Effective National to Local Public Governance for SDG Implementation

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UNPOG/DPIDG/UN DESA
Effective Governance for Sustainable Development
Linkages between National and Sub-national Levels
Vertical Integration for the 2030 Agenda
Mechanisms for Vertical Integration in SDG Implementation
Tools for Effective National to Local Public Governance
Toolkit on Effective National to Local Public Governance
I. Effective Governance for Sustainable Development

**Principles of Effective Governance for Sustainable Development**

**Effectiveness**
- Competence
- Sound policymaking
- Collaboration

**Accountability**
- Integrity
- Transparency
- Independent oversight

**Inclusiveness**
- Leaving no one behind
- Non-discrimination
- Participation
- Subsidiarity
- Intergenerational equity

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**Principles of effective governance for sustainable development**

**What are they for?**
- Building strong institutions at all levels
- Serving as a reference point that brings together relevant standards and technical guidelines
- Informing public sector reform initiatives for the SDGs

**Where do they come from?**
- Developed by CEPA specifically for SDG implementation
- Endorsed by the UN Economic and Social Council
- Based on United Nations agreements

**How can countries benefit from them?**
- As an analytical framework in policy formulation
- As a guide in assessing institutional capacities, processes and culture
- As a foundation of SDG awareness raising and training initiatives

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**Committee of Experts on Public Administration (CEPA)**

CEPA is an expert body of the United Nations that studies and makes recommendations to improve governance and public administration structures and processes for development.
II. Linkages between National and Sub-national Levels

National Level

National plan and policies with implications for local governments

National SDG mechanisms that integrate local governments

Coordination

Coordinated SDG plans and policies

Sub-national Level

Local SDG plans and policies with potential for integration into national frameworks

Source: WPSR 2018
II. Linkages between National and Sub-national Levels

Multi-level Governance for SDG Implementation

**Top-down approach**
- Global/Regional Institutions
- National government
- Subnational government
- Local government
- Cooperation & support

**Real-time collaborative**
- Global/Regional Institutions
- National government
- Subnational government
- Local government
- Cooperation & support

**Subsidiarity approach**
- Global/Regional Institutions
- National government
- Subnational government
- Local government
- Subsidiarity

Source: Meuleman, L. (2021)
II. Linkages between National and Sub-national Levels

Multi-level Governance for SDG Implementation

Hierarchical (top-down) multi-level governance

*Hierarchical Governance*
E.g.: Rule of law, clear division of tasks

Realtime (Collaborative) multi-level governance

*Network Governance*
E.g.: Collaboration, co-production

Subsidiary & empowered (bottom-up) multi-level governance

*Market Governance*
E.g.: Empowerment, incentives, entrepreneurship

Source: Meuleman, L. (2021)
III. Vertical Integration for the 2030 Agenda

SDG Goals and targets that involve sub-national authorities

- SUSTAINABLE CITIES AND COMMUNITIES
  - No Poverty
    - 1.1
    - 1.2
    - 1.3
    - 1.4
    - 1.5
    - 1.6
  - Zero Hunger
    - 2.1
    - 2.2
    - 2.3
    - 2.4
    - 2.5
    - 2.6
  - Good Health and Well-being
    - 3.1
    - 3.2
    - 3.3
    - 3.4
    - 3.5
  - Quality Education
    - 4.1
    - 4.2
    - 4.3
    - 4.4
    - 4.5
    - 4.6
  - Gender Equality
    - 5.1
    - 5.2
    - 5.3
    - 5.4
    - 5.5
    - 5.6
  - Clean Water and Sanitation
    - 6.1
    - 6.2
    - 6.3
    - 6.4
    - 6.5
    - 6.6
  - Affordable and Clean Energy
    - 7.1
    - 7.2
    - 7.3
  - Decent Work and Economic Growth
    - 8.1
    - 8.2
    - 8.3
    - 8.4
    - 8.5
    - 8.6
    - 8.7
  - Industry, Innovation and Infrastructure
    - 9.1
    - 9.2
    - 9.3
    - 9.4
    - 9.5
    - 9.6
  - Reduced Inequalities
    - 10.1
    - 10.2
    - 10.3
  - Responsible Consumption and Production
    - 12.1
    - 12.2
    - 12.3
    - 12.4
    - 12.5
    - 12.6
    - 12.7
    - 12.8
  - Life Below Water
    - 14.1
    - 14.2
    - 14.3
    - 14.4
    - 14.5
    - 14.6
  - Life on Land
    - 15.1
    - 15.2
    - 15.3
    - 15.4
    - 15.5
    - 15.6
  - Partnerships for the Goals
    - 17.1
    - 17.2
    - 17.3

Source: UN DESA 2018
III. Vertical Integration for the 2030 Agenda

Vertical integration and localization

International Agreements
(SDGs, Paris Agreement on Climate Change)

Regional agreements/institutions

National Government (NDPs, NDCs)

Sector ministries

Sub-national governments
(regional/local)

Agencies

Implementing institutions

Sector ministries

Private Sectors

Development Institutions (agencies/institutions)

