

Using a Systematic Communication Model to optimise “Nationally Determined Contributions” Stakeholder Dialogues

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See more information at

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1 Executive Summary

Experience from complex political and technical processes such as climate change action show that a high number and variety of stakeholders need to be involved to get broad and action and high impact in short time. This complexity brings up a number of communicative challenges. Therefore this publication is looking at a field tested dialogue model, at the general planning process to design nationally determined contributions (NDCs) under the Paris Agreement and at the recent practical experience of communication with stakeholders of “Intended Nationally Determined Contributions (INDC)-“Development processes. To get broader acceptance of NDCs, better cooperation with partners for more ambition and integrated political and technical action strands as well as advocacy for climate action recommendations are drawn on how to use elements of such a model to overcome communication challenges of stakeholder involvement in NDC planning and implementation. It is clear that there is no blueprint for single dialogue architecture, therefore this publication is guided by the idea of a consistent and goal directed NDC communication strategy.

Chapter one shows why stakeholder dialogues are so important for NDCs and chapter two looks at the strategic context of a NDC governance structure and elements of a dialogue architecture. Thereby it explains what makes the heart of the communication model used in this publication. Chapter three describes how to develop a communication strategy according to the model taking into account six dialogue dimensions and checking their coherence based on a matrix. Chapter four intends to inspire the reader by giving ideas on how to overcome potential and observed challenges of NDC planning and implementation aiming at three different purposes: information sharing and awareness raising for advocacy for action, stakeholder consultation, and participation for long term cooperation. Further it provides cases studies on overcoming communication challenges from both activities for international cooperation on sustainability and experiences from national INDC development processes - although the communication measures have not been designed based on the model described before. Considering that the Paris Agreement is a starting point of a long term process of continued NDC planning and implementation, chapter 5 is finally summing up by giving strategic recommendations on a consistent dialogue architecture for NDCs and with that for long term and ambitious climate action.

2 Foreword: What's the point of this paper?

2.1 Good reasons for reading the paper

Momentum for climate change mitigation

By March 2016, 161 submissions of countries' Intended Nationally Determined Contributions (INDCs) have been received by the UNFCCC, representing 188 Parties and covering 95 % of total global greenhouse gas emissions (CAT 2016). Generally, these INDCs contain the intentions by countries to reduce GHG emissions through various mitigation actions in the energy, transport, industry, waste and land use sectors as well as adaptation actions. Following the results of UNFCCC COP 21 and the related Paris Agreement, certain tasks are expected to come up for countries with a view to prepare the implementation of the Nationally Determined Contributions (NDCs). With the ratification of the Paris Agreement, INDCs turn into NDCs, so for the purpose of this manual it is referred to NDCs.

In order to collectively steer global climate actions towards the goal of staying below 2 degrees warming, the Paris Agreement of December 2015 introduces a 5 year review cycle with a view to raise the ambition of countries' NDCs. For this purpose, each Party shall "prepare, communicate and maintain successive NDCs" and "pursue domestic mitigation measures" aimed at achieving the NDC (Art. 4.2) with some flexibility for LDCs and SIDS (Art. 4.6). That way NDCs represent a progression be-

yond the Parties' current NDC (Art. 4.3), i. e., successively enhancing the level of ambition.

Keeping the momentum of climate change action can strengthen these upcoming processes on global and national level, not least by involving relevant stakeholders and maintain dialogue in the future as well.

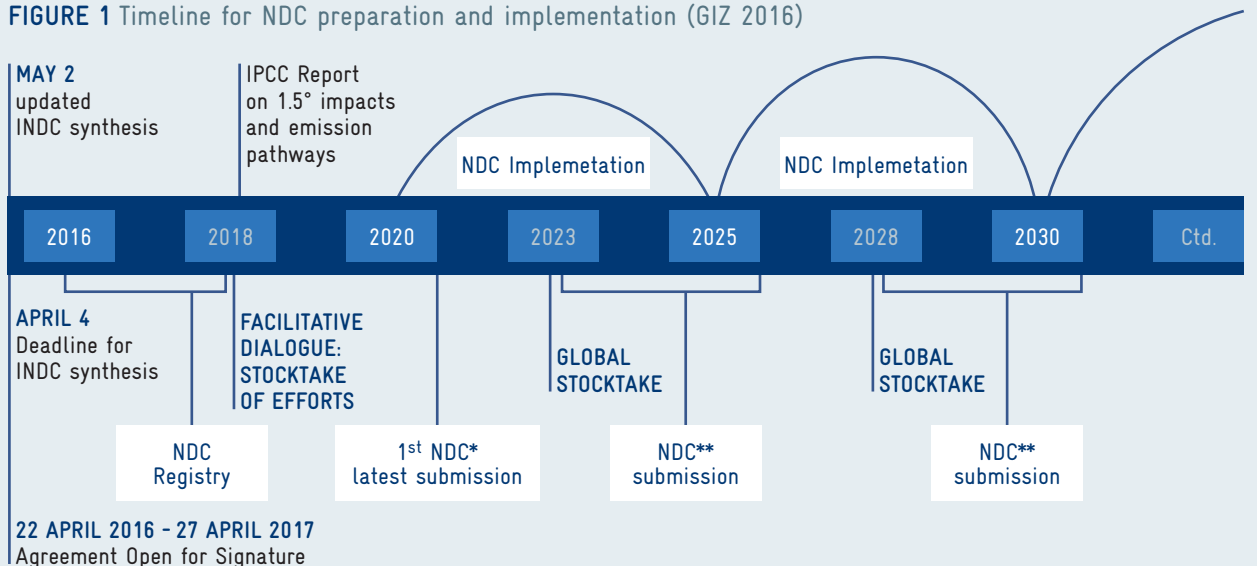
NDCs necessitate communication strategies

In order to define mitigation and adaptation actions, and possibly set more ambitious targets to reduce GHG emissions, NDCs cannot simply be developed and implemented on a top-down basis. Stakeholders have to be brought on board. This involves overcoming any number of communication challenges: How do you get climate action placed on the political agenda? How do you raise awareness of climate action among decision-makers in the private sector? How do you get stakeholders in different areas and sectors to talk to each other so that they understand each other? How do you demonstrate the added value of stakeholder dialogues to a wider audience?

Why it is worth reading this paper?

Planning and implementing climate action programmes requires the development of a comprehensive and long-term communication and dialogue strategy. And because

FIGURE 1 Timeline for NDC preparation and implementation (GIZ 2016)



* Communication of first NDC no later than when party submits the ratification document (1/C21 para 22).

Parties are urged/requested to communicate NDC by 2020 (1/C21 para 23/24)

** NDCs shall be submitted at least 9 to 12 months in advance of the relevant CMA meeting (1/C21 para 25)

planning dialogue events and processes in detail is not that simple and requires a certain amount of time, the purpose of this paper is to share experiences from the NDC development process by highlighting communicative challenges and giving practical recommendations. Example cases help to illustrate practical approaches to overcome these challenges. This manual is the short version and stresses practical experiences and questions. For more details how to systematize and develop strategic dialogue processes, building on a field-tested developed dialogue model by Arras-Hoch, see also the “Manual for strategic planning and design of NDC stakeholder dialogue processes” (<http://mitigationpartnership.net/manual-NDC-stakeholder-dialogues>), published by GIZ.

2.2 Why stakeholder dialogues are so important for NDCs

Linking multitrack processes

Because of the complexity of the issues, the national communication processes will proceed along multiple lines. The procedure makes it possible to draw up national climate action plans that differ from country to country. A modular, multitrack and interlinked process therefore is recommended: alongside a ‘political action strand’, which sets out the strategic basis of national contributions to climate action, there will be a ‘technical action strand’ that considers the technical, legal and financial aspects of implementation of these national contributions.¹

Stakeholder dialogue creates acceptance and improves outcomes

A national climate action plan imposed from the top down will not meet with broad acceptance. Rather, what is required is the problem solving capability, expertise and conviction of as many stakeholders as possible from the political sphere, business and industry, science and research and civil society. Countries therefore should hold stakeholder dialogues as part of the process of drawing up their NDCs. This produces more robust results.

Advocacy for climate action

The NDC development process has shown that in many countries climate change mitigation and adaptation lags behind other policy objectives on the political agenda. Many politicians regard the issue as one that does little for their reputation and rarely stimulates voters’ emotions. It is an abstract concept, because many people are not yet

noticeably affected by the consequences of climate change. Furthermore, not all countries are assuming the (new) responsibility for own national climate action measures to the same extent. Some are rather engaging in a political process of negotiation to establish ambition levels. To ensure that the strategic strand of NDC development can be successfully put in place, it is important that high-level policy-makers – at local, regional and national level – are more strongly engaged. Without political will, there is no way forward.

Get stakeholders from business and industry and civil society on board as co-campaigners

When it comes to increasing society’s acceptance of climate action, placing the issue on the (public) discussion agenda and rolling out pilot projects, stakeholders from business and industry, civil society, research and the media have a particularly important part to play. To get the technical NDC process strand off the ground, it is essential that the expectations of these stakeholders are explored and where possible systematically incorporated. If they are to provide lasting impetus for low-carbon and resilient development, these stakeholders must be brought on board not only as technical experts but also as co-campaigners and multiplier.

1 Detailed information on this topic can be found here: <http://mitigationpartnership.net/indc-webtool>

3 Strategic context for NDC stakeholder dialogues

As mentioned before, participation of stakeholders in climate action planning and implementation is beneficial in terms of strengthening, validating, and creating acceptance and legitimacy for mitigation and adaptation frameworks. But how can stakeholders be most effectively involved in practice, and what can experiences related to NDCs tell us in terms of best practices? Often, technical elements e.g. greenhouse gas (GHG) inventories, quantifying climate actions and political elements e.g. selection of priority actions of processes to develop NDCs, are inseparable and connected via stakeholder engagement. Stakeholders have an important say in the identification and discussion of technical aspects, such as the level of GHG baselines and the prioritisation of mitigation actions, and hence influence political decision-making. Early engagement of key stakeholders from the private sector, industry and civil society is crucial for ensuring buy-in for low-emission development throughout the process.

As a precondition to integrate stakeholders, it is very important to develop a strategic design to develop a strategic design on how to handle this complex dialogical process. First one needs to know, who is responsible for what and how the overall communication hub is functioning. Second, one needs to develop a national dialogues architecture that describes the strategy, mechanism and outcome of your dialogical efforts. Thirdly, it is needed to develop a concrete process design for the individual stakeholder dialogues interlinking the technical and political strand.

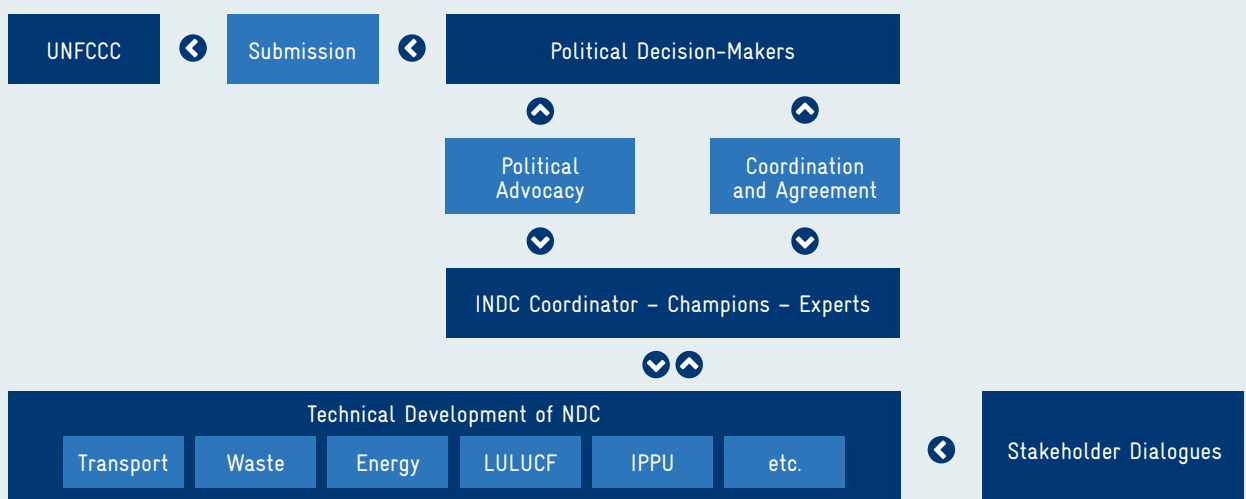
3.1 National NDC governance structure as central communication hub

It is worth reminding ourselves of the structure of the NDC process, as it helps to understand the governance framework for NDC finalisation and implementation as well. In the political strand, the content of the NDCs will likely be coordinated at the highest political level and the strategic guard rails of the national climate process are decided (vertical dialogue). It is the government that will submit the NDC document to the UNFCCC. After COP21, national climate action targets need to be further adjusted, fleshed out and specified, initially by the public sector. This is the basic structure. However, for any rule there are deviations and variants and this applies to the NDC governance structure as well. The following graph (figure 2) is NOT a blueprint of a governance structure to manage NDC stakeholder dialogues, but is just a possible option.

