**Learning Conference: Implementing the 2030 Agenda in the Caribbean Region
15-16 May - Port of Spain, Trinidad and Tobago**

Institutionalizing Stakeholder Engagement

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- **Why institutionalizing engagement**
- **Main requirements for institutionalized engagement**
- **Planning and Assessment Tool: ESCAP/IAP2, METEP & CESAQ**
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Guidelines for States on the effective implementation of the right to participate in public affairs

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HUMAN RIGHTS
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• The 2030 Agenda recognizes the importance of stakeholders in ensuring progress on sustainable development and provides a framework for their engagement.

• For this reason, the process around which governments are formulating, implementing, and reviewing policies on the 2030 Agenda are a perfect opportunity to strengthen the institutionalization of civic participation and engagement for the VNR and beyond.

• Guidelines for States on the effective implementation of the right to participate in public affairs(A/HRC/39/28).

Institutionalizing engagement

- A critical and fundamental challenge for strengthening governance

Institutionalized engagement, at the societal level, and even within organizations, does not happen overnight . . .

It can take many years to achieve and requires political will

We observe . . .

Strong points . . .

- Recognition of the need to engage more meaningfully and live up to the commitments of the 2030 Agenda.

- Processes for the Voluntary National Review Reports galvanize action & engagement and can lay the foundation for further steps.

- Multi-stakeholder bodies for coordination and technical support are quite common.

Room for improvement . . .

- Meaningful partnership and engagement

- Capacity gaps re: meaningful engagement – government & stakeholder

- Resources (human, financial, time) needed often underestimated (no/limited planning).

- **Institutionalization is extremely critical, but often forgotten.**

Expressed Challenges among SIDS for Continued Capacity Building

- **Institutional Coordination –** Vertical and horizontal, across ministries and with local government, especially for NSOs, SDG coordination focal points, and data flow
- **Stakeholder engagement –** strengthening dialogue skills and partnerships for implementation (Private Sector noted as most challenging sector to engage) ✔
- **Resources –** to Monitor & Evaluate Progress (allocation in national budget), to implement programmes
- **Monitoring & Evaluation of Progress on SDGs –** data collection across government to evaluate progress
- **Communicating Progress –** tell the story of progress, presenting reports, dashboards, communication tools for decisionmakers and public

Institutionalized engagement requires:

- ✓ Organizational leadership, support, and commitment;
- ✓ Specific mechanisms and channels for communication with stakeholders;
- ✓ Institutional responsibility and resources to be allocated;
- ✓ A common understanding of the organizational purpose for engaging stakeholders and how it links with the organization's mandate;
- ✓ A common expectation of the standards or quality of engagement;
- ✓ A common understanding of what kinds of decisions require stakeholder input, and who are the organization's stakeholders.
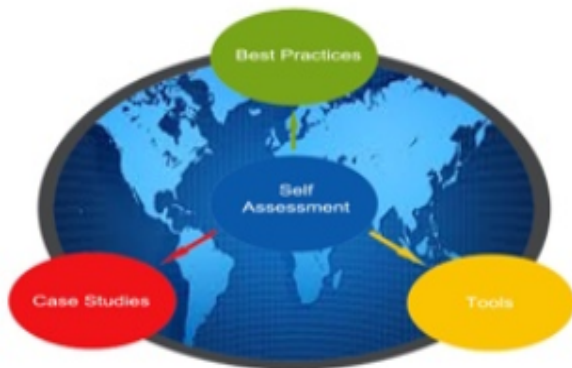
Setting standards for quality (meaningful) engagement

Standards/quality indicators are useful for

- Planning

- Monitoring

- Evaluating

- Institutionalizing

Outcomes?

Process ?

