



Mainstreaming the 2030 Agenda for Sustainable Development

Interim Reference Guide to UN Country Teams

United Nations Development Group

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PART A: INTRODUCTION



Section A1: Purpose and Context

Purpose of This Reference Guide

This document is designed as a reference guide for UN Country Teams (UNCTs), under the leadership of the UN Resident Coordinators, that wish to support Member States and national stakeholders in tailoring *The 2030 Agenda for Sustainable Development* to national contexts (“mainstreaming”) while protecting its integrity. As such, this guide does not seek to be either prescriptive or exclusive, but rather to spark thinking by UNCTs on how they may wish to proceed.

It features an array of approaches and tools that UNCTs can discuss with Member States to adapt the Agenda to national, sub-national and local conditions and realities, incorporating regional perspectives where appropriate. These approaches and tools should be treated by UNCTs as a menu of options, with the case studies providing examples of how some countries have begun to develop and use relevant tools.

Though this reference guide was primarily prepared for UNCTs, the steps it describes, the case studies it highlights, and the publicly available tools that it refers to, might also be of direct use to a broader audience of government officials and development practitioners.

Context

At a UN Summit (25-27 September 2015), Member States of the United Nations adopted *The 2030 Agenda for Sustainable Development* with a set of Sustainable Development Goals (SDGs) at its core. It officially comes into effect upon expiry of the Millennium Development Goals on 1 January 2016, will run through 2030 and applies to every country. The Agenda strives for a world that is just, rights-based, equitable and inclusive. It commits stakeholders to work together to promote sustained and inclusive economic growth, social development and environmental protection and to benefit all, including women, children, youth and future generations. It is to be implemented in a manner consistent with existing obligations of states under international law (para 18). This new universal agenda will require an integrated approach to sustainable development and collective action, at all levels, to address the challenges of our time, with an overarching imperative of ‘leaving no one behind’ and addressing inequalities and discrimination as the central defining feature. Some national governments, institutions and organisations have already started to translate the new agenda into their development plans, strategies and visions.

The 2030 Agenda for Sustainable Development speaks to the core mandate and values of the UN System, including promoting and encouraging respect for human rights for all, without discrimination (as set out in Article 1 of the UN Charter). UN agencies, funds and programmes can broker relevant knowledge and technical assistance on sustainable development challenges, opportunities and solutions. They can also support Member States in identifying and convening key stakeholder groups. The UN Development Group’s (UNDG) joint ‘MAPS’ approach provides the umbrella framework for such support (see section A3). The present reference guide is a key component of its first pillar on mainstreaming.

Section A2: The 2030 Agenda for Sustainable Development and SDGs

*The 2030 Agenda for Sustainable Development*¹ sets forth “a plan of action for people, planet and prosperity” and “seeks to strengthen universal peace in larger freedom.”

It is an integrated plan of action structured in four main parts: (i) a Vision and Principles for Transforming our World as set out in the Declaration; (ii) a results framework of global Sustainable Development Goals – SDGs; (iii) a Means of Implementation and Global Partnership; and (iv) Follow-up and Review.

AGENDA STRUCTURE



Declaration

The Vision and Principles are outlined in detail in the declaration and include “areas of critical importance for humanity and the planet” encompassing people, planet, prosperity, peace and partnership. The declaration further describes that nations are...

“...resolved to free the human race from the tyranny of poverty and want and to heal and secure our planet. We are determined to take the bold and transformative steps which are urgently needed to shift the world onto a sustainable and resilient path. As we embark on this collective journey, we pledge that no one will be left behind.”

The 2030 Agenda for Sustainable Development seeks to realize human rights of all (Preamble) and is grounded in the UN Charter, the Universal Declaration of Human Rights, international human rights treaties and other instruments, including the Declaration on the Right to Development (para 10), whilst emphasising the responsibilities of all States to respect, protect and promote human rights and fundamental freedoms for all, without distinction of any kind (para 19).

¹ Available at: <https://sustainabledevelopment.un.org/post2015/transformingourworld>

Results Framework

The results framework of *The 2030 Agenda* includes 17 SDGs with 169 targets. The SDGs “seek to build on the Millennium Development Goals and complete what these did not achieve.” Additionally, the SDGs are “integrated and indivisible and balance the three dimensions of sustainable development: the economic, social and environmental.” Furthermore, the SDGs are “universally applicable, taking into account different national realities, capacities and levels of development and respecting national policies and priorities.” With regard to the targets, they are defined as “aspirational and global, with each government setting its own national targets guided by the global level of ambition but taking into account national circumstances.” And importantly, “Each government will also decide how these targets should be incorporated in national planning processes, policies and strategies.”

The new agenda also envisages a world of universal respect for human rights, equality and non-discrimination, and the overriding message of the new agenda is “to leave no one behind”, to ensure “targets met for all nationals and peoples and for all segments of society” and “to reach the furthest behind first”, with two dedicated goals and relevant targets on combatting inequality and discrimination as well as a commitment to broadening the disaggregation of data in order to track progress and ensure that no one is left behind.

Means of Implementation

Through *The 2030 Agenda for Sustainable Development*, nations acknowledge the imperative of a revitalized global partnership – “an intensive global engagement in support of implementation of all the goals and targets, bringing together Governments, civil society, the private sector, the United Nations system and other actors and mobilizing all available resources.”. The scale and ambition of the new agenda require the inclusion of new partners such as national parliaments, regional and local authorities, academia and volunteer groups. The revitalized global partnership will endeavour to deliver the means of implementation through “domestic public resources, domestic and international private business and finance, international development cooperation, international trade as an engine for development, debt and debt sustainability, addressing systemic issues and science, technology, innovation and capacity-building, and data, monitoring and follow-up.” So important are the means of implementation to the Agenda that it forms the basis for SDG 17 and its supporting targets.

Follow-up and Review

In the spirit of continuous improvement and accountability, nations commit via *The 2030 Agenda* to “fully engage in conducting regular and inclusive reviews of progress at sub-national, national, regional and global levels.” Such efforts will inherently “draw as far as possible on the existing network of follow-up and review institutions and mechanisms”, which also include existing human rights mechanisms. Furthermore, “National reports will allow assessments of progress and identify challenges at the regional and global level” and combined with regional dialogues and global reviews, the national reports “will inform recommendations for follow-up at various levels.”

Supporting the *Review and Follow-up* of the SDGs will be a global indicator framework outlining a practical set of indicators. An *Inter-Agency and Expert Group on SDG Indicators* is responsible for creating the framework and indicators which “will be agreed by the UN Statistical Commission by March 2016 and adopted thereafter by the Economic and Social Council and the General Assembly, in line with existing mandates.” Follow-up and review processes at all levels will be, *inter alia*, rigorous and based on evidence, informed by country-led evaluations and data which is high-quality, accessible, timely, reliable and

disaggregated by income, sex, age, race, ethnicity, migration status, disability and geographic location and other characteristics relevant in national contexts (para 74g).

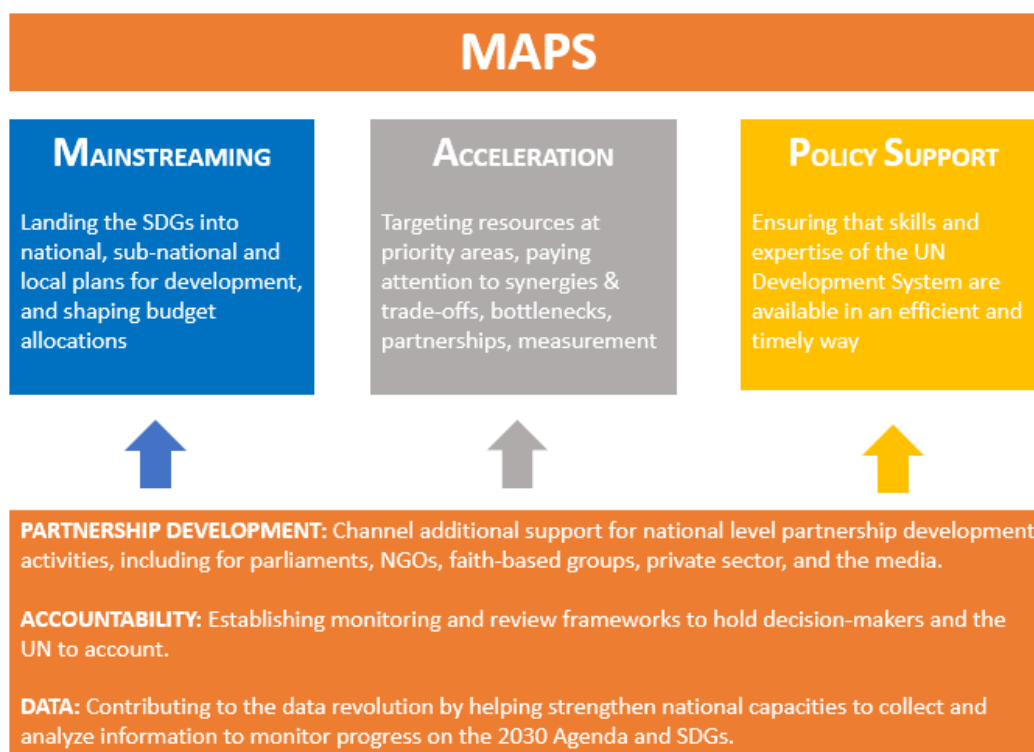
Section A3: MAPS: Mainstreaming, Acceleration and Policy Support for the Implementation of the 2030 Agenda

Responding to requests from Member States for coordinated support from the UN development system in implementing *The 2030 Agenda*, the United Nations Development Group (UNDG) – under its Sustainable Development Working Group (SDWG) – has adopted a common approach for effective and coherent implementation support, under the acronym ‘MAPS’. MAPS stands for **M**ainstreaming, **A**cceleration and **P**olicy **S**upport.

It focusses on policy coherence and multi-stakeholder engagement, paying special attention to the cross-cutting elements of partnerships, data and accountability.

- **Mainstreaming** means landing *The 2030 Agenda for Sustainable Development* at the national and local levels, and integrating into national, sub-national, and local plans for development; and subsequently into budget allocations;
- **Acceleration** refers to targeting national (and UN) resources at priority areas identified in the mainstreaming process, paying special attention to synergies and trade-offs across sectors (reflecting the integrated nature of the agenda), bottlenecks, financing and partnerships, and measurement; and
- **Policy Support** is about making sure that the skills and expertise held in the UN development system is made available in a timely way and at the lowest cost possible.

These components will often not be separate or follow in chronological order, but they can act as framing to describe the support that the UN development system intends to provide.



The present reference guide relates to the 'Mainstreaming' component. By the end of the year, there will be complementary UNDG guidance to accompany the other components, related to:

- National reporting;
- Capacity development (for data, monitoring and review); and
- Applying SDG-based analytical tools to accelerate progress.

In particular the work undertaken in the mainstreaming phase should be helpful in providing information on how UN Development Assistance Frameworks (UNDAFs) can be crafted that support implementation of SDG-based national plans. Separate guidance on updating UNDAFs for this purpose is forthcoming. Related activities should be coordinated through UNCTs in line with the Standard Operating Procedures (SOPs)², as applicable. In doing so, attention should be paid to acting in accordance with the six core principles on how the UN engages at the country level:

1. Strong ownership by governments and other national stakeholders and leadership by national governments;
2. Significant simplification and reduction of programming, business and service transaction costs for Governments, other national stakeholders, development partners and the UN system, including by further integrating and harmonizing common and agency-specific business processes;
3. Empowerment of UN Country Teams, under the leadership of the UN Resident Coordinator, to address country-level needs, based on good practices and experiences in "Delivering as one" countries, both pilots and voluntary adopters;
4. Flexibility to allow for innovation by UN Country Teams;
5. Drive towards common delivery of results and strengthened accountability, including on cross-cutting issues such as human rights, gender equality and environmental sustainability; and
6. Emphasis on the shared values, norms and standards of the UN system.³

² Standard Operating Procedures for countries adopting the "Delivering as One" approach
<https://undg.org/home/guidance-policies/delivering-as-one/standard-operating-procedures-non-pilots/>

³ For guidance on integrating human rights into the work of the UN at country level see the UNDG Guidance Note on Human Rights for Resident Coordinators and UN Country Teams (Forthcoming). Also see "Embedding human rights into development: Standard Operating Procedures for "Delivering as One". Available at:
<https://undg.org/home/undg-mechanisms/undg-hrm/knowledge-management/newsletter-content/embedding-human-rights-into-development-standard-operating-procedures-for-delivering-as-one/>

Section A4: How to Use this Reference Guide

*“The SDGs and targets are integrated and indivisible, global in nature and universally applicable, taking into account different national realities, capacities and levels of development and respecting national policies and priorities. Targets are defined as aspirational and global, **with each government setting its own national targets guided by the global level of ambition but taking into account national circumstances. Each government will also decide how these aspirational and global targets should be incorporated in national planning processes, policies and strategies.** It is important to recognize the link between sustainable development and other relevant ongoing processes in the economic, social and environmental fields.”*

The 2030 Agenda for Sustainable Development (UN 2015)

Scope and Content of this Reference Guide

This document covers eight implementation guidance areas that can serve as the basis for UNCT assistance to governments and stakeholders in landing *The 2030 Agenda for Sustainable Development* and SDGs at the national level, sub-national and local levels.



What this Reference Guide is **not**:

- This *Reference Guide* is not intended to be an exhaustive and prescriptive rulebook;
- It is not intended to provide guidance at the policy design level, although many of the approaches and tools listed may also be applicable at both the strategy and policy levels; and
- It does not describe operating procedures for the engagement of UNCTs with Member-States, but instead provides high-level guidance; and
- This Reference Guide does not provide information on sources of funding for UNCTs to deliver their support to Member States (other than outlining the financial mechanisms for implementing *The 2030 Agenda* as put forth in the Addis Ababa Action Agenda).

Countries will be at different stages with respect to their awareness and integration of *The 2030 Agenda* and SDGs. Some will have already started integrating the SDGs into their national planning processes, while other countries may only be aware of the agenda and SDGs through the agency that participated in the Post-2015 Development Agenda process on behalf of their governments. This *Reference Guide* is applicable to all stages of implementation.

Roadmap to this Reference Guide

The eight guidance areas presented in this document are summarized below and are meant to provide an integrated approach. It is recommended that governments embark on efforts across all eight guidance areas – to go beyond ‘governance as usual’ and match the transformative ambition of The 2030 Agenda and SDGs.

Four of the guidance areas should be initiated as soon as possible given their core role in landing *The 2030 Agenda* and SDGs at the national level. These include:

- Raising Public Awareness (Section B1);
- Applying Multi-stakeholder Approaches (Section B2);
- Tailoring SDGs to National, Sub-national and Local Contexts (Section B3); and
- Monitoring, Reporting and Accountability (Section B7 – in relation to governments following the progress of the Inter Agency and Expert Group on SDG Indicators (IAEG-SDGs) and beginning work toward identifying nationally-relevant and human rights-sensitive indicators, targets, and establishing baseline data).

Four of the guidance areas address deeper levels of mainstreaming and can be initiated over time, including:

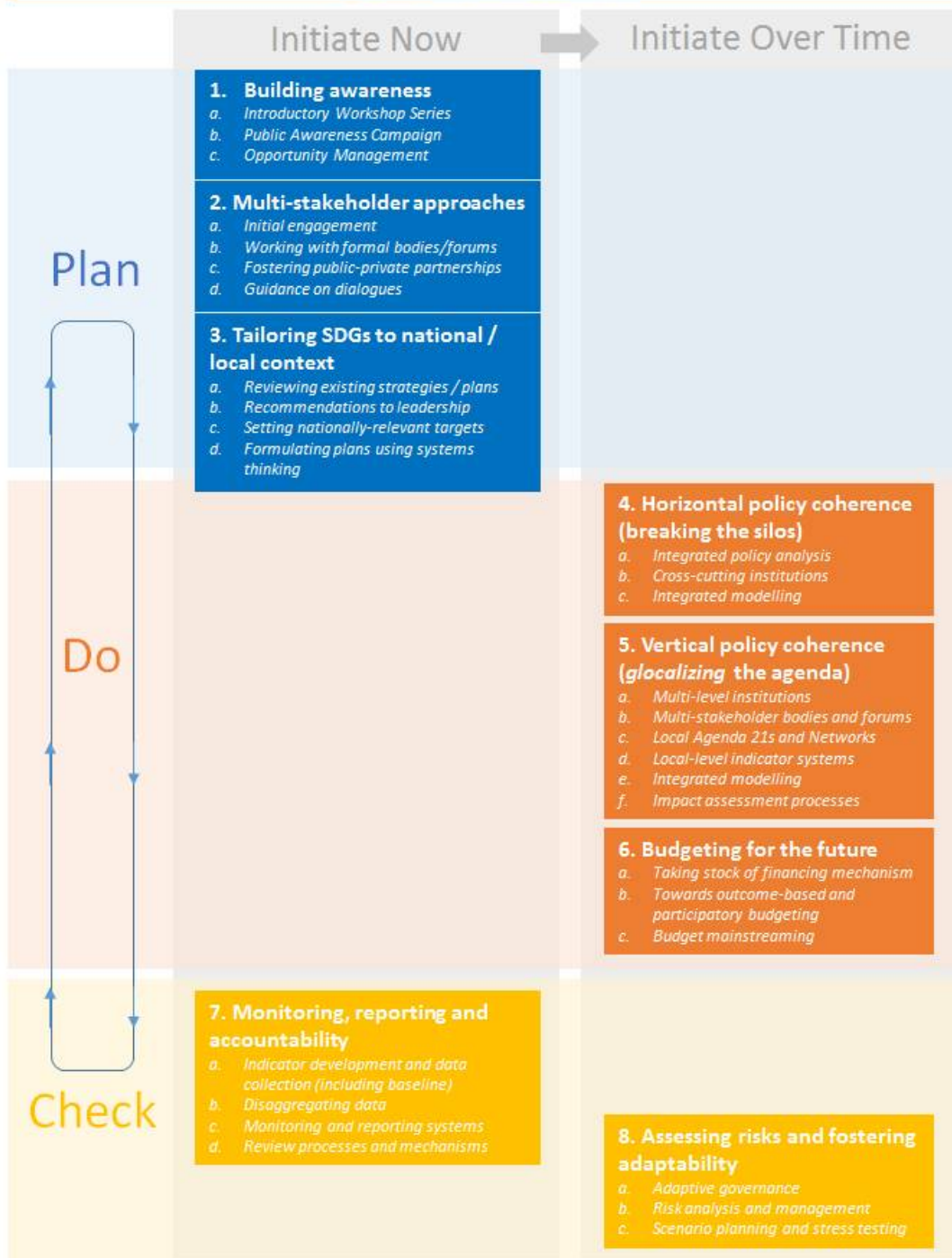
- Creating Horizontal and Vertical Policy Coherence (Sections B4 and B5, respectively);
- Budgeting for the Future (Section B6); and
- Assessing Risk and Fostering Adaptability (Section B8).

Indeed, many of the specific aspects underpinning these latter four guidance areas can take five or more years to establish (i.e., formal multi-stakeholder bodies, innovative budgeting for outcomes and participatory budgeting processes and risk management protocols).

Each Guidance Area section in this document is structured in the same way: first describing the purpose and then followed by specific guidance for UNCTs and Member States, a Toolkit summary, and References and Links. Each section includes a series of information boxes to convey lessons learned from developing country experiences in mainstreaming the Millennium Development Goals (MDGs) and relevant innovative case examples featuring developed and developing country approaches and tools.

The 2030 Agenda Mainstreaming Guidance Areas

for implementing the 2030 Agenda for Sustainable Development and Tailoring SDGs to National Contexts



PART B: GUIDANCE

Mainstreaming *The 2030 Agenda for Sustainable Development*



Section B1: Building Awareness

Purpose

Building public awareness and engaging national, sub-national and local stakeholders in *The 2030 Agenda for Sustainable Development* and SDGs is a critical initial and ongoing step in successful implementation. A clear understanding of the benefits of aligning national and sub-national plans and policy-making processes with *The 2030 Agenda* and SDGs as well as building ownership for it among people, including the marginalised, provides the foundation for its real and lasting delivery. Done well, this step can enhance the impact of all other guidance areas in this note (B2 through B9), and ultimately, the impact of the agenda itself. Given that the SDGs are a global agenda, it is critical to support national audiences in linking them to local concerns, thus helping to ensure sustainable public support for the SDGs.

