Session 1 / Group 1:
Who is implied? Stakeholders, political economy, … (PEOPLE)

This group does a **rudimentary stakeholder mapping** in preparation for the Uqbar programming dialogue concerning a more proactive approach to green growth, cleaner production, and adoption of climate smart agricultural practices.

Please work around the following questions:
- What are the **relevant stakeholder groups**? Focus on **Uqbar!**
- What are their **possible perspectives** and influence in the dialogue? Focus on **Uqbar!**

For instance, using a table:

Stakeholder	Perspectives (interest, power)

Your respective country backgrounds will vary significantly. Please use:

1. **The universe of Uqbar, laid out in the framing note for the role play** even though this may imply guessing some of the issues, different interests.

2. **Examples from your own experience** in your current of previous postings (without any ambition for a comprehensive mapping.)

3. **The selected slides below,** considering diverging interests and power aspects, the EU internal dimensions and the way decisions are taken.

This is an exercise. Do not aim for comprehensiveness but exploring significant examples.
Please determine a **moderator and a rapporteur** for the group to provide some highlights to the plenary. You have **30 minutes** in the group and **3 minutes** to report.

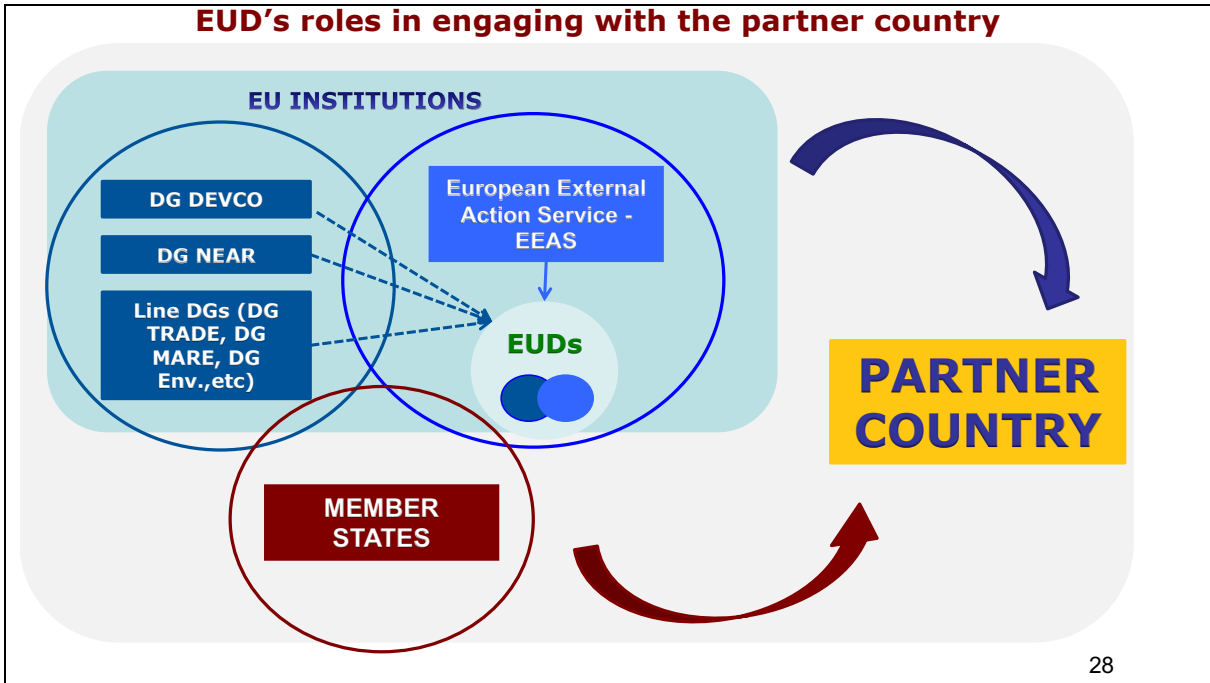## Policy Dialogue engages diverse stakeholders

"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
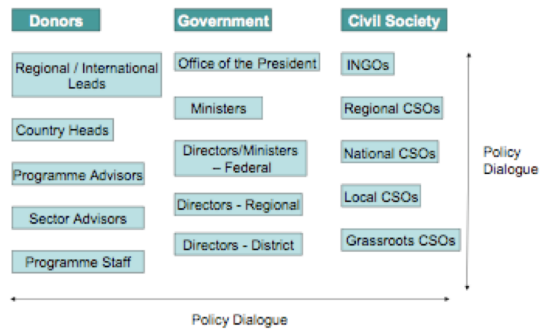
Different PEOPLE may need to be handled differently

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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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).

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Session 1 / Group 2:
What is the objective? Issues and evidence … (PROBLEM)

This group **identifies the issues and objectives** in preparation for the Uqbar programming dialogue concerning a more proactive approach to green growth, cleaner production, and adoption of climate smart agricultural practices.

Please work around the following questions:
- What are **the issues**? Focus on **Uqbar!**
- What **evidence** might be needed to support the dialogue? Focus on **Uqbar!**

For instance, using a table:

Issues/objectives …	Evidence

Please use:

1. **The universe of Uqbar, laid out in the framing note for the role play** even though this may imply guessing some of the issues, different interests.

2. **Examples from your own experience** in your current of previous postings (without any ambition for a comprehensive mapping.)

3. **The selected slides below,** considering choices of policy instruments, policy transmission and budget, and key outputs for the programming phase.

This is an exercise. Do not aim for comprehensiveness but exploring significant examples.
Please determine a **moderator and a rapporteur** for the group to provide some highlights to the plenary. You have **30 minutes** in the group and **3 minutes** to report.

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**

5-Year Strategic Plan / DDP

Updated Every 2-3 Years

Annual Budget Cycle

4. Annual Joint Sector / District Review and Report

1. Strategic Issues Paper and Rolling 3-Year MTEF

3. Budget Execution and In-Year Reporting

2. Preparation of Annual Action Plan and Budget

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?
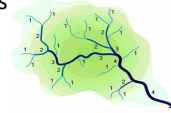
The budget is one of the main public sector instruments to achieve society's goals: It is a representation of government's preferences and priorities.

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European Commission

PROGRAMMING

IDENTIFICATION

FORMULATION

MONITORING

EVALUATION

Programming

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

Session 1 / Group 3:
How, where, when? Entry points, time and space, quality of engagement (PROCESS)

This group **identifies venues and entry points** in preparation for the Uqbar programming dialogue concerning a more proactive approach to green growth, cleaner production, and adoption of climate smart agricultural practices.

Please work around the following questions:
- What are possible **entry points** for the policy dialogue? Consider programming
- What are possible **venues** for dialogue? Please think beyond the setting for the role play!

For instance, using a table:

Entry points	Venues

Please use:

1. **The universe of Uqbar, laid out in the framing note for the role play**. However, please, think beyond the specific setting for the role play.

2. **Examples from your own experience** in your current of previous postings (without any ambition for a comprehensive mapping.)

3. **The selected slides below,** considering types of venues, policy cycles and entry points, the policy process as inter-dependent spaces.

This is an exercise. Do not aim for comprehensiveness but exploring significant examples.
Please determine a **moderator and a rapporteur** for the group to provide some highlights to the plenary. You have **30 minutes** in the group and **3 minutes** to report.

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

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

Verify the problem

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

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

Implementation, including M & E

Designing and Implementing agreed policies is a Democratic Governance issue

Evaluation criteria

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

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

Window of opportunity "Reform space"

Fiscal Space

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

Support coalition building: donor coordination & work with NSAs

Political Space

Policy Space

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.