Senate Foreign Affairs, Defence and Trade References Committee

Inquiry into the United Nations Sustainable Development Goals

Dear Committee Secretariat,

I would like to contribute the attached report from the United Nations' Department of Economic and Social Affairs to the Senate Inquiry into the UN Sustainable Development Goals.

This report was only published this week, and provides highly relevant guidance on how institutions can approach and begin to implement the SDGs. It is entitled 'WORKING TOGETHER- INTEGRATION, INSTITUTIONS AND THE SUSTAINABLE DEVELOPMENT GOALS: World Public Sector Report 2018'. The University of Queensland's Peter Hill, Simon Reid and I were contributors.

Please accept this as a supplementary submission.

Yours sincerely,

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Economic & Social Affairs

WORKING TOGETHER: INTEGRATION, INSTITUTIONS AND THE SUSTAINABLE DEVELOPMENT GOALS

World Public Sector Report 2018

United Nations

Department of Economic and Social Affairs

WORKING TOGETHER: INTEGRATION, INSTITUTIONS AND THE SUSTAINABLE DEVELOPMENT GOALS

World Public Sector Report 2018

United Nations
New York, 2018
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World Public Sector Report 2018

Summary for policy makers

Two years ago, Member States of the United Nations adopted the 2030 Agenda for Sustainable Development, which ambitions to eradicate poverty and achieve sustainable development by 2030. The Agenda emphasizes the importance of the interlinkages and integrated nature of the Sustainable Development Goals (SDGs). Acknowledging possible synergies and trade-offs between the sustainable development goals and targets will make it much easier to achieve the SDGs. It will enhance allocation of resources and help avoid unwanted side effects of actions aiming to accelerate progress in one area on the realization of targets in other areas. It will support more balanced development trajectories by ensuring more coherent action on various dimensions of sustainable development.

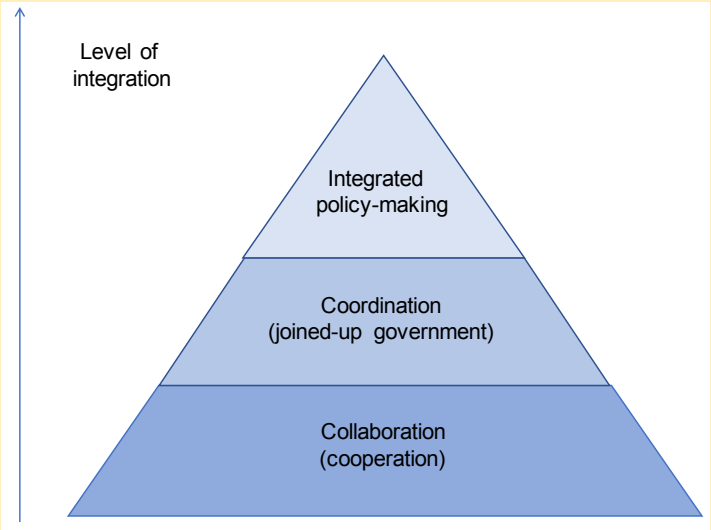
It is recognized that the national level will be critical for the achievement of the Goals. At the national level, understanding how to adapt institutional frameworks to deliver integrated policies that effectively address existing interlinkages among the SDGs will be critical to achieving progress; it will also have important implications for national public administrations and public service. Broadly speaking, promoting integration implies finding ways to foster cooperation and common approaches among institutions at all levels dealing with closely interrelated issues. This may entail putting in place adequate institutional arrangements, public administration practices, mechanisms, capacities, budgetary arrangements and resources. It also encompasses various modalities of engagement of non-state stakeholders in decision-making.

Defining and measuring integration

Broadly speaking, policy integration concerns "the management of cross-cutting issues in policy-making that transcend the boundaries of established policy fields and do not correspond to the institutional responsibilities of individual departments". The term "integration" itself is used in at least three slightly different meaning in the literature. The first and most common usage refers to integration as a variable or dimension, with policies in specific issue areas being more or less integrated or coherent. In this respect, integration is a continuum, which goes from least coherent to fully coherent. Alternatively, integration can refer to the process of making policy around a specific issue more coherent. Lastly, integration can also refer to the ideal of policies that achieve a high or the highest degree of coherence. A variety of related concepts and terms are often used in the literature.

Figure E.1.

Degrees in policy integration and related concepts



Source: Stead and Meijers (see footnote 29).

The World Public Sector Report 2018 aims to inform efforts by all countries to foster policy integration for the SDGs, highlighting the challenges and opportunities that exist for public institutions and public administration. It illustrates how different types of interlinkages that exist among the SDGs can be addressed from an institutional perspective, based on examples. Through this, the report aims to sketch areas where public institutions need to work closely together; the types of tools that can be used to this effect; and the broader implications for public institutions and public service. The report aims to assist national policy makers, especially those working in institutions entrusted with SDG implementation as well as in planning, finance and sector ministries and in local governments, to implement the SDGs in an integrated fashion.

In this report, the term "integration" is considered in a broad sense. Integrated policy-making is used to refer to policy processes that: (i) systematically identify relevant and important linkages of issues across the SDGs and consider those linkages in design of policies; (ii) are consistent across scales of implementation (and in particular, from the local to the national); (iii) involve the relevant stakeholders in design, implementation, monitoring and evaluation; and (iv) provide adequate resources for implementation at all relevant levels.

To analyse integration efforts from an institutional perspective, this report considers three standard dimensions of integration: horizontal integration, i.e. integration across sectors or institutions; vertical integration, i.e. how the actions of national and sub-national levels of government can be aligned to result in coherent outcomes; and engagement of all stakeholders in the realisation of shared objectives. Taken together, these three dimensions of integration cover all the relevant categories put forward by the literature such as, among many others, participation, partnerships, and coherence, as well as the two commonly used notions of whole-of-government approaches and whole-of-society approaches.

Sustainable development, integration and institutions: what do we know?

The interdependence among sustainable development issues has been recognized for a long time and is perhaps the most fundamental tenet of the concept of sustainable development. Fundamentally, while the consideration of multiple linkages across sectors adds constraints to decision-making, integrated policy-making allows for a broader definition of problems that enlarges the policy space, potentially yielding socially superior solutions that cannot be found by focusing only on sector-specific policies. Other potential benefits of integration include the production of shared visions across sectors and actors.

Hence, potential benefits of integrated policy-making are clear. The costs of lack of policy coherence are also apparent. Yet, fostering integration in practice has proven difficult. Many agree that a major cause of the observed shortcomings is an inability to both mainstream sustainable development principles in the work of existing institutions and achieve the degree of coordination among institutions that sustainable development requires.

Among the many challenges documented in the literature, perhaps the main obstacle to integration in the past was the lack of political legitimacy of sustainable development as a paradigm. For decades, sustainable development competed on an unequal footing with the traditional development approach and with better resourced sectoral frameworks. On the institutional side, the adoption of sustainable development without renunciation of other paradigms often resulted in the creation of parallel institutions, which coexisted with older, stronger institutions focusing on business as usual.

Despite these difficulties, experiences of the 25 years since the Earth summit offer a rich body of lessons in terms of institutional setups and arrangements and public administration management efforts that aimed to foster integration and coherence. For example, national strategies for sustainable development (NSDS), national councils for sustainable development (NSDC) and local Agenda 21s were instruments put forward in Agenda 21 in 1992 to promote integration. At the sectoral level, attempts at integration in many sectors have also resulted in the development of integrative concepts and institutional experiments, the lessons of which could be harnessed for the benefit of SDG implementation. The report aims to take a first step in this direction.

The 2030 Agenda and the prospects for integration

There are many reasons to think that the adoption of the 2030 Agenda may significantly change the prospects for integration, including at the national level. In a nutshell, the Agenda and the SDGs have elevated the status of sustainable development on the international policy agenda, increasing the legitimacy and relevance

of integrated perspectives and approaches. In addition, the explicit focus of the Agenda on institutions provides an impetus for governments to devote more attention to finding institutional models and public administration approaches that effectively support integrated approaches. These positive changes in legitimacy and relevance are further supported by progress in the scientific understanding of interlinkages among sustainable development issues on the one hand, as well as by the development of analytical methods, tools and information systems that support integration in public institutions in practice.

Five reasons why the adoption of Agenda 2030 may be a game-changer for integration

1. With the 2030 Agenda, sustainable development and its integrated perspective become the mainstream approach to development, increasing the political salience of integrated approaches, including in developed countries due to the universality of the SDGs.
2. The SDGs provide a common map of sustainable development, clearly showing the interdependence among goals and targets and the scope for inter-agency collaboration.
3. Scientific knowledge and evidence on interlinkages among SDG areas have progressed tremendously since 1992.
4. Institutions are an integral part of the SDGs on par with other goals, not an afterthought or a component of an "enabling environment"
5. Methodologies that support integrated approaches in public institutions are being developed, including analytical methods, managerial tools and information systems.

The World Public Sector Report 2018

The report is organized around three broad overarching questions. First, what are challenges to and opportunities for policy integration at different stages of policy cycle at the national level, from the institutional perspective? Second, what are examples of institutional and administrative arrangements that can foster integrated approaches to the 2030 Agenda? And lastly, what are challenges and opportunities for public institutions and public administration to deliver integrated approaches in different SDG or groups of closely related SDGs (nexus areas)?

Methodology for the World Public Sector Report 2018

The focus of the report is on the national level, including the sub-national and local levels. The methodological approach chosen by the report is generic and can be applied to any issue or sector. It consists in identifying important interlinkages between the issues being examined with the rest of the SDGs, and assessing how national public institutions and public administration in different country contexts have addressed those linkages. In order to analyse institutional frameworks and administrative practices in a consistent way, the report and all its chapters use a grid of analysis that is based on the three dimensions presented above (horizontal integration, vertical integration, and engagement). The report is purposely empirical and does not aim to build or test a theory of policy integration. Rather, it aims to point to a broad range of relevant examples of institutions and administrative arrangements for integration at the national level, distilling key features of those.

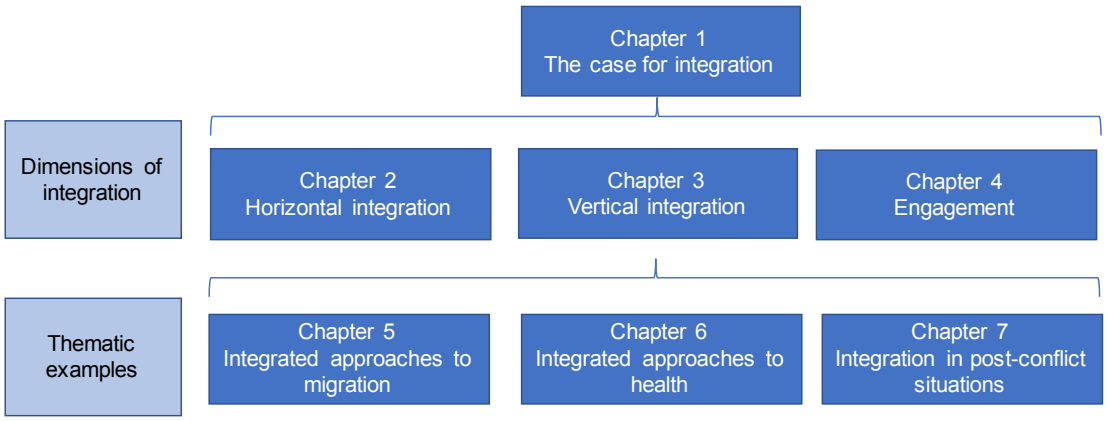
As is common in the literature on policy integration, the report features examples of institutional attempts at integration at two levels. The first level can be called systemic or "whole-of-Agenda". It refers to the institutional and public administration arrangements that are made to implement the Agenda and the SDGs. These types of high-level arrangements are those that have received most attention in official presentations made by countries at the UN in the context of the follow-up and review of the 2030 Agenda (see chapters 2, 3 and 4). The second level of inquiry relates to integrated approaches in specific sectors, themes, issues, and areas. This encompasses sectors that have their "own" SDG, such as health or education, lower-level issues such as freshwater management (addressed in several targets under SDG 6), as well as cross-cutting issues such as

migration and youth. Integrated approaches at those levels have been tried and codified in many sectors or areas, often to the point of becoming coined and recognized in national and international law.

The first chapter of this report presents the case for integration and introduces the methodological framework. The next three chapters each focus on one of those dimensions used to structure the analysis of integration: horizontal integration, vertical integration, and engagement. The second part of the report applies the framework to three current challenges that are - among many others - relevant to the implementation of the 2030 Agenda: integrated approaches to international migration; integrated approaches to health; and integration of peace, security and development in post-conflict situations. The last chapter synthesizes the lessons from the report that are relevant to policy-makers. Figure E.2 illustrates the structure of the report.

Figure E.2.

Structure of the World Public Sector Report 2018



Horizontal integration in the context of SDG implementation

Chapter 2 looks at horizontal integration for the implementation of the SDGs. Effective horizontal integration across sectors is critical for addressing the interconnected nature of the SDGs, including synergies and trade-offs across different goals and targets. It is well recognized, however, that overcoming sectoral boundaries to achieve horizontal integration remains a challenge. Nevertheless, governments have concrete opportunities to facilitate integration in their structures and processes and the report identifies some of those.

