

Process of an Integrated Assessment

Session 2

Purpose of session 2

- ◆ Provide guidance to the integrated assessment process in a way that contributes to building capacity, commitment and ownership.
- ◆ Enable participants to design integrated assessment as a participatory process.

The main topics of session 2

1. Phases of the integrated assessment process
2. Purpose of the integrated assessment
3. Focus and scope of the integrated assessment
4. Design the integrated assessment process
5. Timing of the integrated assessment
6. Stakeholder participation / Roles and responsibilities
7. Transparency and communication
8. Negotiation
9. Capacity building

(1) Phases of integrated assessment

- ◆ Phase 1: preparation and planning (purpose, focus, design, ...).
- ◆ Phase 2: preliminary assessment of environmental, social and economic impacts to identify key issues.
- ◆ Phase 3: in-depth analyses of identified key issues to assess impacts.
- ◆ Phase 4: establish linkages between identified impacts.
- ◆ Phase 5: policy responses, follow-up activities and monitoring.

(1) Phase 1: preparation and planning

Design (how, when and by whom):

- ◆ Purpose
- ◆ Timing and timeframe
- ◆ Financial and human resources
- ◆ Data availability
- ◆ Stakeholder participation
- ◆ Communication
- ◆ Methods to use
- ◆ Results credible and useful to policy makers

(2) Purpose of integrated assessment

1. Who are main target groups and decision makers?
2. What outcomes to influence decision makers?
3. What policy decisions should be influenced?
4. At what stage is the planning or negotiation process?
5. What level of detail is needed?
6. What are the capacity building objectives?

(3) Focus of integrated assessment

Focus is required for integrated assessment process to be manageable and generate targeted results.

Checklist to decide on focus :

1. What policy and policy measures are assessed?
2. What time-frame in view of the stage of planning?
3. What sectors of interest ?
4. What geographical focus (e.g. poor regions)
5. What critical issues (e.g. biodiversity, equity etc.)?

(3) How policy makers regulate trade

Trade can be regulated by:

- ♦ Tariffs which affect trade flows and can encourage trade in products that are environmentally 'benign';
- ♦ Non-tariff measures such as quotas or special regulations which can affect imported goods;
- ♦ Trade-related subsidies which include production subsidies and export subsidies; they can encourage environmentally harmful behaviour.

(3) Other trade-related policies

- ♦ Industry and export subsidies, including investment subsidies
- ♦ Macroeconomic policies, and exchange rate and current account regimes
- ♦ Deregulation and privatisation
- ♦ Tax policies
- ♦ Policies affecting banking and credit systems

(3) Priority areas for analysis

The focus of an integrated assessment can vary according to national and local priorities.

- ♦ A specific economic sector of interest (sector-based approach);
- ♦ A geographic region / ecosystem; or
- ♦ Sustainable development priorities.

(3) Timeframe

The time-frame is important to determine short-, medium and long-term impacts of the policy:

- ♦ Effects occurring in anticipation of a trade-related policy or international agreement;
- ♦ Confirmation or consolidation of changes already underway;
- ♦ The dynamics of short, medium and long-term impacts.

(4) Design

Design (how, when and by whom):

- ♦ Purpose
- ♦ Timing and timeframe
- ♦ Financial and human resources
- ♦ Data availability
- ♦ Stakeholder participation
- ♦ Communication
- ♦ Methods to use
- ♦ Results credible and useful to policy makers

(5) Timing

- Prior to the implementation of a trade measure or the planning or negotiating of a trade agreement (*ex-ante*).
- During the process of planning or negotiating a trade agreement (*concurrent*).
- Following implementation of a trade-related policy or the final ratification of a trade liberalization agreement (*ex-post*).

(6) Stakeholder participation, checklist

- Federal and sub-federal governments
- NGOs
- Trade negotiators
- Policy makers
- Private sector representatives
- Industry groups
- Trade unions
- Industry or sector workers
- The general public
- Minority groups

(6) Stakeholder analysis

To map relevant stakeholders

- Local, national and international stakeholders
- Representatives from the private sector, the public sector or civil society
- Policy makers from different sectors (transport, construction, agriculture, etc.)
- Stakeholders with direct or indirect interests in the trade policy

(6) Scope of stakeholder participation

Consultation:

- Involves asking for contributions from experts and the general public;
- Does not necessarily offer a substantive role in policy development.

Full participation is the aim:

- Is a more inclusive process;
- Stakeholders are significantly involved in forming and implementing trade policies.

(6) Advantages of full participation

- Cooperation
- Expertise
- Ownership
- Capacity-building
- Trust

(6) Roles in integrated assessment process

- The initiator 'owning' the study;
- The funding agency;
- The integrated assessment team;
- The steering committee;
- The technical committee.

(6) Stakeholder participation – how and when

Methods and approaches to public participation:

- Physical presence (workshops, debates);
- Direct representation by mandated representative;
- Review and commenting for soliciting input from groups that do not participate directly;
- Surveying needs of stakeholders and channelling these into the process.

(7) Transparency and communication

- Establish a focal point for contact and information;
- Publish periodic briefings;
- Make a reference list of available documents;
- Inform participants well and in time;
- Organize briefings to inform key decision makers;
- Keep minutes of meetings, workshops, etc.;
- Provide adequate response to all public feedback;
- Post information on relevant Internet sites.

(7) Type of information to be provided

- Background documents on trade policy;
- Policy and research documents on poverty, on environment, on sustainable development and sustainability indicators;
- Studies on trade, environment and poverty relations;
- Statistics on trade, environment and poverty;
- Examples of integrated assessment studies.

(8) Ground rules for negotiations

- Create trust and an open atmosphere;
- Remain polite, avoid accusations;
- Map stakeholders and their positions;
- Move from positions to interests and values;
- Agree upon undesirable impacts;
- Brainstorm about alternative options;
- Agree upon objective criteria to select best options;
- Make sure final agreement is documented.

(9) Capacity building

Capacity building in the context of undertaking an integrated assessment means building abilities, relationships and values that will enable organizations, groups and individuals to improve their performance and achieve development objectives.

(9) Enhancing capacity building

- Give full responsibility to country teams;
- Respect locally available tools and methods;
- Participation by relevant stakeholders;
- Undertaking a needs assessment;
- Networking and information exchange;
- Providing (on-the-job) training;
- Involving local level expertise;
- Developing local manuals.