NDCs are mostly negotiated between ministries and government

Nonetheless, stakeholders from the private sector, science and society, who form the technical strand, were closely involved in the dialogue from the start. The technical process strand covers a number of issues and sectors such as transport, waste, energy, land use, land use change and forestry (LULUCF) as well as industrial processes and product use (IPPU). People such as engineers, agronomists, farmers, mobility experts, entrepreneurs and energy ex-

FIGURE 2 Example of a potential NDC governance structure (GIZ 2016)



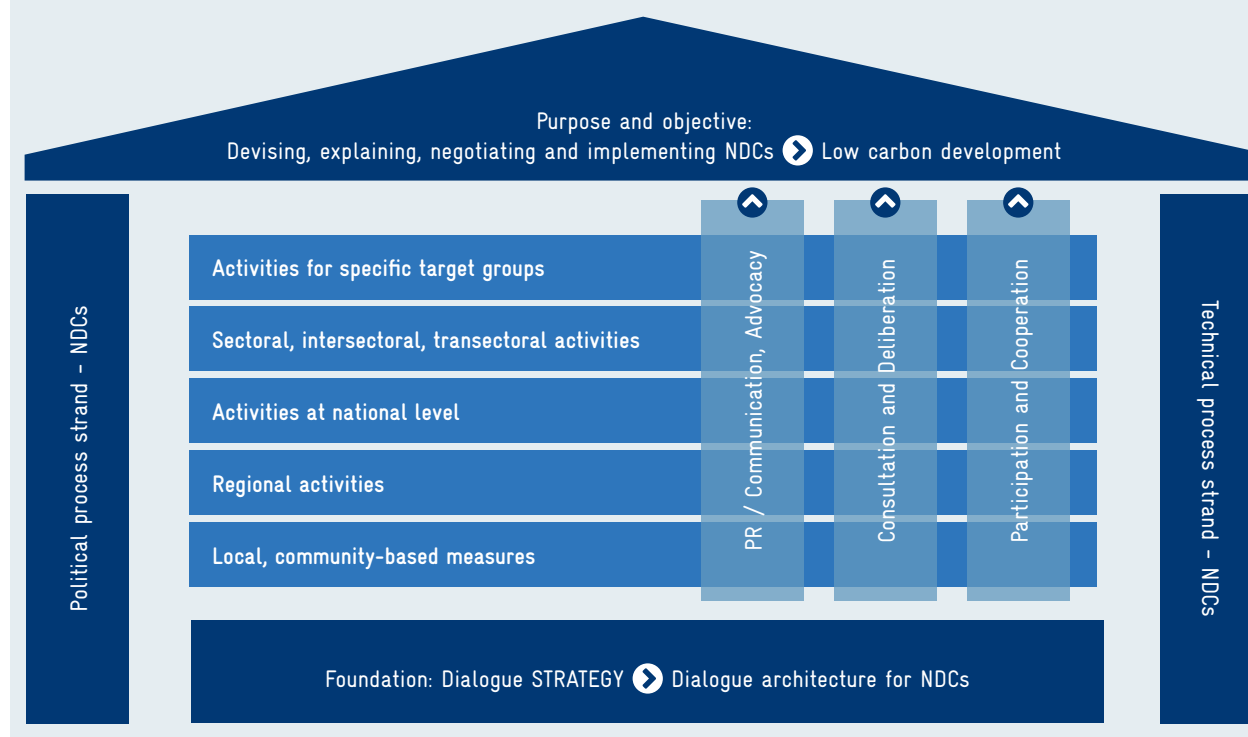
perts work together here. Their task is to identify saving potentials in each sector and issue area. Located between the two strands, there is often a **committee of NDC coordinators** who harmonise the proposals of experts at the technical and political levels, and who are thus responsible for vertical communication. To achieve this, NDC coordinators have to coordinate a further horizontal communication level within the technical strand, i. e. within the sectors.

However, some countries have adapted and varied this structure for themselves. The governance framework for NDC finalisation and implementation will be similar to structures described above. Looking ahead, the idea is that there should be both cross-sectoral stakeholder dialogues across the thematic areas and dialogue processes within individual sectors and issue areas. The two strands are not only important to further develop NDCs, but also to support the entire implementation process. The committee of **NDC coordinators could be THE central communication hub** and driver of the whole communication process.

3.2 Building up a national dialogue architecture for the NDCs

We need to make use of the momentum for climate action. One of the key tasks will be to **develop a dialogue architecture**. Communication pathways need to be opened up – and hence dialogue channels – and participation mechanisms need to be created in order to involve stakeholders in their own countries, bring them on board, encourage them and enable them to participate in shaping their national green economy. Interlinkage between the political and technical strand to develop and implement NDCs is recommendable: The following figure “Dialogue House” provides a **framework for designing NDC stakeholder participation** in both the technical process of identifying mitigation and adaptation potential and actions, and the process of getting political approval for the NDC. The NDC ideally encompasses all emission-relevant activities at all levels (incl. Nationally Appropriate Mitigation Actions, NAMAs²) and thus has a broader range of stakeholders that need to be involved in different types of dialogue processes. A wide range of methods and approaches to engage stakeholders exist and the choice significantly depends on the country’s context and desired results.

FIGURE 3 “Dialogue House”: Designing NDC stakeholder processes (Reference: dialogwert 2015)



2 "As a part of the agreed outcome (Bali Action Plan) of COP 18 in Doha, developing country Parties take Nationally Appropriate Mitigation Actions (NAMAs) in the context of sustainable development. NAMAs refer to any action that reduces emissions in developing countries and is prepared under the umbrella of a national governmental initiative. They can be policies directed at transformational change within an economic sector, or actions across sectors for a broader national focus. NAMAs are supported and enabled by technology, financing, and capacity-building and are aimed at achieving a reduction in emissions relative to 'business as usual' emissions in 2020", <http://unfccc.int/focus/mitigation/items/7172.php>.

This manual will NOT set out ONE dialogue architecture for use in connection with drawing up NDCs. There can be no such thing, because each country needs its own individually adapted dialogue architecture, *its own 'dialogue house'*. This manual is therefore more like a construction kit; it indicates which elements are important and how they can be assembled to form a whole.

Every house needs **foundations** (strategy) to provide stability. Once the foundations have been laid, the individual **floors** can be constructed (adaptation of local, sector-specific formats, etc.). How many floors you can afford or are interested in should be decided before you start the construction. Each house has a unique **façade** with all the **windows, walls and corridors**. The façade makes the house visible – and determines what kind of dialogue process you should initiate, either PR/advocacy measures, consultation/deliberation or participation processes/cooperation). The **staircase** provides the internal connections and indicates where and how the inhabitants can visit each other (information flow/informal and public dialogue mechanisms). The **roof** waterproofs the building and gives the house its purpose and objective – enabling people to live in it (purpose and resulting communicative guidelines). The **water pipes and electrical wiring** ensure that light and water are available when needed (project structure). The **landlord** is responsible for maintaining the house in good condition and ensuring that a pleasant culture of communal living develops (project manager).

3.3 Different categories of dialogues with antipodal objectives

Not all the dialogues are the same. In principle, there are two types of dialogue objectives, two poles. On the one hand **dialogue aims at '(self-)explanation' of the sender**. On the other hand, **dialogue aims at 'change'**. These dialogue objectives are as fundamentally different as the two contradictory attitudes regarding how to solve societal problems. This makes it all the more important for the person designing the dialogue process to start by positioning the dialogue on this scale: is it basically more about dialogue that positions the sender or more about social change? When this has been done, differentiation of the particular dialogue process can begin. The decision on the appropriate form of dialogue depends on the objective and the problem to be 'solved'. Is the planned measure designed to inform and persuade others, in the style of public relations work or (political) advocacy? Or is it useful to explore and match the expectations and interests of the individual dialogue participants with the aim of identifying common ground, so that xyz becomes better/different? Is the emphasis on finding social solutions and offering relevant participation? Or is the aim to establish long-term, institutionalised dialogue relationships – for example as national dialogues?

The scale between the two poles can be divided, roughly speaking, into three types of dialogue. The categories can help you position your dialogue when making your own plans:

1. **(Sender) communication and (political) advocacy** as a measure aimed at self-explanation, awareness-raising, persuasion and positioning
2. **Dialogue events** as instruments for different forms of **consultation and deliberation**
3. **Participation processes** as a strategy for change and **cooperation**

Because NDCs need a long-term communication and dialogue architecture, they cannot be successfully planned and implemented unless the design of the political and technical process is systematically underpinned by dialogue. It is essentially about how stakeholders can be brought on board in connection with climate projects. Even when working under time constraints, it remains important to look beyond the mere operational measures! Experience demonstrates that while public relations and ad-hoc dialogue measures can be quickly organised, they just as quickly run out of steam in terms of results if they are not part of a strategy that defines the guardrails and specifies the direction.

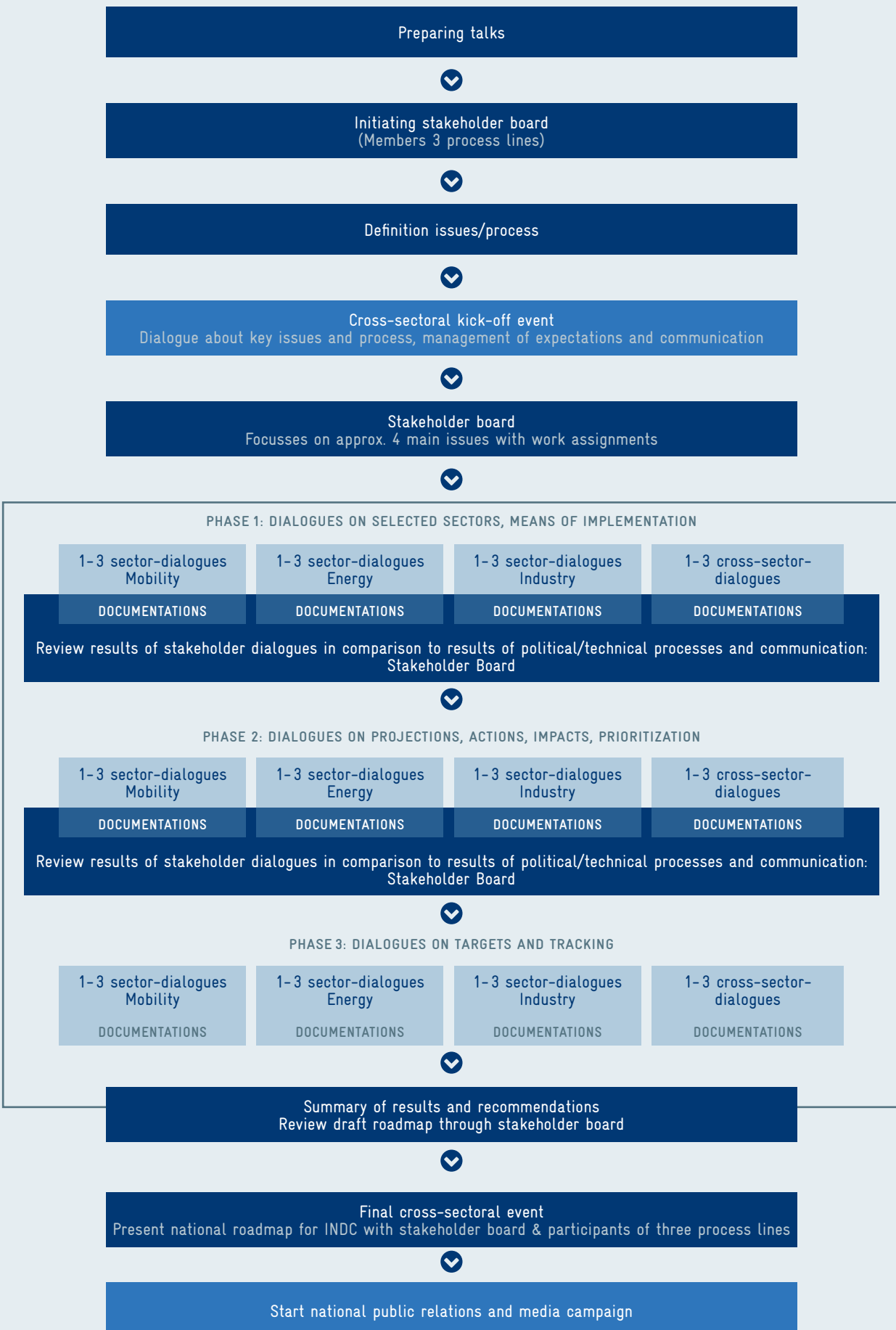
3.4 NDC stakeholder dialogue processes to link the political and technical strand

The diagram and description below (page 11) look like a blueprint for a national NDC dialogue and communication process. But that is not what they are meant to be! There are naturally countless other ways of setting up a dialogue process for the NDCs after COP21. But this sequence can be used to illustrate some key factors.

There is a more detailed account of how this **one** example of a dialogue process might function. As already mentioned, this description is NOT a blueprint for an NDC dialogue, but just ONE possible version:

It is a good idea to set up a **Stakeholder Board** – an informal body that can link the three strands of the process – political, technical, dialogical – and ensure that contents, schedule and results are synchronised and harmonised. It is a body **with no formal decision-making competence but with a consulting mandate**. The chairperson should be independent and someone with a good public reputation. His/her background could be in business, the media or civil society. The **independence of this body** is vital for the **credibility** of the stakeholder dialogue and the **trust** placed in it. To maintain its capacity for work, the stakeholder board should not consist of more than 20-25 people, but it should include representatives of all participating sectors

FIGURE 4 Version of a possible NDC dialogue process (Reference: dialogwert 2015)



and branches of the three strands. Subordinate to this board is a project team responsible for the implementation of the whole undertaking. The tasks of the stakeholder board are the definition of core topics, recommendations for the process and its structure, suggestions for the composition of the participants, discussions of the results and derivation of the questions for the next phase, and communication of the NDC roadmap. Key political players – who have formal decision-making competence with regard to decisions on national contributions to climate action – are only ordinary members of this body, with no special emphasised rights.

