



Training Toolkit on Effective National to Local Public Governance for SDG Implementation

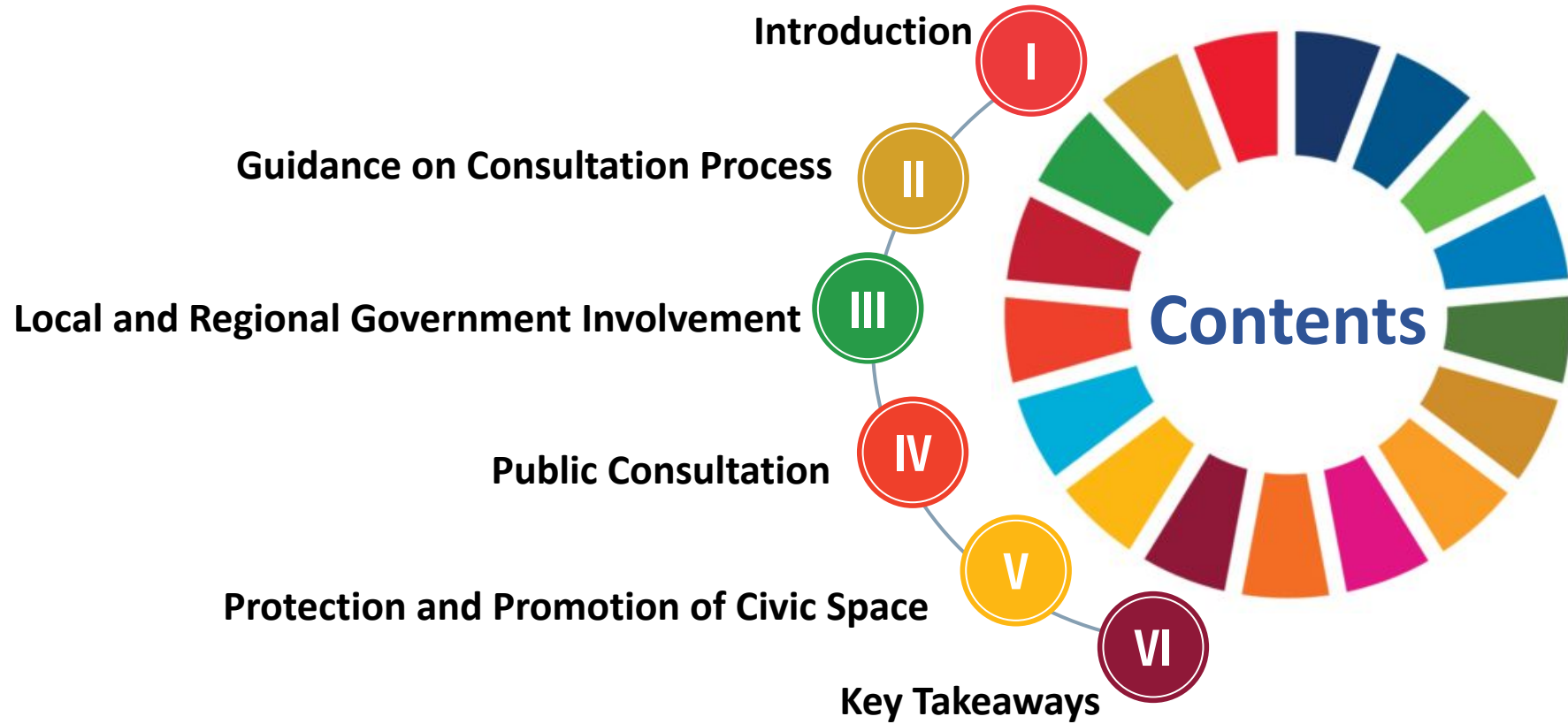




Consultation Process for Policy Formulation

Module 3.3







Learning Outcomes



Understand the concept, guidance, and process of consultation



Learn to engage a multi-level dialogue with lower, upper levels of government and other stakeholders to localize the SDGs



Learn to ensure the inclusiveness and accountability of the consultations



Make use of different tools for consultation



Understanding how to tailor-make stakeholder engagement processes for vulnerable groups



I. Introduction



Participation



Consultation



Engagement



Elements need to be in place to galvanize popular support around the 2030 Agenda and the SDGs