Principles ?
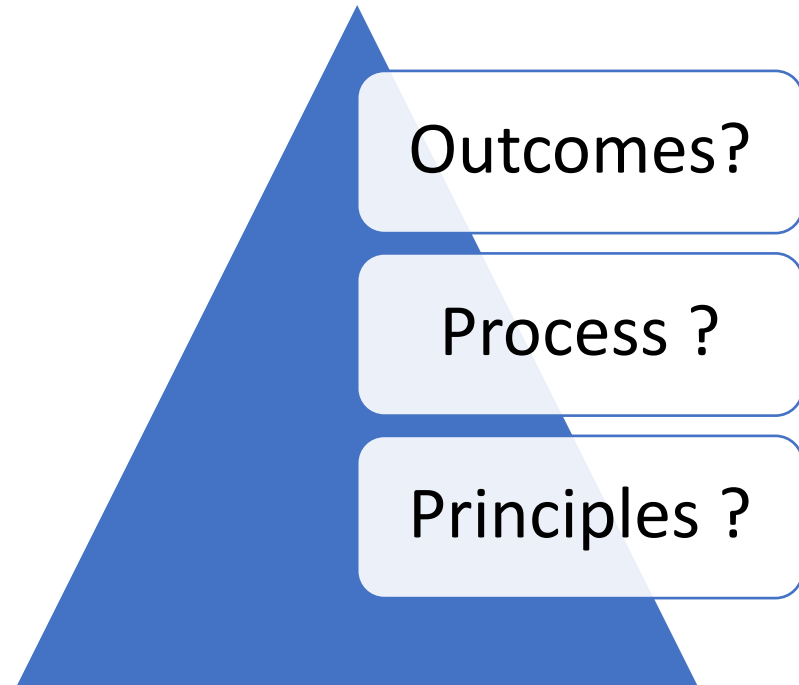
Measurement and Evaluation Tool for Engagement and e-Participation

The United Nations Department of Economic and Social Affairs (UNDESA) developed this self-assessment questionnaire in response to an emerging need for stronger and deeper participation in citizen engagement by all stakeholders, as identified in the Rio+20 Summit Report, Realizing the Future We Want for All, and the work of the UN Task Team on the Post-2015 Development Agenda.

Engaging citizens is beneficial to governments throughout the public process: i) at the early stages to enhance public problem definition and to identify acceptable policy options; ii) through the implementation stages by facilitating dialog to support policy inclusivenessl and iii) to receive feedback while monitoring and evaliationg public policy programmes and their outcomes, which is key to continuous improvements in the delivery of public goods and services.

Instructions

The METEP Questionnaire consists three parts:

Part A - fact based questions - takes stock, based on a factual observation.

Part B - agency specific questions - evaluates the organizational experience of individual goverment agencies across the board.

Part C - experience based assessment - assesses, based on direct experience.

Start

https://publicadministration.un.org/en/Capacity-Building/Tools/METEP

Sections

Responded to 4% of questions

Save   Done

Section A1 - National Policy and Strategy

Does your country have:

7. An overall e-Participation strategy?

Yes   No   I don't know

8. An official responsible for overall e-strategy, including e-participation, at the national level, such as a Chief Information Officer or Chief Digital Officer?