This dialogue process must involve a **multistakeholder and cross-sectoral approach** with different **actors and target groups**. The unique selling point is that it ‘listens’ to society and the private sector. The decision on who is to be invited should be based on a stakeholder analysis. The **kick-off event** for the public should be used as a starting point for the elaboration of national mitigation and adaptation goals and a climate protection plan; this event must be conveyed communicatively. Afterwards it is recommended that work start on the **four core topics** – mobility, energy, industry and cross-cutting issues – with concrete (cross-sectoral) questions. Each dialogue phase needs to achieve different and consecutive goals:

- | **Phase 1:** multistakeholder process on selected sectors and means of implementation,
- | **Phase 2:** projections, actions, impacts, prioritisation and
- | **Phase 3:** targets and goals.

In order to reach these goals in the four **dialogue strands** and the **three phases** it is likely that **between 1 and 3 dialogue events** will be needed. These events must be documented in an open manner – not only to make the results usable but also to build up trust and transparency. The Stakeholder Board will synchronise the results of the stakeholder dialogue strand with the development of the political and technical strands. The board also makes recommendations for the next phase of dialogue. Throughout the process it is advisable to provide continuous progress reports (to the media and participating stakeholders) as part of an overarching communication strategy.

At the end of the three dialogue phases, during which a sufficient number of **workshops** should have taken place, all the results will be combined into a **NDC roadmap** which is handed to the Stakeholder Board for discussion and assessment. This roadmap will be presented at a final event by decision-makers, board members and selected participants in the three process strands. This is also the time to **launch** a broad-based **communication and mobilisation campaign** for national climate protection, mitigation and adaptation. The members of the Stakeholder Board, together with people such as committed VIPs, should play a highly visible role as faces or ‘ambassadors’ of the topic as an effective means of raising awareness among a wide public.

4 Planning Tool: Six dialogue dimensions to develop a strategy

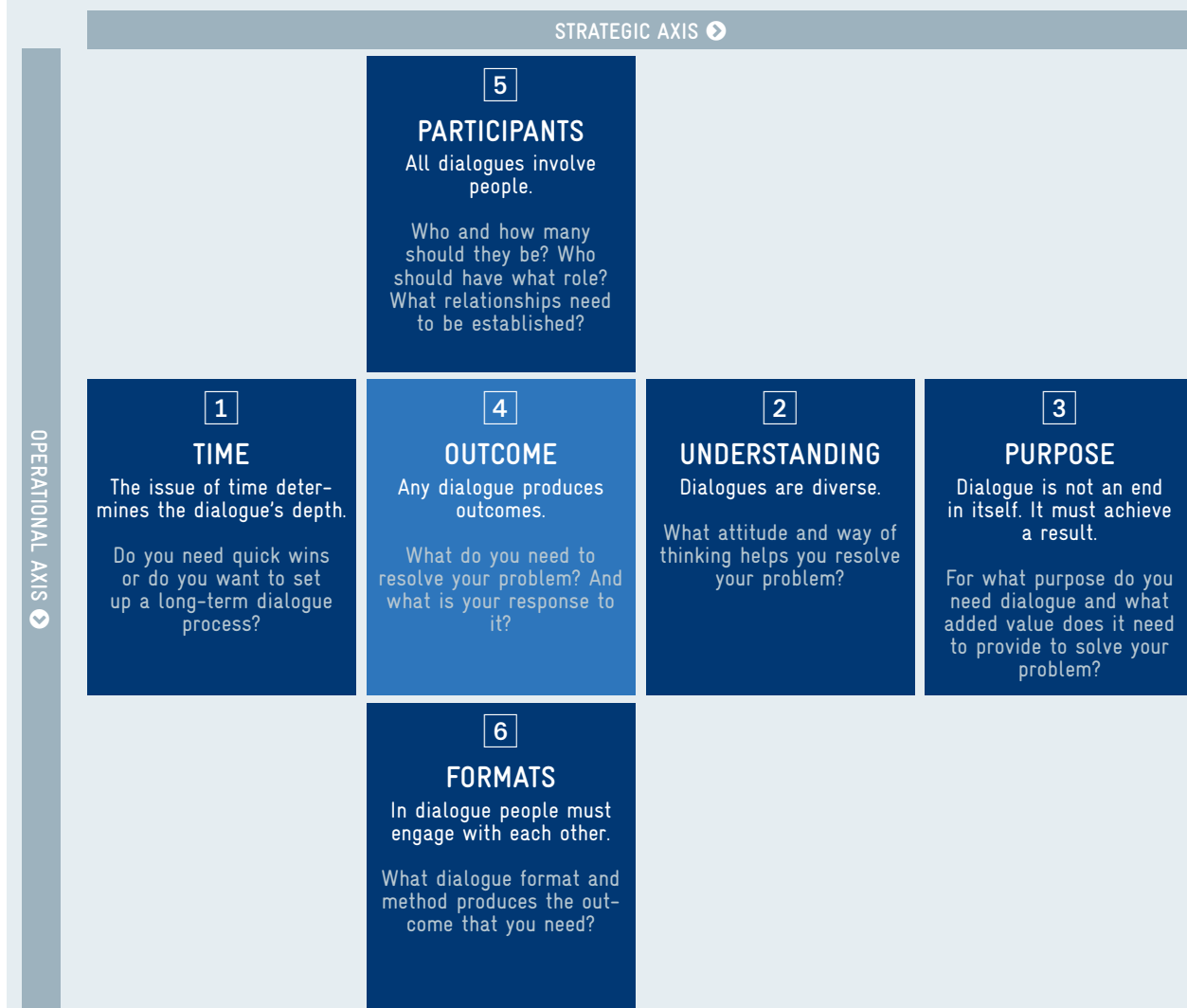
The ‘dialogue cube’ should be regarded as a practical tool for planning dialogue processes systematically and above all strategically. In essence it consists of a set of key strategic questions, all of which must be answered in turn. Dimensions function like interlocking cogs. Turning one cog moves all the other five too. The definitions of the other dimensions will also (have to) change, if the answer to one question in the dialogue model changes. There are logical relationships between the dialogue dimensions and they cannot be randomly combined. The six dimensions are linked and interdependent. This demonstrates the internal logic and structure of the dialogue.

4.1 Dialogue Dimension 1 TIME

Step one: How much time is available? Looking for one-off quick wins or long-term dialogue processes?

The issue of time should be the first point to be addressed in relation to NDCs. One needs to assess what can still be done in terms of dialogue in preparation for milestones such as the next climate change conference (UNFCCC COP) and what should more appropriately be planned for the post-conference period. Is your project about short-term processes or does it involve dialogue processes that require more time?

FIGURE 5 Key dimensions for development of a dialogue strategy (Reference: dialogwert 2015)



The greater the involvement and participation associated with a dialogue process and the more complex the results that need to be worked on, the more agreement between participants is needed and the more process-oriented – and hence more long-term – the dialogue process must be scheduled. Even within the short time available, the issues of NDCs and climate action can and should be drawn to the attention of different target groups. When time is short the focus needs to be on sender-oriented communication measures, but short time availability does not diminish the relevance and impact of such measures. There is a wide range of possible communication and advocacy measures that can still be carried out when time is short. To give a **basic rule in advance**: Impact can only be achieved if the measures build on each other and in particular if they focus on a common goal (even if the goal is a long-term one). The more forward-looking the planning and the more consistent the strategy, the more accurate and target-focused implementation will be.

4.2 Dialogue Dimension 2 UNDERSTANDING

Step two: It's all a question of attitude! What way of thinking and communicating helps in implementing NDCs?

Dialogue involves an (internal) attitude: without openness to the discussion, dialogue cannot arise. The understanding of dialogue refers to the manner of thinking and solving 'problems'. What understanding can the dialogue be based on? Experience teaches us that dialogue reflects political culture; it has a lot to do with organisational development and psychology, because essentially it is about issues of attitude.

Dialogue reveals how societies, organisations and individuals solve 'problems', how they tackle challenges and with what attitude they intend to approach their opposite numbers in a dialogue – or not, as the case may be. Dictated from above and top-down, or bottom-up and dialogically?

In connection with the understanding of dialogue there are two poles, and you must decide on one or the other! There is 'thinking alone' and there is 'thinking together' – two diametrically different attitudes:

- | 'Thinking alone' is about informing, explaining, polling, wanting to persuade, delivering monologue, placing the sender, positioning, controlling results, representing, managing.
- | 'Thinking together' is based on an interest in the interlocutor: listening, asking questions, seeking solutions, (self-)

reflection, questioning thought patterns, examining prejudices, dismantling enemy stereotypes, using collective intelligence, assuming responsibility, promoting ownership, enquiring, cooperating.

Your understanding of dialogue indicates how you intend to relate to your stakeholders. Do you want to 'think alone', which means not being talked into anything when drawing up the NDCs? Or do you want to 'think together' and invite stakeholders to help develop the NDCs?

4.3 Dialogue Dimension 3 PURPOSE

Step three: What is the purpose of the planned dialogue event? What added value is a dialogue strategy intended to generate?

How certain are you that the NDC dialogues you are planning are THE proper choice? Will DIALOGUE be able to produce the effect that you have in mind? If the answer is a clear 'yes', different purposes need to be distinguished. Dialogue can produce a wide range of effects: consider which dialogue purpose will help you achieve your aims. Four different dialogue types can be identified according to their purpose and in response to the question of which is the most suitable and appropriate for NDC dialogue processes.

1. **Information sharing and awareness rising for advocacy:** Communication processes that aim to position an issue or a person. Here the added value is in the '(self-)explanation'. Comparable to advocacy measures intended to demonstrate the relevance of the NDCs.
2. **(Citizen) participation:** Processes in which the sender plans to sound out stakeholders' expectations and ideas have the purpose and added value of creating 'agreement' on an issue. Comparable to dialogue methods intended to enhance participation and identify the level of acceptance of the NDC among a particular target group.
3. **Consultation and deliberation at stakeholder dialogues:** Dialogues in which the added value consists in involving external expertise in order to develop solutions (to social problems) together have the dialogue purpose of 'consulting'. Comparable with dialogues that involve experts to help with formulation of the NDC.
4. **Long-term cooperation for change:** And finally the dialogue purpose of 'change' is appropriate for forms of dialogue based on (long-term) cooperation. Such formats are chosen in order to develop cooperative relationships as a form of added value. Comparable with cooperative schemes that help (later) to implement the NDC jointly.

Although all steps should be thought through carefully – **selecting the purpose of your dialogue strategy is the heart of the matter!** Experience from NDC development shows that the most important issues are found here. That's why you will find in Section 4 in this manual a lot of practical recommendations and concrete communication measures along these four strategic dimensions.

4.4 Dialogue Dimension 4 OUTCOME

Step four: What (dialogue) outcome do you need in order to draw up and implement NDCs? And where do you stand in relation to the outcome?

The dialogue dimension of 'Outcomes' is the core element of the dialogue model. There are two sorts of outcomes that dialogue planners can happily do without: outcomes that don't say what the organiser wanted them to say, and the absence of any substantial outcomes at all. But be careful: if organisers complain about 'unwelcome' results, even though they issued an invitation to 'think together', they must nevertheless be clear that whatever participants contribute to a dialogue, what they wish for, want, recommend, suggest, refuse or demand must not be controlled, manipulated or withheld in the process. If **no outcomes** emerge, this may be the result of a technical or methodological flaw in the design of the dialogue event – or it may mean that the dialogue participants did not want to agree or for tactical or **political reasons** were unable to agree. In the latter case the organisers must reflect self-critically on whether **dialogue** is an **appropriate strategy** for reaching agreement and whether the participating stakeholders simply need more time to reach an agreement and enable outcomes to emerge.

The key question is: In any particular case, what are the 'right' outcomes that help to solve a 'problem'? Here again a systematic division into different types of outcomes is a helpful aid to finding what is right for your process.

Choose one of four possible outcomes:

1. **Positioning and information sharing:** Own standpoint made clear, others are educated and informed.
2. **Researching expectations:** New knowledge of opinions perspectives and expectations of others.
3. **Devising solutions:** New insights gained, solutions/recommended actions (to third parties) drawn up
4. **Cooperating and initiating change:** Cooperation set up, change implemented with interventions, innovation achieved.

The quality of dialogue depends directly on whether an open-ended discussion can take place. If the nature of the outcomes is fixed from the start, this can seriously damage your reputation with participants, because they notice immediately whether people are interested in their opinion. Outcomes that you didn't want to hear are part of dialogue. Suppressing such outcomes cannot be recommended. It is much better to respond to the outcomes. You can of course also say 'no', giving your reasons.

4.5 Dialogue Dimension 5 PARTICIPANTS

Step five: Who and how many people should be involved in the dialogue? What should the role of the participants be? What is the added value of the participants?

The matrix asks what role stakeholders should play in dialogue measures. Should they listen, discuss, devise solutions or are they needed as cooperation partners? Therefore the main task is to identify NDC target groups and think about their role in different phases of the NDC process (e.g. technical analysis, prioritisation of sectors and activities, consultation and implementation of NDC). Mapping the stakeholders according to their role in the process from the provision of data and knowledge, to implementation; and according to their interests such as climate change mitigation, adaptation, development benefits of climate action and economic efficiency, can help identify fellow campaigners and potential cooperation partners from ministries, business and industry, civil society and academia. Each country needs to find its own context-specific balance.

4.6 Dialogue Dimension 6 FORMAT

Step six: What dialogue methods and what formats reflect the dialogue purpose, outcome and participants?

All five dimensions of the dialogue model influence the choice of the dialogue format and methods: Is the focus on working groups and interaction or on presentations and podium discussions? Will people such as well-known politicians take part in the discussions and be present throughout the event, or will they simply contribute a few opening words? Will there be time and space for participants to express criticism, for issues to be explored together and for

expectations to be compared, or is the purpose to present the latest facts, figures and arguments on an issue? The method determines what sort of outcome will emerge.