Making the SDGs known

Gender balance, youth participation and leaving no one behind

Generating the means to implement effective participation

Creating an enabling environment for participation

Promoting a data revolution

Connecting interconnected agendas

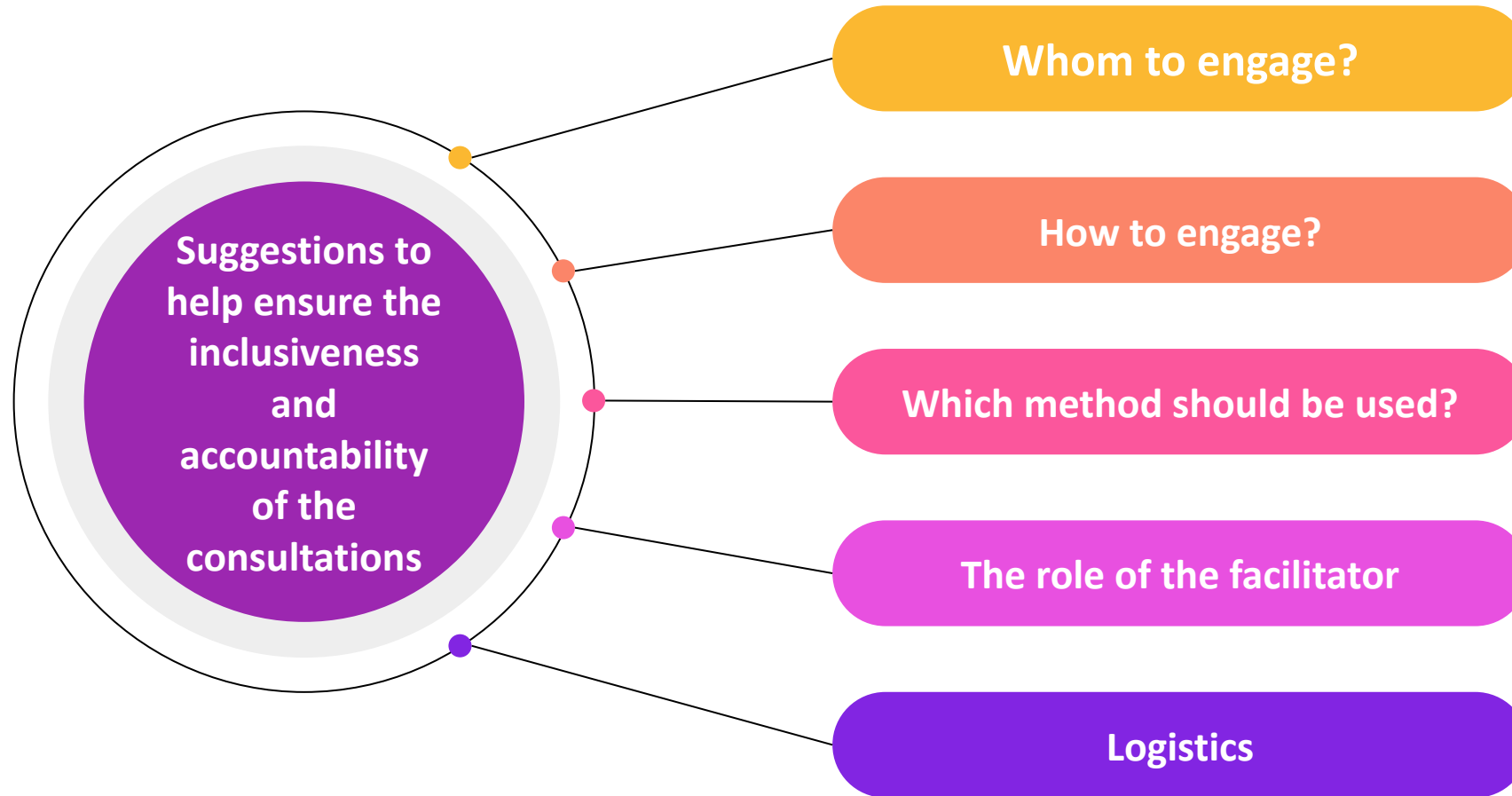


II. Guidance on Consultation Process





II. Guidance on Consultation Process (Cont.)





II. Guidance on Consultation Process (Cont.)

Whom to engage?

Identifying stakeholders

- **stakeholders, whereby individuals are represented by organizations**, including NGOs, community-based organizations (CBOs), universities and research institutions, private sector entities, interest groups
- **experts on particular issues**
- **semi-governmental actors** such as a national human rights institution or ombudsman
- **political decision makers**, including government authorities, and parliamentarians
- **private sector entities**, including small businesses and local entrepreneurs

Considerations for selecting stakeholders

- Start by **mapping relevant stakeholder groups**
- Understand the **difference between groups**
- Ensure that the **diversity of civil society** is taken into account
- **Use a clear and transparent selection process**
- **Ensure a balanced and representative mix** of stakeholder groups
- **Invite actors who would not otherwise have a seat at the table**
- When appropriate, **identify and work with established civil society networks and platforms**
- When appropriate, **identify and work with institutions for tripartite social dialogue**
- Ensure that **membership-based organizations representing massive numbers of citizens**



II. Guidance on Consultation Process (Cont.)

How to engage? Preparing an inclusive consultation

a. Questions to ensure inclusiveness and accountability when planning

Inclusiveness

- Are there any constraints that may block the participation of certain groups of stakeholders?
- Are there differences between various stakeholders' decision-making processes?
- How can we ensure that communication tools or channels are tailored to stakeholder groups' values, norms and languages? What culturally appropriate consultation mechanisms can be established through the creation of consultative groups, or through consultations at the local level?

Accountability

- How do we draw on existing dialogue institutions or forums that function?
- How do we disseminate the information about the consultations well in advance, so that stakeholders have sufficient time to engage in the process?
- How do we ensure that stakeholders who have committed time and effort to the consultations can be informed about the results of the consultations?
- How do we ensure that stakeholders have a chance to raise suggestions or concerns regarding the process?
- How do we ensure that all documents and final reports are shared among stakeholders at the end of the process?

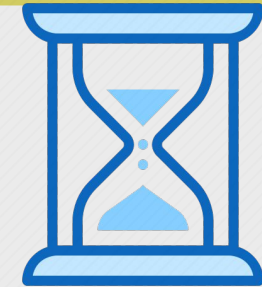


II. Guidance on Consultation Process (Cont.)

How to engage? Preparing an inclusive consultation

b. Format (or 'shape') of the consultation process

- Participation of different stakeholders at different levels (e.g., surveys, town hall meetings)
- Consolidation (e.g., by a smaller multi-stakeholder team)
- Validation (e.g., online consultation on results, focus groups, face-to-face meetings)



c. Designing of consultation activities

- Develop outreach strategy and ways of sharing information
- Advance dissemination of information about the consultations
- Tailor communication tools or channels to the values and norms of stakeholders
- Remove constraints that may block the participation of certain groups of stakeholders

- Use existing dialogue institutions, forums and committees
- Establish culturally appropriate consultation mechanisms
- Mitigate 'consultation fatigue'
- Allow organizations with representative structures
- Consider active engagement with civil society coalitions





II. Guidance on Consultation Process (Cont.)

Which method should be used?

- **Topic:** The nature and scope of the issues to be discussed
- **Objectives:** Reasons for involvement and expected outcomes
- **Time:** Amount of time available
- **Budget:** Availability of resources
- **Participants:** Who will be engaged in the consultations

The role of the facilitator

- Operate **transparently**
- **Communicate** clearly
- Operate with **integrity**
- **Respect** different perspectives
- Constructively **address conflicting positions** and power imbalances within the discussion groups
- **Facilitate the sharing** of different perspectives
- Be **accountable**
- **Ensure the process adapts to local needs**
- Evaluate **the consultation approach**

Logistics: Preparing a consultation

Preparation

- Ensure the objective and the expected results from the consultation are clear
- Establish a workflow for pre-consultation communication with attendees
- Inform attendees of consultation agenda and other background materials

Venue of meeting

- **Accessible**

Post-consultation

- **Survey**
- **Establish a feedback loop mechanism**



III. Local and Regional Government Involvement

Involve local and regional governments to align priorities and ensure coordinated action and consistency across all levels of government for sustainable development

▶ Promote policy coherence for sustainable development

▶ Promote synergies among national, regional and local policies

▶ Engage a multi-level dialogue with all levels of government



III. Local and Regional Government Involvement

Estonia



Representatives of local governments are included in the Estonian Sustainable Development Commission, formed in 1996.

Denmark



Each year the government negotiates the following year's budget for municipalities and regions. The government and municipalities and regions agree to co-operate to achieve the SDGs and integrate sustainable development in policy making.