Guidance

Member States can begin building public awareness on *The 2030 Agenda* and SDGs as an opportunity to promote an existing or forthcoming national development strategy or plan and to display its intentions to be part of the global partnership to make progress toward the SDGs in their national, sub-national and local contexts.

A foundation for any effort in raising the public awareness of *The 2030 Agenda* is its universal and integrated nature - connecting the global and local, leaving no one behind, promoting human rights and gender equality, and addressing economic, social and environmental sustainability.

To assist Member States in building awareness of the profound importance of *The 2030 Agenda* and SDGs, a parallel and multi-pronged approach can be facilitated by UNCTs, including:

1. **An introductory workshop series:** to sensitize government officials and stakeholders to *The 2030 Agenda* and SDGs;
2. **A public awareness campaign:** to communicate *The 2030 Agenda* and SDGs to the general public, including women, children and youth; and
3. **Opportunity management:** to leverage other government and UN-sponsored meetings and forums to sensitize government officials and stakeholders to *The 2030 Agenda* and SDGs.

MDG Lessons

Lessons Learned in Advocacy and Awareness Raising

1. **Advocacy and awareness raising is a strategic activity that needs to be adapted to the country context**, well planned, and adequately resourced. Countries such as Bangladesh, Albania, Honduras, and Kenya (amongst many others) have developed detailed advocacy strategies that consider carefully who to reach, why they are important to communicate with, and various means to do it. As such, they have been particularly effective in mobilizing communities around the MDGs and informing them about the Goals. Furthermore, these efforts have usually been done through the UN Resident Coordinator's office in partnership with members of the UNCT. This is a particularly effective way to draw upon the expertise of the entire UNCT, and distribute the cost and effort of organizing the advocacy initiatives.
2. **Sub-national advocacy and awareness campaigns in a particular area are a powerful means for engaging communities in Localization processes.** Albania provides a unique example whereby local landmarks, renowned personalities, songs, imagery, and other aspects of the region were

used in advocacy materials to make the MDGs relevant to the local reality in order to promote participation in the formulation of an MDG-based local development strategy.

3. ***Marginalized communities such as women, youth, and minorities may need unique advocacy approaches*** to ensure that the messages reach them and are relevant.
4. ***Evaluating the results of advocacy campaigns is essential***, though not frequently done. Activities should be evaluated to see if they are successful in providing information or changing behavior.
5. Choosing ***the medium for the message is crucial*** to ensure that the target audiences can receive the information. Exclusive means such as the Internet are often not conducive to usage at the sub-national level, whereas live events, printed material (with imagery and text), and radio may be more useful.
6. The ***private sector can assist with promotion and advocacy*** through their product and service distribution channels.

Source: UNDP (2007).

Building public awareness should be understood as a first step towards a participatory process in implementing the 2030 Agenda. Genuine participation and access to information are cornerstones of empowerment; participation having many instrumental gains as a result of using local knowledge, exposing local preferences, raising resource allocation efficiency, and maximizing ownership and sustainability of development. Consequently, awareness raising efforts should be participatory processes, which are critically assessed, to see whether they:

- Reflect minimum standards for the process, which should be agreed on by all participants;
- Operate at all stages, including the design, implementation and monitoring of development strategies;
- Include women and marginalized groups and develop specific channels of participation if this is necessary;
- Prevent elite capture and reinforcement of existing social hierarchies and power relations;
- Are transparent and provide sufficient and accessible information;
- Provide accountability mechanisms to ensure that the participatory process is held to these standards. (OHCHR 2008)

Introductory Workshop Series on The 2030 Agenda and SDGs

UNITAR has prepared a Post-2015 National Briefing Package entitled 'Preparing for Action' (UNITAR 2015a). This package consists of a series of interactive workshop training modules and is ideal for sensitizing national government officials and stakeholders to *The 2030 Agenda* and SDGs.

The starting point for UNCTs is to meet with the Member State government ministry that participated directly in the Post-2015 process to determine how much awareness raising has already occurred. A series of *Introductory Workshops* can then be planned accordingly. A comprehensive *Introductory Workshop Series* to sensitize government officials, civil society organizations, including women's organizations, businesses and other stakeholder groups to the structure and content of *The 2030 Agenda* and SDGs could include the following phases:

- **Phase 1:** Introductory workshop with the government agency(s) responsible for national development planning and national statistics. Working with these agencies, other workshops can be planned, including:
- **Phase 2:** Introductory workshop with remaining national government departments; and

- **Phase 3:** Introductory workshops in the capital cities of the sub-national governments (inviting the sub-national government, city government, local businesses, civil society organizations, and indigenous peoples groups).

Innovative Case Example:

UNITAR's National Post-2015 Development Agenda Briefing Package in Uganda

The Ugandan government was the first in piloting this briefing package in Kampala, together with the UN Country Team and two training experts from UNITAR. The event unfolded over two days and was led by the government and facilitated by representatives from the Ministry of Foreign Affairs; the Ministry of Finance, Planning and Economic Development; and the National Planning Authority. Experts from UNDP and the UN Department of Economic and Social Affairs (DESA) also contributed to facilitation by presenting a global perspective on the evolving issues of global partnership, financing for development, review, follow-up, and SDG synergies.

The exercise highlighted how the government of Uganda has already made significant progress in integrating the proposed SDGs into national planning. Specifically, the proposed National Development Plan II (NDPII) already includes many of the SDGs and a significant portion of the proposed targets have been adjusted to the national context.

Source: UNITAR (2015b).

Public Awareness Campaign on The 2030 Agenda and SDGs.

The mass outreach and marketing of sustainable development concepts and agendas has been one of the critical weaknesses of efforts since the 1992 Earth Summit. While sustainable development has entered the vocabulary of experts and the interested public, the terminology and concept has yet to fully permeate the general public and political discourse. Given today's Internet and social media platforms, combined with traditional media, as well as the outreach capacity of civil society organizations and volunteer groups, there are more avenues than ever to reach the general public. These are particularly relevant to reach younger audiences, whose members will be both key actors as well as the inheritors of the world the SDGs seek to create.

MDG Lessons

Brazil's Experience with the MDGs

Capacity to understand the goals should be added to the capacities necessary to effectively localize an international agenda. This is also supported by UNDP's engagement on the MDGs in Brazil. In Brazil, the MDGs were used as a framework to form a pro-MDG movement by unifying diverse CSOs, private companies, Government officials and citizens around a common goal. For this to succeed, awareness was raised on how the MDGs apply to Brazil and the fact that their outcome depends on local, not international, action.

The experience in Brazil reveals a few important lessons on awareness raising for the MDGs, such as: early engagement of partners can increase commitment and meaningful collaboration; an MDG campaign may require distinct phases of education and advocacy to build the necessary foundations for action; and monitoring development progress can fuel MDG advocacy by providing evidence of needs, inequalities and successful policies.

Source: UNDP (2005).

With assistance from UNCTs, Member states could work to increase public awareness of their existing national development strategy/plan, while at the same time marketing *The 2030 Agenda* and SDGs to the general public and how local and regional governments (LRGs), businesses and civil society organizations (CSOs) can be part of a national and global partnership.

A work plan could be developed for a sustained media outreach campaign utilizing traditional avenues (i.e., TV, Radio, newsprint) and Internet and social media platforms to communicate the salient aspects of the country's national development plan and how, through achieving and improving its own plan, it will contribute towards progress of *The 2030 Agenda* globally.

The UN Millennium Campaign has been mobilizing citizen support for the MDGs since 2002. It has contributed to the global outreach efforts to increase people's engagement in the global conversation around *The 2030 Agenda* including through the MY World survey.

Continuing the work of the UN Millennium Campaign, the new UN Sustainable Development Goals Campaign will concentrate its efforts on:

- Popularising the goals in every country through action-oriented engagement activities and training for key groups such as parliamentarians, municipal leaders, and civil society;
- Bringing stakeholders together to support implementation efforts led by governments, particularly from civil society; and
- Sponsoring people-driven processes to track progress on the agenda through crowdsourcing and grass-roots mobilization, including through MY World 2030⁴, which is an evolution of the MY World platform and enhanced volunteer efforts at local level.

'*Project Everyone*⁵ is part of the global outreach campaign for *The 2030 Agenda and SDGs*. It includes multiple traditional and social media assets and tools to reach a maximum number of people. Such a campaign could be emulated at a national level, with an objective to reach every citizen in the country to share information about the existing or forthcoming national plan and how it will endeavour to integrated the SDGs at the national level and how sub-national and local governments could follow suit.

A key element of the *Project Everyone* global outreach campaign is building awareness of the world's youth. For example, *The World's Largest Lesson* is designed to be the biggest ever collaborative education project inviting teachers from around the world to submit exciting lesson plans, with the winning ideas published as a "global set of learning resources on The World's Largest Lesson website⁶, to enable teachers to craft a relevant lesson on the SDGs for the children that they teach (UNICEF 2015b)."

**Innovative Case Example:
The Millennium Campaign**

The Millennium Campaign was launched in 2002 two years after the Millennium Declaration was signed. The Campaign encourages young people worldwide to add their voice to the global fight against poverty. Through partnerships with various global youth networks and organizations, the Campaign supports youth-led movement across the world on the Millennium Development Goals (MDGs).

⁴ See www.myworld2030.org

⁵ See www.globalgoals.org

⁶ See www.tes.com/worldlargestlesson

As an example of one of its platforms, the Campaign partnered with the cable TV network *Nickelodeon* to broadcast across its 26 channels in the US, Europe, Asia, Australia and Latin America a series of 30-second original animation shorts highlighting how the MDGs affect the lives of kids worldwide and what they can do to have a voice in their future. Each short in the Nick 2015 campaign encourages kids to pledge their support via the web site.



Source: Millennium Campaign (2015).

Opportunity Management

Other forms of engagement can be leveraged to sensitize government officials and to raise public awareness that are perhaps less formal (and less costly), but can also be effective and build on existing channels. These opportunities could include for example, dedicated sessions on SDGs at donor coordination meetings, press briefings or meetings with the press (on and off the record), UN-wide town hall meetings, opinion pieces in the local press, the use of existing social media tools such as Twitter, Facebook, and mobile phone messaging (e.g., UNICEF's U-Report initiative⁷, see Innovative Case Example below).

Innovative Case Example: U-Report Initiative Reaching Millions of People

U-Report is an innovative communication technology developed by UNICEF and revolutionizes social mobilization, monitoring and response efforts: It equips mobile phone users with the tools to establish and enforce new standards of transparency and accountability in development programs and services (UNICEF 2012).



"U-report is gaining popularity because it has given Ugandans the ability to inform other Ugandans and to take action... We can ask questions about issues throughout the country and get answers right away – by district, by gender, by age – and that helps us know where to concentrate our limited response resources and how best to advise our governments and aid partners (UNICEF 2012)."

⁷ See www.ureport.org

In 2015 in Nigeria, U-Report reached one million responders. UNICEF's Global Innovations Team has launched U-Report in 17 countries mostly in Africa (UNICEF 2015a).

Toolkit

UNITAR National Briefing Package

The UNITAR Post-2015 National Briefings (UNITAR 2015a) are “a self-explanatory integrated toolkit designed to support national facilitators in planning and delivering briefings at the country level (UNITAR 2015c).” The package includes:

- Detailed program, organized in six modules with guidance for facilitators;
- Discussion questions prepared with guidance from the UNDG Sustainable Development Working Group;
- Kit with presentations, quizzes, videos, participants' manual and methodologies for discussion groups.

Modules 1 and 2 are particularly suited to the *Introductory Workshop Series on The 2030 Agenda and SDGs*. An easy 10-step process is outlined to help UNCTs organize a national briefing (UNITAR 2015b).

Project Everyone

'*Project Everyone*' is part of the global outreach campaign for *The 2030 Agenda* and uses multiple outreach platforms, including online collaborations with Google/YouTube, Huffington Post, Yahoo, Facebook, LinkedIn and Wikipedia. A key aspect of the *Project Everyone* outreach campaign is *The World's Largest Lesson*, a collaboration with UNICEF to get information on the SDGs in classrooms around the world (UNICEF 2015b).

Social Media

Outreach potential today has a tremendous advantage compared to the post-1992 Earth Summit era. This is due primarily to the Internet and its social media platforms such as Facebook, Google+, Twitter, Youtube, Instagram, to name a few. For example, UNICEF's U-report initiative. These platforms could be used to their fullest advantage for reporting as well as for advocacy and consensus-building, in accordance with the national government's guidelines on the use of social media.

Advanced Tool: Strategic Social Marketing

Commercial marketing and advertising has evolved over the decades into a hugely successful discipline for the private sector in promoting products and services. The use of similar approaches by the public and not-for-profit sectors for social change purposes is termed 'social marketing'. The International Social Marketing Association notes that “*Social Marketing seeks to develop and integrate marketing concepts with other approaches to influence behaviours that benefit individuals and communities for the greater social good* (ISMA 2015).” Some practitioners distinguish between 'operational social marketing' – *addressing specific behavioral issues* (i.e., anti-smoking campaigns), and 'strategic social marketing' – *to inform policy and strategy development* (NSMC 2015). For more information see '*The Big Pocket Guide to Using Social Marketing for Behavioral Change*' (NSMC 2015).

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Section B2: Applying Multi-stakeholder Approaches For SDG Integration

Purpose

“The Dialogues call for governments to create spaces and mechanisms for engagement, not only as a way to strengthen people’s basic political rights but also because it helps to create better policies and generate better development outcomes.”

Post-2015 Dialogues on Implementation (UNDG 2014)

As evidenced by the quotation above, central to the legitimacy and quality of a society-wide agenda is the design of multi-stakeholder policy development and implementation modalities to encourage and facilitate partnerships between government and nationally and sub-nationally active stakeholder networks of civil society, universities, think tanks, the private sector, other development actors, and national human rights institutions (UNDP-OHCHR 2012).

As further rationale, consider the conclusions of the *Post-2015 Dialogues on Implementation* with regard to participation and inclusion (UNDG 2015):

- “The Dialogue on localizing the agenda pointed to the need for stronger engagement of local stakeholders in the definition, implementation and monitoring of the post-2015 development agenda, as the achievement of many of the MDGs depended on the work of local governments and stakeholders.
- Community participation and ownership, rooted in local culture, are instrumental in development programmes, including for environmental protection, for sustainable urban development and for gender equality and women’s empowerment.
- An engaged business sector is critical for innovation, technological advancement and sustainable economic growth.
- Governments and civil society already have working models to tap into people’s desire and capacities for engagement; but these examples are too few and not yet fully institutionalized into how public policy is delivered.
- While consultations are a good start, they should not be one-off events but, rather, mechanisms that provide for a continued dialogue with feedback loops that inspire ownership from various stakeholders.
- The inclusion of the full diversity of stakeholders means paying specific attention to the inclusion of all voices, including women and children, with a particular focus on marginalized groups and individuals. People living in poverty, indigenous communities and other minorities, persons with disabilities, forcibly displaced and stateless persons, children and young people, migrants and the Lesbian, Gay, Bisexual and Transgender (LGBT) community are some of the groups and individuals who are not necessarily included in policy- and decision-making processes.”

This section presents guidance for involving stakeholders in the process of tailoring SDGs to the national context, and is applicable also at the sub-national and local levels.

Guidance

The need for multi-stakeholder approaches is ubiquitous across the eight guidance areas in this document. Four specific aspects are presented below to clarify the means by which Member States can engage an array of different stakeholders at different stages of mainstreaming *The 2030 Agenda* and SDGs.

It is recognized that all nations already have in place existing processes for planning, budgeting and monitoring, with varying degrees of stakeholder involvement. The guidance areas herein strive for transformation, to go 'beyond governance as usual' and match the transformative ambition of *The 2030 Agenda*.

1. **Initial multi-stakeholder engagement:** for increasing public awareness of *The 2030 Agenda* and SDGs;
2. **Working with national multi-stakeholder bodies or forums:** for reviewing existing plans;
3. **Guidance on multi-stakeholder dialogue:** to assist with the process of engagement;
4. **Fostering public-private partnerships:** to leverage the ingenuity, scaling-up ability, and investment potential of business.

These guidance aspects represent successively deeper integration of *The 2030 Agenda* and SDGs, starting with sensitization of *The 2030 Agenda* (guidance aspect #1) and evolving to a purposeful analysis by formal multi-stakeholder bodies, forums and planning commissions for how the SDGs could be practically reflected in development strategies and plans at the national, sub-national and local levels (#2). For governments that are already about to engage in a visioning process for their national plan or are interested in a deep conversation with their citizens on how to land the global SDGs at a national, sub-national or local level, the guidance on multi-stakeholder dialogue (#3) will be useful.

Initial Multi-stakeholder Engagement for Increasing Public Awareness of The 2030 Agenda and SDGs

As a first stage of multi-stakeholder engagement for mainstreaming *The 2030 Agenda* and SDGs Member States with guidance from UNCTs can begin raising public awareness of the global agenda and also the country's existing national development plan and planning process. Guidance in this regard was provided in Section B1, including the types of stakeholders that could be engaged and the content that would be useful to share at this early stage.

Working with National Councils or Forums on SDG Review and Implementation

"Arrangements for engaging stakeholders need to be flexible to take account of changing patterns of stakeholders' organisation. But they can be strengthened by institutional arrangements to enable long-term engagement to flourish and deliver results. National Councils for Sustainable Development, Commissioners or Ombudsmen for Future Generations, Economic and Social Councils can all play a valuable part. Such bodies can develop expertise in the creation of strategies and the policies pursued within them and in the monitoring and review of progress. They can build crucial relationships of trust with all the parts of Government that are concerned and with the major stakeholder groups in society."

Report to the European Economic and Social Committee by the Stakeholder Forum (2015)

Stakeholders have collectively made the call *"for governments to create spaces and mechanisms for engagement."* In some countries these 'spaces' have already been institutionalized as some type of formal multi-stakeholder council or similar body and may have a proven track record in facilitating national

stakeholder dialogue on sustainable development issues. Notable examples include the German Council for Sustainable Development and the Finnish National Commission for Sustainable Development (Stakeholder Forum 2015).⁸

In countries where multi-stakeholder bodies currently exist, or where planning commissions operate in collaboration with multi-stakeholder forums, such bodies represent a logical starting point for raising public awareness and creating a broader media or social marketing campaign (Section B1). Such consultative bodies are also the logical point of departure for reviewing existing development plans and the process of tailoring SDGs to national contexts (Section B3), as well as a mechanism for facilitating ongoing national dialogue on the implementation of nationally-tailored SDGs. In many countries, the tripartite social dialogue structures between governments, business and workers can serve as platform for the development of more comprehensive implementation and accountability mechanisms.

Innovative Case Example:

German Council for Sustainable Development and its SDG Statement to the Federal Government

The independently led German Council for Sustainable Development (RNE) has led several wide stakeholder engagement processes around highly substantial sustainability issues including corporate responsibility and the major energy transformation now in progress (the “Energiewende”), and helped to build national consensus on the way forward (Stakeholder Forum 2015). Since 2001, the German Chancellor renews the Council every three years and mandates 15 Members representing all parts of society. A State Secretaries’ Committee on Sustainable Development is in charge of the national SD Strategy.

In 2014 the German Government asked the Council to assess how a national implementation of the SDGs will impact the structures and institutions of Germany’s sustainability policy. The RNE responded in 2015 by engaging experts in and outside of government and submitted its statement to the federal government on ‘*Germany’s Sustainability Architecture and the SDGs*’.

Source: RNE (2015)

Where such formal bodies or forums do not already exist in a country, governments could convene a consultative forum for purposes of SDG review and implementation.