There are in principle **four dialogue formats** – some of which are short-term formats, others of which are for long-term processes. You need to choose between:

1. **One-off exchange** of statements and messages (these are in the main top-down and sender-oriented formats such as presentations with FAQs, background talks, discussion of position papers, etc.)
2. **Moderated exchange of opinions** (one-off) on specific issues (these formats combine top-down and bottom-up elements)
3. Progressive **structured dialogue and participation processes** (these are dialogue formats with a clear bottom-up orientation and high expectations of results)

4. Development of a long-term **cooperation**, alliance or initiative (these dialogue types are likewise bottom-up but are also institutionalised).

Dialogue depth comes in four qualities. It is in the nature of the matter that the question of what depth of dialogue is ‘allowed’ and desirable is directly linked to the understanding of dialogue and the outcome. The dialogue depth is the bridge between the format and the dialogue method to be selected for an event. There is an inner logical connection between the choice of the dialogue event format, the intensity of participation, the (formal) results outcome and which types of participants with what kind of professional background and what kind of attitudes and positions will take part.

FIGURE 6 Overview of different dialogues formats (Reference dialogwert 2015)

FORMAT OF THE EVENT	RESULTS OF DISCUSSION	INTENSITY OF DIALOGUE/ DEPTH OF PARTICIPATION	PARTICIPANTS/TARGET GROUPS
Panel discussion, speech with FAQs, information event with ex-cathedra communication, exhibition, info points, display of materials	Information brokerage, understanding of specific questions, positioning (‘talking’)	LOW Focus on ex-cathedra communication, no dialogical interaction	No specific target group but broader public, citizens, journalists: not adequate for experts
Moderated events, conveying and discussing attitudes and interests (e.g. workshops, professional events), ex-cathedra offers alternate with group discussions	‘Collect’ participants’ expectations, proposed solutions, hopes, ideas for improvement, prioritising possible (‘listening’)	MIDDLE Focus on listening, perceiving, comprehending and getting to know	Topic and goal of dialogue define target groups and participants – a range between citizens and NDC experts possible
Focus on results-oriented formats, which build on a methodology. Participants jointly work on (new) results and proposed solutions. Only a few ex-cathedra elements.	Acquisition of goals and targets, jointly develop projects, recommendations, prioritising (focus on ‘becoming knowledgeable/getting advice’)	HIGH (DELIBERATION) Dialogue in the sense of participation, collective intelligence and cooperation/discussion on equal footing	Topic and goal of dialogue defines target groups and participants – a range between citizens and NDC experts possible
Institutionalised form of dialogue with the aim of collectively changing something structurally and dialogically.	Develop common projects/plans (‘plan and implement together’)	VERY HIGH (COLLABORATION/COOPERATION) common projects will be identified and collectively planned/implemented	Experts with their organisations, institutes or companies/PPP

4.7 Success Check for Dialogue Strategy: The Dialogue Matrix

We have seen that dialogue is based on a clear internal logic and structure; in addition, certain requirements for success must be met. These six dimensions of the dialogue model - outlined in this section - provide the strategic basis of dialogue design: they are also directly related to each other. A dialogue strategy is consistent if these internal relationships are linked to each other in a logically correct way. Figure 7 gives an idea of the big picture of how the six dialogue dimensions are interlinked.

The dialog matrix is a simple **step-by-step guide to designing NDC dialogues**.

IMPORTANT

This dialogue matrix can be used to check a complete dialogue STRATEGY to see whether the strategy is internally consistent. If individual MEASURES are being considered, however, it is not possible to ‘investigate’ several at the same time. It may be appropriate to combine measures of different types in a dialogue strategy, using some that are based on clas-

sical sender communication and others that are based on dialogue and participation methods. In this checklist this is all explored in turn.

AND

Neither the dialogue model nor the matrix is set in stone. They bring together many years’ experience of designing and advising on communication strategies and dialogue processes and they help you ask the ‘right’ questions. Similarly, the clusters given here are not fixed: they are intended only to stimulate thought and to help to consider own plans in an as systematic and nuanced way as possible. The design itself and evaluation of the specific need depends on the professional judgement of the individual dialogue planner. Neither the dialogue model nor the matrix ever replaces the need to think for yourself

FIGURE 7 Success check for your dialogue strategy (Reference: dialogwert 2015)

STRATEGIC AXIS ▶				OPERATIONAL AXIS ▶	
1	2	3	4	5	6
TIME	UNDERSTANDING	PURPOSE	OUTCOME	PARTICIPANTS	FORMAT
● One-off NDC dialogue measures that can be implemented in the short term, quick wins	● Thinking alone	● Self-explanation	● Positioning and information sharing	● Listeners, recipients, representatives	● One-off exchange of statements
● Serial NDC dialogue processes as part of a longterm dialogue and participation process	● Thinking together	● Agreement	● Researching expectations	● Discussion partners, representatives of opinion	● Moderated exchange of opinion on specific points
		● Consulting	● Devising solutions	● Active solution-seekers and advisors	● Progressively structured dialogue and participation processes
		● Change	● Cooperating and initiating change	● Implementers, bearers of responsibility, cooperation partners	● Establishment of long-term cooperation/alliance/initiative

5 Practical experience of NDCs: Problems, operational answers, suggested measures, example cases

There is no blueprint for a single dialogue architecture! Instead – and as already mentioned – the point is to establish mechanisms for involving society. It is not about implementing as many dialogue measures as possible, but about a consistent concept with a goal-directed NDC communication strategy.

It is obvious that the (fictitious) individual measures described here do not amount to a dialogue architecture. But this chapter may help to widen the perspective and think about measures that may not have been tried yet.

The following three sections are all about measures and example cases. On the basis of specific ‘communication problems’ identified by GIZ when preparing NDCs, this section makes recommendations, proposes measures and presents best practices. Most examples are drawn from GIZ experience in supporting INDC processes focusing on mitigation of GHGs.

It goes without saying that this section is not a recipe book of ‘correct’ solutions, and above all, it does not put forward strategies for solving particular problems. The section should be seen as providing ideas and inspiration to help to come up with own initial ideas for finding the solution that is appropriate in your particular case and underpinning your dialogue strategy with good measures.

In the following the ideas for measures are roughly clustered into the three dialogue types already mentioned in the beginning:

- | Ideas for information sharing and awareness raising for advocacy
- | Ideas for measures for consultation and deliberation at stakeholder dialogues
- | Ideas for (citizen) participation processes and/or long-term cooperation for change

5.1 Ideas for information sharing and awareness raising for advocacy

The expected outcome is to inform the target group (e. g. the general public, sectoral actors, private sector, students), raise awareness for climate action and enhance advocacy. The information flow is one-directional. An example is to create knowledge platforms for the public in relation to NDCs with information materials that are easy to understand and tailored to the target group, by setting up information channels such as a broad radio or online platforms.

INITIAL SITUATION

The INDC has been perceived as an obligation rather than an opportunity.

CHALLENGE 1

How to make it clear that finalising and implementing an NDC is a multi-faceted opportunity and not just an obligation? How do I highlight not only the climate change mitigation argument but also other political, economic and social advantages?

APPROACH

Show added value and benefits

The added value and benefits of a low carbon development for business, society and nature should be a thread that runs through all NDC communication and sets the tone of it! In policy dialogue and advocacy measures the task is to demonstrate new opportunities and scope for action that a green economy opens up for a certain country.

This means that it is also important to emphasise the social, political and economic benefits of climate change mitigation – because a) when dealing with such a complex issue it is easy to get bogged down in details and lose sight of the big picture, and b) there are a surprisingly large number of individuals and stakeholders who focus only on the problems (which do of course exist in connection with this issue). But you don’t solve problems by describing them. In this situation it is worth reiterating the openings and opportunities and using them as a communicative leitmotiv.

CASE: ETHIOPIA – USING AN INDC TO COMMUNICATE BOTH MITIGATION AND ADAPTATION PLANS AND NEEDS

Ethiopia was the first of the group of least developed countries to submit its INDC to the UNFCCC (June 2015).³ Taking advantage of an early start of the development process, a general conceptual work took place even before COP20 in Lima, followed by a review of the national five-year Growth and Transformation Plan (GTP) and the development of a new national development plan – GTP II. Ethiopia's INDC is based on the Climate Resilient Green Economy Strategy (CRGE) strategy, which is integrated in the national GTP II and therefore lays the groundwork for climate change mainstreaming in all sectors⁴. Although Climate Change is already a political subject in Ethiopia, the process of INDC development furthered the understanding of what an INDC is and what adaptation and mitigation means. As a country highly vulnerable to climate change impacts⁵, Ethiopia not only communicated its plan to cut emissions below 2010 levels from 150 megatons of carbon dioxide equivalent (Mt CO₂e) in 2010 to 145 MtCO₂e in 2030⁶, but also used the opportunity to raise awareness for its need to address vulnerability and adaptation. Because many stakeholders from different sectors have been involved, developing an INDC is now seen as an opportunity to send a clear signal that the country is willing to limit future climate impacts, but at the same time will need financial and technical assistance to deal with its vulnerability. The added value and benefits of climate action have been emphasised and an adaptation component as key aspect has been incorporated. In line with this the INDC builds upon the Climate-Resilient Green Economy Plan of Ethiopia, which commits to reducing emissions and building climate resilience while achieving middle-income status before 2025. The long-term goal is to fully mainstream both mitigation and adaptation in development activities.

In addition Ethiopia's INDC is meant to serve as a planning tool to enhance capacities and improve data collection for sectors relevant to INDC implementation. Ethiopia decided to review existing data and to prioritise potential contributions in its priority sectors (agriculture, forestry, transport, electric power, industry and buildings) through projections of GHG emissions and adaptation needs. The government hence stated to be aiming for a new level of ambition⁷. Further the INDC includes measures such as capacity building to cope with the spread of diseases; to strengthen natural resource and water resource management and to develop insurance that can support farmers and herders in times of disaster.

To ensure constant political buy-in from all relevant sectors, both key stakeholders and ministers were taken through the whole process. This made it easier to ensure their commitment and engagement in implementation as well. While for planning and developing the INDC a top-down process was undertaken, the implementation shall be rather done through a bottom-up approach and discussions will be conducted to further the public understanding of the INDC and see it as an opportunity. General awareness rising is intended after COP21 to ensure an easy implementation of actions by all stakeholders. Thereby it will be easier to announce certain actions to the public, e.g. new technologies for the benefit of the agricultural sector, than informing the public about an abstract goal of reducing GHGs and adapting to climate change impacts.

CHALLENGE 2

As an NDC advisor, how do you convince key stakeholders in political committees during implementation and review processes that NDCs are necessary and appropriate means of combating climate change?

APPROACH

Describe consequences

Here again the basis for convincing people is a good argument that emphasises the benefits and added value – an argument that is so simply explained, so strikingly formulated, so clearly argued, that people can easily take it to heart. It is equally important to describe the consequences – which should always be underpinned by facts: What will happen if the country of the (political) stakeholder does

not put climate change mitigation on the agenda, does not conduct structured dialogue with experts, does not involve the public – in other words, if it does not act in a results-oriented way and does not focus on the objective of a low carbon development, etc.? Any issue can be positioned well by comparing benefits and risks.

PRACTICAL TIP

The core arguments for decision-makers from politics, business, etc. should fit onto a piece of paper small enough to be placed in the breast pocket of your shirt. That's not because there is not much to be said, but because it is important to get to the point. What are the 2 or 3 arguments that your opposite number should remember? The aim is compression – nobody is going to remember the content of a 10-page back-

3 Source: World Resource Institute 2015, www.wri.org/blog/2015/06/ethiopias-climate-commitment-sets-high-bar-national-climate-action

4 Source: CDKN 2015, <http://cdkn.org/2015/06/news-ethiopia-is-first-least-developed-country-to-submit-its-indc>

5 https://www.oxfam.org/sites/www.oxfam.org/files/file_attachments/rain-poverty-vulnerability-climate-ethiopia-2010-04-22_3.pdf

6 Source: INDC of Ethiopia 2015, www4.unfccc.int/submissions/INDC/Published%20Documents/Ethiopia/1/INDC-Ethiopia-100615.pdf

7 Source: INDC of Ethiopia 2015, www4.unfccc.int/submissions/INDC/Published%20Documents/Ethiopia/1/INDC-Ethiopia-100615.pdf

ground text! This does not mean that detailed papers have no value. But the most important points should always be placed at the beginning as a management summary.

APPROACH

Strengthen your arguments

Scientific studies, facts and figures, results of evaluations, measurements of success or representative surveys underpin arguments: Not only journalists need to note this. Anyone can make an assertion. But if every assertion is backed up, that strengthens the argument enormously. This is how the relevance of an issue is underpinned – not through appeals and moral persuasion.

APPROACH

Look to the future

Dialogues that address the question of what might become important in future (foresight methods, scenario technique, co-creation process – there are various methods) are also interesting. Involving politicians and stakeholders from other areas of society in such thinking processes can result in important learning effects. Looking at possible future scenarios automatically calls for strategic farsightedness that shifts the perspective away from day-to-day operations and the ‘nitty-gritty’ of individual measures. It also enables the political, economic and social relevance of the issues to be examined. A common method to take a long-term perspective is foresight. It can be used as a strategic tool to involve stakeholders in future planning, identify the potential of finding solutions to challenges and provide direction. Foresight is used worldwide: The German Ministry of Education and Research (BMBF)⁸, for example, has been conducting “Foresight Dialogues” for more than 15 years to provide technology foresight and determine future societal needs in terms of research and development. Another example is the Foresight Process of UNEP⁹, that aims at producing a careful and authoritative ranking of the most important emerging issues related to the global environment. The process is supervised by a Foresight Panel consisting of 22 distinguished members of the scientific community cutting across all of the six UN world regions and internationally recognised because of their expertise in one or more environmental and related issues.