Japan



The national government encourages local governments to incorporate the SDGs into their strategies and policies. The Headquarters sets “vitalizing local areas through promoting the SDGs” as one of the three basic directions of Japan’s SDG Model in the SDGs Action Plan 2018. The Headquarters plans to create a project “SDGs Models of Local Governments” through which the entire central government will provide extensive support to selected local governments in their SDGs implementation, and then expand to other local governments based on lessons learnt.



IV. Public Consultation

What is it?

Public consultation is a formal process through which citizens and stakeholders give their feedback and views on policies, plans, proposals, laws and other options presented by the government.

Why is it important?

Inclusive, regular and meaningful consultation between national governments and stakeholders – including civil society – is essential for SDG implementation, accountability and transparency.

Conditions for good public consultations

- Consultations are well designed, properly resourced, and based on a genuine desire
- Able to influence the government's proposal, plan, policy or report on the SDGs
- Seek to reach a range of different relevant stakeholders
- Steps should be taken to ensure that existing power relations
- Outcome of consultations should be shared widely
- Require a change in culture in how governments interact and cooperate with the public



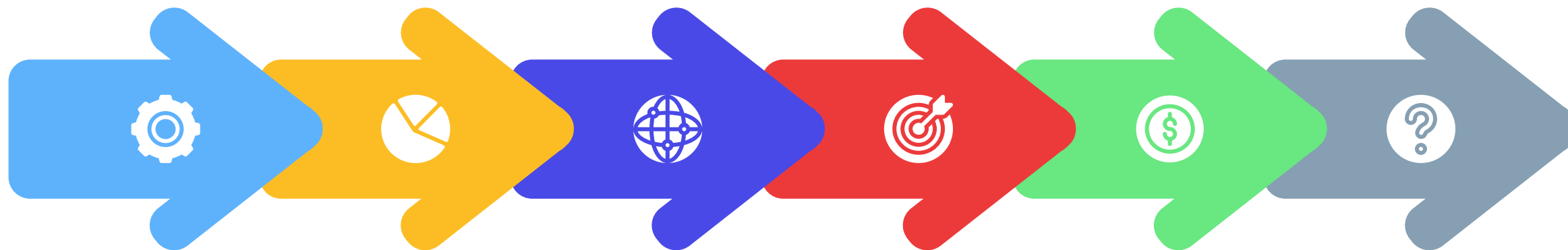
IV. Public Consultation (Cont.)

How can it be used?

Urge the government to hold public consultations regularly

Ensure consultations are inclusive and engage vulnerable and marginalized groups

Publicize the outcome of consultations



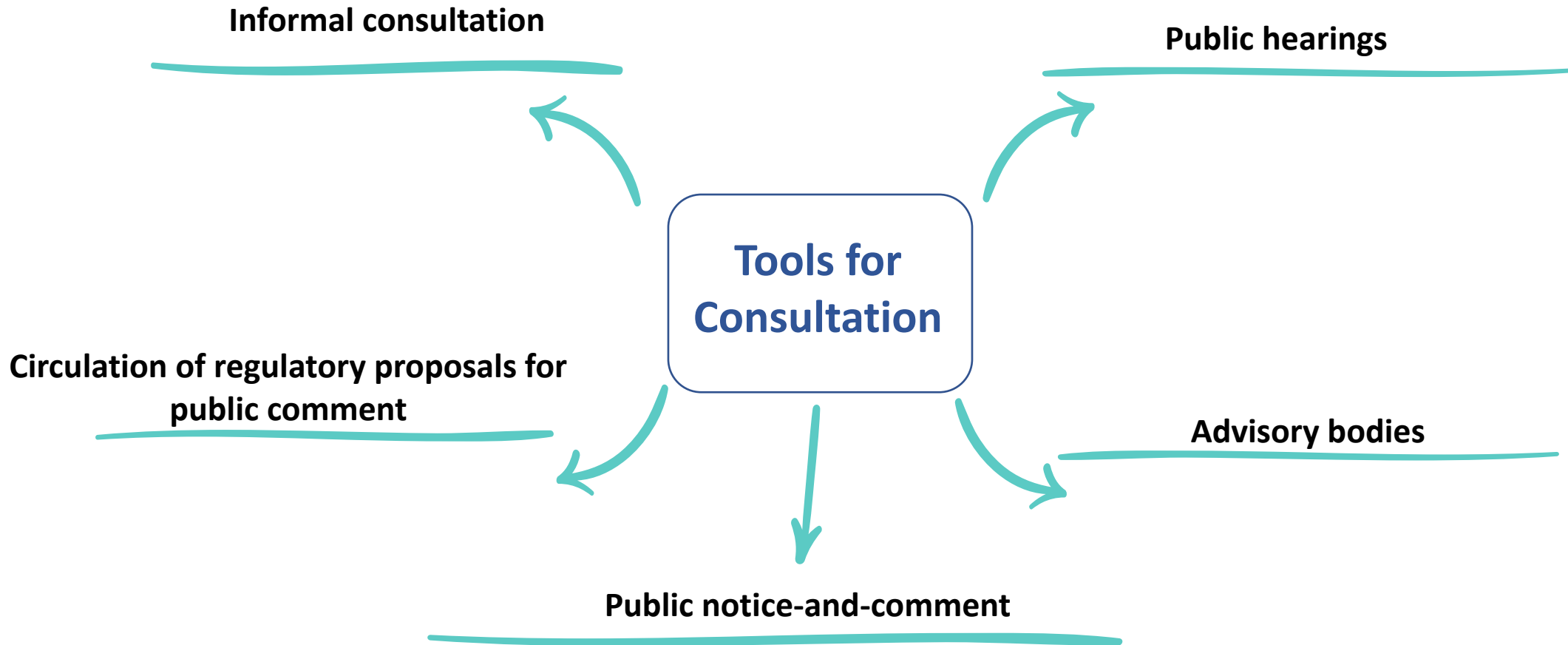
Determine whether there is an existing consultation mechanism

Raise awareness of consultations

Promote transparency and make information publicly available during and after consultations