For example, at the EU level, the European Economic and Social Committee (EESC) recently instructed its Section for Agriculture, Rural Development and the Environment to draw up an information report on ‘*Opportunities and processes for civil society involvement in the implementation of the post-2015 agenda in the EU*’. A key proposal of the information report is “to establish a regular platform or forum for the EU sustainable development agenda.” Key guidance elements proposed for this regular forum include (EESC 2015):

⁸ It is worth noting that in some countries, such formalized stakeholder bodies have already come and gone for a myriad of reasons. Notable examples include the United Kingdom’s Sustainable Development Commission, Canada’s National Round Table on the Environment and the Economy and the Tasmania Progress Board (Bertelsmann Stiftung, 2013a). Perceived reasons for the dissolution of these bodies vary from fiscal pressures, to not reflecting current government policy, and to the perception that sustainable development is already sufficiently integrated within government.

- “The Committee strongly believes that participatory governance requires a political framework and an organisational and procedural structure in order to become operative. Stakeholder engagement in long-term sustainable development works best if it is organised as a continuous process rather than being conducted on an ad-hoc basis or through unrelated one off engagement exercises at different points of the policy cycle. A structured process enables stakeholders as well as governments to plan ahead, to assemble evidence, reports and other material to make well-researched contributions at the appropriate time in the policy cycle. Standing institutional arrangements allow the capacities of civil society representatives to be strengthened over time and the trusting relationships of support and cooperation to be built up.
- This forum will bring together, on a regular basis, policy actors from EU institutions with a broad range of civil society representatives, including the private sector. The process must match with the EU Semester cycle as well as with the UN SDG monitoring intervals.
- The forum will provide the required regular, stable, structured and independent framework for civil society dialogue and debate at EU level:
 - The Committee recognises that for such a framework to be effective, it should include all the core EU decision-makers on economic and financial policies, including the Commission’s First Vice-President and the Commissioner responsible for the EU Semester as they need to engage in the debate on sustainable development policies. This will create the environment that will enable civil society representatives to be able to hold the decision-makers to account.
 - The Committee recommends that the participation structure for civil society must include the whole spectrum of organisations representing sectors of relevance for the sustainable development agenda, including industry, micro, small and medium-sized businesses, trade unions, farmers as well as development, social and environment NGOs.
- The Committee knows from long experience that participatory governance must be based on transparency, knowledge and monitoring. Regular progress reports on the implementation of the SDGs provided by the Commission and Eurostat are therefore an important prerequisite for organised civil society to play an active role in the monitoring.”

Excluded groups, including women, children, adolescents, people with disabilities and ethnic minorities often lack adequate forums in which to build consensus and articulate demands for their social, economic and other rights, and UNCTs may wish to examine how to foster the development of new stakeholder groups, where necessary.

Innovative Case Example:

Somalia

The development and implementation of a compact in Somalia under the ‘The New Deal for Engagement in Fragile States’ framework is a good example of applying a multi-stakeholder approach to implementation of the SDGs.

In 2013, with the adoption of a new Constitution, formation of a new Parliament and selection of the President, a window of opportunity for a new phase of stabilization and peacebuilding in Somalia was presented. In order to help manage the transition process, the Federal Government of Somalia (FGS), with civil society, parliament and other Somali stakeholders, and the international community agreed to develop a Compact, guided by the principles of the New Deal.

As part of the Compact, which was produced on the basis of a fragility assessment, the FGS and international community defined mutual roles and responsibilities including a financing architecture and setting up of overall framework for advancing peacebuilding and state-building in Somalia. The compact was the result of an inclusive process and strong partnership between the FGS, the United

Nations, the World Bank, EU and donors and other key partners. The FGS and partners made sure there was strong alignment between international assistance and the Somali Compact priorities and partnership principles. With support from the UN, the government established an Aid Coordination Unit for effective coordination and implementation of the compact.

Source: UNICEF.

Guidance on Multi-stakeholder Dialogue

Some countries may already be poised for deeper dialogue on the integration of SDGs, for example, if it is about to engage in a national visioning process. In such instances, guidance on how to conduct large-scale multi-stakeholder dialogues will be helpful to Member States.

To inform the Post-2015 '*World We Want*' Global Conversation initiated in 2012, the UNDG issued guidelines to UNCTs for conducting national consultations (UNDG 2012). The national dialogues were designed to "stimulate an inclusive, bottom-up debate on a post-2015 development agenda in order to complement the existing intergovernmental process." In the context of the dialogues, the guidelines provided "ideas for how to promote inclusive consultations with government representatives, NGOs, civil society, community-based organizations (CBOs), indigenous peoples, women's and social movements, youth and children, and the private sector, among others (UNDG 2012)."

Two core process principles were put forth as a foundation for the consultation guidelines:

- **INCLUSION:** Efforts should be made to open the consultations to all stakeholders in the country who will be affected by the *2030 Agenda for Sustainable Development*, with particular focus on effectively involving those who are commonly underrepresented or marginalized in decision-making processes; and
- **ACCOUNTABILITY:** Efforts should also be made to ensure that people who participate in the consultations have access to relevant information and can provide feedback and influence the results and the process of the consultations. More specifically, a critical aspect of accountability in any kind of consultation process has to do with who controls the information that is generated, how that information is analysed and how it is subsequently used. Another very important aspect of accountability is transparency — not just about how the results of the consultation are arrived at, but also transparency in how the consultation itself will relate to the wider process of decision-making about the 2030 Agenda.

Innovative Case Example: National Post-2015 Consultations Across Africa

The post-2015 consultation processes in Africa largely benefited from the legacy of formulating long-term development plans (vision documents) and short- to medium-term plans (poverty reduction strategy papers, PRSPs, and national development plans, NDPs)—processes which have demanded broad consultations with different stakeholders.

The post-2015 consultations, therefore, built on this foundation and included new forms of consulting stakeholders and bringing in other groups that would not normally participate in national planning processes. The methodologies used were largely similar, with a few exceptions. Most of the consultations in Africa were organized by the various UN country teams (UNCTs), national governments (mainly ministries/departments of planning or finance) and key actors of civil society,

including women and youth groups, people with disabilities, people living with HIV/AIDS, academia and the private sector.



Face-to-face meetings in various formats dominated consultation methodologies in all the 30 countries conducting national consultations. To increase inclusion and accountability, however, focus group discussions, stakeholder interviews, radio phone-in programmes, television panel interviews and specific group and expert group meetings were used. In addition, on- and offline surveys were used in several countries including MY World surveys and the use of text messaging, which managed to obtain feedback from 17,000 young people in Uganda.

In total, close to 350,000 stakeholders were consulted on the post-2015 agenda in Africa. Many of the countries conducted consultations in selected districts, regions, provinces or zones as representative samples of entire countries followed by consultations and validation at the national level.

Source: *UNDG (2013)*

Fostering Public-Private Partnerships

"Private business activity, investment and innovation are major drivers of productivity, inclusive economic growth and job creation. We acknowledge the diversity of the private sector, ranging from micro-enterprises to cooperatives to multinationals. We call on all businesses to apply their creativity and innovation to solving sustainable development challenges. We will foster a dynamic and well-functioning business sector, while protecting labour rights and environmental and health standards in accordance with relevant international standards and agreements and other on-going initiatives in this regard, such as the Guiding Principles on Business and Human Rights and the labour standards of ILO, the Convention on the Rights of the Child and key multilateral environmental agreements, for parties to those agreements."

The 2030 Agenda for Sustainable Development (para 67)

Partnerships with the business sector will be a crucial part of implementing *The 2030 Agenda*. Businesses around the world have experience with integrating sustainable development and corporate social responsibility (CSR) principles into planning and reporting practices through the adoption of volunteer guidelines such as the Global Reporting Initiative (GRI 2015), the Carbon Disclosure Project (CDP 2015) and Greenhouse Gas Protocol, UN Global Compact (UN-GC 2015), the 'Equality Means Business' Women Empowerment Principles (UN Global Compact & UN Women, 2010), Principles for Responsible Investment, and the Guiding Principles on Business and Human Rights (2011), just to name a few. The innovativeness of the private sector can bring new insights to the solution of systemic sustainable

development issues and the ubiquitous nature of supply chains represents a leverage point for scaling up the impact of sustainability practices. Combined with the investment potential of the private sector in driving local, sub-national, national and global development, the necessity of public-private partnerships for implementing *The 2030 Agenda* is clear.

Given this context, Member States with the guidance of UNCTs can endeavor to include the private sector in awareness raising efforts (Section B1) and as valued stakeholders in tailoring SDGs to national, sub-national and local contexts (Section B3), creating horizontal and vertical policy coherence (Sections B4 and B5), budgeting for the future (Section B6), monitoring, reporting and accountability (Section B7), and in assessing risk and fostering adaptability of plans and policies (Section B8).

Innovative Case Example:

Public-Private Partnerships: UNEP/GEF's *en.Lighten* – A Global Efficient Lighting Partnership

The initiative is a public/private partnership between the United Nations Environment Programme, OSRAM and Philips Lighting, with the support of the Global Environment Facility. The National Lighting Test Centre of China became a partner in 2011 and the Australian Government joined to support developing countries in Southeast Asia and the Pacific in 2013.



Interested countries make a dedicated pledge signaling the intent to work with *en.lighten* to design and implement a set of policies and approaches that will enable the transition to energy-efficient lighting quickly and cost-effectively. Emphasis is placed on an integrated approach for designing policy measures so that the transition can be sustained by the domestic market without continued external support or resources.

Source: UNEP-GEF (2015).

Toolkit

UNDG National Consultation Guidelines

In 2012 the UNDG issued national consultation guidelines for UN Country Teams to “facilitate post-2015 consultations ...to stimulate discussion amongst national stakeholders, and to garner inputs and ideas for a shared global vision of *The Future We Want*.” These guidelines can be of use today in a country’s efforts to engage multiple stakeholders in a dialogue on how to improve an existing national strategy or plan through the integration of the global SDGs. The process-related guidance included the following areas (UNDG 2012):

- **Whom to engage?** (a) Identifying stakeholders, (b) Considerations for selecting stakeholders
- **How to engage?** Preparing an inclusive consultation. (a) Questions to ensure inclusiveness and accountability when planning, (b) Format (or ‘shape’) of the consultation process, (c) Designing of consultation activities
- **Which method should be used?**

- **The role of the facilitator**
- **Logistics:** Preparing a consultation. (a) Preparations, (b) Venue of meeting, (c) Post-consultation

Human Rights Guidance

- Toolkit for collaboration with National Human Rights Institutions. UNDP-OHCHR (2012)
- UNDG Guidelines on Indigenous Peoples' Issues. UNDG (2009)
- Frequently Asked Questions on a Human Rights-Based Approach to Development Cooperation. OHCHR (2006)
- Guiding Principles on Business and Human Rights: Implementing the United Nations "Protect, Respect and Remedy" Framework OHCHR (2011).

Information Report of the European Economic and Social Committee on CSO Involvement in the Post-2015 Development Agenda at the EU Level

The EESC information report on civil society involvement in the Post-2015 Development Agenda at the EU level provides guidance that is relevant to any country (EESC 2015).

Website of the Global Network of National Councils for Sustainable Development and Similar Bodies

The Global Network of National Councils for Sustainable Development and Similar Bodies (GN-NCSDS) aims to help strengthen national level sustainable development bodies through information exchange and collaboration. Operated by the UK-based Stakeholder Forum for a Sustainable Future, the network's website maintains a global database of existing national councils or similar bodies and provides links to useful research and guidance. It can be accessed at: www.ncsds.org.

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Section B3: Tailoring SDGs to National, Sub-national and Local Contexts

Purpose

“The 17 Sustainable Development Goals and 169 targets which we are announcing today demonstrate the scale and ambition of this new universal Agenda....They are integrated and indivisible and balance the three dimensions of sustainable development: the economic, social and environmental.”

“The SDGs and targets are integrated and indivisible, global in nature and universally applicable, taking into account different national realities, capacities and levels of development and respecting national policies and priorities. Targets are defined as aspirational and global, with each government setting its own national targets guided by the global level of ambition but taking into account national circumstances. Each government will also decide how these aspirational and global targets should be incorporated in national planning processes, policies and strategies. It is important to recognize the link between sustainable development and other relevant ongoing processes in the economic, social and environmental fields.”

The 2030 Agenda for Sustainable Development (UN 2015)

As the excerpt from *The 2030 Agenda* describes, the SDGs and targets are aspirational and global with each government to: (a) decide how the SDGs should be incorporated into national planning processes, policies and strategies; and (b) set their own national targets *guided by the global level of ambition, but taking into account national circumstances*. Appropriate tools will need to be developed to translate the international normative framework into practical instruments to support operations at the national level

The purpose of this section is to provide guidance to UNCTs for assisting Member States in taking stock of how *The 2030 Agenda* and SDGs are currently reflected in the national development strategy and planning processes and to identify potential areas for change. It is important at this stage to help create a common understanding of how well existing national, sub-national and local development plans and sectoral strategies align – in content and ambition – against the comprehensive scope of *The 2030 Agenda* and SDGs. This will provide the basis for establishing criteria for enhancing national plans whilst avoiding an à la carte approach. It will also be critical throughout the tailoring process to ensure that implementation targets do not fall below existing international standards, including legally-binding human rights obligations (OHCHR 2006).

This guidance builds on Section B2 which deals with multi-stakeholder processes because tailoring SDGs to national contexts is inherently a complex task, and as such, necessitates that multiple perspective are brought to bear in the process of doing so.

Guidance

Member States can undertake a process for comparing the content of existing national, sub-national and local development strategies and plans with the SDGs outlined in *The 2030 Agenda for Sustainable Development*. Doing so at all levels of government is important at this stage as it provides a map of the existing landscape of development strategies and plans across the country and creates a knowledge base for providing guidance with regard to both vertical and horizontal policy integration and coherence (sections B4 and B5, respectively).

Tailoring the SDGs to national contexts involves a multi-stage process whereby initial recommendations are made for addressing gaps and then undertaking a more in-depth systems analysis to prepare the foundation for creating policy coherence, identifying synergies and translating intermediate targets into national policy frameworks, including recognition of the interconnectedness of national, transnational, regional and global policy frameworks (by the country and on the country).

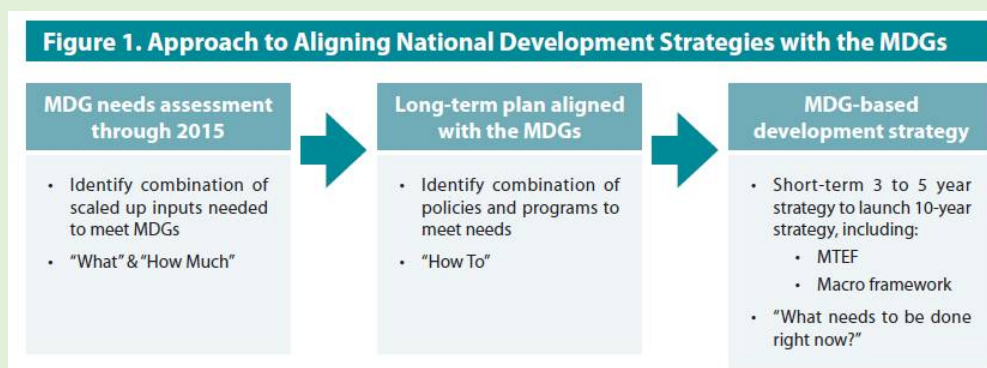
Specifically, the guidance offered in this section for UNCTs and Member States is four-fold:

1. **Reviewing existing strategies and plans and identifying areas for change:** to scan and detail the landscape of existing strategies and plans at the national, sub-national and local levels and then compare against the global SDGs and targets to identify gaps and provide the basis for recommending areas for change;
2. **Making initial recommendations to the leadership of the national government:** for addressing SDG gaps in existing strategies and plans;
3. **Setting nationally-relevant targets:** for nationally-tailored SDGs that are achievable, yet ambitious; and
4. **Formulating strategy and plans using systems thinking:** to incorporate the recommendations and the insights from the above steps into strategies and plans and matching ambition and commitments with resources and capacities.

MDG Lessons

The Experience in Mainstreaming the MDGs

By 2008, UNDP had helped 73 countries to align their National Development Strategies or PRSPs with the MDGs. PRSPs were a key entry point for MDG mainstreaming, as the MDG targets and indicators were translated into national targets and provided a framework to make national development strategies MDG-based.



Heavily indebted poor countries (HIPC) candidate countries needed to outline the investments they would make with the funds released from debt relief in the PRSP; this was a natural entry point for a comprehensive MDG approach to national planning. The UN Millennium Project and UNDP developed *Handbooks for Mainstreaming the MDGs into National Planning* (UNMP, 2005; UNDP, 2005). MDG needs assessment tools were developed to acquaint country-level planners with the human resource, infrastructure, and financial needs of key MDG-related interventions. Complementary policy guidelines and tools for developing a sustainable fiscal space for MDG-related investments were developed.

Source: Pizarro (2013).

Reviewing Existing Strategies and Plans and Identifying Areas for Change

The task of reviewing existing strategies and plans and identifying areas for change can be viewed as a two-step process involving: (a) scanning and detailing the landscape of existing strategies and plans; and (b) comparing existing goals and targets with the global SDGs and targets.

A) Scanning and Detailing the Landscape of Existing Strategies and Plans: Most countries today have some form of national strategy or plan. The common types of plans are:

- **National Level:** Long-term national vision / national development plan or strategy / Medium-term development plan / National strategy for sustainable development (NSDS) / National economic plan or green economy plan / National human rights action plan (NHRAP) / Poverty reduction strategy (PRSP) / Annual budget plan / Sector strategies / Regional strategies / Medium Term Expenditure and Financing Frameworks (MTEFFs);
- **Sub-national Level:** Development plan / Sustainable development strategy / Economic plan or green economy plan; and
- **Local Level:** Municipal plan / Local Agenda 21 or sustainable development strategy / Community quality of life, wellbeing, or sustainability indicators.

UNCTs could work with Member States to review existing strategies and plans to help identify where multiple strategies could be merged into one integrated plan, as in the case of Belize (see Innovative Case Example below); to explore how existing environmentally-focused sustainable development strategies could be broadened to also cover social and economic dimensions; to identify and eliminate implementation bottlenecks, and illuminate key synergies between national and sub-national goals.

Innovative Case Example: Merger of Development Plans in Belize

In the process of considering future SDG implementation in Belize through a collaboration among the Government of Belize and UNDESA & UNDP, the country's *Growth and Poverty Reduction Strategy* was merged with the *National Sustainable Development Strategy* into one unified and coherent strategy and planning process now called the *Growth and Sustainable Development Strategy*.

Source: UNDESA & UNDP (in UNDESA-DSD 2015a)

UNCTs and Member States can undertake, ideally as part of the *Introductory Workshop Series* introduced in Section B1, a scan of existing plans and strategies. This provides a hands on participatory exercise that stakeholders at the national, sub-national and local levels can do as a way to better understand the content of the SDGs as well as their own plans.

Recommendations made to the country by UN human rights mechanisms (such as the UPR) are a valuable sources of information on the existing commitments made by the country in different areas, including in relation to specific groups (such as women, children, and persons with disabilities) and specific issues (such as education, health, access to justice), which could contribute to this analysis. Human rights recommendations can also help identify which groups are “being left behind” (OHCHR, Universal Human Rights Index).

The UNITAR Post-2015 National Briefing Package (module 6, slides 55-60) provides a rough guide and template for doing such a scan of existing plans and strategies.

B) Comparing Existing Goals and Targets with the Global SDGs and Targets: Governments can undertake an analysis comparing the goals and targets contained in existing development plans to those in the SDGs in order to assess areas of compatibility or conflict as well as any gaps. This could be done at both the goal level (17 goals), and the target level (169 targets).

Comparisons at the goal level can ideally be accomplished as part of the *Introductory Workshop Series* introduced in Section B1, as an extension to the participatory scanning exercise described above. Such an exercise not only sensitizes stakeholders at the national, sub-national and local levels to the content of the SDGs, but also amplifies the content of their own plans.