INITIAL SITUATION

Obtaining approval at the top political level requires being able to justify the content of the NDC to political decision-makers

CHALLENGE 1

How to justify aspects such as the selected baseline scenario or the focus on a particular mitigation activity in periodic review processes?

APPROACH

Translate climate-related terminology

The specific arguments that can be used to underpin a justification of this sort cannot be set out here, because they will vary from country to country. There will be good reasons why a particular baseline scenario or a specific mitigation activity was chosen in preference to another. And because the decision for or against was not a random one, it can be justified and processed for argumentation purposes.

It is also important to ‘translate’ the climate-related terminology so that the baseline scenario is explained adequately and in easily comprehensible language: CO₂ emission rates are of almost secondary significance here. The processes that form the basis for the GHG baseline scenario and led to it being selected are particularly important. These usually involve the use of non-renewable energies or poor energy efficiency, unsustainable transport structures, deforestation and unsustainable land use. It is then easier to ‘sell’ the selected mitigation measures, especially if emphasis is placed on the fact that they reverse unsustainable practices and the co-benefits for the economy and for development are highlighted. For many countries these processes are the real advantages of climate measures, while the GHG reduction effects are secondary.

CHALLENGE 2

How do I get my NDC approved at the top political level during review and implementation?

APPROACH

Vertically link political and technical NDC levels

It is advisable to involve the public sector in the deliberations and decisions of the operational level as soon as possible: not necessarily high-ranking politicians, but stakeholders at working level. This is about quality rather than quantity. It is better to have the constant involvement of a good, reliable contact person at the political level that is in a position to speak and has the authority to take decisions than to launch sweeping and formless rounds of talks, which no one feels are addressed to them.

It is the task of the vertical NDC dialogue to link the harmonisation of the political and technical strands. In both strands, representatives of the other strand should be present at important meetings or be informed in person im-

8 For more details visit <https://www.bmbf.de/en/bmbf-foresight-1419.html>

9 More information on www.unep.org/science/chief-scientist/Activities/Cross-cuttingIssues/UNEPForesightProcess.aspx

mediately afterwards. This should be an integral part of your dialogue architecture. Here coordination pathways should be institutionalised, an information flow established and the vertical involvement of stakeholders clarified – and not just for the moment, but for the duration of the period leading up to the successful implementation of the NDC. It is not surprising that obtaining approval becomes difficult if people at the political level are presented with a fait accompli and can do no more than give the nod to the results. This does not match politicians' view of themselves. The technical and political process strands should work closely together when finalising the NDC – despite their functional separation. To conduct dialogue successfully, it is essential to have a process driver and moderator who constantly coordinates the process of reaching agreement, handles any confusion that arises with regard to responsibilities and prevents things grinding to a halt.

INITIAL SITUATION

The language used by diplomats in the UN climate negotiations is hard to understand for outsiders. This delays and complicates NDC processes and brings with it the risk that the real challenges will not be identified.

CHALLENGE

How can the impenetrable language of negotiators be 'translated' so that non-experts understand what is being talked about and know exactly what reviewing and implementing NDCs involves?

APPROACH

Involve communication experts

Language is a communication tool. Transparency is not only about the accessibility and completeness of information but also about comprehensibility. If you want external stakeholders to be involved, the issues and specialist documents must be put into language that can be understood with common sense, without the need for expert knowledge. PR agencies, communication professionals and journalists undertake editorial 'translation work' of this sort. It is advisable to give the work to people who bring with them an outside perspective and can summarise the key points – and not every technical detail – simply and in a way that is easy to understand. Comprehensible content is one of THE key requirements! It is fundamental not only to the dialogue but to the whole communication process that people know what it is about. Documents that no one understands could be interpreted negatively as a hidden agenda or an instrument of power. To repeat: transparency is the most important success factor for a dialogue!

INITIAL SITUATION

The various stakeholders need to be involved transparently at all stages of INDC review and NDC implementation.

CHALLENGE

How can I ensure that all key stakeholders are always up to date with the process of finalising and implementing NDCs?

APPROACH

Establish a systematic information flow

Key stakeholders are always up to date with developments if they are kept regularly informed or if they have the opportunity to inform themselves according to their wishes and interests. Information on the current state of developments can be conveyed to key stakeholders in various ways. It is about establishing a **systematic information flow**: monthly newsletters sent out to everyone by email, a website on which other materials and intermediate versions of the NDC documents can be made available for viewing (possibly in a closed area – and possibly with options for commenting or editing if opportunities for online participation are considered desirable).

A REMINDER

Information must be presented in ways that make it easy to understand and enjoyable to read. No 'textual deserts' with no management summary and no pictures. No specialist documents that only experts understand. No unrequested newsletters that clog up inboxes as spam. No one-way communication, but invitations to make your opinion known in an online survey, and so on ... the other person does not want to feel like a goose that is being stuffed with unrequested information; he wants to be treated as a dialogue partner who is on an equal footing. It may therefore be advisable to ask about people's interest in information and their need for it, to build in opportunities for dialogue and to evaluate your internal and external communication at regular intervals.

CASE: CHILE – ENSURING TRANSPARENCY IN THE INDC DEVELOPMENT PROCESS

Chile undertook diverse steps that enhanced transparency in the INDC development process, with a national public consultation process being the most influential one. As early as in September 2014 the Chilean president announced her intention to involve all relevant stakeholders in a broad INDC public consultation process – lasting 119 days from December 2014 until April 2015. As a first step, stakeholder consultations were conducted in 7 regions of the country. While in the regional meetings everyone was invited at the same time, consultations in the capital were split into several sessions, in order to have targeted stakeholders included in the process (including inter alia the public, civil society, academia and private sector). During the consultation, a web based format for gathering comments was made available by the Chilean Ministry of Environment to collect statements and observations from all stakeholders.¹⁰ As stated before, this public commenting period lasted about four months, and was extended by another two weeks by requests from private sector and NGO representatives.

The overall aim of the consultation process was not only to ensure a transparent INDC development process, but also to review the draft INDC document that had been published by resolution of the minister of environment in December 2014¹¹. Therefore, the draft document was broadly disseminated throughout the country, including the parliament and consultative committees. As a result, more than 200 comments by 80 stakeholders were received. They addressed a large number of issues mostly on adaptation and finance, but also on the structure of the INDC document, principle questions about the obligation of Chile to mitigate climate change, the forest sector target and technical questions, as, for example, the proposal to link the local air pollution agenda with short, lived climate pollutants (SLCP), and the preference for fulfilling the forestry contribution with afforestation through native species, among many others. Added value due to this process was mostly regarded as positive, considering that the significant number of comments helped to improve the contents, validity and legitimacy of the INDC considerably. In addition, several agreements could be reached about key parameters for the INDC scenario building process and many stakeholders approved results as more legitimate and valid.¹² Starting from May 2015, all comments were analyzed, weighed and merged into a final version of Chile's INDC to be submitted in September to the secretary of the UNFCCC.¹³ The comments were answered, but are currently still in process of finishing everything off. All in all, comments played an essential role in improving and defining the final version of the INDC document.

Besides the broad public consultation strategy, there are additional factors that had a positive influence on the transparency of Chile's INDC development process: The dissemination of the draft INDC document through a web page and targeted meetings chaired by technical experts that prepared the draft INDC, ensured stakeholder's access and knowledge of the INDC's content.¹⁴ As an example, a series of columns of opinion in several national newspapers appeared during these months, enhancing discussion about different viewpoints.

Since transparency is not only about the scope and amount of stakeholders involved, experiences from Chile can also be drawn regarding the timing. The process showed that it is important to match international (UNFCCC timelines) and national calendars, which is not always conflict-free: In order to secure a timely submission of the INDC by the Chilean government to the UNFCCC, an comparatively early public consultation period was chosen, although this coincided partly with summer holidays and therefore probably brought along the absence of some stakeholders. However, extending to four months the consultation process has solved this.

INITIAL SITUATION

Climate is an issue that is difficult to communicate. It is hard to reach the public, entrepreneurs, farmers and many others in connection with it.

CHALLENGE

How can the relevance of the issue be conveyed in the population?

APPROACH

Decentralise and communalise broad-impact communication

Climate action needs to be taken to the community. National campaigns are doubtlessly important. But consumers and the public will only 'get' climate change mitigation in the context of their everyday lives. So it makes sense to decentralise and communalise broad-impact communication about NDCs. Initiatives and communication measures should mostly be conducted locally and the opportu-

10 Source: <http://portal.mma.gob.cl/consultacontribucion>

11 The draft INDC document as well as the final version of the INDC of Chile is still available at www.mma.gob.cl.

12 Source: www.commonfuture-paris2015.org/Blog/Zoom-blog.htm?Zoom=729dcb01b853047ff7e05ba80ee74fa5&SType=

13 Source: Interview with Meike Siemens, Ministry of Environment of Chile, 2015

14 Source: <http://portal.mma.gob.cl/consultacontribucion>

nity issues should be linked to everyday interests and wishes. For example: How can I save money by saving electricity? Or exhibitions in town halls, community project days with exchange of experience, environmental programmes in schools, neighbourhood clean air initiatives, ‘competitions’ between towns with the lowest emissions, round tables with local stakeholders interested in mitigating climate change – the list could be continued in many ways.

INITIAL SITUATION

Many people are aware of the fact climate change is man-made. But among the public at large there is very little talk of what the individual consumer or entrepreneur can do to help protect the climate.

CHALLENGE

What can be done to make the general public more familiar with the subject of climate change mitigation?

APPROACH

Involve multipliers from the media

Send out issue invitations to multipliers from the media sector who are interested in tackling the subject in their media and disseminating information about it. They may be TV, print or radio journalists, bloggers who are active on social media or editors of specialist journals. They need to be brought on board as communication partners. Keep them constantly supplied with up-to-date and possibly exclusive information about all aspects of the NDCs, with material already prepared for publication and with facts and data. Open up access for them, e.g. to enable them to conduct exclusive interviews, or invite them to attend selected high-ranking NDC dialogue events as ‘embedded journalists’ so that they can write about the dialogue process. Classic public relations work, in other words.

APPROACH

Involve multipliers from your national “climate action landscape”

Involve multipliers from the ‘project landscape’, managers of local climate projects, managers of environmental programmes run by NGOs, of climate campaigns run by ministries, of schools’ educational programmes. Arrange for organisations to have a professional national (or internationally active) PR agency or a foundation as a cooperation partner with the know-how to, for example, run a climate campaign. This is something in which well-known sportspeople, entrepreneurs, actors, TV hosts or even religious leaders could become involved as supporters, putting a human face on climate change mitigation. In other words, networking and strengthening!

APPROACH

Award a prize

Persuade e.g. a ministry to advertise e.g. a (well-funded) journalism prize, awarded by a jury of high-ranking individuals and sponsored by a minister, with a high-profile award ceremony, possibly in the presence of a minister. The prize could be awarded for the best journalistic reporting on climate change mitigation efforts and activities in the country.

APPROACH

Organise a business funding competition:

Advertise a funding competition for start-ups and business founders on the subject of ‘Innovation for greater energy efficiency’. Contestants can submit new products, services, advice services, apps, etc. The best ideas are awarded a prize and a sizeable grant that enables the start-ups to begin developing their ‘invention’. The best ideas can also be publicised via social media.

In essence the point is to identify multipliers at the various levels who can help the issue reach a wide audience. Here again, this cannot be done at a single top-down stroke. The more communication channels, cooperation schemes and networks that are set up over the years and the more opportunities that are created to put the issue of climate change on the agendas of different stakeholders, the more sustainably NDCs will be anchored in society.

CASE: COMMUNICATING WITH CONSUMERS ABOUT ENERGY AND CLIMATE: THE EXAMPLE OF THE FEDERATION OF GERMAN CONSUMER ORGANISATIONS

The Federation of German Consumer Organisations (vzbv) is a large, influential and regionally organised NGO in Germany. It deals with all conceivable consumer protection issues and has been providing consumers with energy advice for more than 30 years. For example, it advises on saving energy in private residential accommodation, on using renewables and on identifying energy-efficient appliances. It has a hotline for consumers' climate-related questions that provides advice on issues such as how people can help protect the climate and save money: two climate experts known as 'climate guides' offer advice by telephone on saving electricity, room temperatures, heating issues, heat insulation in houses, etc. www.vzh.de/energie/100225/energie-und-klimahotline.aspx

The vzbv provides advice in a wide range of ways. Another example is the website verbraucherfuersklima.de, which offers tips on protecting the climate at home and when travelling. The vzbv is collaborating with experts from the VCD, a major German transport and environmental organisation, on a mobility campaign which gives consumers answers to questions about buying environmentally friendly cars, public transport, cycling and climate-friendly holidays.¹⁵

INITIAL SITUATION

The subject of climate change mitigation is not tackled nearly often enough in the media.

CHALLENGE

How can the subject be made more attractive to the media?

APPROACH

Build capacity among journalists

Journalistic interest in a subject depends mainly on the extent to which it is journalistically 'usable', rather than on its relevance. Can the issue be turned into a scandal, can it be emotionalised and personalised and is there a 'story' to be told? This rule does not only apply to the tabloid press. Competition between topics in the editing room is often huge: the actual news value of the issue is therefore essential. In practice there are often very big differences between assessments of what makes an item newsworthy. Naturally the person who wants an article to be written about something is much quicker to consider a topic to have news value. Here it is worth making active enquiries among journalists, or running a workshop with trusted journalists, to clarify how issues such as developments in relation to the NDC can be presented to make them of interest to the media.

REMEMBER

Communication is convincing if the fish – not the fisherman – shows interest in the worm! To make journalists interested in your texts, write them in a way that makes them comprehensible and of obvious usefulness. For example, in this context it doesn't matter if for you as an NDC coordinator some technical details have not been dealt with in sufficient depth. Change your (professional) perspective!

