Stakeholder Participation in the SDG Policy Cycle

Module 6
13:30-17:00
## Agenda of the Module

<table>
<thead>
<tr>
<th>Time</th>
<th>Activity</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>13:30-13:45</td>
<td>Presentation</td>
<td>Introduction, existing understandings, objectives</td>
</tr>
<tr>
<td>13:45-13:55</td>
<td>Presentation</td>
<td>Key concepts: Agenda 2030 and the case for stakeholder engagement</td>
</tr>
<tr>
<td>13:55-14:15</td>
<td>Activity</td>
<td>Tandem Brainstorming on Stakeholders</td>
</tr>
<tr>
<td>14:15-14:45</td>
<td>Presentation</td>
<td>Key concepts: Stakeholder definitions, levels of participation</td>
</tr>
<tr>
<td>14:45-15:30</td>
<td>Activity</td>
<td>UN DESA Institutional Readiness Assessment, Building Block 8</td>
</tr>
<tr>
<td>15:30-15:40</td>
<td>Break</td>
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<tr>
<td>15:40-16:10</td>
<td>Presentation &amp; Video</td>
<td>Tools: How to set up stakeholder engagements, stakeholder mapping, including cases and video</td>
</tr>
<tr>
<td>16:10-16:45</td>
<td>Activity</td>
<td>Group work on stakeholder engagement</td>
</tr>
<tr>
<td>16:45-17:00</td>
<td>Round table</td>
<td>Wrap-up &amp; Action Plan</td>
</tr>
</tbody>
</table>
Round table to check participants` existing understandings

Examples for lead questions
• What are the promises of stakeholder engagement?
• Which forms of stakeholder engagements are you aware of?
Key objectives of Module 6

**Organization**
- Understand how the engagement of stakeholders can support policy coherence for SDG implementation.
What is module 6 about?

- RATIONALES FOR STAKEHOLDER ENGAGEMENT FOR POLICY COHERENCE
- DIFFERENT LEVELS OF STAKEHOLDER PARTICIPATION
- DESIGN FOR EFFECTIVE STAKEHOLDER ENGAGEMENT
- STAKEHOLDER MAPPING
- CASES OF STAKEHOLDER ENGAGEMENT
What will be achieved through module 6?

Understand - Understand the significance of stakeholder participation for policy coherence

Identify - Identify relevant stakeholders

Discuss - Discuss how to select stakeholders

Reflect on - Reflect on the political dimension of engaging stakeholders, the relevance of power and resources for stakeholder engagement

Discuss - Discuss institutional formats for stakeholder participation
Why Stakeholder Participation?

• To increase legitimacy, acceptance and ownership
• To broaden the knowledge-base and include experience ‘from the ground’
• To create mutual understanding of the involved actors
• To better understand the needs of those affected by a policy

Ultimately, effective and well-designed stakeholder engagement can increase trust
The Agenda 2030 and stakeholder engagement

- The Agenda 2030 emphasizes the relevance of including all parts of societies and all social groups to achieve the SDGs.
- The Agenda 2030 itself is based on a major participatory process.
- Several goals and targets address inclusion and participation.
- Increasing demand by stakeholders.
- Various formats, no one-size-fits-all approach.
- High on the government agendas in many countries – but not yet all.

16.7: “Ensure responsive, inclusive, participatory and representative decision-making at all levels.”

17.16: „Enhance the global partnership for sustainable development, complemented by multi-stakeholder partnerships that mobilize and share knowledge, expertise, technology and financial resources, to support the achievement of the sustainable development goals in all countries, in particular developing countries.“
Tandem Activity: Brainstorming Stakeholders

Brainstorm with your neighbor on
• who are relevant stakeholders for SDG implementation in your country,
• what to expect from each of them to contribute to SDG implementation
"(...) an individual or a representative of a formally constituted group or organization that has or is thought to have a collective interest and can affect (e.g., informing decisions, voicing views and interests) or is affected by a policy process or action taken by herself or others that impact the policy." (UN DESA 2018, p. 64)
Stakeholders: “Major groups” and “other stakeholders”

Agenda 2021 (1992) defined “major groups” for participation

- Women
- Children and youth
- Indigenous people
- Non-governmental organizations
- Local authorities
- Workers and trade union
- Business and industry
- Scientific and technological community
- Farmers

„The future we want“ (2012) and HLPF (2013) added “other stakeholders”

- Local communities
- Foundations & private philanthropic organizations
- Parliamentary networks & associations
- Educational & academic entities
- Migrants & their families
- Persons with disabilities
- Faith groups
- Older Persons
- Volunteer groups
Why stakeholder engagement is a prerequisite for policy coherence ...