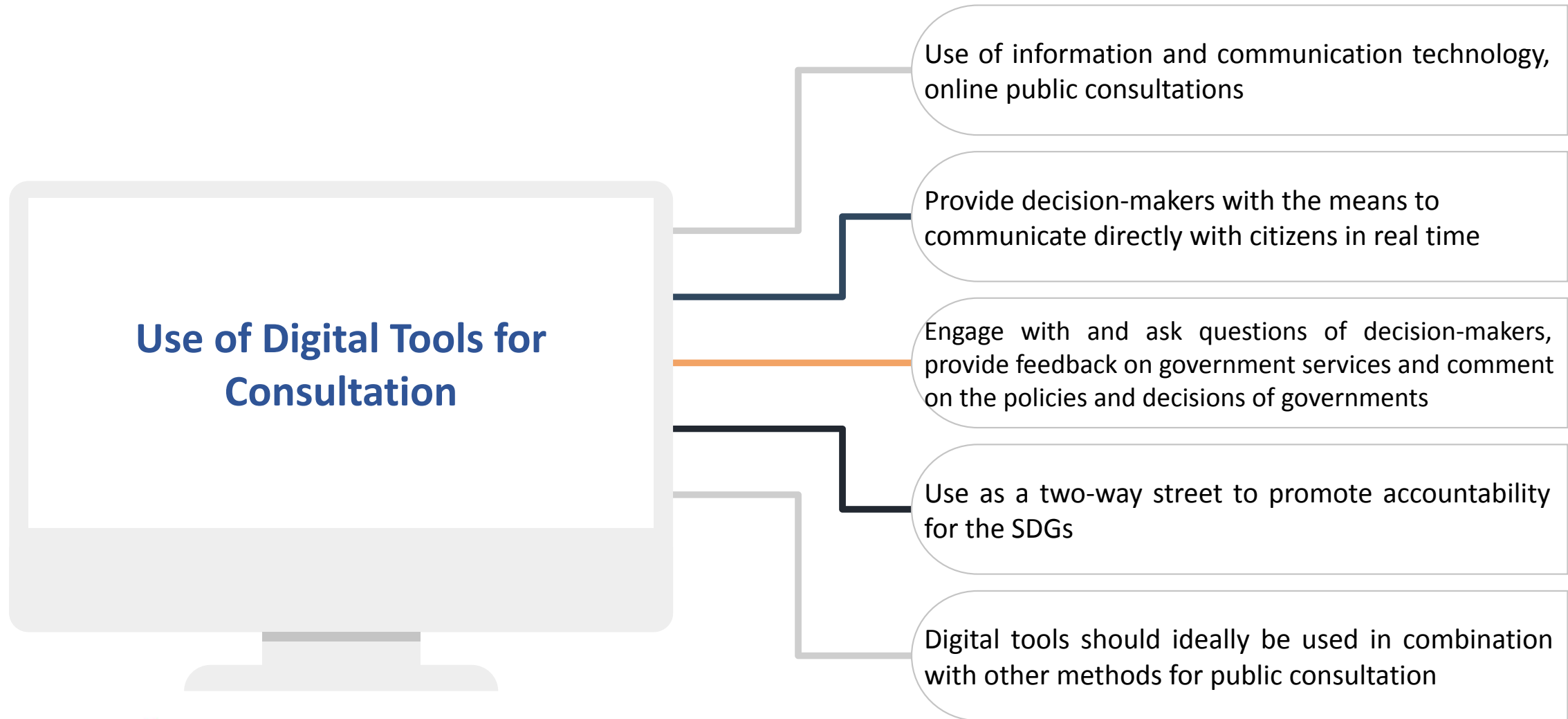


IV. Public Consultation (Cont.)





IV. Public Consultation (Cont.)





IV. Public Consultation (Cont.)

Example: Participation and the budget process

Public participation in fiscal policy

Participation may be invited by an official entity

Participation, together with transparency, is a key pillar of accountability

Complementary to existing institutional mechanisms and accountability systems in the budget process



Public institutions have to make clear what they expect from citizen engagement

Face-to-face communication, deliberation or input to decision-making

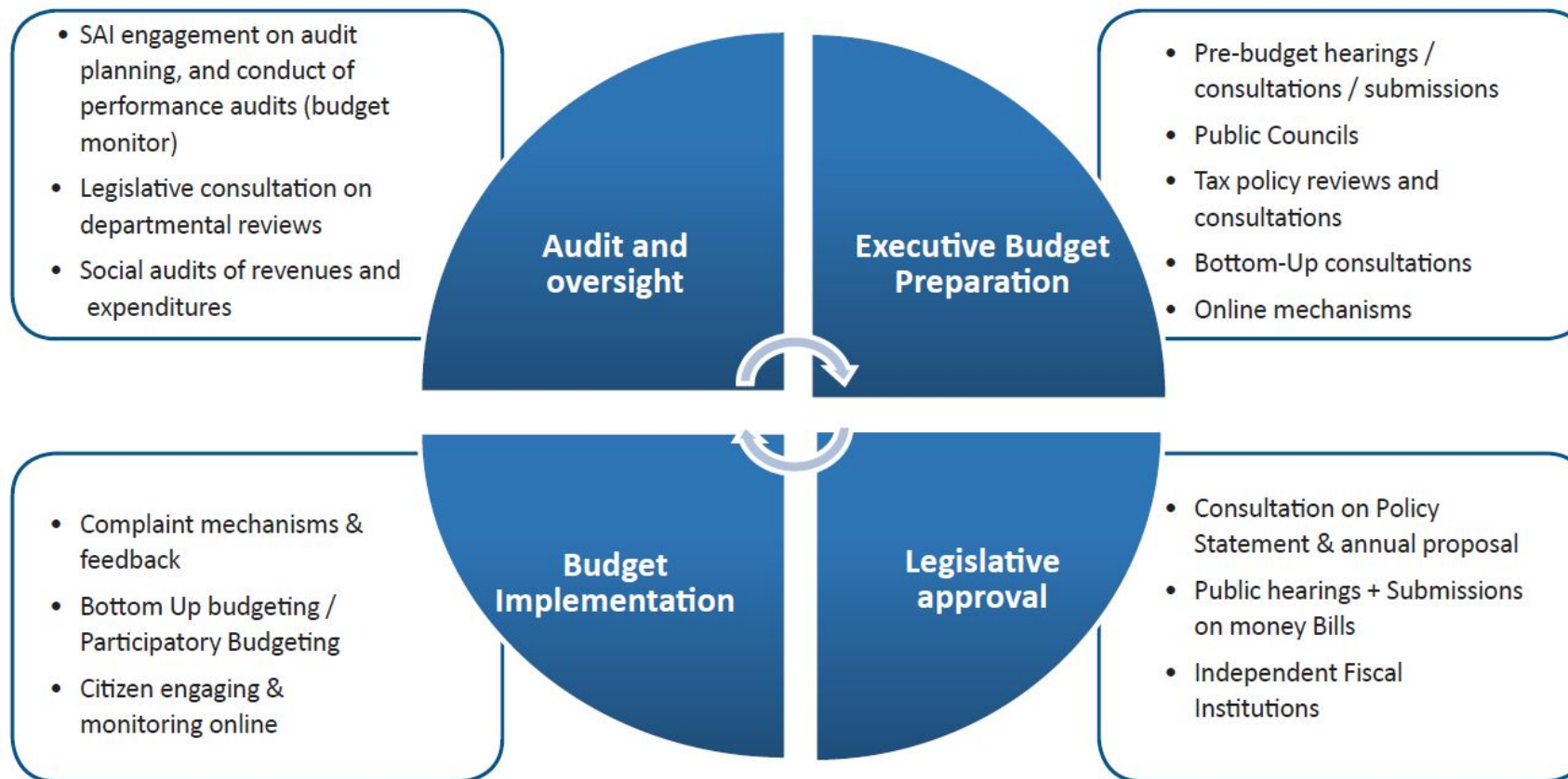
It ranges from one-off public consultations or invitations for submissions, to on-going and institutionalized relationships