Yes   No   I don't know

9. A policy mandating that each government agency have a website?

Yes   No   I don't know

10. An internet usage survey conducted at the national level in the last 12 months? (The survey may include, but is not limited to, purpose of internet usage by citizens, internet users by age/gender/education.)
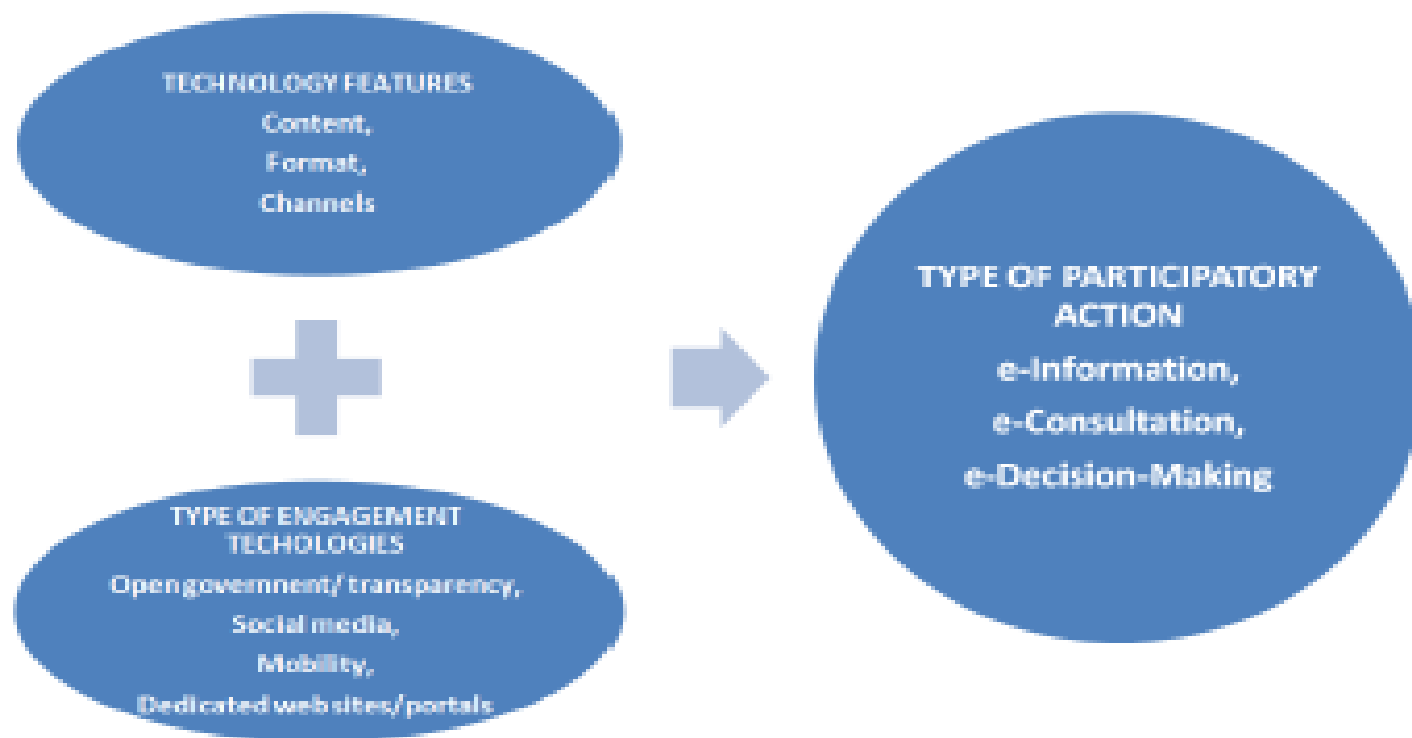
Yes   No   I don't know

11. A social media strategy?

Yes   No   I don't know

Measuring and Evaluating e-Participation (METEP): Assessment of Readiness at the Country Level

Figure 6 – Role of digital technologies for e-participation

Measuring and Evaluating e-Participation (METEP): Assessment of Readiness at the Country Level


Figure 7 – Conceptual diagram of METEP

Measuring and Evaluating e-Participation (METEP): Assessment of Readiness at the Country Level

Table 1 – Matrix of e-participation indicators

Engagement technologies	e-Participation policy domains			
	A1- Legal frameworks	A2 - Organizational frameworks	A3 - Modalities/ channels	A4 - Outreach
B1: e-Information				
C1: Open data/ government	*Indicators*	*Indicators*	*Indicators*	*Indicators*
C2: Social media	*Indicators*	*Indicators*	*Indicators*	*Indicators*
C3: Mobility	*Indicators*	*Indicators*	*Indicators*	*Indicators*
C4: Other incl. dedicated public engagement websites, geo-tagging platforms, etc.	*Indicators*	*Indicators*	*Indicators*	*Indicators*
B2: e-Consultation				
C1: Open data/ government	*Indicators*	*Indicators*	*Indicators*	*Indicators*
C2: Social media	*Indicators*	*Indicators*	*Indicators*	*Indicators*
C3: Mobility	*Indicators*	*Indicators*	*Indicators*	*Indicators*
C4: Other incl. dedicated public engagement websites, geo-tagging platforms, etc.	*Indicators*	*Indicators*	*Indicators*	*Indicators*
B3: e-Decision-making				
C1: Open data/ government	*Indicators*	*Indicators*	*Indicators*	*Indicators*
C2: Social media	*Indicators*	*Indicators*	*Indicators*	*Indicators*
C3: Mobility	*Indicators*	*Indicators*	*Indicators*	*Indicators*
C4: Other incl. dedicated public engagement websites, geo-tagging platforms, etc.	*Indicators*	*Indicators*	*Indicators*	*Indicators*