UNITAR's National Briefings Package provides a simple tabular tool that stakeholders in a workshop setting can apply to make comparisons at the goal level between SDGs and existing plans (see slide 64 of module 6; Note that this requires participants to have access to a copy of their own plan during the workshop to use as a basis for the exercise).

A comparative analysis can also be undertaken at the target level. This is perhaps the most important aspect for policymaking. Given the large number of targets (169) supporting the 17 SDGs this analysis is best done at an expert working group level, rather than as part of a general participatory workshop setting described previously for the goal level.

A computer spreadsheet and workbook is well suited for such an analysis. A spreadsheet can be generated starting with an inventory of all 169 targets organized under the 17 goals in one column and adjacent columns used to identify the related target(s) from the existing plan and to provide a relative scoring as to how closely the targets are aligned.

Innovative Case Example: Germany's SDG Analysis Process

In 2015 the German Council for Sustainable Development (RNE) submitted its statement on *'Germany's Sustainability Architecture and the SDGs'* to the federal government. The comments contained in the statement were the result of two work phases.

In the first phase the present state of affairs was explored with over 80 experts and an interim report was drafted. To do so, RNE created an analysis spreadsheet for each SDG and used the services of a consultant to engage with experts to explore the analysis questions in the spreadsheet (e.g., does the SDG address a topic that Germany is dealing with domestically; Is Germany a type of provider of solutions in this regard).

In the second phase the RNE drafted a detailed set of recommendations with the involvement of the staff level of the federal ministries.

Source: RNE (2015) and personal communication with the RNE Secretary General.

Specific tools have also been created recently that can take the comparative analysis even further. For example, the U.K.-based Stakeholder Forum developed an *SDG Scorecard* that can serve as a tool "to illuminate a national conversation or consultation with stakeholders about the relative applicability of the different goals and targets in that country, so as to focus implementation strategies and action plans

around the highest priority elements.” The scorecard enables an expert to assess each global SDG target against each of the three following categories:

- *Applicability*: Is it relevant to domestic challenges and related public policy? Is it there already domestic action or policy relevant to the goal/target?
- *Implementability*: Is the goal/target realistically achievable within the timeframe outlined? Can the goal/target be easily translated into action at the national level? Is the necessary data currently available? and
- *Transformationalism*: Is the framework more ambitious than the mere continuation of current trends? Will the achievement of the goal/target result in more sustainable outcomes both domestically and globally? Does the goal/target address the root causes and drivers of the identified challenges?

The *Sustainability Analysis Grid Tool* developed by the éco-conseil de l’Université du Québec à Chicoutimi is another such tool that can be used to assess SDGs in a national context (éco-conseil 2015).

Making Initial SDG Recommendations to Leadership of the National Government

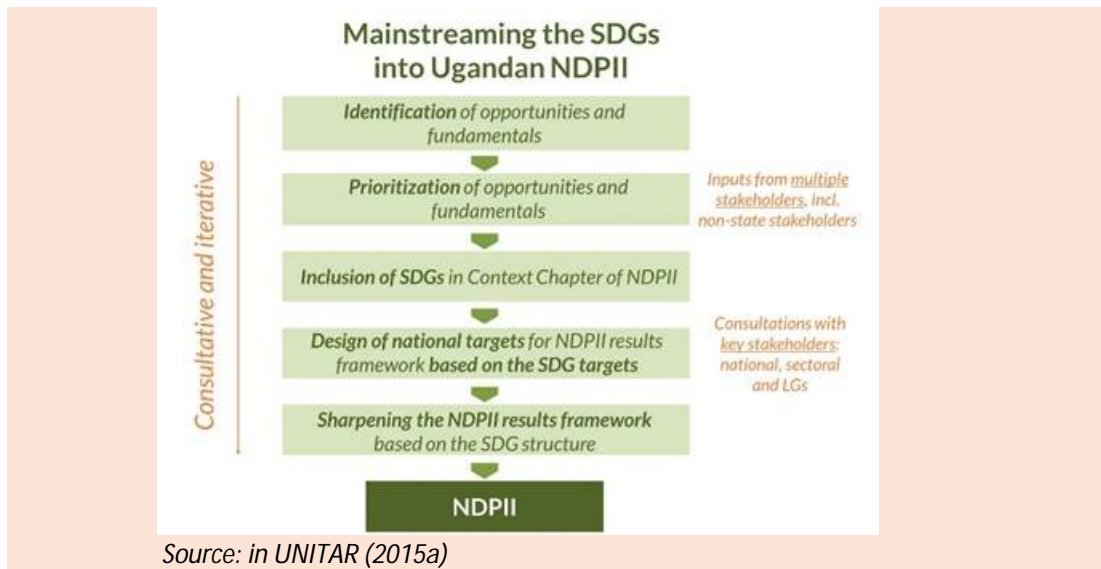
With a review in hand of how the goals of existing national strategies and plans already support the SDGs as well as any gap, government officials and stakeholders can explore initial recommendations to be delivered to the leadership of the national government relating to how the comprehensive scope of the SDGs across economic, social and environmental dimensions can help reach long-term national development objectives and how existing national plans could be augmented to support the SDGs and targets.

The exploration and formulation of recommendations delivered to leadership should address not only the substantive issues relating to the need for new or revised goals and targets, but also issues related to the means of implementation. This could include recommendations such as the integration of two separate planning tracks, as in the case of Belize (see previous Innovative Case Example), or how to bring the SDGs directly into the next national planning cycle, as in the case of Uganda (see Innovative Case Example Below).

Innovative Case Example: SDG Integration in Uganda’s Second National Development Plan

In its 2nd National Development Planning process in support of the country’s Vision 2040, the Government of Uganda discovered that the SDGs “offered an initial framework through which different sectors could trace their linkages to the national priority areas (in UNDESA-DSD 2015a).”

“SDGs were included directly in Chapter 3 of the NDP II that sets out the broader context for Ugandan development strategies. An important share of SDG targets was adjusted to national circumstances and included in the NDP II results framework. The Government is planning to further incorporate SDG targets and indicators in a more detailed results framework and refine it using the SDGs structure (in UNITAR 2015a).”



Given the complexity inherent in the task of making recommendations for SDG integration, a multi-stakeholder body or forum is uniquely able to deliver both the credibility and legitimacy of a diverse set of views in a timely and cost-effective manner.

The case of Germany, featured below, illustrates how recommendations for tailoring *The 2030 Agenda* and SDGs to the national context were explored, formulated and delivered by the independent German National Council for Sustainable Development (RNE). These recommendations addressed both means of implementation as well as specific recommendations to change their National Sustainable Development Strategy to revise existing goals and create new ones to help deliver the SDGs nationally and globally.

**Innovative Case Example:
SDG Recommendations to the German Government**

In 2015 the German Council for Sustainable Development (RNE) submitted its statement on ‘Germany’s Sustainability Architecture and the SDGs’ to the federal government. The content of the recommendation report included the following areas:

- **General:** 2 recommendations dealing with the publishing of the recommendations and broadening the public debate on sustainable development
- **Sustainability as a principle of action:** 3 recommendations identifying the existing national SD strategy as the appropriate instrument for implementing the SDGs, and addressing monitoring and review and global financial assistance.
- **Global partnerships:** 4 recommendations for advancing the use of national SD strategies around the world, including in the EU.
- **Germany’s responsibility:** 12 recommendations relating to new perspectives for a ‘German SD Strategy’, including a proposal for all goals to relate to 2030 as a rule, and for broad participation and involvement in implementing the strategy.
- **Redefinition of Germany’s sustainability architecture:** 8 recommendations relating to sustainability as a law-shaping principle and institutional interfaces between global and national.
- **Structure of the 2016 German Sustainability Strategy:** 8 recommendations relating to monitoring and peer review.
- **Germany’s 2016 goals for sustainable development:** 4 recommendations relating to the integration of SDGs in the national SD strategy.

- **Detailed proposals:** Recommendations providing more in-depth discussion across 29 sustainable development issue areas.

Source: RNE (2015).

Setting Nationally-Relevant Targets

Tailoring the SDGs to national contexts inherently involves Member States setting their own targets guided by the level of ambition of the global SDGs and targets, but taking into account national circumstances. UNCTs can assist Member States with general guidance for target setting in relation to the guidance offered below.

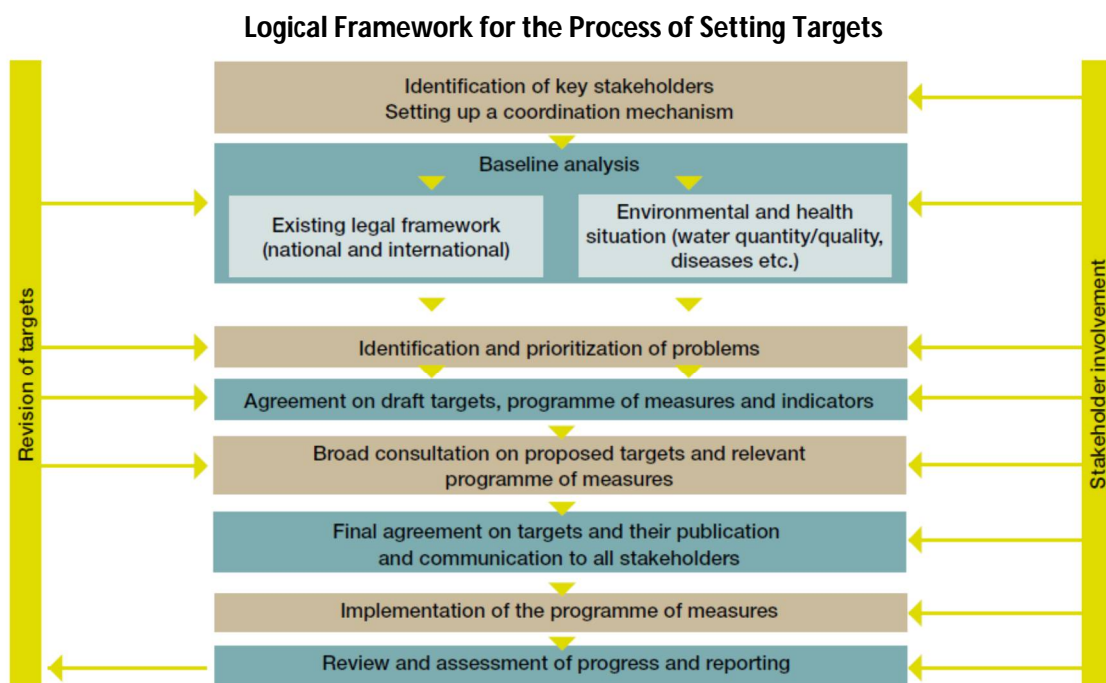
Setting time-bound targets requires the identification of specific indicators. At the global level, the SDGs and targets will be followed-up and reviewed using a set of global indicators. The global indicator framework will be developed by the UN Statistical Commission's *Inter Agency and Expert Group on SDG Indicators* by March 2016 and adopted thereafter by the Economic and Social Council and the General Assembly. Therefore target setting efforts by countries in the tailoring of SDGs to national contexts would most effectively work in step with this timeline.

Additionally, *The 2030 Agenda* recognizes "that baseline data for several of the targets remain unavailable" and calls for "increased support for strengthening data collection and capacity building in Member States, to develop national and global baselines where they do not yet exist." And through *The 2030 Agenda*, Member States "commit to addressing this gap in data collection so as to better inform the measurement of progress, in particular for those targets below which do not have clear numerical targets."

The setting of targets for any specific indicator can be informed by several different types of criteria, for example (UNEP 2007):

- *Benchmarks:* Comparison with a documented best-case performance related to the same variable within another entity or jurisdiction;
- *Thresholds:* The value of a key variable that will elicit a fundamental and irreversible change in the behaviour of the system;
- *Principles:* A broadly defined and often formally accepted rule;
- *Standards:* Nationally and/or internationally accepted value (i.e., a water quality standard); and
- *Policy-specified:* Determined in a political and/or technical process taking past performance and desirable outcomes into account.

In most situations, target setting is an involved process that is both deliberative and analytical. For example, consider the logical framework for the process of setting targets used by the United Nations Economic Commission for Europe and the World Health Organization in the context of the Convention on the Protection and Use of Trans-boundary Watercourses and International Lakes. In this case, the process of setting targets begins with the identification of key stakeholders and proceeds with baseline analyses to inform the agreement of broad-based targets and further consultation to agree on specific targets.



From: UNECE & WHO (2010)

Formulating Strategies and Plans Using Systems Thinking

This step involves the obvious, yet challenging task of incorporating the relevant SDG gap recommendations into the national development plan and supporting sector plans. Every Member State has in place their own procedures for creating a national strategy or plan, and these should be the focus for implementing SDG recommendations. UNCTs could begin discussing with Member States how to incorporate systems thinking approaches and tools to help prioritize key policies, programmes and projects that have the greatest potential for systems-level change and realizing co-benefits across multiple issue areas.

The case of Belize is a good example of the incorporation of systems thinking in the formulation of their national development plan (see Innovative Case Example Below).

Innovative Case Example:

Systems Thinking and Strategy Formulation in Belize

UNDESA-DSD jointly with UNDP provided technical assistance to the Belize government in 2014-15 in relation to SDG integration. The VISIS methodology was used to guide the assistance (*Vision > Indicators > Systems > Innovation > Strategy*; Atkisson 2010) and as part of this process insights on key cause-and-effect linkages emerged yielding important policy linkages across immigration, health and environmental issues (Atkisson 2015).

Additionally, the Belize government created a multi-factor analysis tool to help prioritize actions that have the greatest potential for system-level change (see below).

1. Level of Urgency <i>Degree to which an action is required in order to avoid near-term, system-critical disruptions or missed opportunities</i>	2. Level of Impact <i>Degree to which an action leads to visible and measurable improvements in quality of life in the medium term</i>	3. Availability of Resources <i>Extent to which resources (budgetary or external) have already been, or can be, committed to the action</i>	4. Net Systemic Contribution <i>Extent to which an action contributes, over time, to the integrated achievement of the Critical Success Factors</i>
High = Failure to implement the action in the near-term is likely to result in serious damage to the current and future prospects of Belize, as reflected in the Critical Success Factors	High = The action will lead to quick, visible, and measurable improvements in quality of life for Belizeans	High = Funds and human resources are already allocated, can easily be allocated, or can (with high levels of certainty) be mobilized from extra-governmental sources	High = The action contributes to advancing multiple (or even all) Critical Success Factors in the medium and long term
Medium = The action is desirable in the medium term and delay in implementation significantly increases the risk that objectives will not be met in a timely fashion	Medium = The action will have a noticeable and measurable positive effect on quality of life in the medium term, but the effects will be more noticeable in subsequent periods	Medium = Resources are expected to be available for allocation, with lower levels of certainty	Medium = The action contributes to advancing one or two Critical Success Factors, with little to no trade-off required regarding the other CSFs
Low = The action can be postponed at low risk to the current and future prospects of Belize	Low = The positive effects of the action on quality of life will not be felt or be measurable until after the current planning period	Low = Political and economic circumstances make it very difficult to identify and/or allocate resources at this time	Low = The action advances only one Critical Success Factor, at the expense of progress on (or at the cost of damage to) other CSFs

Source: in UNITAR (2015a)

The importance of implementing cross-cutting programmes and policies was emphasized at the 2014 Sustainable Development Transition Forum hosted by the UN Office for Sustainable Development. Participants at this global forum agreed that “anticipating the very real challenges that all countries will face in securing adequate financing for sustainable development and the future fiscal pressures posed by climate change adaptation and recovery from economic shocks, doing more with less will become a basic operating principle in the decades ahead (UNOSD 2014).”

Toolkit

UNITAR National Briefing Package

- Scanning the landscape of existing strategies and plans: UNITAR Module 6, slides 55-60.
- Comparative analysis of SDGs and existing goals (goal level): UNITAR Module 6, slide 64.

Self-Generated SDG Comparative Analysis Tool Using MS Excel

A robust tool for comparing existing plans to SDGs can be self-generated using a basic MS Excel Workbook. The workbook could contain types of worksheets:

- Scanning Worksheet: to provide a means for recording all of the existing plans at the national, sub-national and local levels; and
- SDG Comparative Worksheets: to compare the goals and targets of each existing plan to the SDGs in order to identify gaps (SDGs not addressed sufficiently) and synergies (how SDGs are already being addressed sufficiently);
- SDG Coordination Worksheet: to identify government agencies currently involved in the SDG related targets, map stakeholder groupings and list the existing coordination mechanisms; and
- SDG Recommendations Worksheet: to make specific recommendations for addressing SDG gaps, including who should be engaged to create new goals and targets, and what existing coordination mechanisms can be leveraged in doing so.

SDG Scorecard

Created by the U.K.-based Stakeholder Forum, the SDG Scorecard enables an assessment of each global SDG target in relation to its applicability, implementability and transformative potential in a national context (Stakeholder Forum 2015).

Sustainability Analysis Grid Tool

Advanced tools have been developed over the years for analysing existing plans and projects for their alignment with sustainability principles, and some of these have already been customized to work with the SDGs. For example, éco-conseil de l'Université du Québec à Chicoutimi, has developed the *Sustainability Analysis Grid* tool (éco-conseil 2015). This tool was featured at the 2015 UNDESA Workshop on Integrated Approaches to Sustainable Development (UNDESA-DSD 2015a) and is being adapted for application to SDGs at the national level (Villeneuve 2015).

Logical Framework for the Process of Setting Targets

Used by the United Nations Economic Commission for Europe and the World Health Organization in the context of the Convention on the Protection and Use of Trans-boundary Watercourses and International Lakes (UNECE & WHO 2010).

Systems Thinking and Strategy Formulation

- *VISIS (Vision > Indicators > Systems > Innovation > Strategy)* is "an open-source methodology for interdisciplinary collaboration in the context of sustainable development (Atkisson 2015; Atkisson 2010)."
- Belize's Multi-Factor Analysis Tool for Action Prioritization (UNITAR 2015a).

Human Rights Guidance

- UN Common Learning Package on HRBA to Programming (UNDG-Human Rights Working Group 2011)
- The UN Practitioners' Portal on Human Rights Based Approaches to Programming (www.hrbportal.org)
- Human Rights and Gender Equality in Health Sector Strategies: How to Assess Policy Coherence (OHCHR, WHO, SIDA 2011)..
- Technical Guidance on the Application of a Human Rights-Based Approach to the Implementation of Policies and Programmes to Reduce Preventable Maternal Morbidity and Mortality (OHCHR 2012).
- Technical Guidance on the Application of a Human Rights-based Approach to the Implementation of Policies and Programmes to Reduce and Eliminate Preventable Mortality and Morbidity of Children Under 5 Years of Age. OHCHR (2014).

Gender Mainstreaming Guidance

- Repository of gender mainstreaming policies in UN System entities (UN Women, 2015)
- Repository of tools and resources for gender mainstreaming (UN Women, 2015)

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Section B4: Creating Horizontal Policy Coherence (breaking the silos)

Purpose

“The challenges and commitments contained in these major conferences and summits are interrelated and call for integrated solutions. To address them effectively, a new approach is needed. Sustainable development recognizes that eradicating poverty in all its forms and dimensions, combatting inequality within and among countries, preserving the planet, creating sustained, inclusive and sustainable economic growth and fostering social inclusion are linked to each other and are interdependent.”

The 2030 Agenda for Sustainable Development (UN 2015)

The purpose of this section is to heed *The 2030 Agenda's* call ‘for integrated solutions’ by featuring guidance and tools that connect and break down traditional sector silos and create horizontal policy coherence, integration and partnerships. This is relevant to all levels of governance: national, sub-national and local.

Guidance

There is for the most part, a shared understanding of the inherent interconnectedness and complexity of sustainable development. But what has remained mostly elusive over the years is how to deal with this reality. How do we undertake strategy-making, planning and policy-making that is based in systems thinking and delivers an integrated view?