Participation can be through broad-based public engagement as well as deliberations involving experts, or combinations of the two



IV. Public Consultation (Cont.)

Mechanisms for public engagement at different stages of the budget cycle



SAI: Supreme Audit Institution

Source: Juan Pablo Guerrero & Murray Petrie, input to the World Public Sector Report 2019.



IV. Public Consultation (Cont.)

Fiscal information and other relevant data should be disseminated

Governments should be responsive regarding the purpose, scope, intended outcomes, process and timelines, as well as the expected and actual results of public participation



Governments should make distinct efforts to reach out to the most marginalized groups

Information and communication technologies (ICT) offer new opportunities for public participation in budgeting



Transparency in the local budgeting process – example of Republic of Korea



Local Finance Statistics

Visualization

Dataset

Introduction

Budget

- A budget of expenditures by field or accounting
- Comparison by field or resources
- A budget of expenditures by field or province
- A budget by structure of expenditures or functions
- Revenue per revenue fund budget

Settlement of Accounts

- A total settlement of accounts by accounting or organization
- Settlement of accounts by field or sector
- Settlement of accounts by structure of expenditures or functions
- Local debt
- Resource by revenue accounting settlement

Source: <http://lofin.mois.go.kr/>





Transparency in the local budgeting process – example of Republic of Korea

Local Public Finance Statistics

Providing an integrated disclosure, information on revenue and expenditure, contract, current public facilities, etc.

Open Local Public Finance Data

Providing Open API, Sheet, etc. related to the local public finance to the general public

Local Public Finance at a Glance

Providing visual information on various topics and issues in which people might have interest

Source: <http://lofin.mois.go.kr/>





Transparency in the local budgeting process – example of Republic of Korea

Information Types and Disclosure Period

Types of Information	Contents of Information	Timeframe	Indicator
Local Finance Statistics	Local Government, Local Public Enterprises, Local Invested and Contributed Entities, Local Educational Institutions, CustomizedQuery/Search	Yearly/Daily	Financial Independence Ratio, Financial Autonomy Ratio, Financial Statements–accrual basis, Debt Ratio of Local Public Enterprises
Local Finance at a Glance	Visualization by Themes Learning public finance Public finance terminology dictionary	Anytime	Status of Budget, Financial Condition, Fiscal Soundness, Efficiency of Financial Management
Local Finance OpenData	Dataset, Public Open Data	Anytime	Budget of Tax Revenue and Expenditures, Schedule of Mid-term Fiscal Planning, Integrated Local Finance Statistics

Source: <http://lofin.mois.go.kr/>





Funding for SDGs and local participation – example of Australia



Australia – Fund My Community Initiative - a grant programme that used digital participatory budgeting to allocate AUD 1 million annually to improve the lives of disadvantaged, isolated or vulnerable South Australians.

- Citizens are engaged in prioritization of the proposals for project funding
- Key success factors:
 - **Accessibility of relevant information and visible changes**
 - **Involving multiple stakeholders in design and implementation**



IV. Public Consultation (Cont.)

Participatory budgeting (PB)

...is a process where non-elected citizens decide on how to spend a part of the public budget.

It is a process that is guided by several principles (Sintomer et al 2012):

- It is concerned with financial question – “how to spend limited budget”
- Engagement is at the level of city or a decentralized district – should be a power over resources
- Must be a repeated (over the years) process - one time event is not counted as PB
- Should be a deliberative process (in a form of meetings or forums)
- Accountability is required, e.g. results of the deliberations are made known

First well recognized participatory budgeting – Porto Alegre, Brazil, 1989

PB Links with SDG: Ensure responsive, inclusive, participatory and representative decision-making at all levels Target 16.7