Measuring and Evaluating e-Participation (METEP): Assessment of Readiness at the Country Level
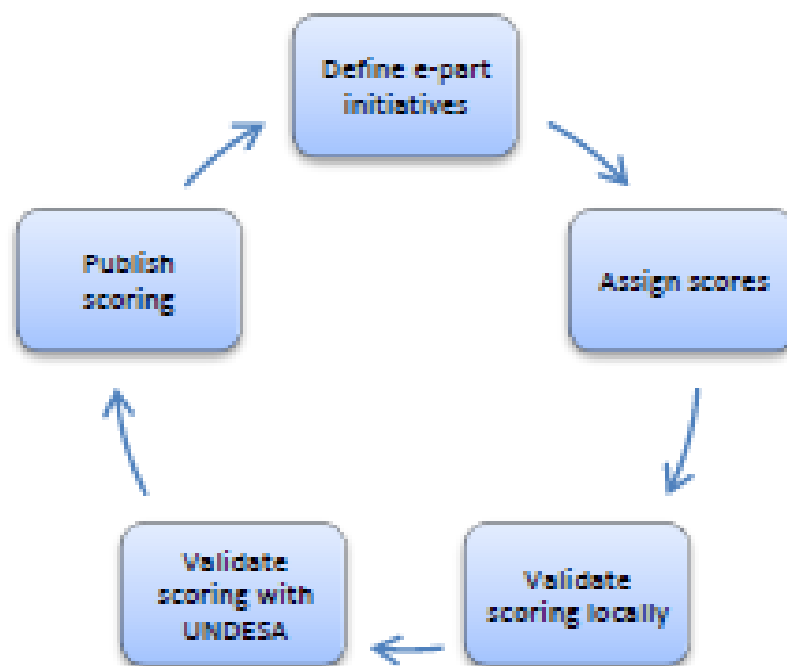
Figure 8 – Validation process

Citizen Engagement Self –Assessment Questionnaire (CESAQ)

- Section A-1: Regulatory Framework

- Section A-2: Organizational Framework

- Section A-3: Citizen Awareness and Capacity for Engagement

- Section C-1: Overview of Citizen Engagement at the National Level

- Section C-2: Regulatory Framework

- Section C-3: Organizational Framework

- Section C-4: Channels and Modalities

- Section C-5: Engagement of Citizens by the Agency

Developed by ESCAP and IAP2 to meet the need for a practical guide to meaningful engagement for the 2030 Agenda

- Introduces emphasis on inclusion, integration & transformation
- Draws on best practice indicators and multi-stakeholder input
- "Field" tested in voluntary national review report processes

Useful for:

- Quick self-assessment of current practice
- Institutionalization processes (discussions around quality engagement)
- As support to planning, process and implementing stakeholder engagement (checklist)
- Assessing completed processes

A planning and assessment tool

A planning and assessment tool

Developed by ESCAP with the International Association for Public Participation
4 dimensions of quality engagement, 24 indicators

Organizations can use it to:
- Identify gaps
- To agree on "quality" standards for engagement
- Plan engagement processes

Stakeholders can use it to:
- Articulate (to governments) their expectations of the way they would like to be engaged
- Plan & assess their own engagement processes

4 Dimensions of quality engagement

PURPOSEFUL ENGAGEMENT

- Clear objective, a plan, resources, responsibility & follow up and a commitment to improve

INCLUSIVE ENGAGEMENT

- Barriers to participation (cultural, ability, geographic, other) removed/recognized, stakeholders mapped and analyzed, ensuring "no one left behind"

PROACTIVE ENGAGEMENT

- Outreach and communication, involving stakeholders in designing participation, providing feedback

TRANSFORMATIVE ENGAGEMENT

- Value-creation for the organization and society – works towards changing relationships and mindsets

PURPOSEFUL ENGAGEMENT

1.1 Engagement objectives [Engagement objectives are clearly stated, measurable, support the objectives of the wider process/project]

1.2 Engagement planning [An engagement plan exists, and the detail is consistent with the level of engagement expected of stakeholders, with any risks, and recognizes participation as a right]