APPROACH

Hold background talks

In many places it is common practice to hold background talks with selected journalists. Exclusive information can be provided to this group in advance and then discussed with journalists. Alternatively, journalists' workshops can be designed as a type of training event: external experts can be invited to provide an introduction to the complex subject of climate change mitigation, answer the journalists' questions and discuss the latest developments with them.

APPROACH

Find a "peg"

The media usually need a 'peg' for their articles. You may have an event that is about to take place and that can be used to publicise your topic. But that doesn't happen very often, because you can't be constantly running events. As an alternative, you can make use of representative opinion surveys or scientific studies. These can be commissioned at greater frequency or in relation to various issues. Many journalists use the results of such surveys and studies as a 'peg'. Large, high-profile dialogue processes involving high-ranking politicians and well-known figures within the country, if they achieve a credible result that has national significance, can also serve as a 'peg' for journalistic reporting.

CASE: GHANA – RAISING PUBLIC AWARENESS FOR INDC THROUGH THE USE OF TV AND RADIO

Media coverage on Climate Change issue is generally low in Ghana, especially on global climate change agreements and protocols, commitments and obligations parties to the UNFCCC have signed onto. During the preparation of Ghana's INDC, the idea was therefore to bring the media on board by frequently inviting them to series of dialogue meetings among stakeholders and workshops to create awareness on the content of the INDC document, to elicit regular media reportage and to help to disseminate information to the public.

The Radio is an especially powerful tool in Ghana for getting information to wider segment of the population. It is more accessible to majority of the general public and also discussions on the policy actions are broken down in a very interactive manner for the understanding of all. In this context, Ghana designed a communication strategy to raise awareness of climate change with use of TV and radio for the dissemination of Ghana's INDC to the general public. Discussions by experts from relevant institutions of climate change mitigation and global reporting were planned to inform broad parts of the society about the process of developing Ghana's INDC, the priority areas, policy actions and the implications and co-benefits of the climate actions included. The discussions were done at periods where members of households were at home with announcements to attract call-ins during the discussion and broadcast in different regional dialects to bring on board people from all areas of Ghana.

The use of electronic media turned out to be very effective, as it reached a wider share of the population and many people from the audience called in, seeking for further clarification, providing feedback and becoming part of the solution to the changing climate. This made the campaign interactive and interesting. In addition, a radio jingle was created to continuously and regularly remind the public of Ghana's climate policy actions to get the public buy-in for smooth implementation.

Media engagement in Ghana is intended to continue after Paris on both radio and TV, to further create awareness on the content of the INDC, reach the general public and seek feedback for possible reviews from relevant stakeholders.

INITIAL SITUATION

There is insufficient access – or none at all – to the necessary data.

CHALLENGE

What do I do in the face of inadequate or missing data?
When reviewing and implementing the NDC, what is the quickest way to source data that I cannot access freely?

APPROACH

Set up a communication and knowledge platform

The question is bound to be why these data aren't accessible. Is it tactics? Then there is nothing for it but diplomatic discussion, in which it may be possible to discuss conditions for the use of the data or agree a mutual exchange of facts. It is best to set up a freely accessible **communication and training platform** with material for different target groups. For example, there could be an area – perhaps password-protected – for technical experts where scientific institutes could place links to talks, publications, reviews, research projects, etc.

It is also a good idea to create a knowledge centre for **journalists and the public** and to provide easily understood answers to a wide range of questions, for example in the form of FAQs, background papers or a summary of press articles on climate issues.

Similarly, a knowledge platform is extremely useful for stakeholders who want to drive climate change mitigation forward at **project level**: here you can provide information

about (international) best cases and flagship projects and exchange ideas on issues such as how to address the subject of climate change in kindergartens or schools for children and young people, with opportunities to download **teaching materials**. There are no limits to imagination here. Feasibility, content, objective and target groups should be well thought out in a concept

Once you have thought through all six strategic aspects of your dialogue concept, you should now place your cross in each column of this dialogue matrix. All the six dialogue dimensions are briefly summarised here. This matrix highlights the internal logic and structure of dialogue processes. It is a system of cogs. It consists of the six central cogs that each dialogue requires; at the same time, it is the construction manual for the system. From the matrix you can tell whether the cogs have been selected correctly and in particular whether they fit together.

5.2 Ideas for measures of consultation and deliberation at stakeholder dialogues

The intention is to gain knowledge of the opinions, perspectives and expectations of various stakeholders and to get their advice and recommendations. Among others this can be achieved by holding bilateral consultations with stakeholders from different levels or online consultations of the public. South Africa, for instance, held consultations in nine provinces to frame its INDC prior to communicating it to the UNFCCC Secretariat. In Chile, the Ministry of Environment initiated a web-based commenting procedure, which resulted in more than 200 comments received on the INDC draft.

INITIAL SITUATION

Politicians and entrepreneurs often do not understand the importance of multi-stakeholder dialogue or are anxious about it.

CHALLENGE

How can anxieties about (cross-sectoral) stakeholder dialogue and exaggerated expectations of it be reduced?

APPROACH

Pave the way for personal participation

It may be helpful to name politicians in similar functions, roles, ranks or situations who have successfully used cross-sectoral stakeholder dialogue for themselves and for your issue. But: the best way of reducing anxiety is to enable people to discover through personal participation and experience that while dialogue with non-state stakeholders may be challenging, it is thoroughly constructive and useful (if you pay attention to the success factors for dialogue (see Section 4)). So it is best to start with a small (perhaps informal) dialogue event, so that this learning curve can kick in and people's courage grows.

APPROACH

Draw up a rough summary of participants

In multi-stakeholder dialogues involving people from politics, science, civil society, religious institutions, the private sector, different sectors of the economy and/or the media, it may be useful and help to reduce concerns if you draw up a rough summary of participants' profiles beforehand. Identify the opinions, points of view and also potential points of criticism that might be put forward. Concretely: use your stakeholder analysis for this (this analysis was of course the basis for identifying participants). Jot down not just their addresses but also details of factors such as the organisation's campaigning ability, its interests, standpoint or demands (addressed to whom?); use the Internet to research organisations' environmental activities or climate programmes that stakeholders may already be implementing, etc. Many people find that running through possible

communication crisis scenarios pre-emptively in advance reduces anxieties – even though these crises will usually not occur.

APPROACH

Develop a clear structure and train staff

Prepare stakeholder dialogues and public participation, talk to political scientists at universities, interview communication professionals and people who specialise in dialogue processes. Questions of and how dialogue and participation can facilitate policy-making and prepare decision-making, and what role public participation should have, are essentially a part of debate on democratic principles. So, too, are issues of how the government and political parties create acceptance and following for their ventures. Run training sessions on dialogue and process design, train staff as process and dialogue organisers, publish illustrative materials.

INITIAL SITUATION

Many stakeholders are involved, but for many of them the independence of the dialogue process is not credible and obvious.

CHALLENGE

How can stakeholder dialogues be set up as a process that involves a large number of stakeholders but still retains independence and credibility?

APPROACH

Set up an agenda with clear objectives

Because credibility cannot be imposed top-down, the methodology and design of the dialogue process must also be a topic of communication. The process should be transparent and clear. It is important not only to clarify issues such as the scope and extent of cross-sectoral stakeholder dialogue but also to specify what objectives you set out with, what politicians will do with the results, the criteria for selecting and involving participants and – in particular – how the independence of this dialogue process can be ensured.

- A. Irrespective of the sequence, long-term dialogue processes should be divided in terms of both time and content into **individual stages**, possibly focusing on different topics and involving different stakeholders. The phases may be divided purely on the basis of time or on the basis of topic or in line with the results that are due to be worked out in the various phases.
- B. **Outcomes** become **relevant** only at the **end of a compression process**. From a communication point of view, intermediate results are of course also usable. But only when all the different stakeholders have worked on the outcomes, polished and discussed them, checked them repeatedly for acceptance and feasibility and com-

pressed them have robust outcomes supported by acceptance been arrived at. A compression process of this sort signifies credibility and independence. However, for the success of such a process it is not only the quality of outcomes that is important; how their addressees use them is also crucial. It is essential that addressees give their view on the outcomes. That doesn't mean having to say YES to everything. Not at all. However, it does mean taking a position on them.

- C. This sample dialogue process can also be used to illustrate how an **independent, external board** can be involved in the process to support and help to manage it. It advises the committee of NDC coordinators on strategic issues. An external board of this sort – ideally 'staffed' by high-ranking figures from politics, the private sector, science and society – stands for the credibility, transparency and above all the independence of the dialogue process. For example, it ensures that individual interest groups do not dominate the process. Independence and credibility are fundamental requirements for successful dialogue processes.

INITIAL SITUATION

An (over-)large number of stakeholders needs to be involved in the NDC process. Selecting and managing the stakeholders is difficult.

CHALLENGE

How do I coordinate a large number of different stakeholders? Is a referendum needed to achieve fair participation, or is it sufficient to involve some representatives of particular interests?

APPROACH

Cluster your stakeholders according to your objectives

If you want to cluster your stakeholders according to priorities, you will find the Stakeholder Mapping methods of GIZ's Capacity Works helpful. The question of how many should be involved depends on what you want to achieve. It may be appropriate either to involve as many stakeholders as possible or just a few experts. Sometimes it is important to invite people who are interested in the topic and are already familiar with it, because you want to **recruit them as multipliers**. On other occasions you may want to reach people who have never got to grips with the subject of climate change mitigation, in order to **get them interested**. Not just the outcome but also the method of selecting and inviting people will vary.

If the aim of a specialist event is to achieve **technical depth and produce highly concrete outcomes**, it makes sense to select a very specific small group of experts and to invite them personally. A workshop with about 15 participants is a good size. Personal suitability, expertise and quality of results are the priorities here.

However, if the purpose is to enable the **government or a ministry to position itself by asking as many members of the public as possible about their acceptance of the NDC** in order to discover their expectations and wishes, the threshold for participation should be set as low as possible. In the medium term, public participation can take the form of an online measure (although the success of such measures is often limited, because an enormous amount of communicative work is needed to draw the attention of so many members of the public to the website in question). With a great deal of preparatory work, starting well before the event, it is possible to organise offline conferences for members of the public at local, regional and/or federal state level. This may involve a single large event attended by 200 individuals or a whole series of events attracting several thousand people.

You also need to decide on the basis on which **people will be invited to public participation events or cross-sectoral stakeholder dialogues**. One option is to let anyone who is interested and willing to participate in a publically accessible event – attendees are then usually stakeholders who are already committed to the issue or have a particular interest in it. In the case of a cross-sectoral dialogue, this can have a disadvantage, since it is impossible to control whether a particularly large number of people from one particular sector – and perhaps none at all from another – sign up, or whether certain interests are represented particularly strongly or not at all.

Other **invitation procedure** involves having an event that is not public, with access by personal invitation. This makes it significantly easier to manage the number and composition of stakeholders; for example, you can specify that the number of attendees per sector or occupational group will not exceed a certain figure, thereby ensuring a balanced group of participants.

Another interesting option is to **select participants anonymously on the basis of representative criteria**. This method is suitable for large-scale public participation events. The civil register is useful here (at least in Germany). It enables a representative group of participants to be selected on the basis of criteria such as gender, age, education level and region of residence. The result may be that a professor of physics sits down with a micro-entrepreneur, a nurse, a farmer and a kiosk salesman and they discuss the future of climate change mitigation in country X together. A best-practice example is the European Citizens' Consultations, where this very procedure has produced good and relevant results. The case is described briefly below.

If the decision on which stakeholders should or should not be invited is controversial, or if the number is too large, another methodological tack can be taken: it is not individuals or institutions who are invited, but **interests and positions in relation to the topic**.

FICTITIOUS EXAMPLE

Let us assume that there are six well-known NGOs: all have shown commitment to climate change mitigation in country X and all represent similar positions; all would like to attend this event. But because the number of participants is limited, only one NGO can be considered. So the decision on which NGO can attend is delegated to the six NGOs, who are asked to decide for themselves as a group who should represent their interests as their 'spokesperson'. This involves a lot of work and is not worthwhile for one-off events, but it can be worth considering for a long-term dialogue process in which the aim is to draw up something together.

APPROACH

Set a timescale

And, finally, the **question of the timescale** provides a pragmatic answer to the question of how many stakeholders can participate. For example, if only 4–6 months are available for planning and implementation, you will need to pool forces and it is better to involve a small number of participants. It is easier to check the availability of 10 rather than 150 participants. Contacting people that you know personally and motivating them to participate is usually easier than reaching out to people who as yet have no connection with the issue or particular interest in it. People at the top decision-making level are unlikely to find time at short notice, while among contacts at the working level there is a good prospect of agreeing on a date with 4–6 weeks' notice. Public events need far more preparation than a working meeting, workshop or background talk. But don't despair: quality is not the result of having as many participants as possible or organising stylish events. Short meetings with a small number of participants and a hard-working atmosphere can yield extremely valuable results!

CASE EUROPEAN CITIZENS' CONSULTATIONS WITH RANDOMLY SELECTED PARTICIPANTS

The European Citizens' Consultation 2009 was the first time that EU citizens had been brought together on this scale in a pan-European participation process. Citizens' Consultations took place almost simultaneously in the then 27 EU countries. The aim was for the citizens to voice their views on the future role of the EU. In the first stage, around 200 citizens from all 27 nations met at a kick-off conference in Brussels. All the participants were selected and invited at random. At the conference they defined the agenda and questions that were subsequently discussed at the 27 national Citizens' Consultations. Later a website was set up to provide a platform for a pan-European dialogue on the challenges of the EU. The first pan-European Citizens' Consultation concluded with a European Citizens' Summit at which recommendations from the citizens of all the EU countries were passed to political representatives.¹⁶

CHALLENGE

How can I get stakeholders who play an important professional part in the issue more strongly involved? How can I motivate them to engage in professional debate and increase their willingness to participate in a dialogue?