• Working across sectoral boundaries for policy coherences also requires to engage stakeholders to include multiple perspectives

• Engaging stakeholders can help
  • better understand policy linkages, synergies and trade-offs
  • achieve consensus and ownership
  • better understand policy problems and implications of solutions
  • recognize coordination problems across sectors and incoherent policies
  • raise awareness through promoting SDGs and point to needs for coherence
  • gain specialized expertise on a topic
  • get access to data that government does not have

• Engaging stakeholders from marginalized groups supports coherence through integrating previously often neglected perspectives (“leaving no one behind” as a core SDG principle)
...yet...there are challenges

- Stakeholder engagement puts high demands on administrative capacity and resources
  - Organizational capacity
  - Financial resources
  - Staff resources
  - Time consuming
- More engagement does not automatically or necessarily result in more or better policy coherence
- Crucial factors to support coherence through stakeholder engagement
  - Governance framework and selection of participatory format
  - Stakeholder selection including consideration of power and resource differentials among stakeholders
  - Stakeholder mobilization
Opportunities and risks to engage stakeholders for policy coherence

- Opportunities:
  - Participation of multiple stakeholders allows the inclusion of multiple bodies of knowledge, experiences and issues ‘on the ground’
  - to better inform policies
  - prioritize
  - identify policy linkages, trade-offs, synergies
  - create ownership
  - Supports solving complex, cross-sectoral problems (e.g. SDG implementation)

- Risks:
  - Sector-based engagement mechanisms can reinforce silos and undermine cross-sectoral collaboration
  - If engagement formats do not consider power and resource differences of the involved actors they can result in narrow policies catering specific interests and they run the risks of being captured by elites
  - Manage the risks carefully:
    - Consider the implications of stakeholder selection in terms of expected outcomes, political preferences and political implications

Empirical research: Not much is yet known on the impact of participation on coherence

Opportunities and risks depend on context and organization of the stakeholder engagement
Core Concepts: Levels of Participation

- **Inform**
  - Government -> citizen

- **Consult**
  - Government receives feedback
  - Listening to citizens’ concerns

- **Involve**
  - Direct and constant interaction between government and citizens
  - Mutual understanding of concerns

- **Collaborate**
  - Encompassing interaction between government and citizen
  - Joint development of solutions

- **Empower**
  - Government promises to implement citizens` decision

Based on: International Association for Public Participation (IAP2)
<table>
<thead>
<tr>
<th>PUBLIC PARTICIPATION GOAL</th>
<th>INFORM</th>
<th>CONSULT</th>
<th>INVOLVE</th>
<th>COLLABORATE</th>
<th>EMPOWER</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>PROMISE TO THE PUBLIC</strong></td>
<td>To provide the public with balanced and objective information to assist them in understanding the problems, alternatives and/or solutions.</td>
<td>To obtain public feedback on analysis, alternatives and/or decision.</td>
<td>To work directly with the public throughout the process to ensure that public issues and concerns are consistently understood and considered.</td>
<td>To partner with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution.</td>
<td>To place final decision-making in the hands of the public.</td>
</tr>
<tr>
<td><strong>EXAMPLE TOOLS</strong></td>
<td>We will keep you informed.</td>
<td>We will keep you informed, listen to and acknowledge concerns and provide feedback on how public input influenced the decision.</td>
<td>We will work with you to ensure that your concerns and issues are directly reflected in the alternatives developed and provide feedback on how public input influenced the decision.</td>
<td>We will look to you for direct advice and innovation in formulating solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible.</td>
<td>We will implement what you decide.</td>
</tr>
<tr>
<td></td>
<td>• Fact sheets • Websites • Open houses</td>
<td>• Public comment • Focus groups • Surveys • Public meetings</td>
<td>• Workshops • Deliberate polling</td>
<td>• Citizen Advisory committees • Consensus-building • Participatory decision-making</td>
<td>• Citizen juries • Ballots • Delegated decisions</td>
</tr>
</tbody>
</table>
Institutional design: Make participation work