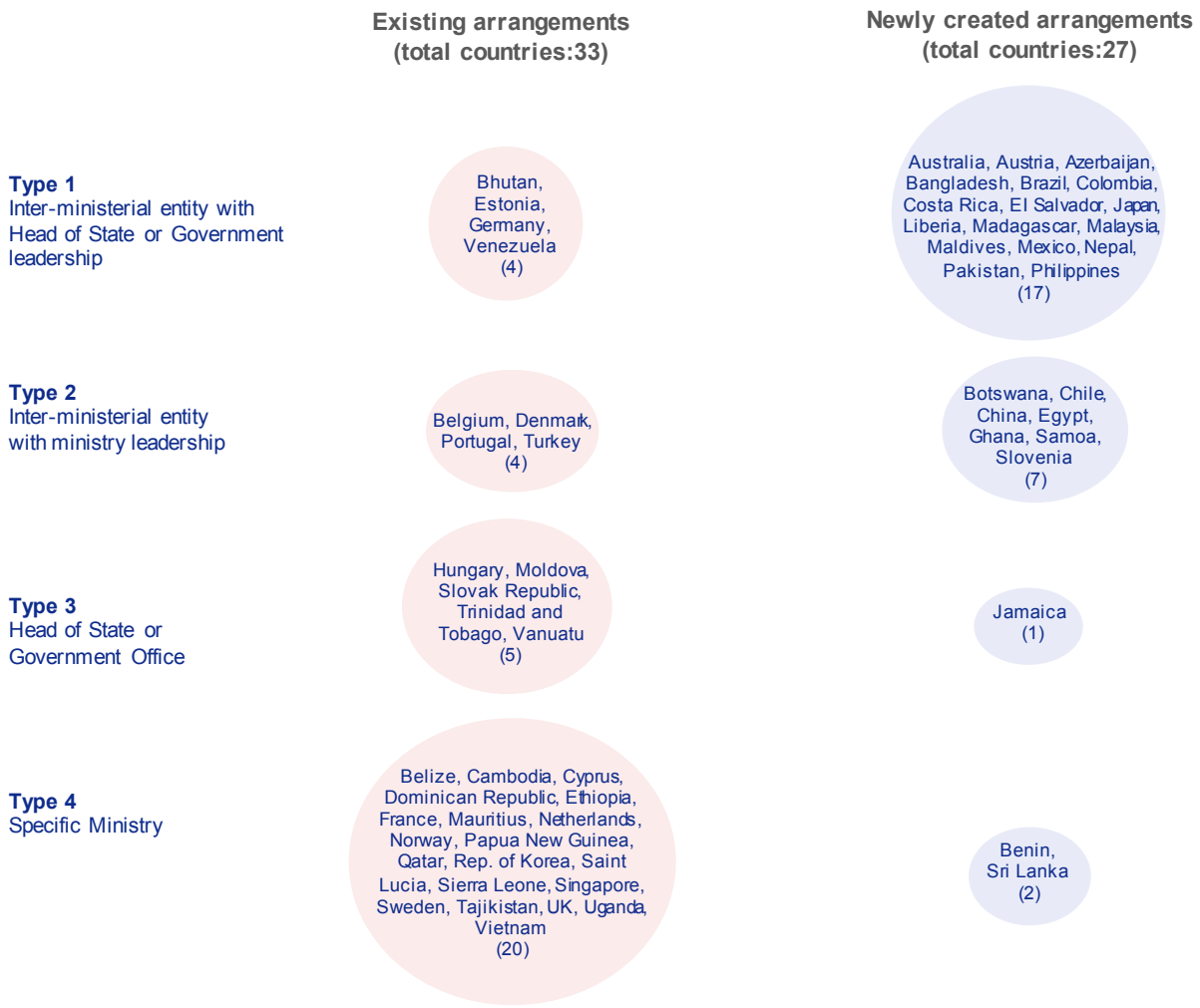
An increasing number of countries around the world are integrating the SDGs into their national policies and putting institutional frameworks in place. Some countries have given new mandates to existing mechanisms or are setting up new coordination bodies and mechanisms for SDG implementation (e.g., high-level commissions). Arrangements are being made to ensure continuing leadership in SDG implementation, which may come from the heads of state and government or from line ministries.

In a sample of 60 countries, 27 had created a new structure for SDG implementation (including 17 new cross-sectoral entities). SDG implementation is chaired, coordinated or led by Heads of State and Government in 27 countries. Leadership at the highest level is often considered conducive to successful implementation of national policy, and expresses a commitment to SDG implementation in many countries. out of the 60 countries examined in the chapter, 32 have institutional arrangements in place for SDG implementation that span across sectors. This may be an indication of countries' interest in addressing the integrated nature of the SDGs and determination to rally all parts of governments around the SDGs.

No single approach to institutional innovation seems more likely to facilitate integration independently from country context. Adapting the SDGs to national contexts while ensuring buy-in from stakeholders both within and beyond government is a delicate, political task. Beyond stated needs to enhance cross-sectoral integration and efficiency, factors influencing the choice of institutional arrangements include the dynamics and balance of power and resources in the country, as well as the prevailing political and institutional systems.

Figure E.3.

National institutional arrangements to coordinate and lead SDG implementation



Beyond institutional arrangements, other instruments are available to governments to enhance integration. The report examines five of them: national sustainable development strategies, budget processes, incentives within public institutions, monitoring and evaluation frameworks, and the role of oversight institutions.

National strategies and plans provide a long-term vision that functions as a common reference for integrated approaches. This common reference enables a shared understanding across sectoral boundaries of the government's broad policy objectives. It allows different parts of the government to see how various interventions play together towards attaining the SDGs. Many countries have mapped the SDGs against their national development strategies, and a significant number of them, especially developing countries, have explicitly aligned their development strategies with the SDGs. Sierra Leone's integrated strategy within the framework of the Agenda for Prosperity (A4P) 2013-2018 illustrates this approach. Such exercises need to consider the ambition and integrated nature of the SDGs.

The budget process can help implement national strategies at the level of programs and activities, and budget allocations for cross-sectoral priorities can encourage programs to align with the SDGs. Budgets can be used to track support to specific targets, identify opportunities for adjustment and constitute an incentive for alignment and integration of programs with the SDGs. The cases of Mexico and Norway show how the budgetary process can be utilized to advance cross-sectoral integration and the 2030 Agenda.

It is the public service that implements the national strategies and plans and plays an important role in the practical, day-to-day implementation. Hence, public servants need to have the understanding, incentives and mandates to work towards the realization of the SDGs. Based on the research undertaken for the report, few countries seem to be systematically mobilizing public servants around the SDGs, although public administration ministries are sometimes part of inter-ministerial committees. That said, there exist practices that aim to provide incentives for better integration, such as performance pay based on horizontal initiatives, or systems that make public servants move across departments for a limited period.

Periodic monitoring and evaluation and review of progress towards the SDGs will help make early adjustments and prevent veering off course. They are critical for integration and need to be an integral part of SDG implementation strategies. Monitoring and evaluation should be seen not as an exercise in reporting, but as an active management tool that helps adjust the strategy along the way. A challenge is that monitoring and evaluation frameworks tend to target specific policy interventions (e.g., a single policy or the program in a particular sector), whereas it is important to assess overall progress towards interrelated goals and targets.

Parliaments and Supreme Audit Institutions have an important role to play in facilitating integration. Parliaments, through their oversight and budgetary functions, can help ensure that policies are supportive of the SDGs and integrated. Supreme Audit Institutions can play a key role in examining the overall, cross-sectoral effects of policies and providing oversight on governments' efforts to deliver on the SDGs, including success in terms of integration.

While this chapter focused on opportunities for horizontal integration within national government processes and structures, the actions of development partners, both bilateral and multilateral, can support or hinder governments' efforts in relation to the adoption of integrated approaches. Differing agendas, lack of coordination and integrated policy approaches among the partners themselves, including lack of information exchange among the partners and with countries, may seriously hinder or even counteract countries' effective horizontal integration. As underlined in chapter 7, this problem tends to be especially acute in post-conflict situations, where external partners often provide a major portion of governments' budgets and can exert a strong influence on policy choices. As illustrated in the report, countries in different contexts have strived to address this issue. Hence, development partnerships may need to be reviewed in light of their impacts on horizontal integration.

Going forward, countries may be able to enhance horizontal integration by actively leveraging various means and instruments. For example, combining revised, integrated budget processes, incentives for integrated work in the public service and strengthening of the capacity of public institutions to track and monitor progress on the SDGs may reduce the likelihood of efforts from individual institutions being "stranded" in the face of challenges in other parts of government.

Progressing towards horizontal integration will require strong leadership, appropriate strategies, institutional arrangements, processes and enabling cultures, but also understanding and collective commitment. It should be clear across the government that ministries, offices and individuals depend on each other to meet specific targets and the SDGs as a whole. In a sense, achieving the SDGs is not an exercise in achieving a collection of individual targets, but rather an exercise in collaboration and joint efforts within government, to a level that has not been seen before.

Vertical integration for the implementation of the SDGs

The realization of the SDGs requires the coordination of actions of different levels of government. Action at the local level is critical to realise most of the targets. Vertical integration efforts aim to create synergies and enhanced consistency across levels of government through mutually reinforcing and supportive actions. Chapter 3 analyses existing efforts to ensure effective vertical policy integration in the planning, implementation and follow-up and review of the SDGs. It examines approaches and tools that countries are adopting to advance vertical integration at different stages of the policy cycle, highlighting some of the innovative solutions and practices emerging from countries' efforts to implement the 2030 agenda.

Vertical integration has many potential benefits, but also entails costs and presents multiple challenges. Whether benefits outweigh costs will depend on context. In practice, how far vertical integration should be pursued is going to depend on a country's specific context and circumstances, as well as on the policy area

in which integration takes place. The potential costs (financial, economic and fiscal) as well as the goal to be pursued through vertical integration should be considered before adopting vertical integration tools and approaches. Systematic evaluations and assessments as well as external audits (for example, conducted by Supreme Audit Institutions) could provide relevant information on costs involved in vertical integration efforts.

Collaboration between government levels is affected by the structure of the State (federal or unitary), by the actual functioning of intergovernmental and multi-level governance systems and by the capacities of different levels of government. Decentralization reforms, political economy considerations and organizational factors, which are related to the country context, may create specific opportunities for and barriers to vertical integration.

An increasing number of initiatives are being promoted by national and subnational governments to foster vertical integration across levels of government to implement the SDGs. However, there are still few examples of full and effective vertical integration across national, subnational and local levels for SDG implementation. The report shows that while national governments are recognizing the role of local governments, this does not necessarily lead to the creation of multi-level spaces for dialogue and joint action.

At the initial stage of the policy cycle, leadership for vertical integration has taken many forms, from recognition by the national government of the importance of local governments for SDG implementation and outreach campaigns intended for local governments, to actions by local governments to signal their commitment to the SDGs, to joint events and adoption of agreements across levels of governments for SDG implementation, as observed in Argentina. In some cases, national coordination mechanisms for SDGs have engaged local governments, but no general pattern has yet emerged regarding the nature of this engagement and its impact on SDG implementation.

Some countries have used legal and regulatory instruments to enshrine the SDGs in the environment of sub-national governments. In Indonesia, a Presidential regulation has been drafted, which ensures the role of provincial governments in leading the implementation of the SDGs at their level and in the districts under their supervision. In the United Kingdom, Wales has enacted an explicit legal link to the SDGs through its Well-being of Future Generations Act.

Vertical integration at the planning stage is also widespread. In many countries, sub-national governments have been aligning their strategies and plans to the SDGs, sometimes under a legal mandate. Some national governments have issued guidelines or templates to facilitate these efforts. In some countries, genuine multi-level structures or mechanisms for planning have been put in place, where local and national governments can collaborate. The so-called "SDG localization" effort has been wide-ranging and is supported by international organizations, including UN-Habitat, the United Nations Development Programme (UNDP), The Global Task Force of local and regional governments, and United Cities and Local Governments (UCLG).

Vertical integration at the SDG implementation stage seems less frequent. However, some countries have made efforts to align national and local budgets for SDG implementation. The drive for alignment sometimes comes from the national level, sometimes from the sub-national level. Colombia is an extreme case of alignment, where multi-level processes enable allocation of budget resources across territories and establish common reporting formats.

Vertical integration at the level of monitoring, evaluation, follow-up and review is not common, but there are innovative examples from different regions. In some countries, the national level recognizes sub-national and local SDG indicators, or supports their development. Some countries also ensure that SDG implementation is monitored at the sub-national level, either through central government efforts, through the establishment of sub-national monitoring structures, or through joint, multi-level structures and mechanisms. Such joint mechanisms are observed in several European and Latin American countries, among others.

Government oversight and accountability mechanisms can also play a role in monitoring and evaluation of SDG implementation. In many countries, supreme audit institutions (SAIs) have undertaken to audit the readiness of governments to implement the SDGs. These efforts often try to assess whether mechanisms are in place to foster vertical integration, for example for sharing information across levels of governments. Pioneering work has been done by SAIs in Latin America to conduct coordinated audits across levels of governments as well as share and coordinate audit methodologies and tools.

Local governments are leading SDG innovation in many countries. Networks and associations of local governments are playing an important role in driving these efforts. However, these initiatives face the challenge of going beyond the local level and effectively connecting SDG action across levels of government. Enhanced collaboration with other stakeholders could help establish and sustain these linkages.

Innovative examples include those that rely on legal and regulatory instruments, those that establish structures for multi-level coordination and collaboration across levels of government, and those in which authorities at different levels of government work together to address commonly identified SDG implementation challenges. It remains to be seen, however, how these structures work and whether they are sustained in practice with appropriate resources, capacities and mandates. Further research is needed on the effectiveness of the different mechanisms to promote vertical integration and their impact on the achievement of the SDGs.

In many places, further collaboration between authorities at different levels and in specific sectors will be required, including the participation of multiple stakeholders, to create awareness, address barriers, strengthen institutional coordination mechanisms, and create capacity for strengthening integration. The active participation of other key stakeholders, such as Parliaments and Supreme Audit Institutions, can also contribute to fostering integration.

Engaging stakeholders for integrated implementation of the SDGs

The 2030 Agenda clearly recognizes that achieving the Sustainable Development Goals (SDGs) requires active action and involvement of all stakeholders. At the broadest level, "People" and "Partnership" are two of the "5 Ps" that introduce the Agenda and emphasize the dimensions of engagement and participation. These concepts are further fleshed out in the agenda itself as well as in the SDGs. Chapter 4 explores how the adoption of mechanisms for engagement of various actors, both at the systemic and at the sector level, can affect outcomes in terms of integration.

At the most basic level, awareness needs to be raised and ownership of the SDGs needs to be increased in the whole population if the Agenda is to succeed. Engagement is also key to building integrated visions and strategies for the future as a support to long-term transformation, and to achieving a shared understanding of complex problems and devising integrated solutions that benefit from broad societal consensus. Doing so requires the balancing of perspectives from different actors operating in different sectors, and this can only be done through engagement. Engagement is also a key tool and mechanism to encourage different stakeholders to act on common objectives along with governments. Also, adhering to the principle of "leaving no one behind" enshrined in the 2030 Agenda requires engagement with the full diversity of stakeholders, with focus on marginalized groups and individuals.

