully!**
➢ **Target for purpose!**

Sequencing, discontinuities and continuities

Is there an issue of gear synchronization ?

Operations Cycle (PPCM)

Country Policy Cycles

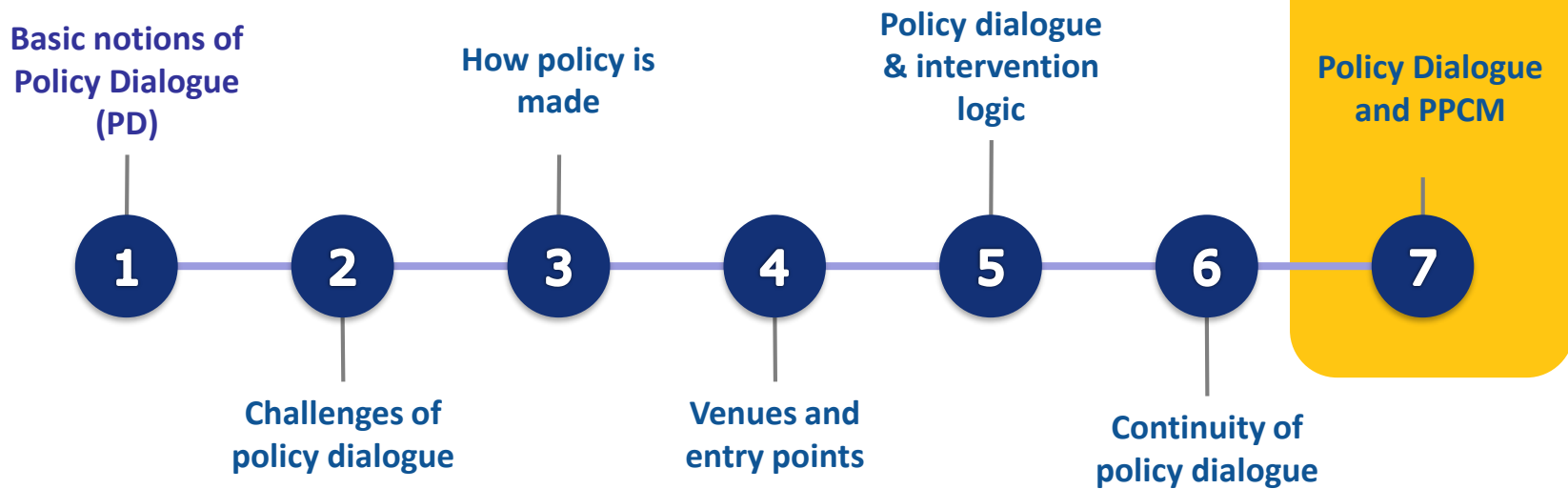**Is there scope to better align and for "facilitation" of country processes?**
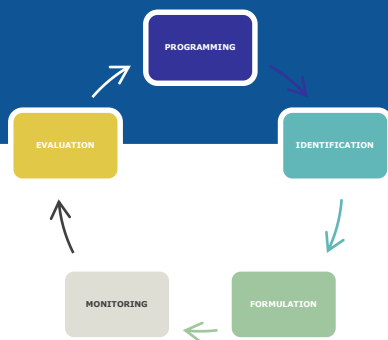
Experience

Rajesh PARBOTEEAH

Mauritius:
Policy dialogue on climate change with Government **outside any budget support operations**.

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1   2   3   4   5   6   7

Programming

European Commission

Allows reflection on the big picture, that should not be lost throughout the PPCM

FOCUS OF PD

Key outputs
- The relevant **stakeholders** are identified along with the most appropriate **platforms** and communication channels
- Relevant **information** guides the selection of focal and non-focal sectors
- **Communication channels** are established to sources of information
- Close **coordination** with the lead and like-minded development partners
- **Familiar** with EU thematic and regional programmes and projects
- **National ownership consolidated and supported.**
   DEVCO Mainstreaming Guidelines (2016)

OPPORTUNITIES

- Assess areas that are likely to be regarded a**s assumptions**

- Discuss **systemic blockages** preventing progress

- Explore critical **building blocks of governance**, e.g. access to information legislation

- Introduce **complementary / lateral issues** that are relevant for the broader PD

- Support **budget analysis by CSOs**

- Ensure that **evidence is packaged for uptake**, e.g. briefs tailored for specific groups.

- **Connect Development Partners** to effectively share evidence and data.

- Effectively use evidence to ensure **big issues** are kept on the screen throughout PPCM

Identification

PD should not jump to conclusions too quickly but genuinely explore options!
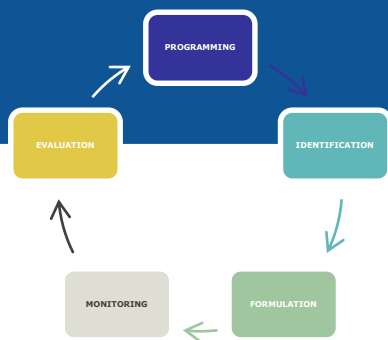
Focus of PD

Key outputs
- deepening and confirming the understanding of the **political economy / drivers**
- confirming the relevant stakeholders and communication **platforms**
- identifying and discussing **policy options**
- mutual recognition of:
  - the importance of taking into account the **economic costs**
  - & **inclusion** of environmental and climate change considerations in **sector policies, plans and budgeting systems**;
  - monitoring environmental **performance** of the sector
  - options for **mitigating negative** environmental impacts
  - awareness, **capacity and institutional constraints and opportunities.**

DEVCO Mainstreaming Guidelines (2016)

OPPORTUNITIES

- **Include salient analysis,** e.g. in order to be ready for sector review process, in which stakeholders participate

- **Cover analysis** that can be used as justifications in policy dialogue

- **Build change alliance** around a shared vision and agree on a credible process

- **Frame preparatory missions well** to allow for genuine exchange without overloading partners.