Mandate and political commitment
- Define the goal
- Define the level and impact

Management
- Select an organizational format and/or tool
- Make sure to have the necessary resources available

Stakeholder selection
- Consider representativeness and what perspectives to include
- Consider differences in resources and power
Case: Indonesia

Building Block 8: Stakeholders Engagement

The project involves the widest variety of stakeholders - including disaster risk management agencies, government managers, scientific researchers, industry partners, local and international NGOs, community organizations, and local and international universities - throughout the development process. Throughout the project history, partners include: the Urban Risk Lab at the Massachusetts Institute of Technology, Indonesian National Emergency Management Agency, Jakarta Emergency Management Agency, USAID, IFRC, University of Wollongong Global Challenges Program, DM Innovation, AusAid, Twitter, Department of Foreign Affairs & Trade of the Government of Australia, World Vision Indonesia, Australian National Data Service, Open Data Institute, Pasang Mata, Jakarta SmartCity, Humanitarian OpenStreetMap Team, the Pacific Disaster Centre of the University of Hawaii, University of Indonesia, National Geographic Indonesia, Urban Poor Consortium, Ciliwung Institute, Ciliwung Merdeka, WALHI Friends of the Earth Indonesia, World Resources Institute, Save our Borneo.

Source: UN DESA Case Study Indonesia
<table>
<thead>
<tr>
<th>Long-term, Regular and Continuous:</th>
<th>Empowering Stakeholders, Especially Vulnerable Groups, for Effective Participation:</th>
</tr>
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<tbody>
<tr>
<td>Ideally this means being involved in early discussions about what the implementation and review processes will look like, rather than once decisions have already been taken or as an ad hoc exercise. This will build trust among stakeholders, strengthen ownership, and improve legitimacy of decisions.</td>
<td>All concerned stakeholders should be well informed about how various decisions may affect them. This may include capacity-building activities. Where necessary, opportunities need to be provided to those stakeholders who need to strengthen their knowledge or competences for effective participation.</td>
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<table>
<thead>
<tr>
<th>Open, Transparent and Clear about the intended level of engagement at each step:</th>
<th>Encouraging Contributions to Implementation and Stakeholder Accountability:</th>
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<tbody>
<tr>
<td>Participating stakeholders should be aware of the objectives and expected outcomes of the process, as well as of how their contribution will be used. All relevant information should be shared in a transparent manner prior to, during and after each step of the process. This information should be accessible in the relevant languages for the country, and to those affected by disabilities.</td>
<td>Beyond fostering inputs and participation in policy design and reviews, stakeholder engagement processes can help encourage relevant stakeholders to contribute to the implementation of SDG programmes and projects and to report on their contributions.</td>
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<table>
<thead>
<tr>
<th>Systematic, Well-Planned and Structured, where available/possible, supported by standing institutional arrangements:</th>
<th>Mindful of the Need to Follow Up on lessons learned, undertake course corrections and keep stakeholders informed:</th>
</tr>
</thead>
<tbody>
<tr>
<td>The process should be designed drawing on a well-defined methodology; its different steps should be well planned and include specific objectives as well as clear focus areas in which consensus is sought/possible to reach. Participating stakeholders should be aware of specific procedures, and have a good understanding of the objectives, the focus of discussions, and subject of negotiations at each stage.</td>
<td>A key part of a good participatory process is the follow up. There should be clarity about how and when follow up will occur, and who is responsible for doing so. Relevant information and decisions should be shared with stakeholders participating in implementation and review of the 2030 Agenda, including how such information or decisions will be used in relevant reports or policies. Feedback should be shared consistently, constructively and broadly.</td>
</tr>
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<table>
<thead>
<tr>
<th>High Quality and Aiming for Higher Levels of Engagement whenever possible:</th>
<th>Inclusive of and Strengthening the Voice of the Most Vulnerable Groups:</th>
</tr>
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<tbody>
<tr>
<td>While different levels of engagement can be used for different purposes the overall, long-term stakeholder engagement strategies for the SDGs and related processes should aim for higher levels of engagement such as involvement and contribution to strengthen the quality and relevance of resulting decisions, ownership, and accountability.</td>
<td>It is important to engage directly with NGOs and groups that represent underserved constituencies. It will be useful to undertake a stakeholder mapping to ensure no one is left behind, and to allocate resources to ensure participation of marginalized groups.</td>
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<table>
<thead>
<tr>
<th>Well Organized and With Equitable Access to Needed Resources:</th>
<th>Having a Clear Link to the 2030 Agenda National Review Processes:</th>
</tr>
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<tbody>
<tr>
<td>Those stakeholders who have limited resources should be able to participate in meetings with related travel and accommodation costs covered and have access to funding for conducting related activities. Other barriers to participation such as administrative procedures or language may need to be addressed.</td>
<td>It should be clear exactly how stakeholder consultations and other processes will feed into national reviews of progress on the SDGs. Ideally, for government-led processes, comprehensive stakeholder engagement strategies may need to be designed to provide an overall framework and ensure engagement has been addressed at different levels, relevant review mechanisms have been involved and no stakeholder group has been left behind.</td>
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Source: UNDESA/UNITAR (2020, p. 32/33)
Checklist for how to organize stakeholder engagement