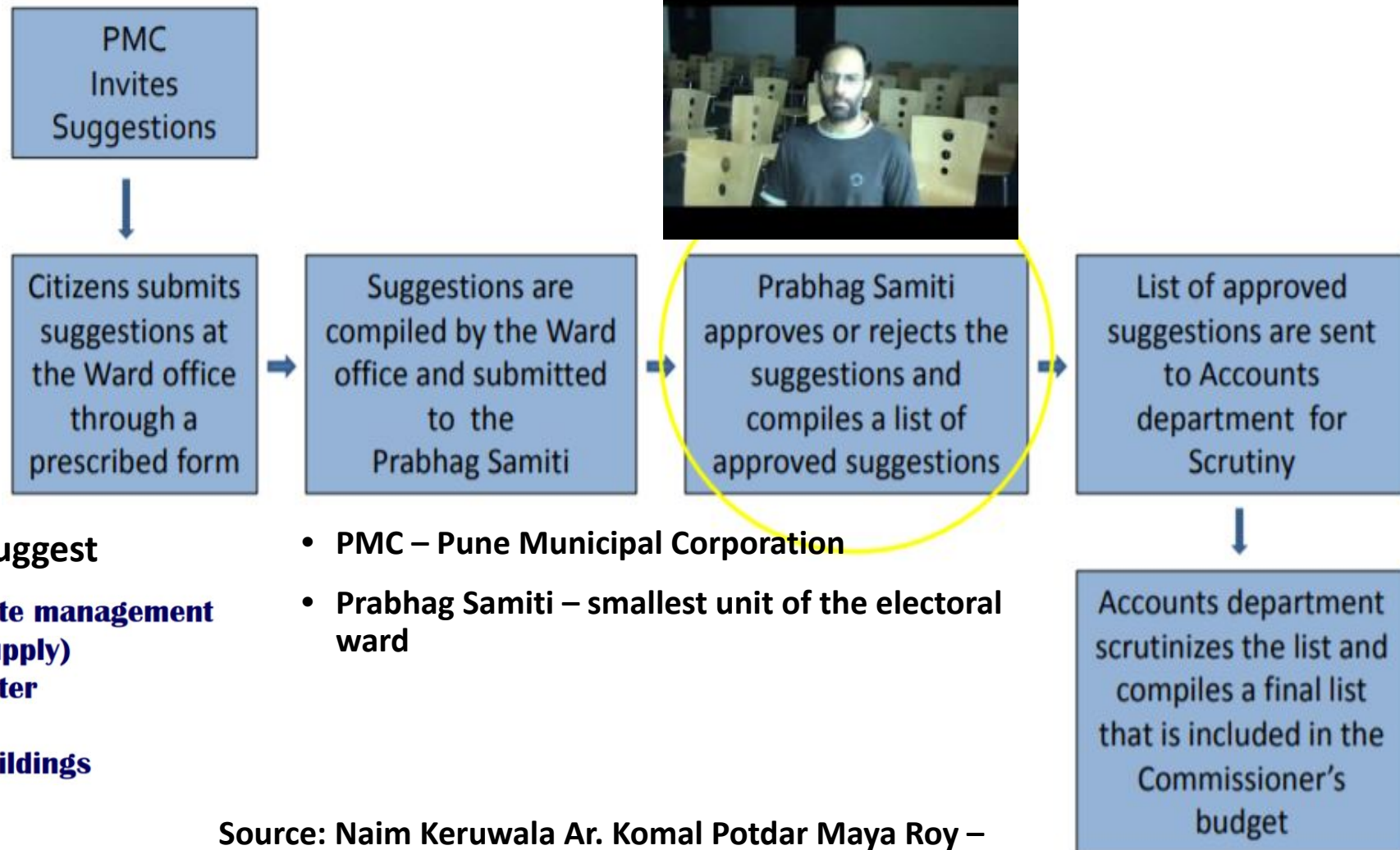




IV. Public Consultation (Cont.)



Participatory Budgeting in Pune, India



Categories where citizens can suggest work:

- Footpaths/ cycle tracks
- Road
- Street lights
- Traffic signals
- Bus stops
- Public parking
- Public toilets
- Solid waste management
- Water (supply)
- Storm water
- Gardens
- Public buildings
- Signage
- Others

- **PMC – Pune Municipal Corporation**
- **Prabhag Samiti – smallest unit of the electoral ward**

Source: Naim Keruwala Ar. Komal Potdar Maya Roy – Janwani



IV. Public Consultation (Cont.)

Framework to Assess the Public Budgeting Process

Indicators related to the Nature and Scope of the Process	Quantitative Indicators
<ul style="list-style-type: none"> • Participation is about use of a limited budget • It is repeated over the years • There is political acceptance about the process • The process is proactive and invites/ facilitates participation • Disadvantaged persons are able to easily participate • Adequate information is available to citizens at various stages of the PB process, such as when the process gets underway, information about the wards including maps, lists of projects already underway, and what is already being planned • Public deliberation is part of the process • Public deliberations are easily accessible, fair and facilitate public decision-making on the budget or at least the priorities. • The results at various stages of the process are known/ transparent (what has been submitted; what's being taken on board; reasons why suggestions are accepted or not accepted). • Projects suggested and agreed upon in public deliberations are actually included in the city's budget 	<ul style="list-style-type: none"> • Proportion of population in the city aware about the process and can participate easily if they wish to • Numbers of people participating • Numbers of projects being submitted • Numbers of projects getting included in the budget • Proportion of the total discretionary budget (that is non-establishment related, meant for projects, capital expenditure, O and M etc) available for citizens input

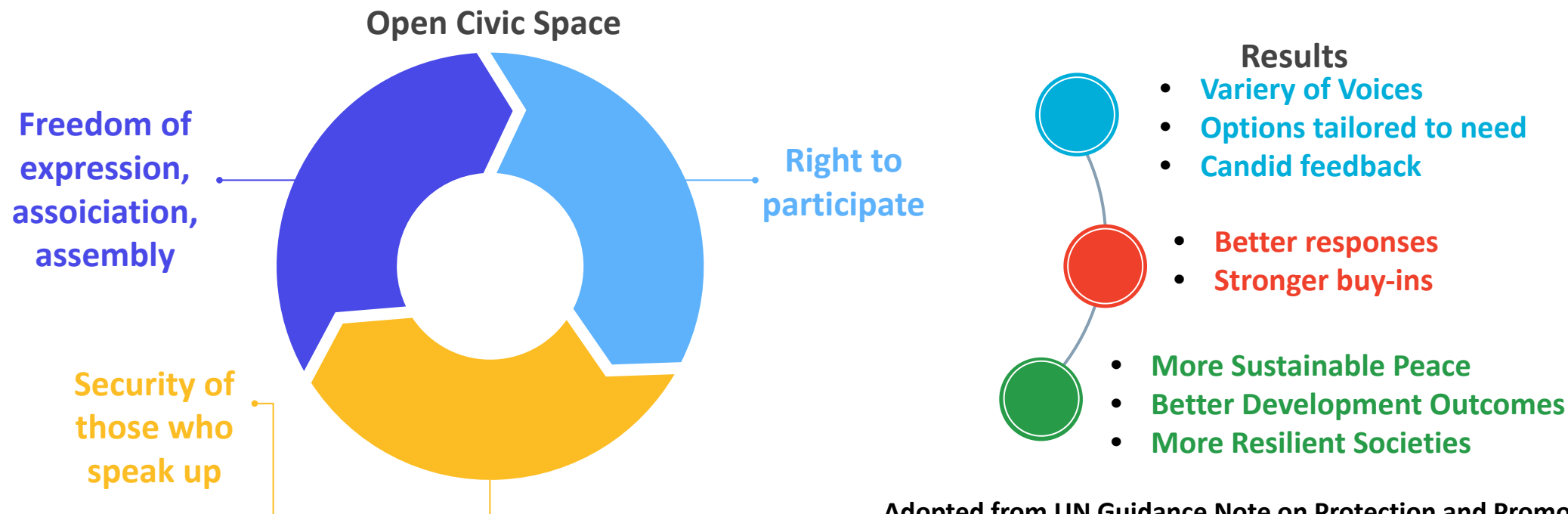
From Menon et al. 2013



V. Protection and Promotion of Civic Space

“We the peoples of the United Nations determined to save succeeding generations from the scourge of war [...], to reaffirm faith in fundamental human rights, in the dignity and worth of the human person, in the equal rights of men and women and of nations large and small, to establish conditions under which justice and respect for the obligations arising from treaties and other sources of international law can be maintained, and to promote social progress and better standards of life in larger freedom.”