Civil Society

Area of Responsibility

Policy Formulation

Implementation

Input & Collaboration

Source: Curran et al., 2018
III. Vertical Integration for the 2030 Agenda

**Potential benefits of vertical integration**

- Promote a shared vision and commitment to sustainable development across levels
- Foster synergies and enhanced consistency across levels of government
- Critical complement to horizontal policy integration
- Reduce implementation risks
- Brings an opportunity for political dialogue

**Potential challenges to vertical integration**

- Gap between the abstract and universal nature of SDGs
- Local governments’ lack of awareness of SDGs
- Differences (e.g., organizational culture, ideology, policy priorities) between national government and local governments
- Institutional weaknesses/ poor management mechanisms
- Local constraints in terms of resources
- Weak or perverse incentives for local governments
- Unequal distribution of costs and benefits across levels of governance

Source: Curran et al., 2018
## IV. Mechanisms for Vertical Integration in SDG Implementation

<table>
<thead>
<tr>
<th>National</th>
<th>Leadership</th>
<th>Laws &amp; Regulations</th>
<th>Planning</th>
<th>Implementation</th>
<th>Monitoring</th>
</tr>
</thead>
</table>
| • Recognition of the importance of LGs and vertical integration  
• Outreach and awareness campaigns intended for LGs on SDGs | National laws or regulations that acknowledge, mandate or enable the participation of LGs in planning and implementation of the 2030 Agenda | • Guidelines or templates to support LGs’ planning processes  
• Learning activities intended to share and incorporate inputs on SDGs from LGs  
• Assessments of subnational alignment | • Financing/budget support for localization  
• Capacity building for localization  
• National policies that mainstream SDGs across levels | • Sharing of experiences and good practices  
• Monitoring or reporting SDG implementation at subnational level  
• Building capacity for subnational monitoring  
• Auditing |
| • Declarations and high-level events that signal political commitment to implement SDGs  
• Outreach and awareness raising campaigns and events on SDGs for LGs, communities and their stakeholders | Subnational legislation to facilitate the adoption of SDGs in strategies, plans and policies | LGs adopt an SDG strategy or align their strategies and plans with the SDGs | • Alignment of LGs’ financial plans with SDGs or national SDG policies  
• Training/capacity building in LGs  
• Policy tools (action plans, institutional, regulatory, etc.) | • Sharing of experiences and good practices  
• Alignment of LGs’ indicators to SDGs’ frameworks  
• LGs’ mechanisms for reporting and data collection  
• Auditing |
| • Involvement of LGs in high-level events to signal commitment  
• Adoption of agreements with LGs for implementation | Elaboration of global and international guidelines and training materials to support local and regional government involvement in SDG delivery | • Involvement of LGs in national structures for coordination in formulation of national policies  
• Multi-level mechanisms for communication and/or coordination in national policy formulation  
• Non-institutionalized/ad-hoc multi-level communication and/or coordination processes  
• 2- way learning activities intended to give or receive inputs for/from LGs | • Involvement of LGs in structures for coordination in implementation  
• Structures for multi-level coordination in implementation | • Workshops to share information and practices  
• Involving LGs in monitoring structures  
• Ensuring consistency of SDG indicators across levels  
• Coordinated auditing across levels of government  
• Multi-level accountability frameworks |
V. Tools for Effective National to Local Public Governance

Governance Self-Assessment

1. Policy Framework
   - Policy framework
   - System for SDG ME&R
   - Integration of SDG across different policies and plan

2. Government Structure & Processes
   - Accessible SDG data
   - Clear role & responsibilities
   - HR capabilities
   - Financial resources
   - Engagement with non-state actors

3. Enabling Conditions
   - Political leadership
   - Political economy drivers

Objectives

- To identify potential governance challenges and opportunities for effective SDGs implementation
- To develop priority or immediate actions that can be taken to address challenges or exploit opportunities
- To enable the government to track its governance parameters over time

Steps to carry out the self-assessment

1. Basic information
2. Describe the governance situation
3. Categorize governance dimensions
4. Decide on the relevant actions
5. Review and complete the dashboard
V. Tools for Effective National to Local Public Governance

Readiness Assessment on Institutional Arrangements for Policy Coherence to Implement the 2030 Agenda
Strategic Cross-cutting analysis on Vertical Integration for SDG Implementation

**Joint sustainable development target and goal setting**

**Political alignment**

**Institutional alignment**

**Policy alignment**

**Financing SDG**

**Capacity and skills**

**Information & knowledge**

**CONTEXT:** Analysis of local alignment with

<table>
<thead>
<tr>
<th>Questions</th>
<th>Answers</th>
<th>SCORE</th>
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</thead>
<tbody>
<tr>
<td>1. Are there effective structures or processes in place for your local government to collaborate with State/National Government on setting local, regional or national SDG targets?</td>
<td>Structures / processes are new / emerging</td>
<td>2</td>
</tr>
<tr>
<td>2. Has your local government participated in setting State/National Government SDG targets?</td>
<td>local didn’t participate</td>
<td>1</td>
</tr>
<tr>
<td>3. Has State/National Government participated in setting your local government targets?</td>
<td>State/National Government had a major influence</td>
<td>4</td>
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**USER COMMENTS** (optional)
Vertical Integration Response Strategy (Action Plan)

3. Defining what needs to be done, by when and by whom, in order to address the priority vertical integration barriers that may negatively impact SDG implementation.