Fortunately, some very useful approaches and tools have been developed over the past decades since the 1992 Earth Summit. But they require considerable effort and strong leadership to apply, and for that reason, their application in development planning is still somewhat limited. *The 2030 Agenda* is telling us that time is of the essence on most critical issues (see quotation above) – it is asking us to urgently roll up our sleeves, so-to-speak, and to use ‘integrated solutions’ with ‘new approaches.’

The guidance provided in this section for creating horizontal policy coherence, integration and partnerships is three-fold:

1. **Integrated policy analysis:** to ensure that proposed policies, programmes and targets are supportive of nationally tailored SDGs;
2. **Coordinated institutional mechanisms:** to create formal partnerships across sectoral line ministries and agencies;
3. **Integrated modelling:** to help clarify and articulate the interconnected system of goals and targets and to analyse and inform key policies, programs and projects for their impact on nationally-tailored SDGs.

Integrated Policy Analysis

Integrated policy analysis is an approach that UNCTs could share with Member States as a means to screen policy and programme proposals for their potential to either benefit or negatively impact on specific national issues of concern. The approach then ideally asks for policy revisions before they can be submitted to cabinet for approval.

Two countries in particular provide good examples and guidance for integrated policy analysis: Bhutan and Switzerland. Consider first Bhutan's *Gross National Happiness Policy Screening Tool*, featured in the Innovative Case Example below.

Innovative Case Example:

Application of Bhutan's GNH Policy Screening Tool

Gross National Happiness (GNH) comprises four pillars and nine domains and is Bhutan's "holistic and sustainable approach to development (GNH Centre 2015a)." The *GNH Policy Screening Tool* is used by the government's Gross National Happiness Commission to "assess/review all draft policies, programmes and projects through a GNH lens" and furthermore, "[w]hilst it is not the determining factor for ultimately approving/endorsing policy, it highlights specific recommendations and feedback to review the policy within the scope of the 9 domains of GNH (GNH Centre, 2015b)."



"An intriguing example of the screening tool in action was the proposal for Bhutan's accession to the WTO. Initially 19 of 24 GNHCS (Gross National Happiness Commission Secretariat) officers voted in favour of joining. After putting the policy through the Screening Tool, 19 officers voted against on the basis that the policy was not GNH favourable. To date Bhutan has not joined the WTO."

Source: GNH Centre (2015b). Additional information in GNH Commission (2015) and UNOSD (2014)

Switzerland has a long history of applying integrated policy analysis methods in the form of 'sustainability assessment (SA). The Federal Office for Spatial Development (ARE) provides guidelines and tools for SA which are "intended as instructions on how to evaluate Federal Government initiatives (laws, programmes, strategies, concepts and projects) to find out how they comply with the principles of sustainable development (ARE 2015)." Accompanying the online SA guidelines is an MS Excel-based tool to help government officers to conduct assessments.

In addition, the Swiss ARE collaborated with representatives from 30 Swiss cantons and local municipalities to prepare guidelines for "assessing project sustainability at cantonal and municipal level (ARE 2015)." The guidelines are available online and describe the benefits of assessment, how the sustainability assessment process can be initiated and provides assistance for choosing the right assessment tool (ARE 2015)."

Coordinated Institutional Mechanisms

Formalized institutional mechanisms in the form of inter-agency coordinating bodies are another key approach that UNCTs could discuss with Member States for purposes of creating horizontal policy coherence, integration and partnerships. With the involvement of the highest level offices in government

(i.e., Prime Ministers and Presidents offices, Cabinet Offices), these coordinating institutions can serve to connect and break down silos across government.

Good practice examples in Bhutan and Finland provide relevant guidance for this aspect. Bhutan's *Gross National Happiness (GNH) Commission* is an example of an inter-agency coordinating body designed to foster horizontal coherence, integration and partnerships across government sectors. The GNH Commission is "the Government of Bhutan's Planning Commission and is charged with ensuring that GNH is mainstreamed into government planning, policy making and implementation (GNH Centre 2015c). The GNH Commission coordinates the country's Five Year Plan (FYP) process and is composed of all ministry secretaries with planning officers that provide links between individual ministries and the GNH Commission (Bertelsmann Stiftung 2013b).

The inter-ministerial secretariat of the *Finnish National Commission for Sustainable Development (FNCSD)* is another example of an inter-agency coordinating body that facilitates horizontal policy coherence, integration and partnerships. Steered by the Ministry of the Environment, the secretariat "comprises of about 20 members from different ministries, each taking the lead in preparing themes within their area of expertise (ESDN 2015)." The secretariat facilitated horizontal coordination over the years, including striking a sub-committee for integrating multiple strategies from across government and other stakeholder groups (Bertelsmann Stiftung 2013c).

Integrated Modelling of the System of Interconnected Goals and Targets

The 2030 Agenda states that the SDGs are "integrated and indivisible and balance the three dimensions of sustainable development: the economic, social and environmental." This statement highlights the imperative of an integrated approach to contextualizing issues and planning, implementing and monitoring their solutions.

While the basic groundwork for tailoring the SDGs to national context can be set through deliberative processes such as described above, tailoring of specific targets requires more detailed analysis and deliberation. UNCTs could discuss with Member States approaches for: (i) 'mapping' the system of interconnections among a nation's goals and targets; and (ii) support the mapping with integrated models to better understand and inform the setting of potential targets.

Mapping Interconnections of goals and targets: Social network analysis (SNA) is a strategy for investigating social structures through the use of network and graph theories (Wikipedia 2015, Otte and Ronald 2002). It has been used by the UNDESA to map the interconnectedness among the 17 SDGs and its 169 targets and can provide important insights for policy coherence and integration when applied in the national context (see innovative case example below).

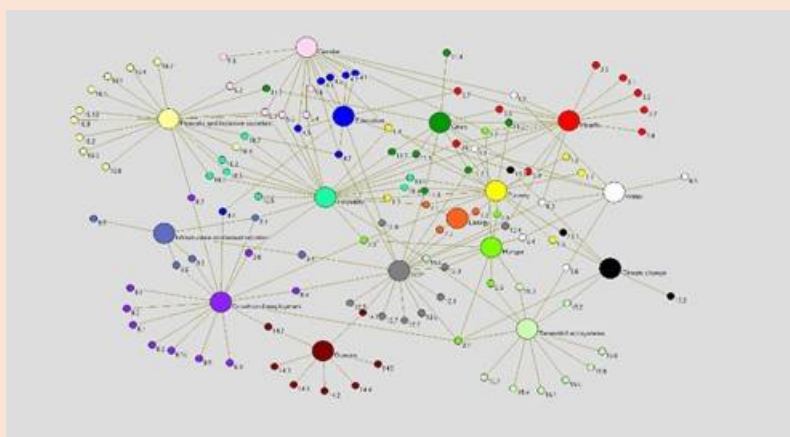
Although the analysis was done at the global level, UNCTs could share such approaches with Member States to undertake similar analysis at the national level also (UNDESA 2015b).

Innovative Case Example: UNDESA Analysis of the SDGs as a Network of Targets

Using network analysis techniques, UNDESA revealed that the SDGs and targets can be seen as a network, in which links among goals exist through targets that refer to multiple goals.

"Because of these connections, the structure of the set of SDGs has implications for policy integration and coherence across areas. For many of the thematic areas covered by the SDGs, targets

relating to those areas are found not only under their namesake goal (when it exists), but across a range of other goals as well. In designing and monitoring their work, agencies concerned with a specific goal (e.g. education, health, economic growth) will have to take into account targets that refer to other goals, which, due to the normative clout of the SDGs for development work coming forward, may provide stronger incentives than in the past for cross-sector, integrated work. Similarly, for institutions concerned with monitoring and evaluation of progress under the goals, it will be necessary to look at multiple goals – indeed, all those which include targets referring to one institution’s area of interest. This may enable greater integration across goals.”



Note: The sixteen SDGs are represented as broader circles of differing colors, while targets are figured by smaller circles and have the color of the goal under which they figure.

Source: UNDESA (2015b)

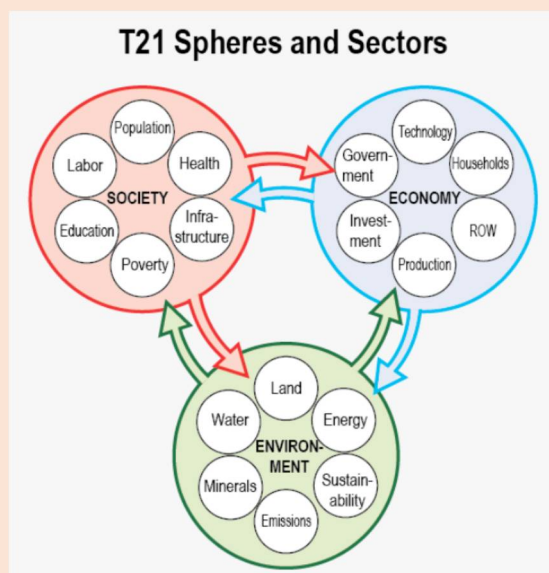
Use of Integrated Modelling Tools: Government planning agencies can use integrated modelling tools to gain a systems-wide perspective on sustainable development issues to inform the setting or achievable and ambitious targets for plans and policies.

UNDESA’s 2015 workshop on Integrated Approaches to Sustainable Development (IASD) hosted by the Division for Sustainable Development feature many such tools in its deliberations (Crawford 2015). For example, the Millennium Institute’s *Threshold 21* model has been applied by governments in the national planning process to generate “scenarios describing the future consequences of the proposed strategies (MI 2015).” In Mali the T21 model was applied to support the country’s poverty reduction strategy and analyze the coherence between the strategy and the MDGs (MI 2015). In Kenya the model was used to analyze the risks of climate change on multiple economic sectors (see the Innovative Case Example below). A companion model has recently been developed by the Millennium Institute, iSDG, which “simulates the fundamental trends for SDGs until 2030 under a business-as-usual scenario, and supports the analysis of relevant alternative scenarios (MI 2015).”

Innovative Case Example: Integrated Modelling to Support National Development Planning in Kenya

The Millennium Institute’s *Threshold 21* (T21) model was applied by the Kenyan Government to “develop more coherent adaptation policies that encourage sustainable development, poverty eradication, and increased wellbeing of vulnerable groups within the context of Kenya’s Vision 2030 program (MI 2015).” In particular, the T21-Kenya model was customized to “enable simulations of

policies to attain selected MDGs and specific aspects of Kenya Vision 2030 particularly on the economic and social pillars (MI 2011)."



From: UNDP (2012)

Customization of the T21 model for Kenya used a multi-stakeholder participatory process involving participants from diverse sectors. Development of the model was also accompanied by in-depth training of the participants in System Dynamics modelling and model development. The T21-Kenya model was used by Kenya's Macro Planning Directorate, Ministry of State for Planning, National Development and Vision 2030, where a core team of 12 modellers were trained to maintain T21-Kenya and use it for policy scenario analysis, with a larger group of 25 government official were also trained in the more general use of System Dynamics and T21. [Source: MI (2011)]

Economy-wide models are another type of integrated modelling approach that governments can use (Sánchez 2015). Examples include the World Bank's MAMS model (Maquette for MDG Simulations) which is a "dynamic Computable General Equilibrium (CGE) model that has been extended to cover the generation of outcomes in terms of growth, MDGs, and the educational make-up of the labor force, as well as the interaction of these outcomes with other aspects of economic performance (World Bank 2015)."

Additionally, UNDESA has used integrated macro-micro modeling with the objective to "strengthen the capacity of policymakers to formulate countercyclical policies that may help mitigate the adverse impacts of the global economic crisis and other external shocks and put countries back on track to timely achieve the MDGs by 2015 (UNDESA 2013)."

Innovative Case Example:

Decision Theatres – The Future of Evidence-based Policy-making

There is a growing trend in the construction of 'Decision Theaters' for bringing together the benefits of integrated modelling with multi-stakeholder deliberation in a visually-immersive environment. *Decision Theaters* have been referred to as the future of evidence-based policy-making

(Cornforth et al. 2014), with facilities operating in the United States (ASU 2015), Canada (UBC 2015), and China (HUST 2015).

Decision Theater at Arizona State University



Source: ASU (2015)

Arizona State University was a pioneer in the development of *Decision Theaters*. With two facilities situated in Arizona and Washington, D.C., ASU provides “meeting rooms with large-format displays and on-site computer systems, tools and personnel that can provide specialized geographic information systems (GIS), systems modeling, business intelligence, 3D spatial modeling and simulation (ASU 2015).” The ASU Decision Theater has assisted with a range of policy issues in the U.S. including pandemic preparedness, energy grid planning and sustainable water use.

Toolkit

UNITAR National Briefing Package

- Module 3: Working Together on the Sustainable Development Goals (UNITAR 2015b).

Integrated Policy Analysis Tools

- Bhutan GNH Policy Screening Tool (GNH Centre 2015b).
- Swiss Sustainability Assessment at Federal and Canton level (ARE 2015).

Institutional Coordinating Mechanisms

- Bhutan GNH Commission (GNH Centre 2015c).
- Inter-ministerial network of the Finnish National Commission for Sustainable Development (ESDN 2015).

Network Mapping Tools

- *Pajek* (Slovene word for ‘spider’) is a windows-based program for the analysis of very large networks. This program was used by UNDESA in its social network analysis of the SDGs and targets. (Mrvar and Batagelj 2015).
- *Sentinal Visualizer* is a program for “advanced link analysis, data visualization, geospatial mapping, and social network analysis (FMS-ASG 2015).” It has been used by the UN Office for Sustainable Development to map the connections among knowledge networks.
- ‘*A Reader’s Guide to Social Network Analysis (SNA) Software*’ provides a website link to a comprehensive listing of network mapping software (Huisman and van Duijn 2011).

Integrated Models

Some examples of integrated models include:

- Threshold 21 (T21) and iSDG (MI 2015)
- CLEWs – Climate, Land-use, Energy and Water Strategies (Howells et al. 2013)
- MAMS (World Bank 2015)
- Integrated micro-macro modeling (UNDESA 2013)

Gender Mainstreaming Guidance

- Gender Mainstreaming in Development Programming – A Guidance Note (UN Women 2014)

Decision Theatres

- Arizona State University Decision Theater in the U.S. (ASU 2015)
- Huazhong University of Science and Technology in China (HUST 2015)
- Decision Theatre at the Center for Interactive Research on Sustainability, University of British Columbia, Canada (UBC 2015)

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Section B5: Creating Vertical Policy Coherence (*glocalizing* the Agenda)

Purpose

“Local and Regional Governments (LRGs) are critical for promoting inclusive sustainable development within their territories, and as such for the implementation of the post- 2015 agenda.”

“Local strategic planning would allow a greater integration of the three pillars of development: social, economic and environmental. Likewise, further integration between urban and rural areas needs to be promoted, in order to foster greater territorial cohesion.”

Post-2015 Dialogues on Implementation (UNDG 2015)

Creating policy coherence, integration and partnerships in the vertical direction among governments, civil society, the private sector and other actors is the essential and complimentary aspect to the horizontality described in Section B4. ‘Glocalizing’ the agenda within a country is an imperative if the SDGs are to be realized in the 2030 timeframe. The word ‘glocal’ means reflecting both local and global considerations⁹. While examples of successful vertical coherence across national, sub-national and local governance scales around are not plentiful, the level of activity emanating from the local and sub-national levels towards achieving sustainable development, quality of life and wellbeing is abundant, in all corners of the globe (Bertelsmann Stiftung 2013c). And with this, we can be optimistic that mechanisms for creating vertical policy coherence and integration can indeed be realized.

Guidance

UNCTs can begin exploring with Member States the various mechanisms available for creating vertical policy coherence, integration and partnerships. The guidance provided in this section is five-fold, proposing the use of:

- **Institutional coordinating mechanisms:** to foster partnerships and coordination across levels of government;
- **Multi-stakeholder consultative bodies and forums:** to create partnership and coordination;
- **Local Agenda 21s and networks:** for scaling up action for sustainable development at the local level;
- **Monitoring and review at the local level:** as a means for localizing nationally-tailored SDGs;
- **Impact assessment processes:** to ensure that nationally and locally-tailored SDGs are taken into consideration in large public and private development projects;
- **Integrated modelling:** to explore the benefits and impacts of key national policies and programs at sub-national and local levels.

MDG Lessons

Localization of MDGs: Factors for Success and the Case of Albania

Looking at the growing body of literature and case studies, four broad factors appear to be critical to the success of MDG localization efforts. These include:

- Involvement of non-state actors;
- Capacity at the local level;

⁹ See Oxford Dictionaries at: <http://www.oxforddictionaries.com/definition/english/glocal>

- Coordination across development policies and strategies, and coherence between different levels of government; and
- Availability of financial resources.

Albania: Strengthening Civil Society and Local Government Cooperation

A rapid shift from a central party system to a multi-party democracy in 1991 introduced new concepts to the national and local governments and citizens of Albania. There was no tradition of citizen engagement in planning processes, and the idea of government being accountable for the services it provides was new.

SNV and UNDP supported local governments and civil society in participatory planning processes in a project with three distinct phases: first, a needs assessment was done; second, a package of capacity development interventions. Among the lessons learned from the initiative were the following:

- Partnerships for capacity development can only be successful if they put the client's interest first – in this case, the local governments and CSOs in Albania. Furthermore, a thorough capacity assessment is crucial to develop a full understanding of the needs, and to ensure that any support that is provided is demand driven.
- A key factor in the success of this project was the willingness of regional and municipal governments to enter into a constructive dialogue with CSOs to engage in more participatory planning processes. The government, however, did not know how to find the right entry points to consult with the people. The CSO networks could provide such entry points.
- The project approach of working with and relying on local partners (CSOs and CSDCs) to bring in local knowledge and expertise proved very successful in understanding the capacity constraints and strengths of local non-state actors. The choice of civil society partners was crucial. Credibility in the eyes of local government was essential to gain their confidence in the process, which is a prerequisite for institutionalization of consultative mechanisms between civil society and local government. Furthermore, the approach of working with local organizations to support the capacity development of civil society builds confidence among local actors, and invests in the long-term sustainability of capacity development interventions.
- In Albania, the long-term presence of SNV in Fier and Peshkopi contributed to the success of the programme. Local authorities and civil society had trust in SNV, which facilitated a good start and constructive collaboration with SNV and UNDP.

Source: SNV and UNDP (2009)

Institutional Coordinating Mechanisms

To promote vertical coherence and integration governments can create explicit institutional links between sustainable development strategies and supporting processes at the federal and sub-national levels.

In Austria for example, a common strategy framework was prepared in the form of the Federal-State Austrian Strategy for Sustainable Development (ÖSTRAT) with “the desire to combine the strengths of the state and federal levels in a common strategic and organizational framework (Austria 2015).” A number of vertical coordination mechanisms were put in place under this common framework, including: (i) an Expert Conference on Sustainability Coordinators; and (ii) Working Group on Distributed Sustainability Strategy (Local Agenda 21) which serves as a “platform of LA21 coordinators of the Länders and the federal government for the results-oriented implementation of the *Joint Declaration on Local Agenda 21* in Austria (Austria 2015).”

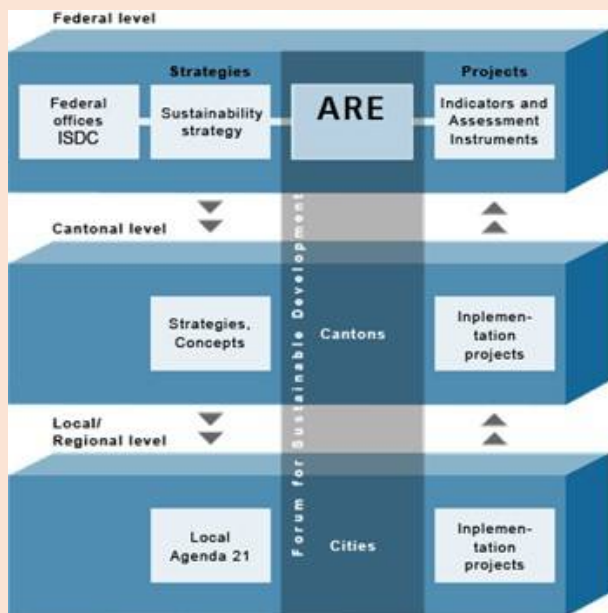
In Switzerland, the Swiss Federal Office for Sustainable Development (ARE) leads an array of horizontal and vertical coherence, integration and partnership mechanisms (ESDN 2012). For more information see the Innovative Case Example below.