A wealth of experience has been accumulated regarding processes and mechanisms for engagement in different sectors, at different levels of decision-making, and with different constituencies involved. The chapter reviews some of these experiences.

Advancing policy integration requires changed procedures for increased interaction with non-state actors - either through formal mechanisms or informal contacts and relations. Mechanisms that allow participatory, multi-sectoral and multi-level problem solving are needed, which need to involve a wide range of stakeholders. Non-governmental actors are themselves key drivers of change. Civil society and non-governmental organizations are often at the forefront of initiatives to effect change and promote sustainable development, keeping the pressure on governments to act on the SDGs. They can contribute direct knowledge of how services and programs work for them in practice, and help governments identify policy solutions that are better tailored to particular contexts.

Different actors bring distinctive benefits and value in their interactions with governments in the process of implementing the SDGs. The report shows that the identification of interdependences among sustainable development goals and targets can be a first step in identifying the set of stakeholders that can support integrated policies in relation to specific issues. It also provides examples of guidelines for stakeholder selection in relation to various issue areas that address the dimension of integration.

At the systemic, whole-of-Agenda level, there is great institutional variation in terms of the engagement mechanisms being used. Institutional structures for engagement involve several types of stakeholders and

operate at various levels of government. While some of these structures are led by governments, others are led by non-state actors. Some institutions have decision-making powers while others are advisory bodies. Approaches build on the lessons learned during past decades, for example, from National Councils of Sustainable Development (NCSDs). In the SDG context, stakeholder engagement has taken place at different stages of policy-making, including: awareness raising on the 2030 Agenda; adaptation and prioritization of Goals to the national context; the development of national SDG implementation plans; SDG implementation; and monitoring and review.

Efforts to engage stakeholders in monitoring, review and reporting are limited but gaining increasing attention. Many Member States recognize the importance of engaging stakeholders in the process of preparation of voluntary national reviews (VNRs) at the UN high-level political forum on sustainable development. The extent of engagement and the methodology varies from country to country.

Institutional attempts at integration at the level of specific sectors or issues have been widespread. The level of stakeholder engagement as well as the structures and approaches to foster stakeholder engagement seem to vary across sectors and within the same sector from country to country. The types of stakeholders engaged also vary within and between sectors. Participatory approaches that foster a high level of stakeholder engagement in planning and decision-making processes have been highlighted for example in ocean and forest management.

UN Member States have placed high hopes on multi stakeholder partnerships (MSPs) for the realization of the 2030 Agenda. Several countries have put forward multi-stakeholder partnerships or created frameworks for those in relation with the SDGs. For example, the Netherlands has a broad coalition of over 75 different stakeholders referred to as the "Global Goals Charter NL". Participants ranging from companies, to banks, to civil society organizations, have signed the charter and are contributing to the implementation of the SDGs. Finland's whole-of-society approach to the achievement of the goals encourages stakeholders from all parts of society to make public commitments that contribute to the goals. At the sectoral level, MSPs have been increasingly prominent over past decades. Evidence in terms of how MSPs can contribute to policy integration is scarce, and the topic does not seem to have been systematically studied. Specific examples suggest that MSPs can be at odds with integration and coherence at the national level.

There is not yet much systematic evidence on the performance and effectiveness of engagement mechanisms – both informal and institutionalized - and how they may contribute to a more integrated implementation of the SDGs. Yet, typical challenges facing engagement and participation highlighted in the literature may also affect the impact of engagement mechanisms on integration. For example, differences in power, capacity and resources between the public, civil society, government institutions and the private sector can result in outcomes that heavily favor some stakeholders. Political factors play a key role in determining the way engagement mechanisms are designed and allowed to function, and their ultimate impacts on policy. Indeed, engagement is a strategic policy tool that governments may use to manipulate the outcomes of political processes. Regarding the SDGs, it will be important to ensure that engagement mechanisms are sustained over time and go beyond one-time, ad hoc consultation meetings as have been organized in countries since 2015. Established institutions such as parliaments, economic and social councils and national sustainable development councils provide spaces for engagement that can be used for the SDGs, according to each country's context.

In spite of this scarcity of information, it seems clear that "more engagement" does not automatically result in more integration; for example, strengthened engagement in sectoral mechanisms can reinforce existing silos and entrench fragmentation. By the same token, to the extent that successful integration relies on balanced consideration of perspectives of multiple actors, engagement processes that fail to address power and resource imbalances among participants may actually lead to policies that give privilege to narrow interests, with negative impacts on politically weaker stakeholders or sectors, the precise outcome that integration efforts seek to avoid.

Some examples of stakeholder engagement show the potential of bottom-up participatory approaches that work across levels of decision making, involving soft forms of coordinated action to address specific development problems or seeking broad policy change. These exemplify the potential for engagement, horizontal integration and vertical integration to be mutually reinforcing.

Addressing the needs of international migrants and refugees: policy and institutional perspectives

Chapter 5 focuses on how national public institutions and administration have used integrated approaches to policy-making and public service delivery to respond to the needs of migrants and refugees. This topic has recently gained importance in international discussions, as witnessed by the ongoing discussions at the United National to elaborate a Global Compact on Migration.

Migration can be seen from a multiplicity of perspectives. The linkages between migration and sustainable development can be classified into six broad categories: security, human rights, sectoral and economic perspectives including employment, and environmental perspectives. Politics play an important role in the way competing claims and interests are adjudicated, and hence on what types of policies are developed to meet the needs of migrants.

Integration across sectors and across levels of governments is especially relevant to migration, given the fact that migration policies are formulated at the national level, whereas delivery of services to migrants happens for a large part at the local level. The fact that the legal status of migrants has a critical impact on their ability to generate livelihoods and access various services also warrants integrated approaches, including between policies in relation to entry of migrants, border control and other sectoral policies (e.g. in relation to employment).

For public institutions and public administration to adequately address these linkages, multi-disciplinary and multi-dimensional approaches are required. Policy-makers and policy communities across the world are interested in learning about different options of institutional and public management modalities, legal policy frameworks and administrative measures to better link international migration with policies and services for sustainable development.

The report examines national institutions and policies on migration in a sample of 29 countries representing different regional, economic, social and political backgrounds, with emphasis on labour, education and health policies as they apply to migrants. Many countries include migration or asylum in their constitutions. A majority of the 29 countries mention migration or refugees in their national development plans or their sustainable development plans and strategies. Fourteen of the 17 countries of the sample which presented voluntary national reviews of progress on the SDGs at the UN high-level political forum on sustainable development in 2016 or 2017 made references to migration or refugees in their statements. These findings indicate the ubiquitous and increasing importance of migration and refugees in national policy agendas.

Analysis of national institutions dealing with migration issues shows a broad variety of institutional settings. A multi-agency approach was apparent in Brazil and the Philippines, and to a lesser extent in Italy and Mexico, with individual institutions in charge of migration accompanied by inter-ministerial advisory commissions. Australia, Canada, Denmark, Egypt, Greece, Morocco and the United Kingdom have stand-alone ministries on migration. Other countries have separate units in charge of migration and refugees within the Ministry of the Interior, the Ministry of Home or Civil Affairs, the Ministry of Public Security or the Ministry of Justice. Still in other countries, it was more difficult to identify leading institutions on migration and refugees. The involvement of Ministries or Departments of security and border management in migration policy-making was found to be important across the board.

Data is a key cross-cutting enabler of policy integration. Digitalization and processes for exchanging information among administrations is an area where potential for enhanced efficiency exists. However, a balance needs to be struck between enhanced administrative efficiency and safeguarding the rights of migrants. In this regard, the creation of appropriate “firewalls” between various parts of the administrative system and in terms of data exchanges is regarded as an important policy option by experts in the field.

Migrants’ and refugees’ access to employment is often precarious. The array of labour rights accorded by States to regular and irregular migrants, refugees and asylum seekers varies widely across countries. Many countries grant access to employment to refugees but not to asylum-seekers. In addition, the existence of a legal basis for providing access to employment is no guarantee for its actual implementation.

Migrants’ and refugees’ access to education is often limited. Out of the 29 countries examined in the report, only a handful provide education in local languages upon entry into the country. The dominant trend is one

where refugees have legal access to public education whereas asylum-seekers do not. Migrants in an irregular situation are often excluded from education unless they are minor.

In many countries, migrants' and refugees' access to healthcare is also limited. The main trend is to give access to emergency care for adults and children, while in certain countries children may also benefit from primary care. Thailand is an exception, as it provides comprehensive healthcare policies to all migrants, including those in an irregular situation, as well as refugees.

In many countries, the local level has been at the forefront of innovation in terms of addressing migrants' needs and creating an enabling environment that enhances the positive impacts of migration for both migrant and host communities. The report finds that local governments, particularly cities, have played an increasing role in linking migration issues, public services and sustainable development. At the same time, there is great variation in terms of how local governments within any given country are addressing migration. By fostering local innovation in terms of services provided to migrants, decentralization can potentially be an important enabling factor for bottom-up integration of migration and development.

In many countries, civil society plays an active role in national migration governance, albeit in diverse ways and capacities. Non-governmental actors are active in many areas relevant to migration and development, although their role could often benefit from further integration at the local level. At first glance, engagement of non-governmental actors seems to be stronger in open and transparent governance systems, particularly when coupled with effective decentralization and inclusive local governance. Local level engagement also tends to climb when national migration policies and institutions are either absent or inadequate. There seems to be a need for more systematic studies of lessons learned, challenges and triggers for success in terms of engagement modalities.

Migration and refugee issues are likely to remain high on policy-makers' agenda. Effective horizontal and vertical policy integration and engagement with non-governmental actors are all relevant to the efforts of public institutions and public administration to address them. In the end, countries' own circumstances and aspirations will determine how migration will be integrated with sustainable development.

Integrated approaches to health and well-being

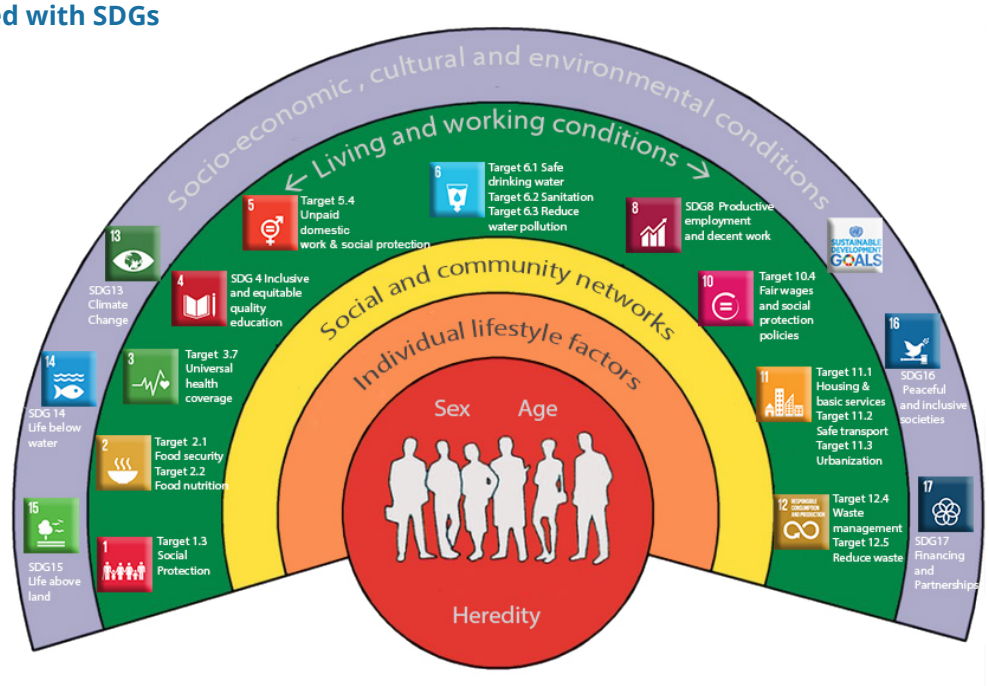
Chapter 6 examines integrated approaches to health through the SDG lens. It explores how strong linkages between health and other policy areas translate into integrated actions for improving health outcomes and achieving the SDGs. Not only is health itself a dedicated goal of the 2030 Agenda, it is also widely recognised as a prerequisite, contributor and indicator of progress for all other Goals. Conversely, health outcomes are influenced by a multitude of factors that correspond to policy areas outside the health sector. Although the SDGs adopt a broad notion of health and well-being and acknowledge today's burden of disease, the recognition of interlinkages and interdependence of health with other sectors and the call for integrated action are not new. Research reveals, however, that many attempts at policy integration in health have remained within the health care sector itself. Hence, the potential of integrated approaches to achieve synergies and minimize trade-offs may remain relatively untapped in many countries.

Health and health-related development outcomes are affected by a multiplicity of determinants. Evidence suggests that a large part of the gains achieved in health over the past two centuries owe more to changes in broad economic and social conditions than to medical advances. The social determinants of health illustrate how health conditions and diseases can be prevented, mitigated or precipitated by the conditions under which people are born, grow, learn, work, play, worship and age. Mapping the social determinants of health with the SDGs highlights how many different policy areas potentially impact health outcomes.

Health outcomes are also influenced by the strategies and approaches used by the private sector to promote products that influence public health outcomes - the so-called commercial determinants of health. This includes, for example, tobacco products and unhealthy commodities, but also industrial epidemics, profit-driven diseases, corporate practices harmful to health, and techniques to influence lifestyle choices such as marketing to children. A third dimension is the role of political economy and government policies in affecting health outcomes at both national and local levels.

Figure E.4.

Mapping of "Social determinants of health" as set out by Dahlgren and Whitehead (1991), superimposed with SDGs



Source: Author's adaptation from Dahlgren and Whitehead, 1991.

The policy evidence base for the impact of multisectoral determinants of health has been strengthened considerably in past decades. Such determinants, separately or collectively, are increasingly seen as a rationale for integrated actions to achieve not just the health Goal but also other related SDG targets, for example, on education, employment, environment, security, transport, urban planning, youth and social protection policies.