1.3 Commitment to improvement [Lessons-learned and past engagement experiences are considered during engagement planning, evaluation process is defined and the results acted on]

1.4 Resource (time, budget, people) allocation [Adequate/appropriate to the project objective and secured for the duration of the initiative]

1.5 Roles and responsibilities [Mandates, roles and responsibilities are agreed upon in a timely manner, appropriately allocated, and coordinated with other activity]

1.6 Engagement follow-through [The promise of engagement is kept: Engagement outputs, recommendations or decisions are given the promised level of consideration]

PROACTIVE ENGAGEMENT

2.1 Stakeholder acceptance and support for the process [Engagement purpose and plans are developed with stakeholder inputs]

2.2 Communicating purpose, process and scope of stakeholder influence [Engagement objectives, scope and process are clearly explained in accessible formats, providing enough time for mutual understanding to develop]

2.3 Information content to support engagement [Sufficient, accessible, credible information is produced so that people can engage in a meaningful way at each step of the process]

2.4 Outreach and information dissemination [Steps are taken to raise awareness, encourage and invite participation and actions by stakeholders and the public, relevant information content is disseminated in a timely way at each step of the process]

2.5 Communication channels [Appropriate, accessible and consistent mechanisms for information dissemination and outreach, and for receiving and responding to complaints and feedback are established and disseminated to the public]

2.6 Documenting and responding to stakeholder contributions [Questions, commitments and outcomes and feedback are recorded and followed through in a timely way]

INCLUSIVE ENGAGEMENT

3.1 Stakeholder analysis [Engagement planning is based on sound stakeholder analysis ensures representativeness (including understanding of the UN major groups and other stakeholders), respects stakeholder self-organization and recognizes participation as a right]

3.2 Diversity of perspectives [The engagement process provides equitable opportunities for a diverse range of perspectives to be communicated, including assenting and dissenting views, scientific perspectives, values, roles and responsibilities at different levels of governance, and perspectives]

3.3 Dealing with barriers to participation [Barriers to participation for all groups, are clearly identified and active steps taken to reduce them (e.g.: geographic remoteness, accessibility, technology, socio-cultural norms and practices, safety, language, etc.)]

3.4 Inclusion of vulnerable and marginalised groups ["Leave no one behind" – Vulnerable and marginalised groups are clearly identified, and specific measures are put in place for engaging them]

3.5 Appropriateness from cultural and other perspectives [Engagement method and process demonstrates cultural sensitivity and awareness, seeking to balance power relationships within society]

3.6 Provision of safe spaces [Methods, institution, facilitation and physical, online and other spaces encourage participation and provide adequate protection for people from reprisals]

TRANSFORM-ATIVE ENGAGEMENT

4.1 Building understanding between stakeholders [Chosen methods foster constructive interactions and dialogue to build understanding and strengthen shared action]

4.2 Collaboration [If dealing with a complex issue or opportunity, engagement moves beyond the levels of information and consultation to encourage collaboration and multi-stakeholder partnerships]

4.3 Integration of economic, social and environmental perspectives [The methods and process give balanced attention to, and integrate the economic, social and environmental dimensions of sustainable development]

4.4 Stakeholder self-organisation and capacity [Stakeholders are encouraged to self-organize, are provided opportunities to develop their capacities, and are recognized as partners in engagement delivery and in sustaining engagement and participation]

4.5 Synergize actions across sustainable development goals and sectors [The methods and process avoid working in silos, and bring stakeholders together across sustainable development goals and sectors where there are interactions between them]

4.6 Value-added – participation creates value for the organization and society [The engagement process and plan seek the delivery of meaningful and significant changes to relationships (including levels of trust), awareness, entrenched mindsets, beliefs or ways of doing things, behaviours etc.)]