APPROACH

Review your information flow

If the involvement of important stakeholders is poor because of practical communication shortcomings, the information flow should be reviewed. To summarise once again, it is important to clarify **a)** who as sender is sending to **b)** which stakeholders **c)** what sort of information **d)** at what intervals and **e)** via which channels? Communication never looks after itself: it is repeatedly necessary to 'make arrangements' and clarify responsibilities and routes. In the end it is up to the stakeholders involved to decide whether communication should involve status quo reports from each ministry or regular personal meetings or whether it should be limited to the exchange of background and information materials. Another condition for the success of good dialogue cannot be stressed often enough: the dialogue participants themselves are entitled to expected thematic benefit from their involvement. The 'currency' is being taken seriously, discussion on an equal footing, being heard, and the group's willingness to listen and perhaps even to learn.

APPROACH

Clarify roles and responsibilities

The reason why important stakeholders do not communicate with each other enough may be partly due to unclear allocation of roles, diffuse responsibilities and not least sensitivities. This cannot be resolved by means of communication alone: it is sometimes motivated by (power) tactics. The classic reasons for failure include hidden agendas, instrumentalisation, and the absence of a process driver and moderator. It is useful to repeatedly (re)state responsibilities, agreement pathways and responsibilities and to suggest improvements. No meeting should end and no minutes should be written without responsibilities and deadlines having been discussed and set out in writing. You need to persevere. Good-natured obstinacy, persistence and precision are helpful.

APPROACH

Create repeated opportunities for personal meetings

It is advisable to create repeated opportunities for personal meetings – because good relationships between stakeholders and personal trust are important. It makes sense to motivate high-ranking representatives of the public sector to participate while also involving their personal staff at the working level. For example, it may be useful to meet at regular intervals at the various ministries in turn (or to deliberately choose a place that is neutral and perhaps particularly nice for everyone). That may sound mundane, but it is something that is often overlooked: effective working results are not the only determinants of the success of dialogue events – participants' emotional wellbeing must also be kept in mind.

INITIAL SITUATION

Some sectors do not pursue their own mitigation contribution.

CHALLENGE

What can be done to ensure that individual sectors are aware of the mitigation contributions they can make to national strategy and that they subsequently submit this contribution self-confidently at the top political level as part of the NDC?

APPROACH

Determine and address causes

It is possible to come to this from three angles:

Firstly: First get an idea of which stakeholders state of their own accord that they have mitigation potential or no mitigation potential. Qualitative opinion research or personal interviews may be useful here. With the results to hand it is bound to be easier to understand why some players do not recognise their mitigation potential or do not want to see it. Is the problem insufficient knowledge or insufficient willingness?

Secondly: If the problem is insufficient knowledge, it is useful to have well-prepared information materials that highlight where and with whom there is mitigation potential. This works best if you describe the benefits and added value for a sector or a company and argue on the basis of the interests and perspective of the particular stakeholder. Exerting pressure or putting things in terms of 'you should' and 'you must' tends to create resistance in such situations and strengthen apathy.

Thirdly: Here too it is useful to invite people to participate in dialogue and knowledge transfer, repeatedly and persistently. People can be invited to talks, workshops, conferences or small background meetings at which the potentials can be explained and discussed together. And if some people are already taking the plunge, then of course it makes sense to invite them for reasons of motivation and as a benchmark.

CASE PUBLIC CONSULTATION PROCESS AND CROSS-SECTORAL STAKEHOLDER DIALOGUES IN PERU

In 2009, in response to the Copenhagen Accord, Peru proposed GHG reduction commitments for the year 2021, including activities in the forest (or LULUCF), energy and solid waste sector. These commitments were neither developed in a participatory manner nor calculated on the basis of specific technical support. When parties agreed on the submission of INDCs at COP 19 in Warsaw and 20 in Lima, the Ministry of Environment (MINAM) – as INDC focal point to the UNFCCC – therefore initiated an intense process of generating information and promoting dialogue. Climate change planning should be understood as a cross-sectoral activity that requires a participatory approach to connect key stakeholders. In this context the main aim was to link the INDC development process to a strategic vision of participatory work on multisectoral and territorial levels and to build on existing programs and plans in the various sectors relevant to climate change issues at the same time. Furthermore, the INDC should be technically validated and politically supported for implementation.

The participatory approach facilitated dialogue at technical, political and interregional level as well as the engagement of the private sector and civil society organisations in numerous meetings. At technical level, the INDC development was advised by experts from all sectors to determine baseline scenarios, to set up targets and indicators and to prioritise mitigation and adaptation options. At the political level, a high level Multisectoral Commission, representing 13 ministries and the Presidency of the Council of Ministers, had the mandate to validate and approve the final INDC. In addition, a national public consultation process engaged 10 different groups of stakeholders and therefore enabled 718 people nationwide to attend 26 meetings and workshops. Further input and feedback was gathered online and at several MINAM points of contact.

The results of Peru's dialogue strategy were positive and encouraging, especially due to the adoption of the topic by relevant sectors, including not only sectors of priority (energy, transport, health, etc.), but also sectors that are cross-sectional (such as Economy and Finance) and supporting (Culture, Education, etc.) national climate change planning. Additionally, the Multisectoral Commission was highly important to mainly facilitate the multi-sectoral dialogue process, which not only increased awareness of stakeholders about the overall issue of climate change, but also strengthened links between intersectoral and territorial climate change planning. Beyond that, it supported the formulation of Peru's national goals that lay the foundation for an effective INDC implementation. These established links between different ministries could be used to cooperate in future activities (especially NDC implementation) as well, since they opened windows of opportunity to build bridges across sectors and institutions for better coordination and political buy-in.

INITIAL SITUATION

Individual responsible ministries do not communicate sufficiently among themselves about the NDC.

QUESTION

How to handle poor coordination between the individual ministries involved in the NDC process?

APPROACH

Communicate proactively

Sometimes it is a good idea to communicate proactively. One option might be an invitation to a personal meeting. Suggestion: invite all ministries at working level and together discuss a proposal drawn up by them for an optimised dialogue and coordination procedure. It is very important to also ask about their assessment of the situation and their ideas and suggestions for improvements. Keep putting the subject of communication channels and coordination of all aspects of the NDC on the agenda. In such cases the coordinating committee has a decisive and important role. The coordinators should have good communication skills as well as formal 'convening power'. Repeated coordination of objectives, responsibilities, intermediate steps and positions on content is one of the conditions for successful dialogue. This requires transparency, reliable communication structures and people who are able to listen and take their opposite number seriously.

CASE DOMINICAN REPUBLIC – ENHANCE COMMUNICATION BETWEEN MINISTRIES

The Dominican Republic submitted in August 2015 its INDC that had been developed on the basis of an existing institutional structure coordinated by the National Council on Climate Change and the Clean Development Mechanism (NCCC-CDM) and aligned with the policy and planning processes of the National Adaptation Programme of Actions and the National Climate Compatible Development Plan (CCPD) .

To review sectoral planning and establish realistic sectoral goals, the NCCC-CDM launched a Strategic Direction Committee. Members of this Committee consist of the NCCC-CDM as well as several representatives from different sectors¹⁷. It has the objective to unite different visions, expectations and priorities related to national climate change action in one technical-political process on the basis of different suggestions and approaches as well as identify synergies. On this basis the INDC development process comprised a two-stage procedure: (1) In a national meeting the NCCC-CDM presented the status and update of climate change-related national planning for review by stakeholders. As a basis for discussion and analysis existing plans were presented, such as CCDP goals for 2030 and multi-annual plans for each sector. Building on these discussions, a roadmap for the INDC was generated and reviewed by the NCCC-CDM and the President.¹⁸ (2) In July 2015 the draft INDC was discussed bilaterally in a series of sector consultations and meetings between representatives from the Climate Change Council and stakeholders. The aim was to develop a more detailed plan to achieve the target for 2030, supplementary to the roadmap developed during the first stage. To enable the development of feasible mitigation strategies, a prioritisation of actions followed, involving all stakeholders¹⁹.

The process of INDC development in the Dominican Republic stimulated a structured and constant communication dynamic between different ministries. As a result the INDC target comprises all main sectors including energy, industrial processes and product use, agriculture, LULUCF and waste.²⁰ Since the Committee's establishment, there have been several meetings with more than 25 institutions from different sectors, civil society and science. The revision of sectoral plans and interventions "through the climate change lens" can be seen as good starting point in order to achieve an easier validation and acceptance for the suggested measures from the sectors.²¹ What is of particular importance, however, is the participatory approach, that strengthened the whole INDC process. By providing a good foundation of understanding and acceptance, the inter-ministerial dialogue process not only brought in stakeholder's knowledge, experiences and lessons learnt from previous policy processes and therefore strengthened capacities of a wide group of stakeholders in the key sectors of the economy, but also supported political buy-in of relevant sectors and increased ownership of proposed measures and national goals through awareness/importance raising. Based on a transparent and inclusive domestic preparation and approval process, it further reinforced the feasibility of intended measures to reduce GHG emissions and adapt to climate change impacts and paves the way for smoother implementation of the measures going forward.²²

5.3 Ideas for participation and long-term cooperation for change

Participation of citizens and their representatives gains knowledge of opinions, perspectives and expectations. It creates acceptance for the NDC and provides orientation. Therefore you need to open up communication pathways and create mechanisms that involve citizens in their own countries, bring them on board, activate them and enable them to participate in shaping their low-carbon development. Mitigation measures and policies that concern citizens in their every day live can only be implemented if

they are accepted and acknowledged. Especially long-term processes that institutionalise participation can increase the likelihood that the objectives and processes agreed will be achieved and implemented: citizens have already played a part in shaping the issue and are involved in the NDC process. This increases identification, and hence ownership.

You need to open up communication pathways – and hence dialogue channels – and create participation mechanisms in order to involve stakeholders in their own countries, bring them on board, activate them and enable them to participate in shaping their low-carbon development.

17 Including: Dominican Municipal League, Ministry of Economy, Planning and Development, Ministry of Energy and Mines, Ministry of Industry and Commerce, Ministry of Environment and Natural Resources, Ministry of Agriculture, the Dominican Corporation of Electrical Public Companies and the Office for Transport Reorganization

18 Source: http://mitigationpartnership.net/sites/default/files/ws15223_domrep_gpa2015_en_long-fin.pdf

19 The prioritisation used the following information as a basis: (1) conditional and unconditional scenarios, (2) feedback from each sector on their particular interest and priorities, and (3) identified national vulnerabilities

20 Source: [www4.unfccc.int/submissions/INDC/Published%20Documents/Dominican%20Republic/1/INDC-DR%20August%202015%20\(unofficial%20translation\).pdf](http://www4.unfccc.int/submissions/INDC/Published%20Documents/Dominican%20Republic/1/INDC-DR%20August%202015%20(unofficial%20translation).pdf)

21 In addition arguments related to co-benefits helped to strengthen sectoral ownership of the INDC process.

22 Source: <http://mitigationpartnership.net/gpa/stakeholder-involvement-and-consideration-co-benefits-preparation-dominican-republic-s-indc>

INITIAL SITUATION

Public consultation and participation is not usual in a country or is not institutionalised as a means of supporting reform processes.

CHALLENGE

What makes stakeholder dialogue and (citizen) participation succeed? Are there best practices to follow?

APPROACH

Have a look at international examples

In many places citizens' expectations of playing an strongly active part in helping to shape their living environment are increasing. This is becoming a noticeable trend. Throughout Europe, people are debating the future of Europe at Citizens' Consultations. Established political parties are organising online and offline dialogue processes to improve their understanding of people's expectations, hopes and wishes with regard to their policy. Citizens are making ever-greater use of instruments of direct democracy to intervene in issues such as town planning. Implementing major infrastructure projects without accompanying citizen dialogues and information events is – at least in Europe – increasingly rare. Companies, too, are making greater use of stakeholder dialogue, for example in connection with corporate social responsibility; this is partly because they have learnt that willingness to engage in dialogue strengthens their reputation and boosts the confidence people have in them. The EU in Brussels is currently drawing up rules on sustainability reporting throughout Europe as a mandatory reporting obligation, at least for large companies. Stakeholder dialogue provides an important basis for drawing up these sustainability reports. Or take the field of science: here there are more and more 'citizen science' projects at the interface between science and society. For example, there has been a European Citizens' Deliberation on brain science, and the EU is producing a Green Paper on citizen science. As you can see, a lot is happening.

An example is the website www.participedia.net, which has many international best practice examples of participation and dialogue – in a wide range of fields. According to the website: 'Hundreds of thousands of participatory processes occur each year in almost every country in the world. They are occurring in a wide variety of political and policy problems. And they often supplement and sometimes compete with more traditional forms of politics, such as representative democracy. Participedia responds to these developments by providing a low-cost, easy way for hundreds of researchers and practitioners from across the globe to catalogue and compare the performance of participatory political processes.' The website is intended for both researchers and practitioners.

It is also worth mentioning the many resources on all aspects of NDCs are available on the website '[International Partnership on Mitigation and MRV](http://mitigationpartnership.net/)' (<http://mitigationpartnership.net/>). The [Global Good Practice Analysis](#) contains in particular many example cases of stakeholder participation in national climate action activities (<http://mitigationpartnership.net/gpa>). But now back to citizen dialogue!