Governments across the world have put in place institutional and administrative initiatives that address specific linkages between health and other SDGs. A snapshot of those is provided by initiatives submitted each year by Governments for the United Nations Public Service Awards. For the period 2003-2017, 57 of the winning cases were related to health. More than half (one-third) of the cases exhibited at least one linkage (two linkages) with other sectoral Goals. The initiatives featured frequent linkages with food and nutrition (SDG 2), inequality (SDG 10), education (SDG 4), gender equality (SDG 5) and cities (SDG11).

There exist many examples of practical approaches to policy integration for health. One of them is Health in All Policies, an approach adopted in both developed and developing countries, including Australia, Brazil, Cuba, Finland, Iran, Malaysia, New Zealand, Norway, Sri Lanka, Sweden, Thailand and the United Kingdom. Such approaches systematically consider the health implications of policy decisions across sectors, seek synergies and aim to avoid harmful impacts in aiming to achieve common goals.

The implementation of integrated health policies needs to be supported by adequate institutional settings to establish rules of engagement and set the stage for ongoing interactions and strategy development across ministries and agencies. In practice, different forms of institutional arrangements are found to support intersectoral health approaches in public administration, ranging from informal to formal networks, from light-touch coordination mechanisms across sectors to collaborative problem-solving for deeply rooted social problems, and from high-level inter-ministerial bodies to parliamentary deliberation.

Because health service provision is inherently local, integration and coordination among actors operating at both national and local levels of governments is a critical element of successful integrated policies for health. Health inequalities in urban areas and slums are a continuing concern. The issue of inadequate health services for the urban poor is acute in many countries. The slum upgrading target under Goal 11 on sustainable human settlements (Target 11.1) will directly contribute to reducing health inequalities. More efforts are needed,

however, to integrate multi-sectoral determinants of health as criteria in the design and evaluation of slum upgrading projects.

Engaging people and communities in planning and implementing policies that are about their own health and well-being can lead to sustainable change and increased public trust. Local authorities and communities are known to have unique ground knowledge and opportunity to address the multi-sectoral determinants of health. Community participation in health will benefit if marginalised groups including women, youth and older people are included, as social exclusion is in itself a contributor to health inequalities. Genuine engagement is essential to ensure that policies are responsive to community needs, and can enhance public trust in government.

The chapter explores four enablers of integrated approaches to health: financing; capacity development; data, information systems and science-policy interface; and technology and innovation. Innovative financing initiatives such as establishing joint budgets from different public sources of financing and establishing joint accountability can facilitate effective implementation of health-related activities. Cross-sectoral financial allocation systems can help to promote the integration of policies, for example, in providing budget for research and policy activities, and in deploying public funds gained through taxes on alcohol and tobacco to promote universal health coverage programmes. Capacity building programmes are needed not just to develop skills in the health workforce, but also to foster a broader mind-set and enhanced knowledge of various SDG areas among health professionals, in order to support integrated, multi-sectoral approaches.

Effective multi-sectoral health information systems can support decision-making and monitoring, and collective actions by various stakeholders. They need to be supported by appropriate legal and regulatory frameworks. Various data and analytical tools can facilitate integration, such as health lens analysis, foresight mechanisms, health equity impact assessments, health technology assessments, health analytics and learning analytics, and health decision support systems.

Innovation and the use of information and communication technologies can help address challenges such as reconceptualising how universal health coverage can work in resource limited settings and exploring how to design cross-sectoral policies to tackle the causes of non-communicable diseases. One example is the “aging in place” initiative, which aims to move the point of care for older people from costly health facilities to the home and the community through digital health measures, integrating social and transport policies with the urban environment through sensors and technologies.

In comparison with other sectors, integrated approaches to health seem rather common and well developed. Lessons learned in terms of how various institutional and administrative approaches have worked could prove useful in other areas of the SDGs that also have strong connections with other SDGs. However, the path to integrated approaches to health, though compelling, is not easy. Adopting and implementing integrated approaches has proven difficult, partly because of the complexity and dynamics of the determinants of health and the involvement of multiple actors. Many questions remain regarding how best to kickstart integrated approaches, including: how to define priorities in specific national contexts in order to best address multisectoral issues; how to jar the inertia that surrounds health inequities; and how to sustainably promote whole-of-government efforts to tackle the root causes of ill health.

There is insufficient systematic evidence to reveal the most effective policy processes and institutional arrangements that allow for successful integrated approaches to SDG implementation, for example, in elaborating integrated policy for health and urbanization. Further work of combing the available evidence about policy experimentation and framing appropriate policy research is required. It will help to develop the necessary metrics and evidence base for integrated approaches to health problems.

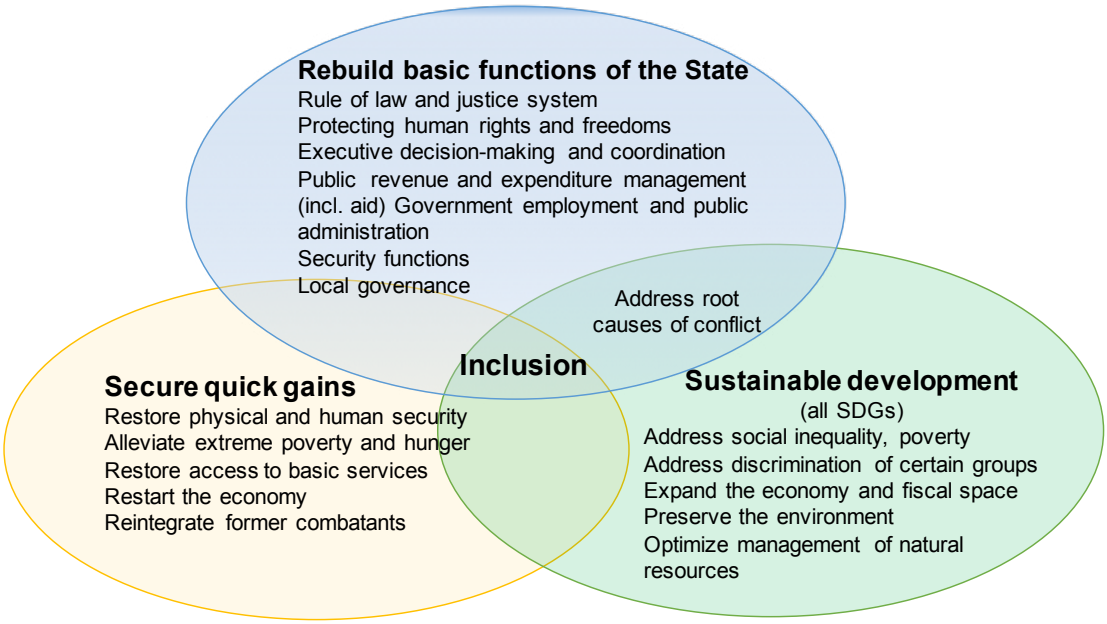
Realizing the SDGs in post-conflict situations: Challenges for the State

Chapter 7 explores the challenges to realizing the SDGs in post-conflict situations and their implications for integrated approaches that advance both sustainable development and peace.

Conflict and its aftermath make the realisation of all the SDGs more difficult than in countries not affected by conflict. In particular, each of the targets of SDG 16 on peaceful and inclusive societies is made more difficult, because public institutions and public administration have usually suffered heavily from conflict.

Figure E.5.

Multiple governance challenges in post-conflict situations



Conflict can completely disintegrate institutions that are taken for granted in stable contexts (e.g. central bank, civil service, etc.). In some cases, the reach of the central government may not extend to the entire country. Even if institutions exist, their functioning is challenged by the destruction of human capacity and physical infrastructure. Importantly, the realisation of sectoral SDGs also needs to be approached differently in post-conflict countries. Sectors such as education, infrastructure, health, social protection, and basic services can be critical in contributing to addressing grievances from different groups and helping re-start economic and social development on a sustainable path.

In general, post-conflict countries have to deal simultaneously with three categories of issues: securing quick gains; restoring basic functions of the State; and progressing toward sustainable development. The three sets of priorities are interrelated, and have to be considered simultaneously. However, adopting integrated strategies and policies is more complicated than in other contexts. The task of prioritizing and allocating resources among SDG areas faces competition from the two other sets of priorities. This happens in contexts of low national budgets, linked with narrow fiscal space, lower fiscal base due to destroyed assets and low revenue mobilization capacity in public administration, often coupled with extensive debt, all of which limit the ability to address multiple priorities. Limited resources may be compounded by corruption and illicit financial and capital flows, which themselves may fuel further conflict.

Experts agreed that inclusion, in a political sense, is at the center of all efforts to build sustainable peace and development. If exclusion generated conflict in the first place, not addressing it is likely to lead to recurrence of conflict. Thus, inclusion stands out both as a goal and an outcome-driven "strategy" for achieving sustainable development and sustaining peace. National ownership of the post-conflict development path needs to be inclusive and involve a broad set of stakeholders to create a sense of belonging and inclusion, regardless of political differences. Moreover, promoting institutionalized capacities and collaboration to identify, and address grievance can help avoid relapse into conflict.

The adoption of the 2030 Agenda may facilitate integrated approaches to post-conflict situations. This is because of the broad scope of the SDGs, which encompasses areas that are critical to all the components of post-conflict interventions, from humanitarian action to rebuilding of the basic capacity of the State to longer-term development. Yet, developing integrated policies that build on the synergies among the SDGs is daunting in post-conflict contexts. Several countries have used the SDGs as a framework to align their long-term development strategies and plans, as well as other instruments such as budget processes. Among

countries having suffered from conflict, Chad, Colombia, Sierra Leone, the Solomon Islands and Somalia have explicitly linked high-level objectives expressed in their national plans and strategies with the SDGs.

Capable, effective and inclusive institutions and public administration are instrumental to addressing both short-term and long-term development challenges. They help to shape an integrated national vision for sustainable development and peace, ensure responsive public service delivery and look beyond post-conflict peacebuilding. Building or reforming institutions can affect existing power structures, which makes it de facto a political process. Elites often have a vested interest in keeping economic and political power – this can be offset by building coalitions to get a critical mass of agents of change. Departing from past approaches that encouraged focusing efforts on institutional capacity before addressing other institutional challenges, countries in post-conflict settings have addressed effectiveness and accountability alongside other key recovery efforts, including anti-corruption efforts.

Even more than in countries not affected by conflict, public institutions and public administration in post-conflict countries must be committed to inclusion and to the imperative of the 2030 Agenda to leave no one behind. Public administration constitutes a key instrument and channel for inclusion. Public servants have to be open to the idea of working with civil society, the private sector and other stakeholders for public service delivery. They need to be aware of the challenges inherent to providing equal access to public services for the poor and most vulnerable and those facing discrimination.

Particularly in post conflict settings, effective management of the national budget is critical to ensure policy implementation, as well as for enhanced state legitimacy and accountability. External actors all have different agendas, which may not match the government's or other stakeholders' priorities. Because of their systemic importance in post-conflict settings, this often creates an additional challenge to integration. A coherent country vision, national sustainable development strategy and implementation plan can help align external intervention to country priorities.

Adopting horizontal integration strategies is critical in post-conflict contexts. Rwanda, the Democratic Republic of Congo, Timor-Leste and Nepal, for example have promoted institutional coordination across sectors for implementing more integrated national sustainable development strategies. The Colombian Government has created a high-level inter-ministerial commission for developing the SDG implementation strategy and action plans at national and regional levels. In the Solomon Islands, the Ministry of National Unity Reconciliation and Peace was specifically created to emphasize the importance of peacebuilding for the country's social and economic development.

Overall, ensuring coherence and integration between national and sub-national levels of government is more challenging in post-conflict contexts, where local interests and powers may resist central authority. Building coalitions at the local level where the State works with community leaders may help prevent further violence. Devolving power to local governments - decentralization - is not always a solution to vertical integration, as supporting local governments at the expense of strengthening the central government may in the long run lead to negative outcomes. If decentralization is implemented, it should be well managed (impeding local elites capture among others) to support improved linkages between central and local authorities and cohesion. The integration of action at the national and sub-national levels may be enhanced through compacts or other accountability frameworks between the central government and local authorities.

Stakeholder engagement is a key factor in successful post-conflict governance. Engaging all social groups (including minority groups, women and youth) in this process allows shaping a common vision for a country's sustainable and peaceful development that reflects people aspirations and needs. Effective engagement strategies are important to ensure equality of rights and power relations and opportunities between men and women. Experience shows that in post conflict settings, youth can be engaged as champions for SDG implementation and as agents of change to proactively pursue sustainable peace. They also have a strong potential to build bridges between communities. Public administrations, at all levels, have a key role to play to establish institutional arrangements in this respect. The development of national SDG strategies and action plans provides an opportunity for engagement of non-State actors.