**Purposeful:**
- Know why we are engaging – clearly define what we want to get out of the engagement
- Develop an engagement plan and allocate resources and responsibilities
- Build engagement into every phase – planning, delivery and follow-up and review
- Evaluate to improve engagement

**Inclusive:**
- Map and analyse stakeholders
- Recognize stakeholders’ views – even if we don’t agree with them
- Have special mechanisms for those normally “left behind”
- Put in place ways to remove/reduce barriers that make participation difficult – language, geographic location or distance, abilities, age, income, connectivity, culture bias, discrimination
- Manage power imbalances and find ways to ensure that people feel safe to contribute (e.g. anonymity)
- Recognize and utilize traditional channels of engaging

**Transformative:**
- Choose methods that build understanding and collaboration across different groups in society, sharing information from diverse perspectives
- Encourage and recognize contribution - motivate stakeholder action through a “whole of society” approach
- Choose methods that integrate social, economic and environmental perspectives
- Choose methods that encourage dialogue and shared action across the SDG framework
- Are willing to take a participatory approaches to addressing important societal challenges

**Proactive:**
- Build engagement planning into implementation
- Communicate the scope of engagement to stakeholders
- Provide the information they need in an accessible and timely manner
- Consult stakeholders on the way they would like to participate
- Respond to questions and concerns promptly

Source: UN DESA/UNITAR (2020, p. 45)
Individual Activity

Please fill out building block 8 of the UN-DESA Readiness Assessment on Governance Capacities and Institutional Arrangements for Policy Coherence on an individual basis!

- Building Block 8: Stakeholders Engagement
Plenary Round Table

Plenary round table
• Discuss the findings from Building Block 8!
Some key elements for a stakeholder engagement strategy, which should be adjusted to national contexts as appropriate are:

1. SETTING UP A VISION FOR ENGAGING STAKEHOLDERS IN THE VNR PROCESS
2. SETTING UP A JUSTIFICATION FOR ENGAGING STAKEHOLDERS - WHO STANDS TO GAIN AND WHAT?
3. DEFINING WHO SHOULD BE ENGAGED
4. DEFINING HOW STAKEHOLDER WILL BE ENGAGED.
5. SETTING UP SPECIFIC AND TAILORED OUTREACH STRATEGIES FOR DIFFERENT GROUPS
6. DEVISING CHALLENGES AND HOW TO OVERCOME THEM.
7. DEFINE EXPECTED OUTCOMES AND OUTPUTS.
8. DEFINE THE ACTIVITIES TO BE UNDERTAKEN AS PART OF THE STAKEHOLDER ENGAGEMENT PROCESS FOR THE VNR
9. PLAN AND MOBILIZE THE NECESSARY RESOURCES.
10. SET UP A CLEAR TIMELINE
11. REGISTER THE PROCESS