2. How these vertical integration barriers could/should be addressed?

1. What and how important the various vertical integration barriers are in the context of the city being enabled to implement its SDG effectively?
### Setting Up a Stakeholder Engagement Plan

<table>
<thead>
<tr>
<th><strong>1</strong></th>
<th>Setting Up a Vision for Stakeholder Engagement</th>
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<tbody>
<tr>
<td><strong>2</strong></td>
<td>Justification for Stakeholder Engagement: Who Stands to Gain What?</td>
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<tr>
<td><strong>3</strong></td>
<td>Who Should Be Engaged?</td>
</tr>
<tr>
<td><strong>4</strong></td>
<td>How Should They Be Engaged?</td>
</tr>
<tr>
<td><strong>5</strong></td>
<td>What Challenges are Envisaged and How Might These Be Overcome?</td>
</tr>
<tr>
<td><strong>6</strong></td>
<td>What are the planned outcomes, outputs and activities?</td>
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<td><strong>7</strong></td>
<td>What resources are needed?</td>
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<tr>
<td><strong>8</strong></td>
<td>Timeline</td>
</tr>
<tr>
<td><strong>9</strong></td>
<td>Registering the process</td>
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<tr>
<td><strong>10</strong></td>
<td>Evaluating the process</td>
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</table>
V. Tools for Effective National to Local Public Governance

**Governance and coordination for SDG financing at the local level**

**Step-by-step guidance**

**Step 1: Identify & assess existing governance arrangements**
- What institutions and processes exist to guide, enable and support (coherent) financing policy making?

**Step 2: Enhance coherence of existing governance arrangements, close gaps if needed**
- How can existing institutions and processes be further strengthened to better guide, enable, support coherent financing policy making?
- How can typical challenges be overcome?

Source: UN DESA 2021
Monitoring SDGs at the National and Local Level

Step 1
Secure commitment and buy-in from relevant stakeholders on the monitoring system/mechanism
• Identify outcomes, indicators, and other performance criteria.

Step 2
Develop a system or mechanism for continuous monitoring (for example, electronic/internet-based)
• Develop data collection procedures;
• Develop multilevel coordination mechanisms amongst different government departments;
• Identify reporting frequencies and channels of reporting;
• Determine analytical and reporting formats; and
• Assign responsibilities for maintaining the system.

Step 3
Administer the monitoring system/mechanism so that whenever feedback is received, it can be followed up accordingly.
• Monitor and modify as appropriate
• Present/report the monitored data in meaningful ways to relevant stakeholders and decision makers

Ways for Sharing Monitoring Data

- Regular expert and stakeholder meetings
- Official communication channels of government
- Periodic participatory citizen gatherings
- Electronic platforms
**Four steps of evaluation development and design**

<table>
<thead>
<tr>
<th>Step A. Identify the overall objective of the evaluation</th>
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<tr>
<td>Consider the evaluation’s main use by consulting and engaging with different stakeholder groups</td>
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<tr>
<th>Step B. Prepare for an SDG evaluation</th>
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<tr>
<td>Design participatory processes</td>
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<tr>
<th>Step C. Use the 2030 Agenda principles to inform criteria and questions</th>
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<tr>
<td>Ensure the principles inform the evaluative criteria and use the principles to develop the evaluation questions</td>
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<th>Step D. Frame the evaluation</th>
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<td>Reconstruct the logic underpinning national policies</td>
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*Source: IIED, 2020*
Conducting a Voluntary Local Review: Location of guidelines content and relevance with different phases of the VLR development process

Key phases in the VLR development process:
- Planning and institutionalizing
- Gathering inputs and data
- Report writing
- Follow-up

Guidelines content:
- Institutional ownership and arrangement
- Linking priorities and structuring
- Measuring Progress
- Preparing the VLR report
- Following up on the VLR

Stakeholder Engagement
- Operationalizing VLR-VNR integration

VI. Toolkit on Effective National to Local Public Governance

For details on UN DESA/DPIDG’s Toolkit, please contact: unpan@un.org.

Topics
- Effective, Inclusive and Accountable Institutions
- Institutional Arrangements – horizontal and vertical coordination
- Whole-of-Government Approach and Whole-of-Society Approach
- SDG localization strategy
- Vertical Integration for Policy Coherence
- Localization from national to Sub-national
- Financing
- Monitoring, Evaluation, and Reporting
- Action Plan for Accelerating Change

Expected outcomes
- Applied the principle of effective governance
- Enhanced understanding of whole-of-government and whole-of-society approach
- Identified and applied various innovative financing mechanisms
- Developed a governance strategy and roadmap on monitoring, evaluating and accelerating SDG implementation at the local level.
Thank you!

Division for Public Institutions and Digital Government
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