Acronyms

ACA	Affordable Care Act
ADEKA	Association pour le Développement de la Kabylie
AFELL	Association of Female Lawyers of Liberia
AIDS	Acquired immune deficiency syndrome
ALACIP	Asociación Latinoamericana de Ciencia Política
AMSED	Association of Migrations, Solidarity and Exchanges for Development
APHG	All-Party Parliamentary Health Group
ASEAN	Association of Southeast Asian Nations
ASEF	Asia-Europe Foundation
ASviS	L'Alleanza Italiana per lo Sviluppo Sostenibile
AUE	Associations d'usagers de l'eau
CAR	Commissionerate for Afghan Refugees
CDI	Centre for Development Innovation
CDKN	Climate and Development Knowledge Network
CHFSs	Councils of Health and Food Security
CHPS	Community-based Health Planning and Services
CIFOR	Center for International Forestry Research
CIMES	Country Integrated Monitoring and Evaluation System
CLAD	Centro Latinoamericano de Administración para el Desarrollo
CLAIM	Centro Local de Apoio à Integração de Migrantes
CLEW	Climate, land, energy and water
CNAIM	Centro Nacional de Apoio à Integração de Migrantes
CNM	Confederação Nacional de Municípios (Brazil)
CSO	Civil Society Organization
CSR	Corporate Social Responsibility
DAC	Development Assistance Committee
DESA	Department of Economic and Social Affairs
DPADM	Division for Public Administration and Development Management
DPKO	Department of Peacekeeping Operations
ECPR	European Consortium for Political Research
EMM	Essentials of Migration Management
EPI	Environmental Policy Integration
ESC	Economic and Social Council
ESCAP	United Nations Economic and Social Commission for Asia and the Pacific
ESCWA	United Nations Economic and Social Commission for Western Asia
ESDN	European Sustainable Development Network
ESSIM	Eastern Scotian Shelf Integrated Management
EU	European Union
FAO	Food and Agricultural Organization
FLEGT	Forest Law Enforcement, Governance and Trade
GAVI	Global Alliance on Vaccines and Immunization
GDP	Gross Domestic Product

GEMI	Global Expanded Monitoring Initiative
GFMD	Global Forum on Migration and Development
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GmbH	Gesellschaft mit beschränkter Haftung
GMPA	Global Migration Policy Associates
GNH	Gross National Happiness
GNWP	Global Network of Women Peacebuilders
GPSA	Global Partnership for Social Accountability
GSDS	Growth and Sustainable Development Strategy
GTF	Global Task Force
GTLG	Global Taskforce of Local Governments
GTZ	Gesellschaft für Technische Zusammenarbeit
HIA	Health Impact Assessment
HiAP	Health in All Policies
HIV	human immunodeficiency virus
HLPF	High Level Political Forum
HSF	Hanns Seidel Foundation
IAP2	International Association for Public Participation
IATC	Inter-Agency Technical Committee
IBP	International Budget Partnership
ICC	International Chamber of Commerce
ICLEI	International Council for Local Environmental Initiatives
ICSU	International Council for Science
ICT	Information and Communication Technology
ICZM	Integrated coastal zone management
IDCOL	Infrastructure Development Company Limited
IDESCAT	Institut d'Estadística de Catalunya
IDI	INTOSAI Development Initiative
IFPRI	International Food Policy Research Institute
IGES	Institute for Global Environmental Strategies
IIAS	International Institute of Administrative Sciences
IIED	International Institute for Environment and Development
IISD	International Institute for Sustainable Development
ILO	International Labour Organization
INTOSAI	International Organization of Supreme Audit Institutions
IOM	International Organization for Migration
IPU	Inter-Parliamentary Union
IWGIA	International Work Group for Indigenous Affairs
IWRM	Integrated water resource management
JDMI	Joint Migration and Development Initiative
KIT	Koninklijk Instituut voor de Tropen
KNOMAD	Global Knowledge Partnership on Migration and Development
LDTA	Local Development Training Academy
LGs	Local Governments
MARWOPNET	Mano River Women's Peace Network

MDGs	Millennium Development Goals
MERCOSUR	Mercado Común del Sur
MHAVE	Ministry of Haitians Living Abroad
MIF	Municipal Investment Financing
MSP	Multi stakeholder partnership
NASC	Nepal Administrative Staff College
NCCs	National Collaborating Centres
NDP	National Development Plan
NEDA	National Economic and Development Authority
NEEAP	National Energy Efficiency Action Plan
NGO	Non-Governmental Organization
NHC	National Health Commission
NIK	Najwyższa Izba Kontroli
NPC	National Planning Commission
NREAP	National Renewable Energy Action Plan
nrg4SD	Network of Regional Governments for Sustainable Development
NSDC	National Sustainable Development Council
NSDS	National Sustainable Development Strategy
NSF	National Strategic Framework
NTDs	Neglected tropical diseases
OAS	Organization of American States
ODS	Objetivos de Desarrollo Sostenible
OECD	Organization for Economic Cooperation and Development
OHCHR	Office of the United Nations High Commissioner for Human Rights
OROLSI	Office of Rule of Law and Security Institutions
OWWA	Overseas Workers Welfare Administration
PAGE	Partnership for Action on Green Economy
PBC	Peacebuilding Commission
PCMD	Policy Coherence for Migration and Development
PDPs	Peace and Development Programmes
PES	Payment for ecosystem services
PHP	Philippine Pesos
POEA	Philippine Overseas Employment Administration
PPP	Public-private partnership
PRSP	Poverty Reduction Strategy Paper
QCPR	Quadrennial comprehensive policy review
SAFRON	Ministry of States and Frontier Regions (Pakistan)
SAIs	Supreme Audit Institutions
SARS	Severe Acute Respiratory Syndrome
SCHFS	Supreme Council of Health and Food Security
SCP	Sustainable Consumption and Production
SD	Sustainable Development
SDC	Swiss Agency for Development and Cooperation
SDGs	Sustainable Development Goals
SEADE	Fundação Sistema Estadual de Análise de Dados

SHCP	Secretaria de Hacienda y Crédito Público
SIDS	Small Island Developing State
SME	Small and medium enterprise
SNIA	Stratégie Nationale d'Immigration et d'Asile
SNV	Stichting Nederlandse Vrijwilligers
STI	Science, technology and innovation
TCU	Tribunal de Contas da União
TDV	Territorial Development Plan
TFM	Technology Facilitation Mechanism
TVET	Technical and vocational education and training
UCLG	United Cities and Local Governments
UHC	Universal Health Coverage
UNCDF	United Nations Capital Development Fund
UNCED	United Nations Conference on Environment and Development
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNECE	United Nations Economic Commission for Europe
UNFPA	United Nations Fund for Population Activities
UN-Habitat	United Nations Human Settlements Programme
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNMIL	United Nations Mission in Liberia
UNODC	United Nations Office on Drugs and Crime
UNPAN	United Nations Public Administration Network
UNPSA	United Nations Public Service Awards
V-NAMAS	Vertically integrated nationally appropriate mitigation actions
VNG	Vereniging van Nederlandse Gemeenten
VNRs	Voluntary National Reviews
VVSG	Vereniging van Vlaamse Steden en Gemeenten
WEF	World Economic Forum
WHO	World Health Organization
WPSR	World Public Sector Report
WRI	World Resources Institute
ZRC	Zona de Reserva Campesina

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CHAPTER

1

THE CASE FOR WORKING TOGETHER

1.1. Introduction

More than two years ago, Member States of the United Nations adopted the 2030 Agenda for Sustainable Development, which ambitions to eradicate poverty and achieve sustainable development by 2030. The Agenda emphasizes the importance of the interlinkages and integrated nature of the Sustainable Development Goals (SDGs), stating in the Preamble: *"The interlinkages and integrated nature of the Sustainable Development Goals are of crucial importance in ensuring that the purpose of the new Agenda is realized"*. Acknowledging possible synergies and trade-offs between the sustainable development goals and targets will make it much easier to achieve the SDGs. It will help avoid unwanted side effects of actions aiming to accelerate progress towards one target on the realization of targets in other areas. It will support more balanced development trajectories by ensuring more coherent action on various dimensions of sustainable development.

It is recognized that the national level will be critical for the achievement of the Goals. At the national level, understanding how to adapt institutional frameworks to deliver integrated policies that effectively address existing interlinkages among the SDGs will be critical to achieving progress; it will also have important implications for national public administrations and public service. As implementation of the SDGs has started in earnest, Member States have put in place various types of institutions and mechanisms to foster integration. Yet, more than twenty-five years after the Earth Summit, policy integration and coherence remains a challenge in many countries. Out of the 64 Voluntary National Reviews (VNRs) presented at the high-level political forum on sustainable development (HLPF) in 2016 and 2017, many referred to the need to better harness the cross-cutting dimensions of the SDGs towards coherent and effective policy-making.[1]

Broadly speaking, promoting integration implies finding ways to foster cooperation and common approaches among institutions at all levels dealing with closely interrelated issues. This may entail putting in place adequate institutional arrangements, public administration practices, mechanisms, capacities, budgetary arrangements and resources. It also encompasses various modalities of engagement of non-state stakeholders in decision-making.

The World Public Sector Report 2018 aims to inform efforts by all countries to foster policy integration, outlining the challenges and opportunities that exist for public institutions and public administration. It highlights areas for consideration going forward for governments to enhance policy and institutional integration towards SDG implementation. It illustrates how different types of interlinkages that exist among the SDGs can be addressed from an institutional perspective, based on examples. Through this, the report aims to sketch: areas where public institutions need to work closely together; the types of tools that can be used to this effect; and the broader implications for public institutions and public service.

The report aims to assist national policy makers, especially those working in institutions entrusted with SDG implementation as well as in planning, finance and sector ministries and in local governments, to implement the SDGs in an integrated manner. It also aims to speak to government delegations at the United Nations and other intergovernmental organizations as well as practitioners, scholars and students in development, governance and public administration. The report takes stock of the rich experience accumulated over two decades at the national level in this regard, also considers recent trends and events that could change the prospects for integration with the objective to inform the implementation of the 2030 Agenda.

The report is organized around three broad overarching questions. First, what are challenges to and opportunities for policy integration at different stages of policy cycle at the national level, from the institutional perspective? Second, what are examples of institutional and administrative arrangements that can foster integrated approaches to the whole 2030 Agenda? And lastly, what are challenges and opportunities for public institutions and public administration to deliver integrated approaches in different SDG or nexus areas? The remainder of the chapter frames these overarching questions and introduces the rest of the report.

1.2. Sustainable development, integration and institutions: what do we know?

The interdependence among sustainable development issues has been recognized for a long time. For example, development as a discipline has long embraced the linkages that exist between education and a range of economic and social outcomes, including in terms of poverty, labor productivity and health. The existence of interlinkages among social, economic and environmental dimensions is perhaps the most fundamental tenet of the concept of sustainable development.[2]

Taking these interlinkages among sectors into account in policy-making is critical in order to harness potential co-benefits and synergies across sectors, as well as to manage tensions and potential trade-offs and minimize negative impacts of sectoral policies on other sectors. More generally, it is also a way to enhance efficiency in the allocation of resources.[3] Fundamentally, while the consideration of multiple linkages across sectors adds constraints to decision-making, integrated policy-making allows for a broader definition of problems that enlarges the

policy space, potentially yielding socially superior solutions that cannot be found by focusing only on sector-specific policies.[4] Governments are acutely aware that integrations may offer cost-savings, enhance efficiency of fiscal resources and expand fiscal space, which are needed to finance the complex and inter-related sustainable development agenda. Other potential benefits of integration include the production of shared visions across sectors and actors and the possibility to drive the pursuit of key principles such as "leave no one behind" across the government. In the past few years, work on trade-offs and synergies has been mushrooming and has considered many parts of the SDGs, complementing earlier efforts to better understand and model interlinkages and their policy implications in clusters of issues such as the climate-land-energy-water nexus.[5]

Hence, potential benefits of integrated policy-making are clear. The costs of lack of policy coherence are also apparent – both in national contexts and across boundaries.[6] The need for integrated decision-making in order to address interlinkages among sustainable development issues was recognized long ago, and firmly put on the intergovernmental agenda at the Rio Conference on Environment and Development (Earth Summit) in 1992.

In practice, fostering integration has proven difficult, at the international, national and local levels as well as across levels of governance. Many agree that a major cause of the shortcomings is an inability to both mainstream sustainable development principles in the work of existing institutions and achieve the degree of coordination, coherence and integration that sustainable development requires.[7] Institutional aspects therefore represent one among many classes of factors that can impede integration.[8]

Potential benefits of closer integration among institutions are balanced by costs and risks. Those include: coordination costs in government; the creation of additional bureaucratic layers; the greater difficulty of generating political consensus as the scope of policy and the range of associated stakeholders expands; and the fact that integrated strategies do not replace detailed sector strategies, planning and policy. Many of these have been well documented over the years.[9]

In turn, common obstacles and challenges to integration include: the siloed nature of the ministerial setup in most countries, without clear venues for integrated policy making; cultural clashes among government agencies; vested interests in society; the fact that integrated planning may challenge the implicit hierarchy of government agencies; diluted ownership; diluted and sometimes conflicting accountability lines; budget processes that are not well adapted for integrated planning; misaligned incentives for cooperation within agencies; and additional complexity due to supra-national factors, including legal commitments and implication of regional actors and donors in national policy formulation.[10] Other systemic issues such as corruption can also pose challenges to horizontal and vertical integration.

But perhaps the main obstacle to integration in the past was the lack of political legitimacy of sustainable development as a paradigm. On the one hand, sustainable development was inscribed in the Constitutions of some countries. It also made inroads into laws and regulations pertaining to specific sectors. On the other hand, sustainable development had to compete on an unequal footing with the traditional development approach and with better resourced sectoral frameworks (for example in recent years, climate change). This marginal position was clear, for example, in the progressive relegation of sustainable development in environment ministries, its lack of political clout in national policy, and the waning popularity of local Agenda 21 after the turn of the 21st century.[11] In practice, clear policy priorities (typically, economic objectives trumping social and environmental objectives) were often at odds with integration.[12] On the institutional side, the adoption of sustainable development without renunciation of other paradigms often resulted in the creation of parallel institutions, which coexisted with older, stronger institutions focusing on business as usual. For example, the influence of national sustainable development councils and similar structures rarely reached a level where it could influence the main budgetary and policy choices. As argued below, the adoption of the 2030 Agenda may change this, because it establishes sustainable development as the reference paradigm under which all institutions should operate.

Whereas the issue of synergies, interdependence and interlinkages has received much attention in recent years, and even more since the adoption of the SDGs, institutional implications of integration seem to have received less emphasis, at least from the development community. For example, during the past decade several hundreds of peer-reviewed articles have been published on the so-called "nexus" of climate, land, energy and water (CLEW)

Box 1.1. Institutions in the 2030 Agenda

"Institution" is a broad and multi-faceted term, which encompasses a range of structures, entities, frameworks and norms that organize human life and society. The 2030 Agenda does not prescribe institutional models for the national level, but outlines principles that institutions should strive to achieve, such as being "effective, accountable and transparent", (as reflected in target 16.6), ensuring "responsive, inclusive, participatory and representative decision-making at all levels" (target 16.7) and "enhancing policy coherence for sustainable development" (target 17.14).

Source: Authors' elaboration.

– a cluster of issues that encompasses critical synergies and trade-offs, whose relative importance can vary across locations and scales.[13] Several international conferences have been organised on this topic. Yet, despite this attention, the institutional dimensions of the problem have been little studied, the majority of studies having focused on modelling and exploration of policy options. While so-called means of implementation such as financial resources, technology and capacity, and other dimensions such as stakeholder engagement are often considered, institutions per se are often left in the background and perceived as neutral conduits for implementing strategies and policies.[14] In other words, whereas awareness of the importance of some of the linkages among the SDGs is now widespread and growing, the institutional dimensions of effectively addressing those linkages at the national level are still under-studied.