Source: UNDESA/UNITAR (2020, p. 80)
Mauritius developed a Stakeholder Engagement Plan as well as an SDG Communications Strategy to ensure inclusiveness and a multi-stakeholder participation in the process. For this, Mauritius set out an SDG Questionnaire with specific questions and rigorous criteria to gather information. This constituted a solid basis for the development of each SDG chapter. Broad and wide national consultations and workshops as well as one-to-one dialogues were held from November 2018 to June 2019 involving both public and private stakeholders, Civil Society, NGOs, academia, human rights organisations in mainland Mauritius as well as Rodrigues and the Outer Islands (Mauritius Voluntary National Review 2019).

Source: UNDESA/UNITAR (2020, p. 81)
Engagement mechanisms at the system level: NSDC

Source: UN-DESA (2018, p. 71)
Engagement mechanisms at the system level: Examples

<table>
<thead>
<tr>
<th>Leadership</th>
<th>Legal/ regulatory</th>
<th>Planning/ Design</th>
<th>Implementation</th>
<th>Monitoring and evaluation</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Awareness raising efforts on the SDGs</td>
<td>• Setting up of formal consultation mechanisms</td>
<td>• (ad hoc) public consultations for the elaboration of a national SD strategy</td>
<td>• Multi-stakeholder partnerships</td>
<td>• Learning networks (sectoral and systemic levels)</td>
</tr>
<tr>
<td>• Engagement with groups of the population left behind</td>
<td>• Resources allocated to engagement mechanisms</td>
<td>• NSDC leading the design or revision of the national SD strategy</td>
<td>• Stakeholder coordination in institutional mechanisms for implementation</td>
<td>• Participatory monitoring and review (by governments or oversight institutions)</td>
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<tr>
<td></td>
<td></td>
<td>• Participatory planning</td>
<td></td>
<td>• Participatory development of indicators and data collection</td>
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<td></td>
<td></td>
<td>• Participatory budgeting</td>
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Source: UN-DESA (2018, p. 71)
Tools: Stakeholder mapping for coherent SDG implementation

1. Identify relevant stakeholders related to the SDGs
2. Map their influence and dependency
3. Assess their power relations, capacity, and needs
4. Do not forget marginalized groups & less evident stakeholders
5. Create a matrix on stakeholder interests and their links to SDGs/targets
6. Analyse who has power over whom, in which forms, spaces, and levels
## Direct Influences

<table>
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<tr>
<th>Influence</th>
<th>MoENER</th>
<th>MoFIN</th>
<th>MoENV</th>
<th>MoH</th>
<th>CAC</th>
<th>CoC</th>
<th>REC</th>
<th>COGA</th>
<th>Dependence</th>
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<td>3</td>
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<tr>
<td>Min of Environment</td>
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<td>3</td>
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<td>Coal, Oil and Gas Association</td>
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<td>0</td>
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<td>8</td>
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</table>

**Influences:** from 0 to 4, reflecting the importance of a row actor for each actor in a column.

- **0:** No or little influence
- **1:** Operation
- **2:** Results
- **3:** Mission
- **4:** Existence

### Example of a stakeholder mapping

<table>
<thead>
<tr>
<th>Type</th>
<th>Form</th>
<th>Space</th>
<th>Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>Power With</td>
<td>Visible</td>
<td>Invited</td>
<td>National</td>
</tr>
<tr>
<td>Power With</td>
<td>Hidden</td>
<td>Closed</td>
<td>National</td>
</tr>
<tr>
<td>Power Over</td>
<td>Visible</td>
<td>Closed</td>
<td>National</td>
</tr>
<tr>
<td>Power Over</td>
<td>Invisible</td>
<td>Invited</td>
<td>Global</td>
</tr>
<tr>
<td>Power Over</td>
<td>Visible</td>
<td>Invited</td>
<td>Sub-national</td>
</tr>
<tr>
<td>Power With</td>
<td>Hidden</td>
<td>Claimed</td>
<td>Local</td>
</tr>
<tr>
<td>Power With</td>
<td>Hidden</td>
<td>Closed</td>
<td>National</td>
</tr>
</tbody>
</table>
Tools: Stakeholder Mapping & Positioning