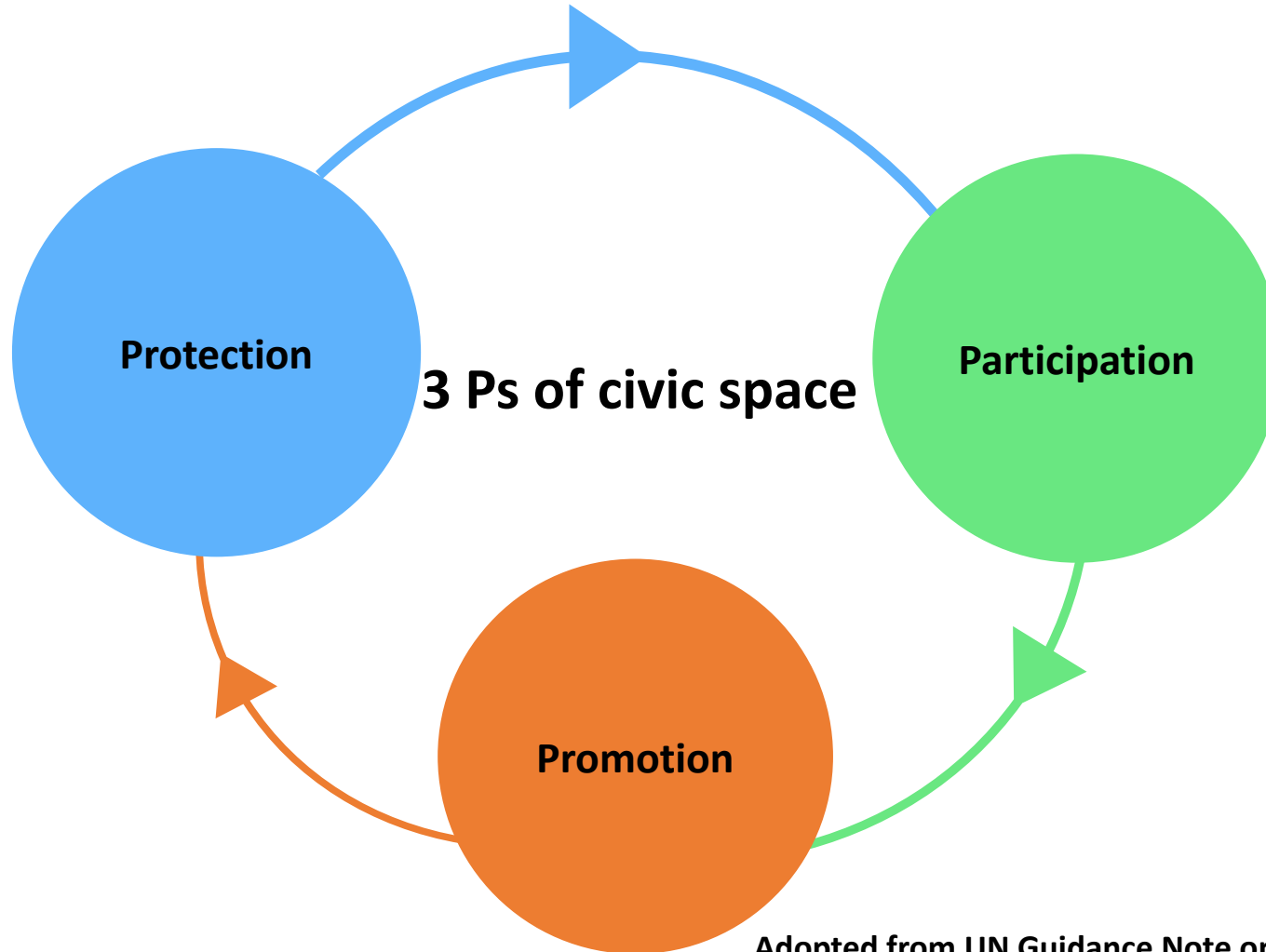
– Preamble, Charter of the United Nations



Adopted from UN Guidance Note on Protection and Promotion of Civic Space



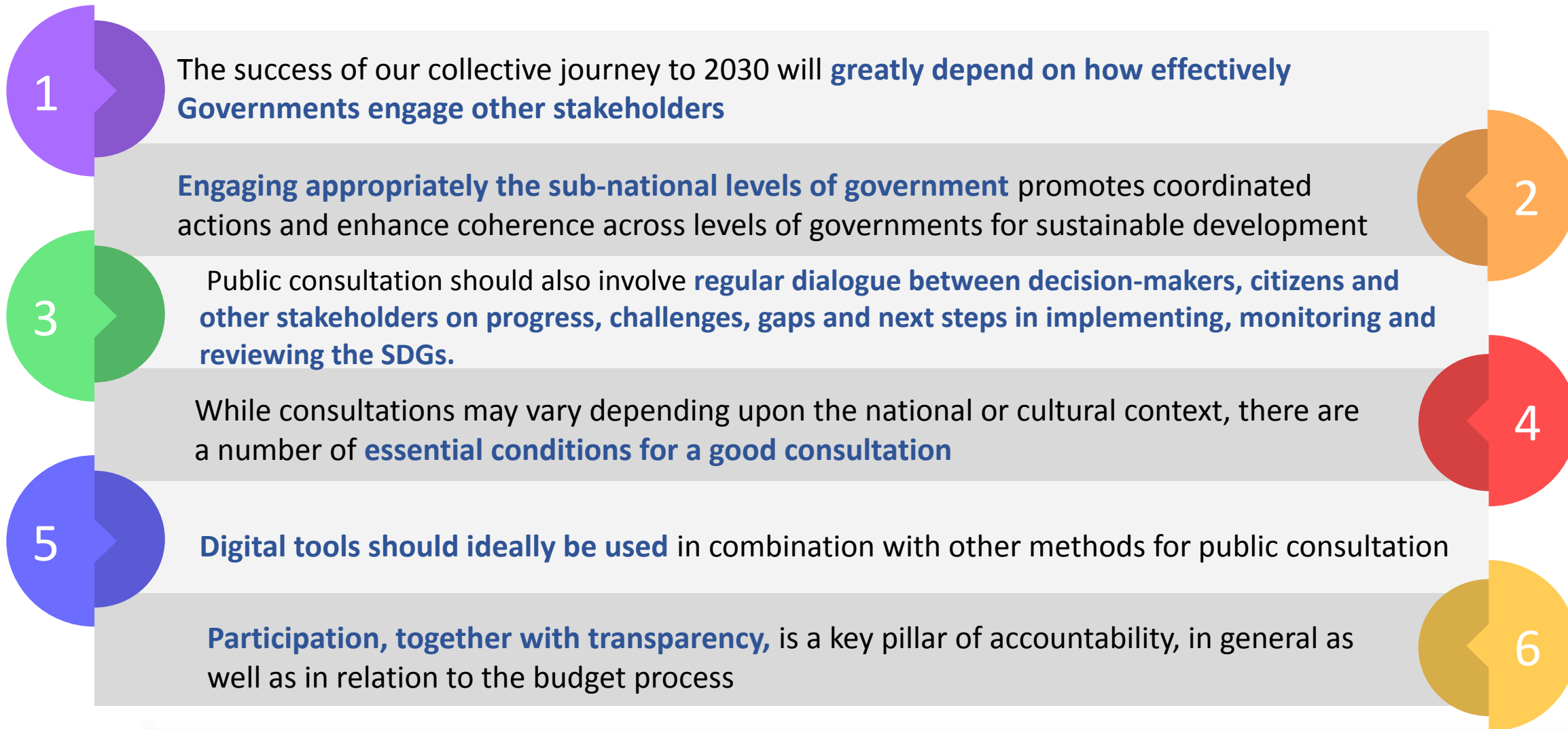
V. Protection and Promotion of Civic Space