To some extent, this should not come as a surprise, as the study of institutions, especially in relation to something as elusive as difficult to measure as integration, is intrinsically difficult. Institutional settings vary tremendously across countries. Each country has a different "starting point" and preference for governance styles, due to constitutional settings, traditions, culture, political practice, geography and resulting environmental, social and economic circumstances. The cultural dimension of institution-building and institutions' underlying values have to be taken into account (e.g. by striving for a minimum of cultural compatibility during transformations to new and more inclusive institutions), as they can be very resistant to change and not accounting for them can lead to failure in changing institutions.[15] In addition, new institutions are never created in a vacuum, but more often than not come as additional actors in fields already crowded with layers of policies and institutional arrangements that may present high levels of incoherence.[16] These dimensions of institutions mean that "best practices" are elusive at best, and inappropriate as a concept at worst. This is even more striking as one examines specific issues or themes, as exemplified by chapters 5, 6 and 7 in this report.

Nevertheless, the past 25 years since the Earth summit offer a rich body of experiences and lessons in terms of institutional setups and arrangements and public administration management efforts that aimed to foster integration and coherence. For example, National Sustainable Development Strategies (NSDS), National Sustainable Development Councils (NSDC) were instruments put forward in Agenda 21 in 1992, which aimed to promote integration. At the local level, local Agenda 21 was another tool that promoted integrated approaches to the whole sustainable development agenda, including participation.[17] Many other tools and instruments related to participation were also pioneered following the Earth Summit. At the sectoral level, attempts at integration in many sectors have also resulted in the development of integrative concepts and institutional experiments, the lessons of which could be harnessed for the benefit of SDG implementation. This report aims to take a first step in this direction.

1.3. How does the adoption of the 2030 Agenda change the prospects for integration?

There are many reasons to think that the adoption of the 2030 Agenda may significantly change the prospects for integration, including at the national level. In a nutshell, the Agenda and the SDGs have elevated the status of sustainable development on the international policy agenda, increasing the legitimacy and relevance of integrated perspectives and approaches. In addition, the explicit focus of the Agenda on institutions as an intrinsic component of sustainable development provides an impetus for governments to devote more attention to finding institutional models and public administration approaches that effectively support integrated approaches. These positive changes in legitimacy and relevance of integrated approaches are further supported

Box 1.2. Five reasons why the adoption of Agenda 2030 may be a game-changer for integration

1. With the 2030 Agenda, sustainable development and its integrated perspective become the mainstream approach to development, increasing the political salience of integrated approaches, including in developed countries due to the universality of the SDGs.
2. The SDGs provide a common map of sustainable development, clearly showing the interdependence among goals and targets.
3. Scientific knowledge and evidence on interlinkages among SDG areas have progressed tremendously since 1992.
4. Institutions are an integral part of the SDGs on par with other goals, not an afterthought or a component of an "enabling environment"
5. Methodologies that support integrated approaches in public institutions are being developed, including analytical methods, tools and information systems.

Source: Authors' elaboration.

by progress in the scientific understanding of interlinkages among sustainable development issues, as well as by the development of analytical methods, tools and information systems that support integration in public institutions in practice.

From a political perspective, perhaps the most important change for the prospects of integration brought forth by the adoption of the 2030 Agenda is the fact that sustainable development, instead of being one among several paradigms of the international community, is now clearly posited as the mainstream approach to development for the next 15 years. This, combined with the universality of the Agenda and its high political visibility at the international level (epitomized by the number of voluntary national reviews at the UN each year) is likely to engender higher national level ownership of the integrated perspectives that are consubstantial with sustainable development, with involvement of key players such as heads of government and ministries of finance. Giving the most powerful ministries and institutions the responsibility for sustainable development is perhaps the best indication of commitment that governments can provide to the public.[18] It may trigger a range of changes in institutions that support an enhanced potential for integration in practice, such as: adoption of integrated budget frameworks; higher salience of national strategies and plans that reflect integrated approaches; allocation of resources more closely reflecting sustainable development priorities; alignment of incentives for cross-sectoral and vertical collaboration among public institutions; new or strengthened arrangements for external oversight and scrutiny of national progress; and many others. Chapters 2, 3 and 4 in this report elaborate on these aspects.

Another key element of change brought by the adoption of the 2030 Agenda is the SDGs themselves, with their two particular features: their all-encompassing scope, which with the exception of a few activities encompasses practically all sectors of human activity; and their interrelated and indivisible nature. As discussed earlier in this chapter, UN Member States were fully conscious of these features as they were designing the SDGs. As a result of these characteristics, the set of goals and targets provides a common map or platform for all actors – in particular but not only at the national level – to interact, whereas before, there were several separate communities discussing separate agendas (including development, human rights, peace and security, and the environment). This can drastically enhance the prospects for integration, both across sectors and across scales, and for engagement. The fact that the SDGs explicitly highlight interlinkages across sectoral issues is also a clear break with previous development frameworks (the Millennium Development Goals), and may by itself encourage integrated approaches[19]. As a by-product, mappings of linkages among SDG targets translate quite naturally into stakeholder maps, which can facilitate consultation and engagement in institutions in charge of specific issues.

At the same time, the scientific knowledge and evidence base that can support integrated policy-making have progressed tremendously since 1992. Interestingly, work by the scientific community has been matched by work of national institutions directly involved in policy-making. Recently, governments have conducted work to identify critical interlinkages among SDGs at the national level in order to frame national planning (Colombia),[20] and to map the mandates of all public institutions in relation to the SDG targets (Sri Lanka).[21] Supreme audit institutions (SAIs) have also been active in this field, both individually and through their international organization (INTOSAI), with several SAIs engaged in or having already produced audits of preparedness for the implementation of the SDGs that address policy coherence and integration.[22] These efforts seem to indicate greater awareness in national policy circles of the importance of addressing interlinkages among goals in an integrated manner. The work on SDGs as an interlinked system also places emphasis on the compatibility of the whole set of goals and possible pathways to achieving them simultaneously, as opposed to achieving a subset of them.[23] This contrasts with relative ignorance about these aspects in the years after the Earth Summit. Indeed, looking back at national sustainable development strategies done during the 1990s, Swanson et al. (2004) noted: *"In most cases, the sustainable development strategy was a compilation of economic, social and environmental issues, objectives and initiatives. The fundamental notion of how issues, objectives and initiatives influence each other both positively and negatively was not a fundamental part of strategy content"*.[24]

On the other hand, the complexity inherent to integrated approaches and the difficulties it creates for policy-making will remain. These difficulties are linked to the broadening in scope and number of actors that go with integrated approaches, which often creates a context in which both the policy goals and the means to achieve them become contested. Thus, no agreement exists among relevant actors on the framing of the issue itself – what the policy literature calls "wicked problems".[25] This has been well documented in many sectors, including transport, forestry, agriculture and fisheries. The policy implementation literature has underlined that in such cases, advocates of competing views of the problem at stake struggle to impose their visions and preferred ways to address it, and that is therefore no reason to expect that institutional responses in terms of enhanced integration would automatically emerge.[26]

Another game-changing feature of the SDGs is that they prominently feature institutions, both as a cross-cutting issue in many of the goals and as standalone goal (SDG 16), not as an afterthought or as part of an "enabling environment" for the goals. The inclusion of a comprehensive Goal 16, "Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels" in

the SDGs underlines the awareness of UN Member States of the importance of this dimension for the achievement of all development goals. The strengthening of national institutions to deliver the SDGs is seen as a priority in many Member States, as shown by their voluntary presentations at the UN high-level political forum on sustainable development in 2016 and 2017. The result of this inclusion may be a greater focus from all development actors on the "how", and the return in the development community to a paradigm where institutions are not perceived as neutral conduits for implementing strategies and policies, but where the institutional setup is a primary enabler and determinant of sustainable development outcomes. It may also help refocus the attention on the importance of dimensions such as accountability, transparency, corruption, for development outcomes.

Hence, the existence of SDG 16 may translate into higher awareness of the importance of institutions, and presumably into increased attention and resources devoted to this dimension at all levels. This is particularly important, as recent efforts to better understand interlinkages among SDGs have tended not to systematically explore the institutional dimensions of addressing those linkages in an integrated manner.

Since 1992, progress has also been made in the development of analytical methods, tools and information systems that can support integration in public institutions in practice. Integrated budget frameworks are an example. For example, thanks to the experience of the MDGs, attempts have been made at mapping development goals with budget nomenclatures, in order to enable all actors to link expenditures made under various budget lines by different institutions to development objectives. Efforts to develop so-called "SDG budgeting" started immediately after the adoption of the SDGs, with the government of Mexico being a forerunner (see chapter 2). The 2030 Agenda has carried with it a renewed focus on the importance of data, which could also be an enabling factor for integration.

Overall, the adoption of the 2030 Agenda has created positive momentum for policy integration. Eventually though, whether this will result in concrete improvements in terms of policy integration is an empirical question that remains to be answered.

1.4. Conceptual framework for the report

1.4.1. Defining policy integration

Broadly speaking, policy integration concerns "the management of cross-cutting issues in policy-making that transcend the boundaries of established policy fields and do not correspond to the institutional responsibilities of individual departments".[27]

The term "integration" itself is used in at least three slightly different meanings in the literature, that all relate to coherence. The most common usage refers to integration as a *variable* or dimension, with policies in specific issue areas being more or less integrated or coherent. In this respect, integration is a continuum, which goes from least coherent to fully coherent. By extension, integration can also refer to the ideal of policies that achieve a high or the highest degree of coherence. Alternatively, integration can refer to the *process* of making policy around a specific issue more coherent.[28]

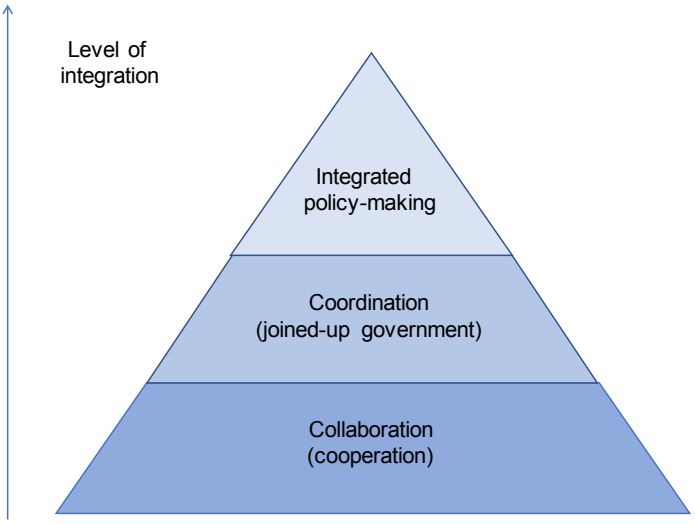
A variety of related concepts and terms are often used in the literature that addresses policy integration. These include terms such as policy coherence, coordination or joined-up policies. The distinction between these is not always clear, and they are frequently used indistinctly or as synonymous. This chapter will not present an exhaustive review of the conceptual debate.[29] Stead and Meijers (2009) have proposed that the various concepts can be characterized as reflecting different degrees of integration, and distinguish three broad cases, from the least demanding to the most demanding:

(i) collaboration (or cooperation), referring to the presence of relations between otherwise autonomous organizations for the accomplishment of individual goals;[30]

(ii) coordination (or joined-up government), referring to efforts made to ensure that policies and programmes coming from different parts of government are coherent and do not contradict one another. This closely relates to the frequently used concept of policy coherence;[31]

Figure 1.1.

Degrees in policy integration and related concepts



Source: Stead and Meijers (see footnote 29).

(iii) integrated policy-making (or policy integration), referring to coordinated responses from a variety of organisations to jointly elaborate policies that span across boundaries.

The resulting hierarchy is represented on figure 1.1. It should be noted, however, that these definitions are not universal, and that different meanings are attributed to the same terms by different experts.[32]

In this report, the term "integration" is considered in a broad sense. Integrated policy-making is used to refer to policy processes that:

(i) systematically identify relevant and important linkages of particular issues across the SDGs and consider those linkages in design of policies;
(ii) are consistent across scales of implementation (and in particular, given the focus of this report on the national level, from the local to the national);
(iii) involve the relevant stakeholders in design, implementation, monitoring and evaluation; and
(iv) provide adequate resources for implementation at all relevant levels.

In addition to these criteria, discussions on policy integration and policy coherence frequently refer to other dimensions, including: the time dimension, and specifically the coherence between short-term policies and longer-term strategies. This is an important dimension of the discussions on the science-policy interface;[33] and the coherence between domestic and foreign policies – this is reflected in the concept of policy coherence for development, which was developed in the context of official development assistance.[34] These two dimensions are not the main focus of this report. In studying integration at a sector level in a practical way, approaches such as the ones developed by supreme audit institutions that focus on duplication, fragmentation and gaps (see chapter 2) conceptually belong to the "coordination" level of the Meijers-Stead hierarchy.

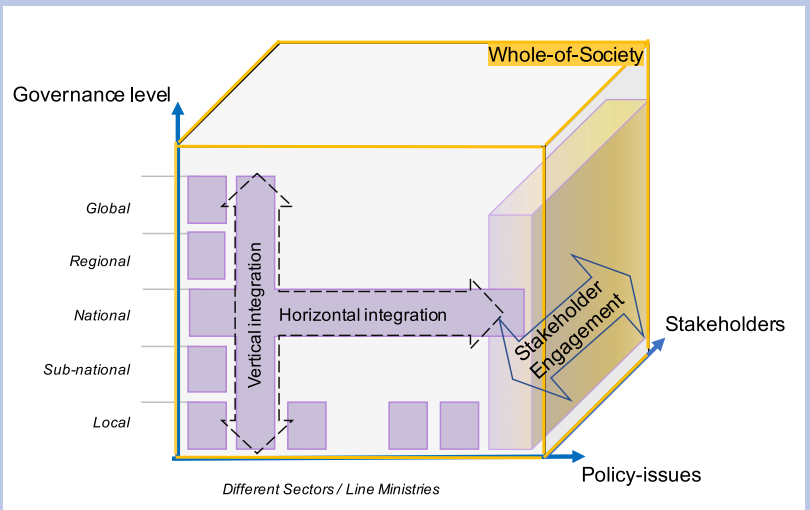
To analyse integration efforts from the institutional perspective, it is standard in the literature to distinguish three dimensions:

(i) Horizontal integration, i.e. integration across sectors or institutions;
(ii) Vertical integration, i.e. how the actions of national and sub-national levels of government can be aligned to result in coherent outcomes;
(iii) Engagement of all stakeholders in the realisation of shared objectives.