Innovative Case Example:

Swiss Vertical Coordination Across Federal, Canton and Municipal Levels

Accountability and implementation of Switzerland’s sustainable development strategy uses institutional mechanisms for creating both vertical and horizontal coherence, integration and partnerships:

- The **Federal Council** has supreme political responsibility for Switzerland's sustainability policy
- The Federal Council gives the **Federal Office for Spatial Development (ARE)** the task of coordinating the implementation of a sustainability strategy (controlling implementation as well as performing monitoring and evaluation tasks) at federal level and also in collaboration with cantons, municipalities and other stakeholders.
- The **Interdepartmental Sustainable Development Committee (ISDC)** is headed by ARE. This committee furthers the Confederation's sustainable development policy, and serves as a platform for sharing information on the Confederation's numerous sustainability activities. Around 30 Swiss government agencies affiliated to ISDC perform tasks relevant to sustainable development.
- In the **Sustainable Development Forum**, ARE works closely with cantons and municipalities and promotes sustainability processes at cantonal, regional and local level.



Source: ARE (2015d). See also, ESDN (2012)

Multi-stakeholder Consultative Bodies and Fora

Multi-stakeholder bodies can be leveraged by governments to create vertical policy coherence across levels of governance. The European Sustainable Development Network (ESDN) describes how consultative bodies have served as important vertical coordination mechanisms for sustainable development strategies and their implementation in Europe. It is noted that while consultative bodies “provide some

platforms for coordination of policies between the political levels”, compared to the institutional mechanisms described above, “coordination is done more on a case-by-case or ad-hoc basis (either in a specific project or in a specific policy topic) (ESDN 2010).” For guidance on applying multi-stakeholder approaches, including consultative bodies and forums, see Section B2.

**Innovative Case Example:
City to City – South South Cooperation**

City-to-city South South Cooperation has emerged as an effective way to share knowledge and solutions and contribute to the localization of the sustainable development agenda. The ILO and the United Cities and Local Governments (UCLG) have signed an agreement to promote bottom-up interventions responding to local needs to create decent jobs and boost local economic and social development. Recent activities have stimulated cooperation between Maputo (Mozambique), Durban (South Africa) and Belo Horizonte (Brazil) in the promotion of safe and health work environments in the informal economy.

Source: ILO (2013) City-to-City and South-South and Triangular Cooperation, Geneva

Local Agenda 21 Processes and Networks

A *Local Agenda 21* is a concept for local sustainable development strategies born out of the 1992 Earth Summit. Through continued and increased support of Local Agenda 21 processes, national governments can realize a tremendous mechanism for creating vertical policy coherence.

Local Agenda 21s have achieved appreciable success in some countries over the past two decades. The Republic of Korea was an early adopter and by the year 2000 close to 86% of regional government units had adopted a Local Agenda 21, fostered in part by the country's National Action Plan of Agenda 21 through financial and capacity support and the establishment of the Korean Council for Local Agenda 21 made up of local government officers to better co-ordinate the implementation process (Swanson et al. 2004).

Today an even greater level of success can be witnessed in Spain's Basque Country. Udalsarea21 is a network of municipalities in Spain's Basque country whose mission is to “promote the effective establishment of the Action Plans of the Local Agenda 21 and to integrate sustainability criteria in all the municipal management areas.” In 2000 the vast majority of municipalities had not initiated a local Agenda 21 plan of action; however, by 2010 through effective promotion and networking, 95% of municipalities had approved plans. Cited among the main reasons for the network's success is “close coordination and alignment of Local Agenda 21 with supra-municipal policies” including the Basque Country's EcoEuskadi Sustainable Development Strategy 2020 (Udalsarea21 2012).

Switzerland too has a vibrant Local Agenda 21 process (ESDN 2012) where 239 municipalities have sustainability processes ongoing, representing about 35% of the population (ARE 2015d).

Monitoring and Review at the Local Level

Monitoring and review processes are an important mechanism for countries to create vertical policy coherence, integration and partnerships across levels of government.

In the context of monitoring there exists a tremendous opportunity today for localizing *The 2030 Agenda* through integration with *community indicator systems* in cities around the world. The U.S. Government

Accountability Office (GAO) cites *community indicators* as “a vehicle for encouraging civic engagement both through the system’s development process and through action once the indicator system is in place (GAO 2011).” The GAO also noted that such systems “help address community or national challenges by facilitating collaboration of various parties inside and outside of government” and “provide solutions to long-term challenges.” Community indicator systems are created and implemented in myriad ways, including by local government, civil society organizations, or a partnership among both (IISD 2014).

Innovative Case Example: Community Indicator Systems

The U.S.-based Community Indicators Consortium (CIC), an international network of local government monitoring systems across North America “seeks bridges that span the gap between community indicators use and performance measurement, providing ways for community groups and governments to coordinate efforts and jointly enhance knowledge about the use of indicators to leverage positive change (CIC, 2015).”

In 2013 the CIC recognized the efforts of the Jacksonville Community Council Inc. in the U.S. state of Florida “as one of the most enduring and impactful institutions in community indicators work (CIC 2013).” Since their inception in 1985, JCCI has released 30 community quality-of-life reports to help inform and catalyze community action (JCCI 2015).

Among the CIC’s 2014 Impact Award Winners was ‘Peg’, the Canadian city of Winnipeg’s state-of-the-art community indicator information system, in recognition of its unique interactive visual explorer, maps utility and indicator stories (CIC 2014, Peg, 2015).



Source: Peg (2015).

For specific guidance related to monitoring, review and accountability, see Section B7 of this Guidance Note.

Impact Assessment Processes

Project level and cumulative impact assessment processes represent opportunities for governments to localize nationally tailored SDGs given their place-based scope of application.

These assessments go by different names in different jurisdictions. Environmental Impact Assessment (EIA), Strategic Environmental Assessment (SEA), Social Impact Assessment (SIA), Regional Impact Assessment (RIA), Cumulative Effects Assessment (CEA) are but a few of the names and classes of impact assessment processes used by countries around the world to assess the future impacts of proposed public and private sector projects. Criteria used in these assessments could potentially be tailored to test their contribution to the long-term economic, social and environmental goals of national development plans and SDGs.

Integrated Modelling

Integrated modelling approaches of the type described in Section B4 for creating horizontal policy coherence, are also useful for achieving vertical coherence owing to their ability to explore regionally specific impacts of national strategies and policies.

MDG Lessons

Integrating the MDGs into the local development context: Lao PDR

The UNDP-supported Governance and Public Administration Reform (GPAR) and Service Delivery project - the District Development Fund (DDF) initiative lays out one structure that facilitated the integration of the MDGs into local development. Building on the core elements of the GPAR programme, the proposed approach for delivering MDG-based services to districts included the following elements:

- Building **legitimacy and commitment through wide awareness** in districts about the PM's Orders on strengthening district administration, and plans, targets and tasks for each district to achieve the MDGs by 2015.
- Developing **capacity and carrying out field assessments** as well as preparing local responses including dialogue with kumbans on validating baseline conditions related to MDGs, applying localized MDG planning tools and evidence based needs assessment and facilitating localized action plan preparations and resource allocation.
- Establishing **frameworks for providing and utilizing financial resources**, which would cover the provision and use of untied capital grants for expanding MDG-related infrastructure, provision and use of operational expenditure block grants to support MDG service delivery, use of scholarships, pensions, safety nets and social protection mechanisms for vulnerable households and individuals, implementation of the computerized National Accounting System, which will enable central monitoring of expenditures on real time basis, transparency and disclosure with local stakeholders, as well as comparative assessment with peers (other districts) on financial performance.
- Assigning tasks related to MDGs, and monitoring performance of district staff through clarification and revision of Job Descriptions, implementation of **Performance Management** and the use of Personnel Information Management System to support the above.
- Establishing a **One Door MDG Service Centre** to enable individuals and Village Chiefs to receive information and advice on support available under the MDGs, receive applications and plans for support like pensions, grants and sector services, and make suggestions and complaints on delays and difficulties.
- Disseminating information and creating linkages with external stakeholders including civil society, creating wide awareness and demand for services through community radio and access to information initiatives, forming village-level MDG Task Forces to address highly visible MDG issues, **leveraging and delegating specific MDG-related tasks to CSOs** depending on their strength, organizing progress reviews with kumban chiefs.

Source: UNDP Lao PDR.

Toolkit

Institutional Mechanisms

- Austrian Strategy for Sustainable Development (ÖSTRAT) (Austria 2015).
- Swiss Federal Office for Spatial Development (ARE 2015).
- Linking Regions and Central Governments: Contracts for Regional Development (OECD 2007)

Multi-stakeholder Approaches

- See Section B2 for tools on applying multi-stakeholder approaches
- Benchmarking Workshops: A Tool For Localizing the Millennium Development Goals (UNDP and SIPA (2003).

Local Agenda 21 Networks

- Udalsare21, Basque Network of Municipalities for Sustainability (Udalsarea21 2012).

Community Indicator System Examples

- Jacksonville Community Council Inc. (JCCI 2015).
- Peg Community Wellbeing Indicator System (PEG 2015).
- Governing Regional Development Policy - The Use of Performance Indicators (OECD 2009)

Integrated Models

- See Section B4.

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Section B6: Budgeting for the Future

Purpose

“Cohesive nationally owned sustainable development strategies, supported by integrated national financing frameworks, will be at the heart of our efforts.”

The 2030 Agenda for Sustainable Development (UN 2015)

As described above in the declaration of *The 2030 Agenda for Sustainable Development*, ambition and commitments with resources and capacities are paramount in the national adaptation and achievement of the SDGs. The purpose of this section is to provide guidance in the effective mobilization of financial resources for the achievement of nationally-tailored SDGs.

Guidance

The *2030 Agenda for Sustainable Development* declares that “The challenges and commitments contained in these major conferences and summits are interrelated and call for integrated solutions. To address them effectively, a new approach is needed.”

This section provides guidance to UNCTs and Member States in taking stock of the array of financing mechanisms available for implementing *The 2030 Agenda* with an emphasis on transforming national budgeting processes to support the results-based nature of the SDGs. Guidance offered is three-fold:

1. **Taking stock of the array of financing mechanism for The 2030 Agenda:** by considering all sources of financing as outlined in the Addis Ababa Action Agenda;
2. **Towards outcome-based and participatory budgeting:** to support the results-based framework and participatory nature of *The 2030 Agenda* and SDGs; and
3. **Budget mainstreaming:** for integrating specific issues into fiscal budgets.

Taking Stock of the Array of Financing Mechanisms for The 2030 Agenda

The Addis Ababa Action Agenda on financing for development outlines an array of financing mechanisms, the full scope of which should be considered for the implementation of *The 2030 Agenda*. UNCTs with the support of relevant UN agencies can provide assistance to Member States in crafting a diversified and high level financing strategy for achieving the SDGs by 2030.

The array of financing mechanisms in the Addis Ababa Action Agenda include:

➤ **Domestic public resources:** (para 22)

“We recognize that significant additional domestic public resources, supplemented by international assistance as appropriate, will be critical to realizing sustainable development and achieving the sustainable development goals. We commit to enhancing revenue administration through modernized, progressive tax systems, improved tax policy and more efficient tax collection. We will work to improve the fairness, transparency, efficiency and effectiveness of our tax systems, including by broadening the tax base and continuing efforts to integrate the informal sector into the formal economy in line with country circumstances. In this regard, we will strengthen international cooperation to support efforts to build capacity in developing countries, including through enhanced official development assistance (ODA). We welcome efforts by countries to set nationally defined domestic targets and timelines for enhancing domestic revenue as part of their national sustainable development strategies, and will support developing countries in need in reaching these targets.”

- **Domestic and international private business and finance:** (para 35)
 “Private business activity, investment and innovation are major drivers of productivity, inclusive economic growth and job creation. We acknowledge the diversity of the private sector, ranging from micro-enterprises to cooperatives to multinationals. We call on all businesses to apply their creativity and innovation to solving sustainable development challenges. We invite them to engage as partners in the development process, to invest in areas critical to sustainable development, and to shift to more sustainable consumption and production patterns. We welcome the significant growth in domestic private activity and international investment since Monterrey. Private international capital flows, particularly foreign direct investment, along with a stable international financial system, are vital complements to national development efforts. Nonetheless, we note that there are investment gaps in key sectors for sustainable development. Foreign direct investment is concentrated in a few sectors in many developing countries and often bypasses countries most in need, and international capital flows are often short-term oriented.”
- **International development cooperation:** (para 50)
 “International public finance plays an important role in complementing the efforts of countries to mobilize public resources domestically, especially in the poorest and most vulnerable countries with limited domestic resources. Our ambitious agenda puts significant demands on public budgets and capacities, which requires scaled-up and more effective international support, including both concessional and non-concessional financing. We welcome the increase of all forms of international public finance since Monterrey and are determined to step up our respective efforts in support of the post-2015 development agenda. We recognize that we share common goals and common ambitions to strengthen international development cooperation and maximize its effectiveness, transparency, impact and results. In this regard, we welcome the progress achieved in elaborating the principles that apply to our respective efforts to increase the impact of our cooperation. We will continue to strengthen our dialogue to enhance our common understanding and improve knowledge-sharing.”
- **International trade:** (para 79)
 “International trade is an engine for inclusive economic growth and poverty reduction, and contributes to the promotion of sustainable development. We will continue to promote a universal, rules-based, open, transparent, predictable, inclusive, non-discriminatory and equitable multilateral trading system under the World Trade Organization (WTO), as well as meaningful trade liberalization. Such a trading system encourages long-term investment in productive capacities. With appropriate supporting policies, infrastructure and an educated work force, trade can also help to promote productive employment and decent work, women’s empowerment and food security, as well as a reduction in inequality, and contribute to achieving the sustainable development goals.”
- **Debt and debt sustainability:** (para 93)
 “Borrowing is an important tool for financing investment critical to achieving sustainable development, including the sustainable development goals. Sovereign borrowing also allows government finance to play a countercyclical role over economic cycles. However, borrowing needs to be managed prudently. Since the Monterrey Consensus, strengthened macroeconomic and public resource management has led to a substantial decline in the vulnerability of many countries to sovereign debt distress, as has the substantial debt reduction through the Heavily Indebted Poor Countries (HIPC) initiative and Multilateral Debt Relief Initiative. Yet many countries remain vulnerable to debt crises and some are in the midst of crises, including a number of least developed countries, small island developing States and some developed countries. We acknowledge that debt sustainability challenges facing many least developed countries and small island developing States require urgent solutions, and the importance of ensuring debt sustainability to the smooth transition of countries that have graduated from least developed country status.”

Towards Outcome-based and Participatory Budgeting

As a preface to the guidance in this section, consider the following commentary on the typical traditional domestic budgeting approach:

“...the budget office sends out its annual budget instructions. Every department responds by proposing to spend what it spent last year – or more. Invariably departments propose additions to cover inflation, any caseload increase they expect, or any new mandates they have received. The new total is called ‘the base’, and any new cuts are made from this inflated number. In times like these, most managers know their budgets will be cut, so the smart ones build in enough padding so that their programs can perform, even after the trimming. In a huge game of hide-and-seek, a small army of budget analysts comb through their submissions, looking for the padding. The process absorbs enormous energy, under the reigning assumption that no one is telling the truth.”

Osborne and Moore (2010)

The advancement of monitoring and review capabilities and technologies over the past two decades has paved the way for the application of new outcome-based and participatory budgeting approaches and tools to more effectively target available resources for the public good. Such new approaches can be a cornerstone for the type of governance transformation needed to achieve the SDGs by 2030. UNCTs can work with Member States to develop capacity building programs to explore and implement outcome-based and participatory budgeting approaches, drawing on the experience of leading governments and experts.

Results-based Budgeting and Budgeting for Outcomes: *Results-based budgeting (RBB), or performance-based budgeting (PBB)* as it is also referred to, is a means for organizing and reporting a government’s allocation of fiscal resources along the lines of high-level goals. These approaches are recommended within this Guidance Note as a means for governments to provide a more transparent way for the public to see and understand the expenditure priorities of government, and to keep more systematic track of the alignment of fiscal resources with agreed goals and targets.

The *Results-based Budgeting Act* in the Canadian Province of Alberta provides an interesting case example of the type of budget reporting that is suited to outcome-focused agendas. The government’s annual performance report, ‘*Measuring Up*’ is a requirement of the *Government Accountability Act* and prepared under the direction of the Deputy Minister of Treasury Board and Finance (in IISD 2014). The *Measuring Up* report introduces *Results-based Budgeting* (RBB) as required in the *Results-based Budgeting Act* which became law in 2012. The RBB system “prioritizes the allocation of government resources to ensure the relevant programmes and services are meeting their intended outcomes; and, are being delivered in the most effective and efficient way possible (Government of Alberta, 2013a and 2013b).” Released every June, the *Measuring Up* performance report compares actual progress toward targets listed in the province’s three-year strategic plan and is reviewed by an Audit Committee established under the *Auditor General Act*.

Budgeting for Outcomes (BFO) is an innovative variant of RBB/PBB that takes the focus on performance further by creating a process for defining the outcomes that citizen’s want as the first step in the budgeting process. See below the innovative case example from the U.S. state of Washington for more information on this novel approach.

Innovative Case Example: Budgeting for Outcomes – State of Washington

Pioneered by the U.S. state of Washington, BFO turns the traditional budgeting process on its head by asking first what results the citizens want, rather than starting with the programs the agencies already fund (Osborne and Moore, 2010; Osborne and Hutchinson, 2006). The basic steps in the BFO process are as follows (Chrisinger 2010):

1. **“Set the price of government:** Decide up front how much citizens are willing to spend. Get political agreement on a revenue forecast and any tax or fee changes, or just go with the revenue forecast.
2. **Set the priorities of government:** Define the outcomes that matter most to citizens, with citizen input, and identify indicators to measure progress. Allocate the funds available among the priority outcomes.
3. **Develop a purchasing plan for each priority:** Create a team to act as a purchasing agent for citizens, including citizens, for each priority. Ask each team to research and identify the strategies that will best produce the desired outcome.
4. **Solicit “offers” to deliver the desired outcomes:** Have the teams issue “requests for outcomes” to all comers, public and potentially private: “tell us what outcomes you can deliver for what price.” Critique initial offers and negotiate better deals.
5. **Prioritize the offers:** For each outcome, fund the best offers, those that will provide the best results within the money available. Do not fund the other offers.
6. **Negotiate performance agreements with the chosen providers:** Spell out the expected outputs and outcomes, how they will be measured, the consequences for performance, and the flexibilities and support needed to maximize provider performance.”

After implementing BFO, Washington’s then governor won 64 percent of the vote in the next state election, and government itself liked the process, with the senate noting that “With the budget framed around ten desired results, and all activities listed in order of importance, including those that would be eliminated, legislators found the documents very clear” (Osborne & Moore, 2010). With participatory mechanisms already built into the BFO process, combined with the use of indicators for setting and monitoring targets, this approach is considered as a useful tool for the collective pursuit of sustainability, accountability and adaptability (IISD 2014).

Application of these types of outcome-based budgeting approaches requires the systematic use of a clearly defined results-based framework, or logical framework as it is often called. Most governments today have such a framework in place. Within the UN system for example and in the context of evaluating the impact of the MDGs, the UN Economic and Social Council uses the results-based framework terminology of *Inputs, Activities, Outputs, Outcomes and Impacts*, with Impacts being the highest order result (UNECOSOC 2015). Such a results-based framework serves as an important integrating platform across the related functions of planning, budgeting and reporting as described in Sections B2, B6 and B7, respectively.