High interest – High power
Actively lobby as powerful ally

Low interest – High power
Advocacy to involve and keep benevolent

Low interest – Low power
Advocacy to involve and develop capacity

High interest – Low power
Empower through capacity to strengthen ally

Interest

Power

Tools:
- Stakeholder Mapping & Positioning
Stakeholders Map
Costa Rica example

- 121 groups
- 69 relations
- 359 interests
- 5 categories
Stakeholder engagement – example: Swedish wolf management

• From centralized carnivore management to decentralized stakeholder-based systems (see Duit/Löf 2018)
  • Transfer of decision-making power to local wildlife management arrangements
  • Increase in stakeholder participation
• Goals
  • Increase legitimacy
  • Increase deliberation (shared problem definitions)
  • Decrease conflict-levels through trust-building
• Mixed results
  • No increase in legitimacy of wildlife management by stakeholders
  • Decreasing deliberation and consensual decision-making
  • Increasing levels of conflict
  • Increasing formalization
Substantial inputs to the SDGs process in Sierra Leone have been made by representatives of the Central Government, Trade Unions, the Private Sector, CSOs, NGOs, universities, and the philanthropies at the national level. Intense debates involving panel and group discussions were organized. Discussions began in October 2015 with an engagement with a cross-section of CSOs and NGOs summoned by the then Minister of Finance and Economic Development. This initial engagement emphasized the continued challenges the world was facing, as the MDGs were coming to an end, and the opportunities the SDGs presented to address these challenges, especially those affecting fragile states like Sierra Leone. It underscored the central role and responsibilities of CSOs in the implementation of the SDGs in Sierra Leone and the rest of the world. Results of the consultation include a summary of critical areas that CSOs pointed out during the meeting requiring special attention in the implementation of the new SDGs and a summary of agreed actions going forward. These discussions were also centered on the key topics and themes that would guide efforts to achieve the targets set in the 2030 Agenda, such as the principle of leaving no one behind; ensuring balance between the social, environmental and economic dimensions of sustainable development; and delivering the SDGs to their full potential. (Advanced draft report on adaptation of the goals in Sierra Leone (VNR, 2016))

Source: UNDESA/UNITAR (2020, p. 50)
**Initiative:** Citizen Participation Project

**Institution:** Ayuntamiento de Madrid

**Problem:** The Madrid City Council was faced with the challenge to establish new models of governance that will lead to more open, transparent, participatory and inclusive governments. Before the initiative’s implementation, the Council lacked a channel as well as platform for citizen participation and discussion.

**Solution:** Decides Madrid Government website was created as a channel for listening and communication in which all people can directly and individually raise their ideas and needs and propose public services needed to meet them. The proposals published on the platform have a space for discussion open to all citizens to exchange views, discuss their needs and improve them.

**Impact:** Since 2015, 362,702 users have registered and participated in more than 5,000 debates, made more than 21,000 proposals and generated more than 4 million votes. Participatory budgets are making it possible to create 517 new services and facilities that the people of Madrid have proposed. Citizens' consultations have made it possible for the population to decide on the equipment of their squares or the pedestrianization of streets. In 2016, there was a 22.6 per cent increase in the number of respondents who believed that the City Council facilitates and appreciates citizen participation in its decisions.

Group Activity

Groups 1 and 2: Stakeholder-Mapping

- Two groups of participants (depending on group size) map stakeholders for SDG implementation from the perspective of 'their' government!

Groups 3 and 4: Stakeholder Engagement Strategy

- Two groups of participants (depending on group size) develop a guidance note on how to engage stakeholders in a systematic way in the every-day work of public administration/ministries (depending on participants)
Wrap up

What are the key insights into policy coherence of the module on stakeholder engagement to retain for the Action Plan of the country?

Comments and Reflections