Taken together, these three dimensions of integration cover all the relevant categories put forward by the literature such as, among many others, participation, partnerships, and coherence, as well as the two commonly used notions of whole-of-government approaches and whole-of-society approaches (see Box 1.3).

Box 1.3. Whole-of-government and whole-of-society approaches and their relations with the categories used in this report

The concepts of whole-of-government approaches and whole-of-society approaches have also been increasingly used. The former refers to the joint activities performed by diverse ministries, public administrations and public agencies at different government levels in order to provide a common solution to a particular problem or issue. The approach and content of the initiatives can be formal or informal. The latter refers to joint activities that involve non-state actors, in addition to the whole of government, with the state generally playing a coordinating role.



Source: Authors' elaboration.

Box 1.4. Unpacking the relations between vertical and horizontal integration

Relations and possible interactions (either synergies or trade-offs) between vertical and horizontal integration can be complex. In particular, the literature reviewed for this report outlines the following interactions:

Improving vertical integration may lead to enhanced horizontal integration at the national level: the experiences of vertically integrated climate change mitigation actions in South Africa and Indonesia show that institutional mechanisms (e.g., technical committee) set for coordination across levels of government can also be used for cross-sectoral purposes.

Improving vertical integration may enhance horizontal integration at sub-national and local levels: One study on Uganda asserts that lack of national support to the local level created difficulties to work inter-sectorally on nutrition issues at the local level, since local governments had to rely mostly on implementation partners.

Better horizontal integration at the national level may lead to improved vertical integration: in the case of Peru, it has been said that limited horizontal integration and narrow sectoral policy perspectives at the national level undermined vertical integration, since national ministries had more power than regional governments over sectoral offices working at the regional level.

Source: See endnote 35.

Importantly and as illustrated in chapters 5, 6 and 7 of this report, the three dimensions of integration considered here are not fully independent. For example, when SDG implementation responsibilities are with sectoral ministries, a key challenge would be to ensure that implementation within sectors is vertically integrated and synergistic with other interrelated sectors. In other words, horizontal and vertical integration should ideally be mutually supportive and reinforce each other (see Box 1.4).[35]

1.4.2. Measuring policy integration

Assessing how public institutions can foster integration is fraught with conceptual and practical difficulties. A first difficulty comes from the complexity of the institutional and policy setting that applies to any issue that is broad enough in scope, e.g. at the level of some of the SDG targets. For example, ending all forms of malnutrition (target 2.2) will require a range of actions at many levels, including legal and regulatory components, actions of multiple institutions with different mandates and purposes, and potentially broader societal changes. In other words, no target can generally be achieved through a single institution. In this context, the performance of a given institution in terms of enabling integrated policy-making is hard to isolate. Conversely, individual institutions, especially those with broad mandates, can play a role in many different policy areas as well as society-wide. For such institutions, it is important to assess whether their own internal functioning promotes integration, and how they foster integration through their actions.[36]

When looking at the attempts at policy integration as a whole, it is clear that different aspects could be considered, including:

(i) *institutional efforts* made by governments to promote integrated policy-making and policy coherence, for example through the creation of new institutions or coordination mechanisms for SDG implementation, or allocation of resources for such mechanisms. While reasonable and presumably indicative of the level of commitment of a government, this type of measure does not necessarily translate into actual performance in terms of integration – institutions can be ineffective.

(ii) related to this, one could measure *activities* that take place in relation to collaboration and coordination (e.g., the numbers of coordination meetings, joint policy documents, consultations with stakeholders, etc.). This type of indicators suffers from similar problems – activities that take place may not result in concrete changes in terms of integration.

(iii) measures of performance in terms of integration and policy coherence should ideally be in terms of *outcomes*, such as: the degree to which the various legal and regulatory instruments covering specific sectors/areas are consistent; and the degree to which the interests of all relevant stakeholders are considered and balanced; the adequacy of the provision of resources to all relevant actors and levels of governments for acting on the issue in question; and the (in)efficiency of public spending in specific areas.

This distinction mirrors the input-output-outcome classification that is commonly used in performance evaluation. Some authors make the distinction between intermediate outcomes of integrated policies or strategies, i.e. measuring the extent to which their stated objectives have been achieved; and ultimate outcomes, which refer to the broader, society-wide impacts of strategies and policies.[37] In practice, assessments

of performance in terms of integration likely have to consider all of these dimensions to some extent.

Beyond this, the literature has underlined the fact that performance of policies or institutions is not only measured objectively. Success is often socially constructed through narratives that may or may not make full use of available data. For political purposes, "*perceived success is at least as important as measurable achievements, and the latter is no guarantee for the former*".[38] Yet, for development practitioners concerned with the success of integrated approaches, it is ultimately the political salience of approaches that matters.

Reflecting these difficulties, the empirical evidence base on the performance of integrated policy strategies is limited. Nonetheless, many studies have documented challenges to and enablers of integration in relation to specific strategies, policies and institutional mechanisms. Some of those are reflected in later chapters of the report.

1.4.3. Methodological approach to the report

The focus of the report is on the national level, including the sub-national and local levels. The report reviews efforts made by countries in terms of institutional arrangements in the public sector to promote policy integration. International governance of sustainable development is not examined here, nor are linkages between the international (and regional) and national levels, except in specific circumstances. This is not to say that those dimensions are not important. Indeed, they have received a high level of attention both from academia and from practitioners and have important impacts on countries.

The methodological approach chosen for the report is generic and can be applied to any issue or sector. It consists in identifying critical interlinkages between the issues being examined with the rest of the SDGs, and assessing how national public institutions and public administration address those linkages. In order to analyse institutional frameworks and administrative practices in a consistent way, the report and all its chapters use a grid of analysis that is based on the three dimensions of integration presented above (horizontal integration, vertical integration, and engagement).

The report is purposely empirical. It does not aim to build or test a theory of policy integration. Rather, it aims to point to a broad range of relevant examples of institutions and administrative arrangements for integration at the national level, distilling key features of those.

Research undertaken for this report made clear that it was important to differentiate between two levels of analysis, which are traditionally distinguished in the public administration literature addressing integration.[39] The first level can be called systemic or "whole-of-Agenda" level. It refers to the institutional and public administration arrangements that are made to ensure that implementation of the Agenda and the SDGs as a whole is integrated. These types of high-level arrangements are those that have received the limelight in official presentations made by countries at the UN in the context of the follow-up and review of the 2030 Agenda (see chapters 2, 3 and 4 of this report).[40]

The second level of analysis relates to integrated approaches in specific sectors, issues, and areas. This encompasses sectors that have their "own" SDG, such as health or education, lower-level issues such as freshwater management (addressed in several targets under SDG 6), as well as cross-cutting issues such as migrations and youth. Integrated approaches at those levels have been tried and codified in many sectors or areas where competing multiple uses have to be managed in a spatial context, in particular those related to natural resources. Sectors such as forest management, water resources management, management of coastal areas, have seen forms of integrated approaches evolve over time,[41] often to the point of being coined and recognized in national and international law.

Lessons learned from the implementation of arrangements at these two levels can usefully inform the debate on integration in the context of the SDGs, and specifically, provide useful insights on how important linkages across SDGs can effectively be addressed by public institutions and public administration. This is because the generic factors that influence the performance of institutional arrangements in terms of integration are similar across the different sectors. Table 1.1 provides examples if such generic factors for the three dimensions of integration considered in the report. A more detailed exploration is provided in chapters 2, 3 and 4.

1.5 Content of the report

This chapter has presented the methodological framework for the report, and its three dimensions of reference: horizontal integration, vertical integration, and engagement. The following three chapters each focus on one of those dimensions of integration. The second part of the report illustrates the application of the framework by looking at three current challenges that are - among many others - relevant to the implementation of the 2030 Agenda: integrated approaches to international migration at the national level; integrated approaches to health; and integration of peace, security and development in post-conflict situations. Figure 1.2 illustrates the structure of the report.

The SDGs put high demand for horizontal (or cross-sectoral) integration on institutions at all levels, from the local to the global. Chapter 2 focuses on horizontal integration at the national level. The chapter highlights some of the institutional arrangements adopted by countries to manage the implementation of the SDGs at the systemic or "whole-

Table 1.1. Examples of generic factors influencing integration in various dimensions

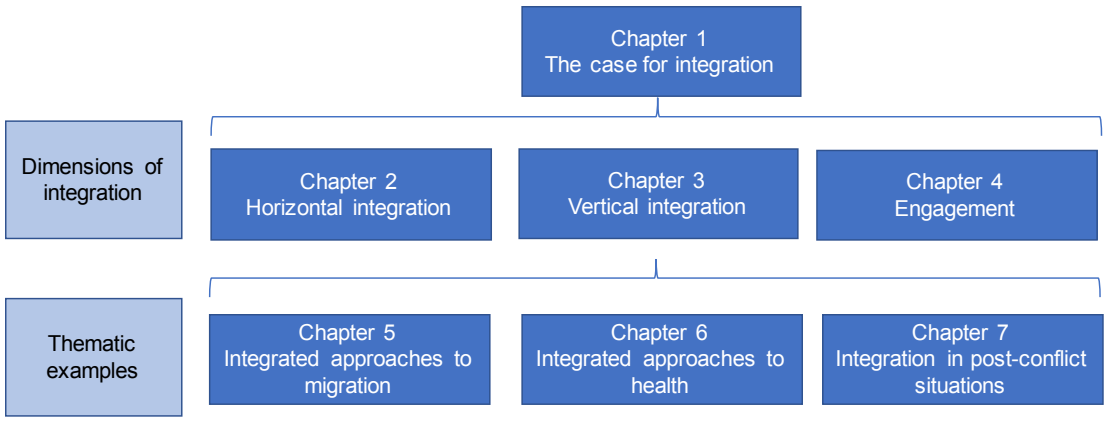
Horizontal integration	Vertical integration	Participation and engagement
• High-level, comprehensive "umbrella" strategy (e.g. national sustainable development strategy) • Cross-sector coordination structures and mechanisms • Budget processes • Existence of integrated planning tools • Incentives for institutions and for staff in those institutions to work cross-sectorally (mandates, charters, rules, regulations, internal accounting, etc.) • Public procurement rules • Awareness-raising, capacity development in Government institutions incl. capacity for systems thinking, planning • Robust science-policy interface, incl. modelling, data	• Processes for "localizing" the SDGs • Legal and regulatory framework for decentralization and related arrangements in practice • Political context at the national and local levels, accountability of local governments versus national government • Budget processes and resources available to local governments • Incentives for institutions and for staff in those institutions to work across levels of government • Local and national government capacity • Existence of integrated planning tools	• Engagement of stakeholders in the design of national sustainable development strategies • Appetite for engagement of non-state actors in a country in general and in specific sectors • Level of institutionalization of engagement mechanisms for policy-making and implementation • Strategic use of engagement mechanisms as policy tools by governments • Degree of organization of civil society • Clout and influence of the private sector (society-wide and in individual sectors) • Policy capacity in civil society • Skills and resources for engagement in public service

Source: Authors' elaboration, based on chapters 2, 3 and 4 of this report.

of-Agenda" level. This level has received high attention, in particular because it is the one covered in voluntary national reviews of the 2030 Agenda that countries undertake at the UN. The chapter then goes on to examine past evidence and examples in relation to a selection of tools or factors that are known to influence performance in terms of integration. The choice was made to focus on long-term strategies and plans, budget processes, incentives in civil service for integration, and monitoring and evaluation frameworks. Other elements that could be included in such a review in the future would include planning tools, public procurement rules, and science-policy interfaces. Lastly, the chapter also looks back to experiences in fostering integrated decision-making at the sector or issue level in past decades.

The 2030 Agenda recognizes the critical role of sub-national and local governments in promoting integrated and inclusive sustainable development. All the SDGs have a local dimension that is critical to their achievement. Responding to people's to needs and demands requires effectively connecting regional and local governments with national policies and strategies through an integrated multi-level approach. In addition, many targets included in the SDGs inherently involve spatial aggregation of local outcomes, which are themselves the product of local actions. Ensuring that a national target is

Figure 1.2.
Structure of the World Public Sector Report 2018



Source: author's elaboration.

met thus involves a collective action problem, which requires minimal levels of coordination across levels of governments. Vertical integration is therefore a critical complement to horizontal integration. Chapter 3 focuses on the efforts to ensure vertical integration in the implementation and follow-up and review of the 2030 Agenda. The chapter considers different stages of the policy cycle, from leadership to planning to implementation to monitoring and review, and examines different approaches and tools that allow the various levels of government to enhance integration and coherence of their actions. The chapter classifies such tools and mechanisms according to three categories: (i) those that result from the creation of genuine multi-level spaces for policy-making involving different levels of governments; (ii) those that come mostly from the national level and aim to support sub-national action (what could be dubbed "top-down" mechanisms); and (iii) those that are primed by sub-national action, not necessarily in full coordination with the national level. This classification is used to document experiences and challenges that countries have faced in the quest for vertical integration and coherence.

Active action and involvement of all stakeholders is a prerequisite for achieving the SDGs. This is clearly recognized by the 2030 Agenda, which made "Partnership" one of the "5 Ps" that introduce the Agenda and included numerous references to inclusion and participation. The SDGs also emphasize the dimensions of engagement and participation and inclusiveness more generally. In other words, the SDGs cannot be achieved without engagement. At the broadest level, engagement is key to building integrated visions and strategies for the future, shared by all components of society, as a support to long-term transformation. In addition, linkages across the SDGs require the formulation and implementation of long-term integrated approaches which need to involve a wide range of stakeholders. Engagement is also critical to devise strategies and policies that benefit from large societal consensus, both at the sectoral level and at the level of sub-national territorial units within countries (e.g. regions, metropolis, cities) and key to address trade-offs among societal objectives. Chapter 4 document countries' efforts to engage people, civil society, the private sector and other stakeholders in the realisation of sustainable development objectives, with special attention to the potential of such engagement mechanisms to contribute to policy integration. Based on country examples, it examines how different mechanisms and channels for engagement can contribute to integration and coherence. Examples includes both "whole-of-Agenda", cross-sectoral engagement mechanisms at national, sub-national and local levels, and forms of engagement in specific SDG areas or nexuses of SDGs. The chapter highlights mechanisms for engagement that UN Member States have put in place or are utilising specifically in relation to the implementation of the 2030 Agenda.