Participatory Budgeting at the Local Level: In the same novel spirit as the *Budgeting for Outcomes* innovation described above, *Participatory Budgeting* (PB) is an approach that can be applied by governments to take budgeting one step further by involving citizens directly in the budgeting process.

The approach's roots can be traced back to the city of Porto Alegre, Brazil and "since 1989, PB has spread to over 1,500 cities in Latin America, North America, Asia, Africa, and Europe (PBP 2015)." Consider the Innovative Case Example below featuring the Brazilian city of Recife which was awarded an international prize in 2011 for vitalizing democracy (Bertelsmann Stiftung 2011a).

Innovative Case Example: Participatory Budgeting in Recife, Brazil

"Recife is a progressive coastal city and state capital with a population of 1.2 million persons. In the events preceding the 1988 constitution, expectations and demands for practical change were high. In many parts of the country, progressive governments were elected at the municipal level but found themselves without the financial resources needed to meet these demands. Faithful to election platforms of openness, the incoming administrations decided to discuss priorities directly with local residents and initiated the process currently known as —participatory budgeting."

The steps the community devised for participatory budgeting include the following:

- **“Informational meetings:** to explain how the PB works and encourage participation.
- **Registering Demands for the Regional PB Process:** groups of a minimum of 10 citizens submit up to two territory-based demands that need to be in different areas of public concern (e.g., education and paving, housing and sewage, economic development and health, etc.).
- **Regional and Thematic Plenary Sessions:** take place at the micro-regional level and once the top 10 demands for each micro-region are known, the electronic ballot voting begins. This is followed by thematic sessions where delegates meet to draw up the six most important priority issues for each thematic area, which are then presented for discussion and voting at the plenary sessions.
- **The Delegate Forums:** once the voting is over, the Thematic and Regional PB forums are initiated. These forums are made up of all elected delegates and will meet once a month.
- **The City Participatory Budgeting Council:** This council is the keystone of the whole PB structure. It is composed of two representatives from each micro-regional and thematic PB forum as well as one representative from each of the advisory municipal co-management councils for public policy issues mandated by the constitution. The council is responsible for discussing and developing the budget matrix proposal that will incorporate the different priorities presented throughout the PB process.
- **Voting the Budget Matrix Proposal:** the budget matrix proposal gradually takes shape in the different meetings and plenary sessions. Once ready, the budget matrix proposal is voted on by the PB Council.
- **Convincing of the Municipal Legislative Representatives:** Between five and seven PB councilors are selected to present the proposal to the municipal legislative council and to convince the legislators that the proposal represents the will of the people.
- **Deliberation on the Investment Plan:** Once the general budget matrix has been approved and the demands have been ranked in each micro-region, the regional forums begin discussing the details of the specific projects as well as reallocation issues. When the project is presented to the community, local residents are allowed to participate in an open discussion of the project and to suggest what they consider to be necessary changes. During this meeting, a monitoring commission is elected to follow-up on the implementation of each project or activity."

Source: Bertelsmann Stiftung (2011b)

Budget Mainstreaming

Budget mainstreaming is an approach that promotes the integration of specific issue areas into fiscal budgets. Gender mainstreaming is a prime example of this approach. For example, in Mexico a gender-mainstreaming tool was applied to identify and disaggregate how much is spent on women's issues in all sectors in a year (in UNDESA-DSD 2015).

In addition, the lack of data on the cost of translating policy commitments into resources and investments limits the effectiveness and impact of their interventions. Quantifying the lack of investment in gender

equality and women's rights is an important first step, as is the quantifying and monitoring of investment in children and adolescents. UN Women has developed a handbook that explores the rationale for costing gender equality and introduces the main approaches and methods, including step-by-step process for undertaking a costing exercise (UN Women 2015), and UNICEF has a number of innovative experiences in monitoring social expenditures related to children and using this monitoring as a basis for successful advocacy for increased and more effective social investment (e.g., Paraguay, Peru, etc.).

Environment is another issue area that has been the focus of budget mainstreaming approaches. The UNDP-UNEP Poverty-Environment Initiative has developed a guidebook for mainstreaming the environment for poverty reduction and sustainable development (UN-PEI 2015). Additionally, the UN Capital Development Fund (UNCDF) has created the '*Local Climate Adaptive Living Facility*' to support climate resilience at the local level (UNCDF 2013).

With regard to broader development issues, the UNCDF has created the 'Inclusive and Equitable Local Development (IELD)' programme to "support local governments to design, plan, implement and sustain local investments, with a particular emphasis on unlocking barriers to women's economic opportunities and empowerment (UNCDF 2014)."

Innovative Case Example

Mainstreaming Environment into the Budget Formulation Process, Malawi

Demonstrating the Benefits: The Malawi Ministry of Economic Development Planning, with support from the UNDP-UNEP Poverty-Environment Initiative (PEI), conducted an economic analysis of sustainable natural resource use in the country. The analysis showed that unsustainable natural resource use is costing the country the equivalent of 5.3 per cent of its GDP. It also found that soil erosion reduces agricultural productivity by 6 per cent; recovering this yield would lift an additional 1.88 million people out of poverty between 2005 and 2015.

Providing Guidance: The results of the economic analysis focused both the Ministry of Economic Development Planning and the Ministry of Finance on the concept of environmental sustainability. PEI provided specific guidance on how to better integrate sustainable environment and natural resource management in Malawi's budget process. To this end, along with the Overseas Development Institute, it developed guidelines that were adopted in 2012, and followed up with substantive dialogue with the government.

Results: The 2013/14 budget guidelines issued by the Ministry of Finance (Malawi Government 2014) included a chapter on adherence to the sustainability guidelines; this was further strengthened in the 2014/15 guidelines, which include references on how poverty reduction and growth are linked to environmental sustainability.

Source: UNDP-UNEP Poverty-Environment Initiative

Toolkit

Results-based Budgeting and Budgeting for Outcomes

- Performance-based Budgeting Manual (CLEAR 2015)
- Results-based Budgeting Act (Government of Alberta, 2013a and 2013b)
- Budgeting for Outcomes methodology (Chrisinger 2010; Osborne and Hutchinson 2006)
- Local government fiscal transfer system: Performance Based Grants and Local Development Funds (UNDG Tools Synthesis 2015)

Participatory Budgeting

- City of Recife, Brazil, Participatory Budgeting (Bertelsmann Stiftung 2011b)
- The Participatory Budgeting Project, Sample Materials (PBP 2015b)

Budget Mainstreaming

- Handbook on costing gender equality (UN Women 2015)
- Mainstreaming Environment for Poverty Reduction and Sustainable Development: A Handbook for strengthening planning and budgeting processes (UN-PEI 2015).
- Inclusive and Equitable Local Development – IELD (UNCDF 2014).
- Local Climate Adaptive Living Facility (UNCDF 2013).

Human Rights Guidance

- Budgeting Human Rights (HRBA Portal 2015)
- Draft Training Package on Human Rights in Budget Monitoring, Analysis and Advocacy (OHCHR 2011).
- Financing, budgeting and budget tracking for the realization of the human rights to water and sanitation - Realising the Human Rights to Water and Sanitation: A Handbook (Albuquerque 2015)
- Draft publication provisionally titled "Human Rights and Government Budgets" (OHCHR (forthcoming)).

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Section B7: Monitoring, Reporting and Accountability

Purpose

“We commit to engage in systematic follow-up and review of implementation of this Agenda over the next fifteen years. A robust, voluntary, effective, participatory, transparent and integrated follow-up and review framework will make a vital contribution to implementation and will help countries to maximize and track progress in implementing this Agenda in order to ensure that no one is left behind.”

The 2030 Agenda for Sustainable Development (UN 2015)

Follow-up and review is a key aspect of *The 2030 Agenda for Sustainable Development*. Ensuring that the statistical systems, capacities, methodologies and mechanisms are in place to track progress and ensure accountability, with the engagement of citizens, parliaments and other national stakeholders. This is especially critical with regard to the most excluded and marginalized populations, which are often not represented or under-represented in current national data collection. *The 2030 Agenda* also requires follow up and review processes to be informed by country-led evaluation and notes the need to build capacity for national data systems and evaluation programmes. The purpose of this section is therefore to provide guidance in relation to approaches and tools for monitoring, reporting and accountability in relation to the implementation of national development plans and strategies.

Guidance

This section provides specific guidance in relation to key aspects of monitoring, reporting and accountability. The guidance addresses four specific aspects:

1. **Indicator development and data collection:** to follow the progress of the *Inter Agency and Expert Group on SDG Indicators (IAEG-SDGs)* and begin working toward identifying nationally-relevant and human rights-sensitive indicators and targets, and establishing baseline data;
2. **Disaggregating data:** the commitment to ‘leaving no one behind’ and tackling inequality and discrimination in the SDGs will require going beyond averages to target efforts towards reaching the most excluded population groups. To do so requires disaggregation of data by sex, age and other salient socio-economic characteristics, including income/wealth, location, class, ethnicity, age, disability status and other relevant characteristics as a means for ‘leaving no one behind’.
3. **Monitoring and reporting systems:** to work with existing data and metadata reporting systems and to create online systems for information exchanges, including reporting on key indicators and providing opportunities for both horizontal and vertical coordination; and
4. **Review processes and mechanisms:** for reviewing progress on nationally and sub-nationally tailored SDGs.

Indicator Development and Data Collection

“The Goals and targets will be followed-up and reviewed using a set of global indicators. These will be complemented by indicators at the regional and national levels which will be developed by member states, in addition to the outcomes of work undertaken for the development of the baselines for those targets where national and global baseline data does not yet exist. The global indicator framework, to be developed by the Inter Agency and Expert Group on SDG Indicators, will be agreed by the UN Statistical Commission by March 2016 and adopted thereafter by the Economic and Social Council and the General Assembly, in line with

existing mandates. This framework will be simple yet robust, address all SDGs and targets including for means of implementation, and preserve the political balance, integration and ambition contained therein.”

The 2030 Agenda for Sustainable Development

The most important guidance to be provided at this early point in time with regard to indicator development, is to stress the importance of the country implementing/coordinating agency to establish a partnership as soon as possible with the agency that currently tracks progress indicators for the national development plan or strategy. In most countries this would require close coordination between the National Statistical Office, other data producers within the National Statistical System (such as line Ministries) and the Ministry of Planning or specialized designated agency in charge of leading the implementation of the National Development Strategy. This ideally would be in the public awareness stage (see Section B1). Both partners can then follow the progress of the *Inter Agency and Expert Group on SDG Indicators (IAEG-SDGs)* and begin working toward identifying nationally-relevant indicators that can be used to track progress toward nationally tailored SDGs.¹⁰ This type of indicator assessment can, in fact, be initiated just from knowledge of the specific SDG targets. For example, in the case of Germany, recommendations from the German Council for Sustainable Development (RNE) to the federal ministries already discussed which indicators are relevant and in need of amending (See Innovative Case Example in Section B3).

As summarized by the European Sustainable Development Network (ESDN 2015), “In most countries, the National Statistical Offices are responsible for the development and monitoring of SD indicators (e.g. Estonia, France, Finland, Germany, Hungary, Italy, Portugal, Slovenia, Sweden, Switzerland). In other countries, different bodies have this responsibility, for instance, Belgium (Task Force on SD of the Federal Planning Bureau), Cyprus (Inter-Governmental Committee), or Denmark (Environment Protection Agency).”

Where indicator and data gaps are identified, proposals can be made to address them, including establishing baseline data. In countries with limited national statistical capacity, the revision of the National Strategy for the Development of Statistics and the elaboration of five-year or ten-year plans for data collection for the monitoring and evaluation of the SDGs can be undertaken. The UN system can assist in creating a joint programme for the implementation of the data collection plan.

Serious consideration should also be given to going beyond governance as usual and pursuing participatory-based monitoring opportunities (see Innovative Case Example below).

One lesson from the global conversation leading up to the adoption of *The 2030 Agenda* is that crowdsourced data can be a powerful complement in advocating for policy change. Building on the MY World survey (see Innovative Case Example below), MY World 2030¹¹ will seek to build upon the global network of MY World partners and undertake a “people’s baselining” exercise as part of the global rollout of the SDGs.

Through an online, mobile and offline component, MY World 2030 will contribute to efforts to report back on progress by collecting globally comparable data to monitor how people feel their lives are changing.

¹⁰ See the IAEG-SDGs website at: <http://unstats.un.org/sdgs/>

¹¹ See www.myworld2030.org

This data could feed into official monitoring efforts both locally and globally and contribute to an enhanced mechanism for effective monitoring and implementation of the goals. A second contribution will be to build dialogue between decision makers such as parliamentarians, local governments, mayors and citizens, with young people in particular to contribute a “people’s perspective” on how to implement the new agenda at different levels. It is envisaged that this dialogue will be aggregated at national, regional and global levels. Volunteers will be a key component for the new phase of offline rollout of the survey in order to enhance people’s engagement with the agenda beyond the collection of data. The demand for this has been demonstrated by the MY Municipality initiative in Macedonia and the continued expansion of U Report globally.

Innovative Case Example:

Participatory Monitoring and Data Collection

UNICEF – Peru: “UNICEF Peru, in its paper ‘Community Surveillance Systems for Early Childhood and Development: A participatory approach’, exemplified how community surveillance systems (CSS) in Peru were essential to the growth and development of children and pregnant mothers.” (UNDG 2015, p 19)

UNICEF U-Report: An “innovative communication technology developed by UNICEF and revolutionizes social mobilization, monitoring and response efforts: It equips mobile phone users with the tools to establish and enforce new standards of transparency and accountability in development programs and services (UNICEF 2012).”

Thailand iMonitor: “Thailand described how its iMonitor application for smart phones and other devices is tracking and evaluating public HIV services, as well as creating an opportunity for dialogue with authorities to address challenges.” (UNDG 2015, p 19)

Zambia M-WASH: “Zambia noted the use of M-WASH, a mobile/web-based monitoring, evaluation and reporting system that covers 1.7 million people and advances accountability by making water and sanitation data transparent. The technological component inspires competition among districts by publishing results and maps that demonstrate which districts and provinces are making the most progress towards improved access to water and sanitation.” (UNDG 2015, p 19)

MY World survey: The global MY World survey was an options survey requesting people to choose six out of sixteen key issues important for themselves and their families. The survey gathered over 8,4 million votes through online, mobile and offline channels. 80% of the votes were collected offline through volunteer effort and 80% of the voters were under 30 years of age. The survey facilitated the dialogue among different stakeholders and increased interest in and momentum for *The 2030 Agenda*. Its open-source, real-time results were fed into the intergovernmental negotiations of the agenda and were used by many stakeholders for advocacy purposes.

Some countries in special circumstances, such as fragile states, small islands, or least developed countries, might need to evaluate whether the SDG indicator framework is sufficient to capture the specificities of their development needs. If additional indicators are required, countries are encouraged to look at existing commitments, statistical coordination groups and progress monitoring frameworks that might be able to guide their indicator selection process. For instance, the New Deal for Engagement in Fragile States and the Indicators to monitor SC Resolution 1325 might be able to capture the needs and specificities of

fragile and conflict-affected countries, and region-specific indicators designed by ESCAP, ECLAC and the AU might be able to provide solutions for small islands, landlocked and least developed countries.

Disaggregating Data

The importance of the disaggregation of data was a critical lesson from the MDG implementation period. In *The 2030 Agenda*, the disaggregation of data will be one of the mechanisms for realizing the 'Leave no one behind' principle. And so important is this aspect that it forms the basis for SDG Target 17.18: *By 2020, enhance capacity-building support to developing countries, including for least developed countries and small island developing States, to increase significantly the availability of high-quality, timely and reliable data disaggregated by income, gender, age, race, ethnicity, migratory status, disability, geographic location and other characteristics relevant in national contexts.*

MDG Lessons

Monitoring activities need to be Sufficient in Terms of Coverage, Disaggregation of Data and Timeliness

Looking ahead to the post-2015 era, more monitoring and evaluation investments are going to be required at the national as well as the international level to effectively monitor and evaluate the sustainable development goals. In the words of the Secretary-General, "we must significantly scale up support to countries and national statistical offices with critical needs for capacities to produce, collect, disaggregate, analyse and share data crucial to the new agenda" (see [A/69/700](#), para. 142).

UNDG has also recommended that the United Nations development system "intensify support to strengthening of national statistical capacity, greater disaggregation and 'localization' of national data and address all data 'dark spots', using the distinctiveness of the United Nations global footprint and the capacities and scope of the United Nations system's joint data coverage"

Source: UN ECOSOC (2015).

It has been noted that, in the case of the MDGs, progress on the goals focussed on tracking changes in national averages. The focus on averages can mask disparities between groups and exclude population groups that may be among the poorest of the poor or the most vulnerable and marginalized (OHCHR 2015).

Therefore, the guidance imparted in this section for UNCTs is to recommend to Member States that when working with their statistical agencies in the formulation of indicators in support of nationally-relevant SDG targets, it is important to support the 'data revolution' by investing in the regular and systematic collection of disaggregated data in accordance with SDG Target 17.18. This might require larger sample sizes, specialized surveys to capture specific marginalized groups, as well as specific training for survey enumerators and recording officers (in the case of administrative records).

Addressing gaps in the production of gender statistics in particular will be critical for tracking progress in achieving the SDGs for women and girls. Moreover, to better capture intersectional inequalities throughout the framework, disaggregation by sex, age and other salient socio-economic characteristics, including income/wealth, location, class, ethnicity and other relevant characteristics will be required.

Monitoring and Reporting Systems

"They [follow-up and review processes] will be open, inclusive, participatory and transparent for all people and will support the reporting by all relevant stakeholders."

Online indicator information systems already exist in many countries for monitoring and reporting on progress toward the national development plan, strategy and/or MDGs. These systems can be updated to incorporate any new or revised indicators that are identified in the process of tailoring the SDGs to national contexts (Section B3) and the indicator assessment described above.

For example in Mexico, a *National Coordinating Committee* helped put in place an MDG information system in 2011 that provides national and sub-national dis-aggregations. Approximately 80% of MDGs are updated annually (UNDESA-DSD 2015c).

Ideally, national data repositories should be in line with international statistical definitions and exchange standards, which would facilitate reporting to international statistical mechanisms and dramatically reduce reporting burden. For instance some of the statistics produced by Mexican INEGI are currently archived in SDMX-XML based databases, which allow for automatic exchanges with international entities.

Other national monitoring and reporting systems are also quite innovative, incorporating multiple ways to view and examine the indicators. The Swiss MONET system is a prime example (see the Innovative Case Example below).

Innovative Case Example: The Swiss MONET Indicator System

The MONET Indicator System is Switzerland's mechanism for tracking progress towards its sustainable development strategy. It combines several novel ways to view and analyse indicators:

- **All Indicators:** a view to all 75 indicators that describe the “current situation and development in Switzerland with regard to the social, economic and environmental aspects of sustainable development.”
- **Global Indicators:** a subset of indicators showing “how sustainable interactions between Switzerland and other countries are related to the use and distribution of the environmental, economic and social resources.”
- **Key indicators:** a view of progress relating to 17 aggregated indicators.
- **The cockpit:** designed so that the ends of both Use can see how the result comes about, and can view the individual indicators. To this end, the cockpit provides access to the data and to the detailed description of individual indicators.



- **Klartext card game:** The card game with exciting information about Switzerland based on the MONET indicators for sustainable development. A game for the whole family for 2 to 4 people over 14 years with 161 cards.

MONET is a joint activity of the Federal Statistical Office (FSO), the Federal Office for the Environment (FOEN), The Federal Office for Spatial Development (ARE) and the Swiss Agency for Development and Cooperation (SDC).

Source: FSO (2015)

Monitoring and reporting systems provide a mechanism for both horizontal and vertical coordination. Horizontally, the relationship among seemingly disparate indicators (i.e., issues) can more readily be explored, as in the case of Belize (See Section B3). Vertically, local indicators can aggregate up to sub-national indicators, and similarly, sub-national indicators can aggregate up to national indicators. Growth in the use of online sustainability monitoring and reporting systems at all levels of government are creating new opportunities for the coordination of plans across levels of government given their transparent and accessible nature.