Adopted from UN Guidance Note on Protection and Promotion of Civic Space



VI. Key Takeaways





Discussion



Are there any mechanisms in place to enable the involvement of local and regional governments in the formulation, implementation and evaluation of national plans or strategies for sustainable development (SDGs)?



Are there mechanisms or incentives that foster policy alignment, complementarities and cooperation between central and subnational governments?

Are there mechanisms to ensure effective feedback between different levels of government regarding the integration of sustainable development into laws and regulations?

Are there any mechanisms in place to ensure coherent and coordinated action of agencies from different government levels involved in international initiatives/development co-operation?



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**Thank
you**



Annexes

1. Whom To Engage?

- National Government
- Subnational Governments
- Local Authorities
- CIVIL SOCIETY
- Private Sector
- Employers' Organizations
- Business Associations Domestic Firms
- Export Industries
- Trade Unions
- Public Sector
- Scientific & Technical Community
- Academia
- Individual Experts
- Think Tanks & Research Centers
- Bilateral & Multilateral Donors, Foundations

- Aging & elderly population
- Community based groups (CBOs)
- Indigenous communities
- Informal sector workers
- LGBT community NGOs
- Persons with disabilities
- People with physical disabilities
- People with mental disabilities
- People with learning or intellectual disabilities
- Faith-based groups
- Women's groups
- Youth groups & children



Annexes

2. Key Considerations For Engaging Stakeholders

- Understand relevant historic context of country or community
- Can share cultural practices & beliefs
- Level of technical capacity
- Ensure materials are understandable for laypeople and do not include technical jargon
- Provide translations into languages that people are most comfortable expressing themselves in
- Encourage respectful atmosphere
- Ensure people feel comfortable wearing their preferred clothes
- Ensure that interaction and language does not reinforce stereotypes or discrimination
- Communication barriers
- Literacy level of attendees
- Need for raised-print or large print materials
- Use of graphics and visual aids as descriptions

3. Leveraging & Building Partnerships Outsourcing The Process

- Academia
- Civil society organizations (CSOs)
- Donor Community
- Bilateral agencies
- Multilateral agencies
- Government institutions
- NGOs
- Private consultants
- Public-private partnerships



Annexes

4. How To Engage? Formats Of Consultations

Pre-Consultation

- Survey
- Mail-out
- Advertisement in local newspapers & radio stations
- One-on-one Interview
- Online survey
- Survey Monkey
- Mind Mixer
- Crowdbrite
- Social media
- Discussion boards
- Blogs
- Advertisements

During Consultation

- Thorough registration
- Survey of relevant demographic information
- May need to provide assistance for language or literacy barriers in filling out surveys
- Focus group
- Citizen panel
- Citizen jury
- Citizen planning cell
- Parallel conference
- Consensus conference
- Technology & e-consulting
- Webinar
- Live streaming
- Social media

Post Consultation

- Follow-up surveys
- Gather responses from web platforms
- Thorough documentation of methodologies utilized



Annexes

5. Organizational Issues & Logistics

- Choose formats and timing that consider people's means as well as livelihood, family, religious or other key exigencies
- Accessible location
- Know attendees' transportation options
- Proximity to public transportation
- Will childcare or daycare service be factored into participant's costs?
- Are there existing, local meeting platforms that could be utilized?
- Venue constructed with universal design features
- Automatic doors

- Access ramps to entrance, meeting room, and bathrooms
- Elevators
- Accessible toilet
- Meeting Room
- Accommodates accessible technology
- Audio-visual aids
- Displays with captions
- Live captioning or dictation software
- Seating arrangement allows for wheelchair access
- The room is quiet and encourages contemplative, peaceful discussion



Annexes

6. Facilitation Of The Consultation Process

- Registration system
- Should develop a database to record the participants and the demographics (voluntary reporting by participants)
- Gather most up-to-date means of communicating with attendees
- Establish a timeline for when communications will be released and how feedback will be gathered
- Recruit a facilitator
- Highly important for small meetings such as focus groups, interviews, or citizen planning cells
- Communicates clearly
- Strong contextual knowledge vis-à-vis attendees present

- Native or highly advanced working knowledge of language of those present
- Awareness of social cues which indicate levels of understanding, agreement or disagreement
- Does not have relationships with attendees that may affect open expression of opinions
- Encourages an atmosphere of openness knowledge-sharing
- Good at asking probing questions
- Able to handle difficult attendees
- Training of a less-experienced facilitator may be necessary to meet unique knowledge requirements



Annexes

7. Documenting The Consultation Process

- Identify and recruit rapporteurs
- Take precise and accurate notes
- Have strong knowledge of languages spoken and nuances of word choice
- Note social cues
- Person to record, videotape or photography proceedings

- Keep all attendees informed of and get their approval to being recorded
- Document participation to ensure transparency but without jeopardizing people's safety or dignity
- Good to have both an observer, noting qualitative information, and a rapporteur documenting dialogue and language used
- Evaluate performance of facilitator and accuracy of rapporteurs