- **Help government with evidence gaps,** even beyond the immediate scope of the envisaged intervention.

- **Bring in relevant stakeholders** into PD.

- **Consider CD support** as pertinent. (e.g. CSOs) This is the start of a multi-year engagement and change takes time.

- **Promote joined analysis** for widely shared use over piecemeal and ad hoc studies

PROGRAMMING

EVALUATION

IDENTIFICATION

MONITORING

FORMULATION

European
Commission

Formulation

Defines the parameters for implementation, including the role of Policy Dialogue

Focus of PD

Key outputs
- deepening and confirming the understanding of the **political economy / drivers**
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- identifying and discussing **policy options**
- mutual recognition of:
  - the importance of taking into account the **economic costs**
  - & **inclusion** of environmental and climate change considerations in **sector policies, plans and budgeting systems**;
  - monitoring environmental **performance** of the sector
  - options for **mitigating negative** environmental impacts
  - awareness, **capacity and institutional constraints and opportunities.**

DEVCO Mainstreaming Guidelines (2016)

OPPORTUNITIES

Build proactively on identification advances in broadening and consolidating a change alliance, build a genuinely shared vision and a credible process.

Consider, including "shared vision and credible change process" as output in LFM. Both can be measured!

The AD leads to a contract and should be based on a genuine shared understanding. Formulation is the last opportunity to get it right.

Anticipate role of **PD for working towards higher level results** (coherence, sustainability, synergies, …)

Anticipate actions that can bridge the gap between AD and when Implementation starts, including through additional analysis, vetting of findings, targeted TA, …

Decide with other DPs to coordinate action, e.g. conditions / benchmarks for policy and enforcement for ensuring policy transmission and budget implementation
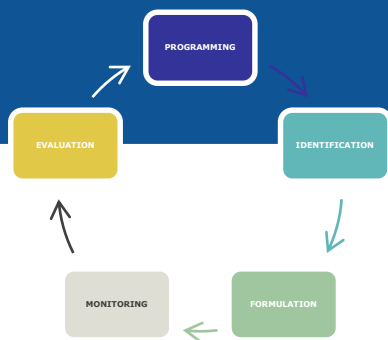
Implementation & Monitoring

PROGRAMMING

EVALUATION

IDENTIFICATION

MONITORING

FORMULATION

European Commission

Helps maintain a credible process and to regularly validate a shared vision
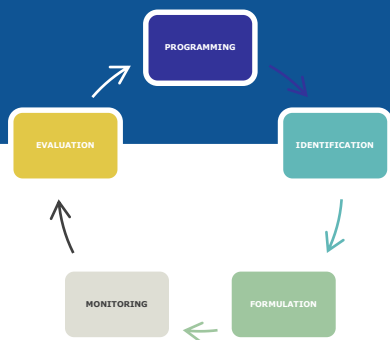
FOCUS OF PD

Key outputs
- Deepening **partnerships** and mutual understanding … and learning from experience;
- Bringing forward **findings** and information arising from ongoing monitoring
- identifying **new opportunities** to … bring about transformative change
- Agree on any necessary **remedial measures**
- **Opportunities** can be identified; activities can then be reoriented (adjustments budget, schedule, logframe, performance assessment)

DEVCO Mainstreaming Guidelines (2016)

OPPORTUNITIES

- **Continue to address relevant emerging issues** of a problem solving nature.

- Using government annual discussion on special reports / Feed those discussion forums with **well tailored and packaged inputs**

- **Expand policy dialogue spaces for CS actors,** e.g. steering committees to reflect on broader policy

- Take advantage of Technical Assistants (TA) appointed to the program to advice on oversight

- Use monitoring missions or other activities to **address knowledge gaps and persistently foster further alignment and harmonization**

- **Well crafted TOR** & engagement helps manage risks/address assumptions

- Pay attention to **broader policy issues** beyond the sector, e.g. civil service reform / salaries, labour mobility, …

Evaluation & Audit

FOCUS OF PD

- **Use evaluations to fill knowledge and evidence gaps**

- **Implications of findings** on results and impacts for on-going and new programmes

- **Promote effective joint action** with other donors (e.g. joint evaluations or ideally sector wide assessments).

- **Ensure transparency,** publication of evaluations and reporting results to a wider audience

Key outputs

- The **results** of the final evaluation **should be discussed**, and — where relevant — key messages should be integrated into the policy dialogue agenda and taken up with national partners.
- Key messages are likely to be better understood when national partners have been actively involved in the evaluation.
  DEVCO Mainstreaming Guidelines (2016)

OPPORTUNITIES

- **Agree on scope and opportunities** of using planned evaluations beyond the standard set of assessments.

- Explore with government (and other stakeholders as pertinent), how a given **evaluation can be made more relevant.** Evaluations offer opportunities for learning and traction for capacity development

- **Promote joint multi-partner evaluations or integration with broader sector assessments,**

- Organize Evaluation to **improve country system** for joint monitoring between government and DP and to promote gradual alignment to national evaluation systems.

- **Promote as useful involvement of beneficiaries and stakeholders** in conceiving evaluations, in validating or testing findings, in possibly managing elements of evaluations (e.g. satisfaction surveys)