CASE

INTERNATIONAL CITIZEN DIALOGUE: THE UNFCCC'S 'WORLD WIDE VIEWS - CLIMATE AND ENERGY'

In 2015, 100 randomly selected citizens at each site are being invited to discuss and vote on the most important issues in the run-up to the international climate negotiations at the end of the year in Paris. Citizen dialogues using the same method are being held in more than 80 countries. 'World Wide Views on Climate and Energy is a global citizen consultation, providing unique information about how far citizens around the world are willing to go, in order to deal with climate change and to bring forward an energy transition. Dealing successfully with climate change and energy transition requires public support. WWViews on Climate and Energy provides policymakers with in-depth and credible knowledge of the level of this support. It does so regarding key issues that are not easily addressed in opinion polls. It thus supplements polls such as Eurobarometer, by providing a credible snapshot of public opinions on some of the more complex issues, that policymakers need to address. The methodology is well developed and successfully used twice at the global level (WWViews on Global Warming in 2009 leading up to the climate COP15, and WWViews on Biodiversity in 2012, leading up to the biodiversity COP12). It has also been successfully used for the French national debate on energy transition. The World Wide Views 2015 on Climate and Energy is co-initiated by the United Nations Framework Convention on Climate Change (UNFCCC) secretariat, the French National Commission for Public Debate (FR), the Danish Board of Technology Foundation (DK) and Missions Publiques (FR), with the support of the French Government, COP21 host.²³

CASE

NATIONAL PUBLIC POLICY CONFERENCES (NPPCS) IN BRAZIL SINCE 1995

An example from Latin America of a possible dialogue architecture – albeit here on a large scale – is the National Public Policy Conferences (NPPCs) in Brazil. They provide an impressive illustration of how a culture of participation and dialogue between citizens, NGOs and policy-makers can be established countrywide. The NPPC are convened by the state to consult on questions of political practice in relation to predefined topics and areas and to draw up guidelines. So far more than 40 policy areas have undergone the NPPC consultation process, covering a wide range of issues such as social assistance, the environment, environmental health and sustainable and solidary rural development. The conference cycle links the community, state and national level. The starting point of the consultation process is always the community level. Community forums are completely open to interested citizens and civil society organisations. Here, decentralised proposals for local and national policy are drawn up in relation to the particular policy field and delegates are selected for the second level. Results of all local and regional conferences are combined into a single document that provides the basis for discussion at the federal state conferences. One of these conferences takes place in each of Brazil's 27 states. Elected citizen delegates and seconded members of government decide which of the local proposals should be included in the consultation process at national level. These results are also summarised in a single closing document. Finally, this document is discussed at a national conference attended by between 1,000 and 3,000 people. According to government information, when the issue of social security was discussed in 2011, more than 90 per cent of the country's nearly 5,600 communities took part. Many thousands of citizens have been directly involved since then. According to a Bertelsmann Foundation's study on the change of participation, 'the NPPCs have proved to be effective, especially in designing citizen participation and generally in implementation of policy measures at national state level. The recommendations of the NPPCs have provided the basis for numerous legal initiatives and thematic advances by Parliament.' Furthermore it can also be shown that the credibility of state action and the population's trust in it has increased significantly over the last decade.²⁴

In connection with dialogue and participation processes, one is talking about long-term processes that institutionalise cooperation and participation. The aim is to set up a long-term cooperation and involve the participants as implementers with ownership and responsibilities into the design of the development and implementation process of

NDCs. This includes the establishment of institutional arrangements to enable key stakeholders to convene regularly and to involve them in issues such as the dialogue design itself, the evaluation of the outcomes of COP 21, the discussions regarding readjustments and agreement of the NDC to be submitted to UNFCCC.

23 Source: <http://climateandenergy.wwviews.org>

24 Source: Bertelsmann Stiftung, Staatsministerium Baden-Württemberg (ed.): 'Partizipation im Wandel. Unsere Demokratie zwischen Wahlen, Mitmachen und Entscheiden', Gütersloh 2014, p. 327 ff. (German). More information here: <http://participedia.net/de/cases/national-public-policy-conferences-brazil>

There are forms of dialogue that only function when based on cooperation. It increases the likelihood that the objectives and processes agreed in the dialogue will be implemented: all the parties have already played a part in shaping the issue and are involved in the decision-making process. This increases identification, which can also be construed as ownership. Possible cooperation processes are:

- | Structured dialogue processes in which the social solution skills of participating stakeholders are specifically utilised and worked on together.
- | Institutionalised dialogue and cooperation relationships: implementing change together by means of dialogue and cooperation may require institutionalised dialogue formats and clear cooperative relationships.

Integrate process elements into a long-term strategy.

Not surprisingly, NDC preparation processes show that there is no one-size-fits-all solution to ensuring effective participation of stakeholders. Formats, duration and frequency of stakeholder dialogues significantly depend on the country context and expected results and need to be designed carefully. Any engagement of stakeholders should be tailored to the intended mitigation programme itself and identifying potential opportunities, selecting relevant topics and appropriate measures which may in turn raise the level of acceptance. Lessons learned during the preparation processes of mitigation actions already in implementation e.g. NAMAs should flow into a long-term strategic approach to stakeholder involvement to ensure continuous participation and buy-in for the review and implementation of the NDC. As a result, a long-term mitigation strategy could be equipped with the right institutional setting and resources to ensure a platform for dialogue and continuous consultation among sectors and multiple levels of governance.

6 Summing up: Communicative challenges and some strategic recommendations

Stakeholder involvement has the potential to create acceptance for NDCs and improve outcomes. But experience show that the number and variety of relevant stakeholders and the complexity of political structures and deci-

sion-making processes bring up a number of communicative challenges. To give general strategic recommendations for NDC finalisation and implementation, these problems are summarised in the following table.

COMMUNICATIVE CHALLENGES	STRATEGIC RECOMMENDATIONS
<p>Lack of harmonisation and cooperation between public-sector stakeholder</p> <ul style="list-style-type: none"> Inadequate vertical coordination between the political and technical process strands. Insufficient information flow or delays in decision-making at the top political level. 	<p>Make use of the NDC process to establish a national dialogue architecture</p> <ul style="list-style-type: none"> Create mechanisms that over the years systematically open doors – regularly and in recognisable formats. Involve the public sector at horizontal and vertical level. Enhance cooperation by bringing people together, who otherwise don't talk to each other Build trust through transparency and encounter, facilitate agreement and promote the exchange of knowledge and harmonisation of facts.
<p>Climate gobbledegook that hardly anyone understands</p> <ul style="list-style-type: none"> Language problem: Political 'Climate negotiation gobbledegook' makes it difficult for stakeholders at operational level to understand, access and implement international requirements and decisions Undefined terms and wide scope for interpretation of decisions, concepts and requirements give only little guidance. Complexity of climate change policy can create resistance and slow the process down. 	<p>Climate change mitigation made so easy a child could understand it</p> <ul style="list-style-type: none"> If people don't understand why an issue is important, they won't act. Every individual must know what he or she can do. Use comprehensible language and explain complex things simply: It must be presented briefly and in comprehensible and practical language, such as well-presented arguments and brief, pithy texts. Always distinguish between (1) situations in which a particular target group needs texts couched in technical language with precise technical details and accurately formulated definitions of terms and (2) situations in which the materials should be presented in layman's terms, with compressed and summarised content and easily understood messages. Experience show that mixing the two does not usually work.
<p>Climate change is abstract and hard to emotionalise</p> <ul style="list-style-type: none"> Climate change as long-term policy issue is not suitable for mass-market PR campaigns, because politicians cannot use them to enhance their reputation in the short term. Politicians are often afraid of weakening their position with 'soft' issues such as the environment and climate change and prefer to build their reputation on liberal economic slogans rather than on climate change mitigation measures. 	<p>Dissect 'climate' and take it to the community</p> <ul style="list-style-type: none"> Dissect climate change as an abstract general issue into individual issues relevant to practical matters and everyday life and take it to the places where people live – to their everyday environment, their neighbourhood, their town or village, their workplace, to schools and universities, the public transport system, etc. Then it may be possible to speak not so much about climate change per se but about saving electricity, energy-efficient machines, renewable energy, car-sharing as an alternative to individual transport, etc. The general public are best reached via everyday benefits, via concrete service or advice schemes, and of course via pictures, faces and emotions. It is particularly important to address the younger generation. Much is achieved if they grow up knowing about the relevance of climate change and seeing the concrete benefits of measures. On this basis they might perform their first management task and introduce environmental ideas into their working environment

COMMUNICATIVE CHALLENGES

Climate is not on the political agenda

- | If climate issues are at the bottom of the political agenda, the country will regard finalising NDCs as a burden rather than as an opportunity.
- | Climate issues become a difficult policy field if arguments and interests are pitted against each other and if climate change mitigation is at the expense of economic growth and the reduction of poverty and social inequality.
- | The relevance of climate change mitigation to the economic development of individual sectors (e.g. health, agriculture, etc.) is not sufficiently well known.

Social acceptance of the NDC cannot be created top-down

- | A successful NDC implementation requires not only the agreement of decision-makers at the top political level, but also the acceptance and willingness to share responsibility of stakeholders from the private sector, science and society.
- | How to involve many stakeholders and respect many divergent interests at the same time?

Benefits of stakeholder dialogue are unknown to many people and generate fears

- | Stakeholder dialogues are often an unfamiliar concept that raises fears about (public) criticism, expectations, that cannot be fulfilled, or the loss of control and political authority.
- | Sceptics about dialogue often lie in the authoritarian decision-making structures in both politics and entrepreneurship.
- | Stakeholder dialogues are often used merely as a platform for proclaiming results or explaining issues top-down.

STRATEGIC RECOMMENDATIONS

Political advocacy is a key task

- | In communication terms, politician's chances of re-election and their reputation are their Achilles' heel. Therefore they change priorities of their political agenda most likely if their attention is drawn to issues by public or media pressure.
- | It is recommended to come at the issue of climate change from different angles by bringing on board co-campaigners from different sectors. The more voices that support climate issues in the political arena, the more 'respectable' and the more relevant they will become.
- | Make use of different advocacy measures, from well-thought-out position papers from a wide range of stakeholders that bring the arguments (companies, associations, NGOs, etc.) together. Underpin them with facts and figures to background talks and dialogue events that encourage politicians to reflect and bring them together with stakeholders they do not usually meet.

Create social acceptance of NDC through agreement and involvement

- | NDCs should come about as the result of a credible and transparent cross-sectoral communication process that involves the key players in a (future) 'green society'.
- | Create social acceptance of NDCs through agreement and involvement. When dealing with political reform processes, acceptance, trust and credibility must be worked at just as hard as the NDCs themselves through by developing a transparent dialogue architecture.
- | Create NDCs on the basis of a transparent methodology, involve stakeholders from a wide range of sectors (the dialogue understanding of 'thinking together') and bring their interests and solution proposals together (the dialogue purpose of 'consulting').
- | Dialogue is the best crisis prevention tool, because involving different stakeholders from the outset acts as a sort of radar for identifying the emergence of conflict lines.

Stakeholder dialogues as a management instrument for organising social change and turning observers into co-campaigners

- | Stakeholders must be involved in drawing up national climate plans from an early stage to create joint effort and turn sceptical observers into active co-campaigners.
- | It is important to establish reliable and recurrent consultative and deliberative dialogue and participation mechanisms (the purpose of 'agreement' and 'consulting').
- | Use dialogue measures to create ownership. The aim is to give participants a sense of direction, to identify the scope for action and to raise awareness of responsibilities on all sides.
- | Publicise dialogue as a strategic approach and management instrument and make people aware of the added value of participating.

Why deep-sea divers and scanners of the horizon complement each other

Climate change mitigation and NDCs is an extremely complex subject. To review INDCs and implement NDCs, it is essential to involve experts: engineers who know whether and how it is possible to cut CO₂ emissions in a particular industrial facility, politicians who know how to incorporate climate processes into national legislation and forge political coalitions for the climate, economists who know who to bring about economic transformation without compromising economic growth, entrepreneurs who seize the new market opportunities, and NGOs who know how to gain supporters as an 'issue advocate' and how to get as many people on board with pro-climate campaigns. There is a need for very many of these 'deep-sea divers' with extensive technical knowledge and skill at handling details in their particular field.

But it also needs people who focus not on technical details but on a meta level, the horizon and the climate: In other words stakeholders who explore the subject of social change strategically rather than from a detailed operational perspective; Stakeholders whose aim is to tackle the transformation towards a low carbon development as a whole and move it forward; Experts who look beyond specific boundaries and beyond individual sectors.

And then it also needs committed process organisers, as dialogue experts who can build a bridge between the deep-sea divers and the scanners of the horizon. Such experts construct a dialogue architecture to support the implementation of the NDCs over the long term. A great body of sector-specific expertise may be of no use if people get bogged down in details. Conversely, having a broad overview may be futile if people fail to take account of the details that are so important for implementation.

NDC advisors and dialogue planners help to establish and drive forward the technical and political strands locally and to interlink the processes. Advisors generally do not have a clear mandate to set up and implement NDC dialogues independently at national level as a sender and organiser. Instead, it is a task to advise the responsible NDC coordinators in inter-ministerial committees locally on their strategic planning of dialogue processes. The aim is to link the political and technical process strands for drawing up the NDCs by means of communication and dialogue.

The core message of this paper

As far as the dialogue is concerned, the Paris Agreement is the starting point. Set up now a long-term dialogue structure in the individual countries that will support the adjustment and implementation of the NDCs until 2020 and beyond. Quick wins and individual dialogue measures can set important accents but they have only a limited effect.

That is what a dialogue architecture for NDCs can do

It ensures that people with both sets of experience keep meeting round one table. The task now is to create long-term mechanisms and dialogue structures at national level that help to develop momentum for establishing climate change, which everyone is talking about before 2020, as part of the political culture. Everything starts small. The important thing is that it starts and that it is consistently planned. Dialogue architecture now for low emission development tomorrow!

That is why it is so important to allow sufficient time and resources for designing such a dialogue strategy and to make good use of the time before 2020 so that implementation can get under way strongly after Paris COP 21.



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