An example.. Indonesia – legislative steps to strengthen decentralization & governance at the village level

- Law 6/2014 on villages provides villages with increased budget allocations and improved governance arrangements – including greater participation and democracy, a support system for villagers to exercise accountability, including strong facilitation as one of the most important foundations

- Increased responsibility hand-in-hand with increased social accountability

- Built on previous decentralization reforms (e.g. in 1979, 1999, 2004)

- Impacts noted over time: reduced space for dynastic leadership; more responsiveness; leadership working in the interests of people; lower levels of discontent; enhanced local problem-solving through mutually reinforcing effort

Source: Village Governance, Community Life, and the 2014 Village Law in Indonesia. Hans Antlöv & others - https://openknowledge.worldbank.org/bitstream/handle/10986/25015/10.108000074918.2015.1129047.pdf?sequence=1

Examples of steps taken

- Planning guidelines for line ministries that include a requirement to engage with stakeholders (Mongolia)
- Planning guidelines for 5-year development plans that require each household to be represented in local-level consultations (Bhutan)
- Internal audit (Supreme Audit body) of stakeholder engagement quality (Indonesia)
- Key performance indicators on stakeholder engagement for local government officials (Indonesia)
- Stakeholder engagement policy and guidelines (Western Cape, several local government bodies in Australia and other parts of the world)
- Government and stakeholder discussion on indicators of quality engagement (Sri Lanka)

UN Public Service Forum and Awards

Australia - Digital Budget for Vulnerable Groups

Gambia - Youth Employment

Community Networking for the Elderly in Thailand

Capacity Development Approach: Engagement

- **Capacity Needs Assessment**
- **Development and testing of methodologies**
- **Piloting & up-scaling innovative approaches**
- **Peer-to-peer exchange & learning**
- **Exchange of experience between regions**
- **Codification of Learning & Lessons Learned (Handbooks, Guidance materials, Training curricula & manuals)**
- **Advocacy & awareness raising: feeding-in Lessons Learned into global norms & conventions**
- **Monitoring tools**

Feeding-in Lessons Learned into global norms & conventions

Development of new methodologies

Codification & sharing of Lessons Learned & peer-learning

Piloting

Refining
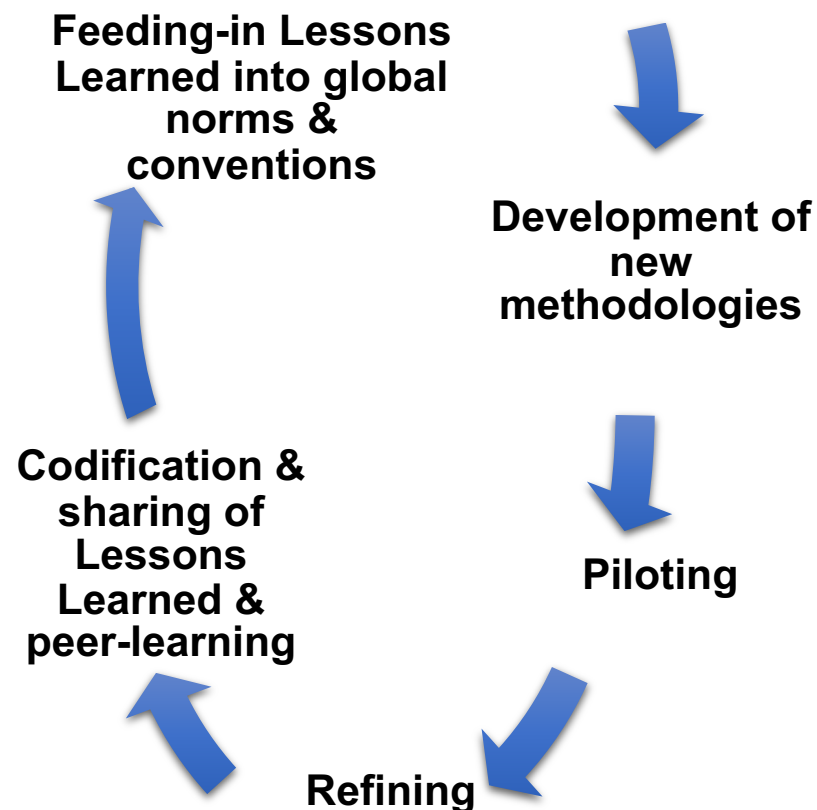
Conclusions

- Institutionalizing stakeholder engagement is fundamental for achieving the 2030 Agenda

- Requires country contextual mechanisms and tools

- Requires political will and leadership commitment

- Requires a set of standards/quality indicators for assessing the engagement

Thank you!

For questions or more information, please contact
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