It is also suggested that innovative monitoring approaches including the collection of qualitative data be developed and implemented in order to assess early outcomes, learn and adapt interventions and strategies at national, sub national and even local levels.

Review Processes and Mechanisms

The 2030 Agenda for Sustainable Development provides guidance for reviewing progress toward the SDGs at the national, regional and global levels, building on existing monitoring mechanisms, including the international human rights monitoring mechanisms.

At the national level, *The 2030 Agenda for Sustainable Development* notes the following:

“We also encourage member states to conduct regular and inclusive reviews of progress at the national and sub-national levels which are country-led and country-driven. Such reviews should draw on contributions from indigenous peoples, civil society, the private sector and other stakeholders, in line with national circumstances, policies and priorities. National parliaments as well as other institutions can also support these processes (The 2030 Agenda for Sustainable Development).”

Good practice examples for national review of progress can be seen in many European countries implementing national sustainable development strategies, where it is noted that “Multi-level and multi-stakeholder review processes also receive great importance, together with for instance, national parliaments or existing institutions such as the National SD Councils (ESDN 2015).” In a summary of national review practices, the European Sustainable Development Network describes a three-part typology that captures the state-of-practice across Europe (ESDN 2015):

1. **“Internal Reviews:** Some countries have a bi-annual review process that culminates with the publication of a so-called progress report (e.g. Austria, Luxembourg, Latvia, Lithuania). Some others perform annual reviews or annual progress reports (e.g. France, Slovakia, Slovenia, Switzerland). Several countries have a less tight schedule that does not display regularity or is represented by a one-off exercise (e.g. Poland, Spain). Germany has a four-year review process cycle. Also, for the Austrian ÖSTRAT (the Austrian joint

national strategy addressing both the federal and regional levels), evaluation is intended to be done every four years.”

2. **External Reviews:** “Two options are usually employed: Either the responsible institution for the NSDS review process commissions a **private consultant** (e.g. Switzerland, Finland) or the task is given to **independent researchers** (e.g. Austria).”
3. **Peer Reviews:** “Peer reviews have been conducted in four countries: France (2005), Norway (2007), the Netherlands (2007), and twice in Germany (2009, 2013). The idea behind the peer reviews of NSDSs is to identify and share good practices in a process of mutual learning where, usually, other countries are taken as peers in the process. The peer review of an NSDS is voluntary and is undertaken upon the initiative of the country concerned. The peer reviews are intended to address all three SD pillars and the peer-reviewed country is free to choose to undertake a review of the whole NSDS or focus on one or more specific issues.”

Additionally, countries with a long history and culture of planning also have well-developed review processes for their respective national development plans. In a 2014 review of practices in Latin America and the Caribbean undertaken by the Sustainable Development Planning Network, it was observed that “There are national monitoring systems that track progress towards the goals of the national plan in four-year cycles, attempting to gauge the percentage of progress made over time. A central body such as the planning department oversees the process, engaging stakeholders and the public in the monitoring process at these intervals. In Costa Rica, for example, the National Assessment System operates in the Planning Ministry (Ministerio de Planificación Nacional y Política Económica), which carries out monitoring and evaluation of goals and policies of the plan and of public policies. Furthermore, the legislature and the Comptroller General’s Office give periodic accountability reports (SDplanNet 2015).”

4. **Audit Agencies:** A fourth type of national review mechanism can be considered in addition to the three listed above in the European context. Audit departments in many countries currently provide an independent internal review mechanism for governments that covers the full range of government operations and services. And some countries have development specific functions within their audit departments for addressing sustainable development issues. For example, Canada’s Commissioner of the Environment and Development resides in the Office of the Auditor General of Canada (OAG 2015). An interesting innovation in audit agencies is the trend toward creating commissioners that act on behalf of future generations. For example, in Wales a ‘*Future Generations Commissioner*’ was recently established under the innovative ‘*The Well-being of Future Generations (Wales) Act*’ (see Innovative Case Example Below). Hungary was a pioneer in this regard with their efforts in creating an Ombudsperson for Future Generations (World Future Council 2007).
5. **Evaluation of public policy:** A number of countries have developed strong evaluation systems to evaluate public policy and inform national decision making. For example, Mexico and Brazil have both used evaluations of social protection systems to confirm the benefits of such systems and inform expansion of these systems. The USA and Canada have each made periodic evaluation of government funded programmes mandatory in order to provide assurance that such programmes are appropriate, effective and cost effective, providing a powerful mechanism for follow up.

Innovative Case Example: Welsh Future Generations Commissioner

On 29 April 2015 ‘The Well-being of Future Generations (Wales) Act’ became law in Wales. The Act “strengthens existing governance arrangements for improving the well-being of Wales to ensure that

present needs are met without compromising the ability of future generations to meet their own needs (Wales 2015a). Specifically, the Act:

- “Identifies goals to improve the well-being of Wales;
- Introduces national indicators, that will measure the difference being made to the well-being of Wales;
- Establishes a **Future Generations Commissioner** for Wales to act as an advocate for future generations; and
- Puts local service boards and well-being plans on a statutory basis and simplifies requirements for integrated community planning.”

The Future Generations Commissioner will “be an advocate for future generations who will advise and support Welsh public authorities in carrying out their duties under the Bill (Wales 2015b).”

Toolkit

Data and Indicators

- National SDG Data Assessments in the Asia and Pacific region (UNDG Asia-Pacific, forthcoming)
- Data for Development: A Needs Assessment for SDG Monitoring and Statistical Capacity Development (SDSN 2015)
- UNEPLive (UNEP 2015)

Participatory monitoring systems

- Peru Community Surveillance Systems for Early Childhood and Development (UNDG 2015)
- Thailand iMonitor (UNDG 2015)
- Zambia M-WASH (UNDG 2015)
- UNICEF U-Report (UNICEF 2012)
- Most Significant Change (MSC) Technique (Davies and Dart (2005)

Online Monitoring Systems

- Swiss MONET System (FSO 2015)
- Mexico MDG Information System (Mexico 2015)

Review processes

- Internal Review: Belgium (ESDN 2015b)
- External Review: Finland (ESDN 2015c)
- Peer Review: German Peer Review (RNE 2013)
- Audit Offices: The Well-being of Future Generations (Wales) Act (Wales 2015b).
- Outcome Mapping: Building learning and reflection into development programs (IDRC 2001)

Human Rights Guidance

- Human Rights Indicators: A Guide to Measurement and Implementation (OHCHR 2012).
- Who Will Be Accountable? Human Rights and the Post-2015 Development Agenda (OHCHR (2013).

Gender Mainstreaming Guidance

- UN Statistical Commission Guide to Minimum Set of Gender Indicators (UN 2013)

- UN Women Position Paper: monitoring gender equality and the empowerment of women and girls in the 2030 agenda for sustainable development: opportunities and challenges (UN Women 2015)
- UN Guidelines for Producing Statistics on Violence against Women (UN 2014)

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Section B8: Assessing Risk and Fostering Adaptability

Purpose

"It [follow-up and review] will mobilize support to overcome shared challenges and identify new and emerging issues."

"They [follow-up and review] will maintain a longer-term orientation, identify achievements, challenges, gaps and critical success factors and support countries in making informed policy choices."

The 2030 Agenda for Sustainable Development

Identifying risks and emerging issues, and adapting to them, will be a critical part of achieving *The 2030 Agenda for Sustainable Development*. Additionally, careful reflection of lessons learned during the implementation of *The 2030 Agenda* and making timely course corrections along the way, are integral to effective follow-up and review.

The purpose of this section is to provide basic guidance for assessing risk and fostering adaptability in the pursuit of *The 2030 Agenda for Sustainable Development*.

Guidance

The 2008 global economic crisis and the 2014 Ebola outbreak served up stark reminders to the importance of understanding and addressing risk. As well, issues that emerge slowly over time can be just as crippling – the costs of adapting to climate change, for example, are upsetting the development trajectories of even the wealthiest of nations (IHDP 2013).

The path to achieving the SDGs by 2030 can ill afford to experience such crises along the way. Yet in reality, such risks are ever-present, and every effort must be taken to detect, manage, and ultimately avoid them. Fortunately a variety of approaches and tools have been created over the years for such purposes.

Member states can explore a range of approaches for assessing risk and fostering adaptability at the plan and policy level. Guidance for UNCTs in this regard is three-fold:

1. **Adaptive Governance:** to provide a general framework for effectively navigating uncertainty, change and surprise across all of the guidance areas covered in this document (B1-B7);
2. **Risk analysis and management:** for the systematic identification and management of the risks facing the implementation of national, sub-national and local plans; and
3. **Scenario planning and stress testing:** to be applied regularly in the development planning and policy-making process for detecting emerging issues and examining the ability of plans, policies and programmes to perform under a range of plausible future conditions.

Adaptive Governance

"Recognizing that humanity is encroaching on critical planetary boundaries, new modes of adaptive governance are needed to initiate transition management and achieve internationally agreed goals and targets."

5th Global Environment Outlook, UNEP

Acknowledging the inherently unpredictable nature of development, the 5th *Global Environment Outlook* report of the United Nations Environment Program stated that "it is nearly impossible to create a fail-

proof blueprint or to formulate optimal policies. What is required instead is an inclusive, learn-by-doing process with careful monitoring of policy effects, and an ability to make critical choices and improvements consistent with the trajectories leading to established goals (UNEP 2012)."

The UNEP report further elaborated the core elements of adaptive governance (below) and each of these elements serves serve this Guidance Note either as additional rationale and context for guidance areas previously presented, or as new guidance that can be incorporated into the formulation of development strategies, plans and supporting policies and programs.

- **Multi-actor deliberation and agenda building.** "Many stakeholders influence societal change. Governance must, therefore, be participatory to recognize advantageous leverage points, the levers for change and the correct direction to move them; to achieve coherent coalitions for creating shared notions of goals and ambitions; and to strengthen policy design and implementation."

This element is reflected in Section B2 of this Guidance Note and it also amplifies the importance of applying multi-stakeholder approaches in the process of tailoring SDGs to national, sub-national and local contexts (Section B3).

- **Futures analysis and long-term collective goal setting.** "Integrated and forward-looking assessments are critical tools that inform ongoing processes of change by systematically reflecting upon the future and developing shared notions of future goals and targets."

This element is covered directly later in this section on guidance for scenario planning and stress testing of plans and policies.

- **Enabling self-organization and networking.** "Creating opportunities for cooperation and replicating successes, ensuring that social capital remains intact, and guaranteeing that members of the population are free and able to interact, are all fundamental elements of building the capacity of actors and policy itself to plan for and adapt to surprises."

This element is perhaps the least intuitive of the adaptive governance elements, but it is among the most important for scaling up the impact of policies and plans. Additional guidance for enabling self-organization is provided in the Toolkit section.

- **Variation, experimentation and innovation.** "Diversity of responses [i.e., policies and programs] forms a common risk-management approach, and continuous reflection and improvement helps to develop a context in which innovation for desired change can thrive."

This element provides guidance for the selection of policies and programmes in support of development strategies and plans (see Section B3 in relation to the formulation of strategies and plans using systems thinking).

- **Reflexivity and adaptation.** Systemic [i.e., formalized] review of past, present and future sustainability conditions and policy performance through interaction and cooperation with a range of stakeholders is critical for continuous improvement and social learning.

This element of adaptive govern amplifies the important function that follow-up and review plays in *The 2030 Agenda* and within that, the importance of applying multi-stakeholder approaches in the design, implementation, review and improvement of policies and programs. Many stakeholders have developed platform for knowledge and experience sharing in implementing monitoring and evaluation of development policy and programmes. These systems could be better disseminated and tailored to fit SDG purposes.

Innovative Case Examples:

Kyrgyzstan

Following the 2010 inter-ethnic violence in the south of Kyrgyzstan, it was recognised that a multi-sector approach was needed to help build bridges between communities involved in the ethnic conflict, and to support sustainable peace. In a 6-month inception phase, a number of reports, surveys and assessments were conducted to understand the context and needs of vulnerable children, women and their families. The resulting programme design addresses inequitable access to basic services and lack of opportunity, which was identified as a driver of conflict.

The long inception phase allowed interventions to be tailored to specifics of municipal contexts. The preparatory work, and the engagement with stakeholders at the assessment and design stage, allowed UNICEF to achieve more than it had originally planned in less time than anticipated.

India

A Risk Informed Development Planning System (RIDPS) was developed by UNICEF in India as a system that aim at producing real-time data for risks and vulnerabilities using climate and other hazard indicators and child risk indicators. It is designed to: support risk informed development planning; analyse multiple sectors in one tool at the same time; and identify data collection gaps and enhance data collection and analysis skills. The tool allows users to access, analyse, visualize and export data to meet risk informed analysis, planning and reporting needs, quickly and easily. It allows users and sector specialists to select, aggregate, disaggregate and cross-analyse multiple indicators into composite indexes; and supports the identification of correlations and composite levels of vulnerability across sectors, contributing to risk informed development programming.

The system has been developed initially for use in Bihar and Rajasthan States, with indicators relating to WASH, education, health and nutrition sectors together with demographic and economic indicators which are child focused, and which have been selected because government data exists already or, where there is no government data, it is needed to make informed decisions. The picture of disaster proneness produced is constantly updated in the light of real time data, meaning that the State Governments have a current overview on levels of vulnerability. The system includes previously uncollected data collected via SMS from front line workers in remote areas (eg government health workers) so that vulnerabilities from these remote areas inform regional government planning.

From 2014, RIDPS data has informed state planning. The RIDPS has wide potential applicability in multiple risk settings.

Source: UNICEF.

Risk Analysis and Management

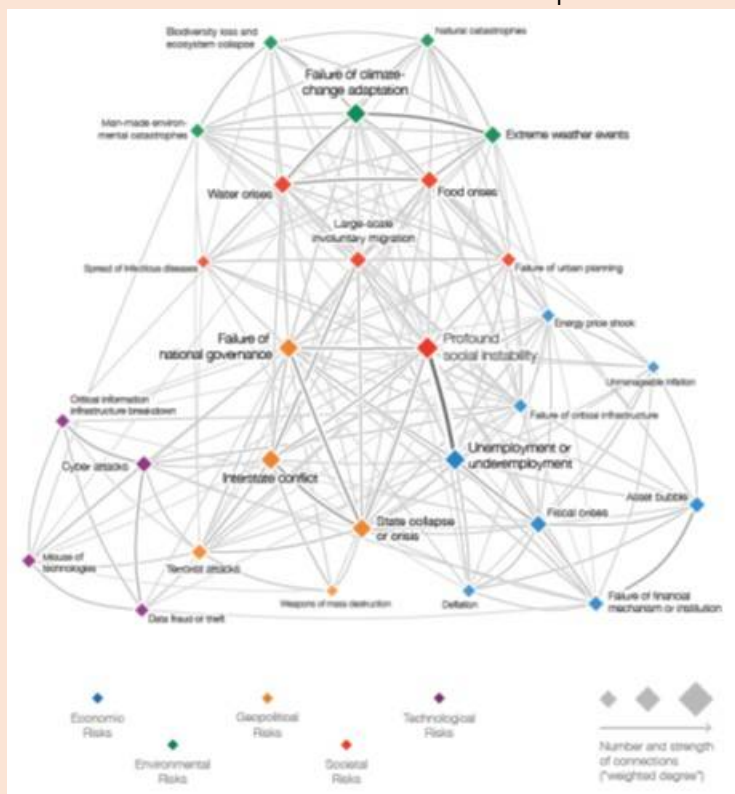
Risk analysis involves the identification and study of uncertainties that can impact negatively on performance. It is a practice that governments can use not just in the early stages of formulation development plans, but as a regular and formalized process for ongoing improvement. The annual *Global Risk Report* of the World Economic Forum is a good example of the type of information and exercise that countries can pursue at national, sub-national and local levels to help navigate the complex and dynamic terrain of the 21st century (see Innovative Case Example below).

Innovative Case Example:

2015 Global Risk Report – World Economic Forum

For a decade now the World Economic Forum in its *Global Risk Report* has been “highlighting the most significant long-term risks worldwide, drawing on the perspectives of experts and global decision-makers” and in the context of economic, environmental, societal, geopolitical and technological issues. The 2015 report warns that the world is “insufficiently prepared for an increasingly complex risk environment”, stressed by renewed concerns of inter-state conflict, the emergence of cyber-attacks, failure of climate change adaptation, and strained public finances and rising unemployment in the wake of the 2008 economic crisis.

Global Risks Interconnections Map



Source: WEF Global Risk Report (2015)

Risk management is a process that includes the identification, assessment and prioritization of risk, combined with the allocation of resources to minimize, monitor and control risk (Douglas 2009; see also ISO 2009). Enterprise Risk Management (ERM) is the more formal terminology, and while it grew out of the private sector, many government audit departments, at all levels, undertake some form of risk management at the programme and project level. It is a process that can be incorporated as part of follow-up and review (see Section B7).

Scenario Planning and Stress Testing

Scenario planning is a participatory approach designed to create “frameworks for structuring executives’ perceptions about alternative future environments in which their decisions might play out (Ralston & Wilson, 2006.” It is commonly applied in environmental planning and management, and more recently, for stress testing strategies and policies in the financial sector. As such, this Guidance Note recommends the application of scenario planning in the formulation of development strategies and plans as a means

for detecting and addressing emerging issues and identifying a variety of policies and programmes that are robust across a range of plausible futures.

The general steps of scenario planning can be parsed into the general phases of foresight to insight to action (Institute for the Future 2013). There will be differences in the implementation of scenario planning depending on the purpose of the exercise (IISD 2014): “the steps will vary somewhat if the exercise is meant to illuminate vulnerabilities of an existing strategy or plan (stress testing), versus if the exercise is meant to explore plausible futures that might unfold to provide context for policy recommendations (scenario analysis), or to develop a vision of the future and back-cast a plan for getting there (visioning). In practice, there is often a little of each of purpose imbedded in any exercise.”

The UN Environment Program’s Inquiry into the Design of a Sustainable Financial System highlights the importance of scenarios in their recommendation to governments to undertake stress testing across financial sectors and markets (UNEP 2015). Specifically, they recommend to “develop scenario based tools to enable a better understanding of the impacts of future climate shocks on assets, institutions and systems.” Additionally, in 2015 the European Financial Review recommended that “Leaders need to anticipate major market shifts, looming crises, and changes in regulation or disruptive offerings by rivals. War gaming, systems thinking, and scenario planning are some of the tools that can help accomplish this urgent need.”

Innovative Case Example:

Environment Outlook for Latin America and the Caribbean

The Division of Early Warning and Assessment of the UN Environment Programme undertakes regular scenario analysis via their Global Environment Outlook (GEO). The GEO process also works with national governments to undertake regional outlooks to help inform policy development.

The 2010 Environment Outlook for Latin America and the Caribbean (LAC) considered the socio-economic and environmental implications of four plausible future scenarios, namely: (i) relegated sustainability; (ii) sustainability reforms; (iii) unsustainability and increased conflicts; and (iv) transition to sustainability.

In applying scenario analysis the LAC outlook report provided the following guidance:

“The scenarios must be prepared with the necessary detail when making the basic characterization of the object under study at different spatial and temporal scales; they must be plausible, coherent and reflect – as far as possible – how the disciplines of the natural, social and other sciences are integrated. They have a qualitative component, where experts in different branches of learning explain what they know about the driving forces, their potentialities and inter-relationships; and a quantitative component fundamentally based on the results of statistical models and that, as a guiding element, takes into account the basic assumptions defined in the qualitative analysis.”

Source: UNEP (2010).

Toolkit

Scenario Planning

- Scenario Planning Handbook (Ralston and Wilson 2006)

Risk Analysis and Management

- ISO 31000 - Risk management (ISO 2009)

Adaptive Governance and Policy-making

- Creating Adaptive Policies: A Guide for Policy-making in an Uncertain World (Swanson and Bhadwal 2009)
- ADAPTool – the Adaptive Design and Assessment Policy Tool (IISD 2015)

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