Chapter 5 examines how public administration and public institutions can promote an integrated approach to responding to the needs of migrants and refugees. International migrations are cross-sectoral in nature. They lie at the intersection of development and humanitarian concerns and involve multiple political, economic, social, human rights, cultural and environmental dimensions. In addition, the relative importance of these issues varies according to the type of international migrations that is examined – critical issues faced by refugees may not be the same as those faced other types of migrants. Such linkages imply the need for integrated public administration and institutional approaches at the national level. These are complex, given the diversity of relevant sectors of public administration that have to play a role and the need for differentiated approaches for different groups of migrants. The chapter presents some of the important linkages between international migrations and the SDGs and examines how these have been addressed from the perspective of public administration and institutions at the national level. The chapter also documents ways in which public administration can foster access to public services by different migrant groups, looking at different types of public services and examples from multiple countries.

Health remains a high priority and high visibility issue on political agendas, both in developed and developing countries. From a public policy perspective, health is seen at the same time as an outcome, a determinant and an enabler of all SDGs, making it a major cross-cutting theme of the 2030 Agenda. The multiple connections between health and other sectors call for integrated policy and institutional approaches. This raises a range of demands on public administration, which in all countries has a key role to play in the management of the health care system and in the delivery of specific health-related services, as well as in shaping the so-called social determinants of health, which affect health outcomes. Chapter 6 aims to evaluate and substantiate the implications for public institutions and public administration of the need to adopt an integrated approach to health and well-being. It explores the interlinkages and interdependencies between health and well-being and other goals, highlighting a range of approaches that public institutions and public administration use to address such linkages, as well as enabling and constraining factors for such integrated approaches.

Countries emerging from conflict face complex and multifaceted challenges to realizing the SDGs. Particularly challenging is the pursuit of actions aimed at simultaneously sustaining governance reform, economic restructuring and rebuilding the social fabric destroyed during conflict, while at the same time securing visible achievements in terms of poverty alleviation, peace dividends, security and stability and environmental sustainability. The World Public Sector Report 2010, Reconstructing Public Administration after

Conflict, explored how to reconstruct public administration in post-conflict situations so as to enable it to promote peace and development in countries that have been affected by civil war and destruction.[42] Chapter 7 revisits the issue, focusing on new developments since 2010 and exploring how the SDGs may help strengthen the connection between humanitarian, reconstruction and development perspectives, thereby contributing to the objective of sustaining peace, which has received considerable attention recently. The chapter examines whole-of-government approaches for post-conflict recovery and a phased approach towards sustainable development. It also explores the role of local governments and survey positive examples of arrangements that ensure stakeholders' participation in the design and implementation of post-conflict reconstruction strategies.

1.6. Preparation of the report

The report links and synthesizes analyses drawn from the developmental and public administration fields, coming both from the academic literature and practitioners' experiences. For example, the report presents findings on emerging institutional arrangements and innovative integrated strategies based on information presented by more than 60 UN Member States at their Voluntary National Reviews at the HLPF in 2016 and 2017. As such, the value added of the report lies in the links that are made between the practical experience that exists in the field of public administration in relation to policy integration and the recently framed 2030 Agenda, focusing on challenges and opportunities for public institutions and public administration.

The report was led and coordinated by the Division for Public Administration and Development Management of the Department of Economic and Social Affairs (DPADM/UNDESA). Chapter leaders were responsible for reaching out to relevant experts within and outside the UN system, mobilizing existing networks of experts working on the topics considered in the report. Open calls for inputs were circulated to expert networks as well as to the general public. In all, over 80 experts provided contributions for the report.

All chapters were informed by in-depth analysis of the development, institutional and public administration literatures, as well as analysis of national policy developments in relation to public administration (drawing inter alia on DPADM's large database of initiatives submitted for the UN Public Service Award). Two expert group meetings were organised in support of the preparation of the report, focused on chapters 5 (migration) and 7 (post-conflict situation) respectively. The expert meetings allowed for the incorporation of a broad range and inputs and perspectives in the report. Lastly, the report relied on extensive peer review, both from UN and non-UN experts.

Endnotes

1 See the syntheses of voluntary national reviews for 2016 and 2017 prepared by the UN Division for Sustainable Development, accessible at: https://sustainabledevelopment.un.org/content/documents/127761701030E_2016_VNR_Synthesis_Report_ver3.pdf and https://sustainabledevelopment.un.org/content/documents/17109Synthesis_Report_VNRs_2017.pdf.

2 United Nations, 2015, *Global Sustainable Development Report 2015*, Department of Economic and Social Affairs, New York, July.

3 Taking the example of education, depending on the country and specific location considered, in order to improve educational outcomes, the marginal dollar of public resources may be most efficiently invested in additional classrooms; in improving the quality of teaching; in complementary investments such as sanitation facilities for girls, road network linking schools with surrounding settlements or electricity provision. For an example of comprehensive mapping of education with other sectors, see Vladimirova, K., D. Le Blanc, Exploring Links Between Education and Sustainable Development Goals Through the Lens of UN Flagship Reports, *Sustainable Development*, 24, 4, 254-271. For a focus on the SDGs as a whole, see International Council for Science (ICSU), 2017, *A Guide to SDG Interactions: from Science to Implementation*, D.J. Griggs, M. Nilsson, A. Stevance, D. McCollum (eds), International Council for Science, Paris.

4 For example, integrated policy-making aiming at waste reduction may result in solutions where waste generation is avoided through policies in other sectors, rather than treated. The same applies to sectors like transport. One of the first modern example of payments for ecosystem services was designed by the city of New York, when it was realised that it would be less expensive to pay landowners around water reservoirs to avoid certain land management practices than to construct additional water treatment facilities to provide drinking water to the city residents. This implied using resources from a sector (water) to use in another sector (land use or agriculture). See Appleton, A.F., 2002, *How New York City Used an Ecosystem Services Strategy Carried out Through an Urban-Rural Partnership to Preserve the Pristine Quality of Its Drinking Water and Save Billions of Dollars and What Lessons It Teaches about Using Ecosystem Services*, paper presented at The Katoomba Conference, Tokyo, November 2002.

5 See references below in this chapter.

6 This has been established in sectoral (e.g. oceans., agriculture) and multi-sectoral (e.g. climate, land, energy and water) contexts. Typical sectoral examples are fisheries and biofuels.

7 United Nations, 2012, *Back to Our Common Future: Sustainable Development in the 21st century*, summary for policy-makers, Department of Economic and Social Affairs, New York, June.

8 In their seminal review article, Stead and Meijers classify the facilitators and inhibitors of policy integration in five broad types of factors: political factors; institutional and organisational factors; economic and financial factors; process, management and instrumental factors; and behavioural, cultural and personal factors. Stead, D., E. Meijers, 2009, Spatial Planning and Policy Integration: Concepts, Facilitators and Inhibitors, *Planning Theory and practice*, 10, 3, 317-332.

9 See chapters 2, 3 and 4 of this report.

10 See chapters 2, 3 and 4 of this report.

11 United Nations, 2013, Lessons learned from the Commission on sustainable development: report of the Secretary-General, A/67/757. UNDESA, 2012, *Sustainable Development in the 21st Century: Review of implementation of Agenda 21*, New York.

12 For example, in Europe, which was usually considered a leader in the operationalization of the sustainable development concept, the primacy of economic growth translated into competing strategies (Lisbon strategy and Sustainable Development Strategy), and in practice the growth and competitiveness strategy received higher attention and priority, see Steurer R., G. Berger, M. Hametner (2010), The Vertical Integration of Lisbon and Sustainable Development Strategies Across the EU: How Different Governance Architectures Shape the European Coherence of Policy Documents. *Natural Resources Forum* 34(1): 71–84. The same researchers point to the fact that the EU SD strategy was de facto abandoned when the Europe 2020 strategy was adopted. See Nordbeck, R., R. Steurer, 2016, Multi-sectoral strategies as dead ends of policy integration: Lessons to be learned from sustainable development, *Environment and Planning C: Government and Policy*, 2016, 34, p. 748.

13 See Bazilian, M., Rogner, H., Howells, M., Hermann, S., Arent, D., Gielen, D., Steduto, P., Mueller, A., Komor, P., Tol, R.S.J., Yumkella, K.K., (2011). Considering the energy, water and food nexus: Toward an integrated modeling approach. *Energy Policy*, 39, 12, December.

14 For example, in a prominent article on integration for the SDGs written by leading scientists, recommendations in relation to institutions were limited to the following two: (i) Integrated sustainable development plans that enforce linkages among fragmented sectors and promote policy coherence; and (ii) political leadership on sustainable development at the highest levels of government, for example in a dedicated powerful ministry or the executive branch. See Stafford-Smith, M., Griggs, D., Gaffney, O. et al. Integration: the key to implementing the Sustainable Development Goals, *Sustainability Science* (2016). See also Natural Resources Forum, 2012, Special issue on institutions for sustainable development, 36.

15 Meuleman, L. and Niestroy, I. (2015), Common But Differentiated Governance: A Metagovernance Approach to Make the SDGs work, *Sustainability*, 7(9), 63-69

16 Rayner J, Howlett M, 2009, Implementing Integrated Land Management in Western Canada: Policy Reform and the Resilience of Clientelism, *Journal of Natural Resources Policy Research*, 1, 4, 321-334.

17 UNDESA, 2012, *Sustainable Development in the 21st Century: Review of implementation of Agenda 21*, New York.

18 United Nations, 2012c, *Sustainable Development in the 21st century, summary for policy-makers*, Department of Economic and Social Affairs, New York, June, available at http://sustainabledevelopment.un.org/content/documents/UN-DESA_Back_Common_Future_En.pdf.

19 Le Blanc, D (2015), Towards Integration at Last? The Sustainable Development Goals as a Network of Targets. *Sust. Dev.*, 23, 176–187.

20 Presentation of Colombia's national statistical office at a side event organised by ICSU at the HLPF, July 2017.

21 De Zoysa, U., 2017, presentation at the UN -INTOSAI Development Initiative Supreme Audit Institution leadership and stakeholder meeting, New York, 20-21 July, "Auditing preparedness for the implementation of the Sustainable Development Goals", Division for Public Administration and Development Management, available at: https://publicadministration.un.org/en/news-and-events/calendar/ModuleID/1146/ItemID/2947/mctl/EventDetails.

22 For example, Tribunal de Contas da União, the SAI of Brazil, has audited the policy setting that applies to organic agriculture (related to SDG target 2.4). See UNDESA, 2017, Report of the IDI Leadership meeting, New York, 20-21 July 2017, Division for Public Administration and Development Management, New York.

23 Weitz, N., Carlsen, H., Nilsson, M., Skanberg, K., (2017). Towards systemic and contextual priority setting for implementing the 2030 Agenda, *Sustainability Science*, doi 10.1007/s11625-017-0470-0.

[24] Swanson D, Pinter L, Bregha F, Volkery A, Jacob K, 2004, National Strategies for Sustainable Development: Challenges, Approaches and Innovations in Strategic and Coordinated Action (IISD and GTZ, Winnipeg).

[25] Rittel, H., M. Webber, Dilemmas in a general theory of planning, *Policy Sciences* 4, Elsevier Science, 1969, 155-173.

[26] Wellstead, A., J. Rayner, M. Howlett, 2014, Beyond the black box: Forest sector vulnerability assessments and adaptation to climate change in North America, *Environmental Science & Policy*, 35, 109-116.

[27] Stead, D., E. Meijers, 2009, Spatial Planning and Policy Integration: Concepts, Facilitators and Inhibitors, *Planning Theory and practice*, 10, 3, 317-332.

[28] For example, see Underdal, A. 1980. "Integrated marine policy: What? Why? How?", *Marine Policy*, July, 159-69. For him, integrated policies can be characterised by the following features: comprehensiveness (in terms of time, space, actors and issues); aggregation (policy alternatives are evaluated from an overall perspective), and consistency (a policy penetrates all policy levels and government agencies).

[29] For a thorough discussion and comparison of various related concepts, see Stead, D., E. Meijers, 2009, Spatial Planning and Policy Integration: Concepts, Facilitators and Inhibitors, *Planning Theory and practice*, 10, 3, 317-332. Policy integration can also be defined with regards to the three dimensions of sustainable development. One definition that reflects this notion, can be found here: https://www.un.org/ecosoc/sites/www.un.org.ecosoc/files/publication/desa-policy-brief-policy-integration.pdf.

[30] This can encompass, for example, exchange of information, data, and resources.

[31] OECD (2017), *Policy Coherence for Sustainable Development 2017: Eradicating Poverty and Promoting Prosperity*, OECD Publishing, Paris.

[32] For example, the Free Dictionary Online (www.thefreedictionary.com) proposes the following definitions for "joined-up government" and "joined-up thinking", respectively: "with all departments or sections communicating efficiently with each other and acting together purposefully and effectively" and "focusing on or producing an integrated and coherent result, strategy, etc". While the former is closer to "collaboration" in the Meijers-Stead scale, the latter would seem to belong to "integrated policy-making".

[33] See United Nations, 2015, The science-policy interface, *Global Sustainable Development Report 2015*, chapter 1, Department of Economic and Social Affairs, New York.

[34] Organisation for Economic Cooperation and Development (OECD), 2008, Policy Coherence for Development – Lessons Learned. *OECD Policy Brief* series, Paris.

[35] Sources: GIZ/ICLEI. "Vertically integrated nationally appropriate mitigation actions (V-NAMAS). Policy and implementation recommendations."; Alcalde, G. 2017. "The 2030 Agenda as a framework for sub-national policy-making", Paper prepared for the 9th Congress of ALACIP, Montevideo, July; SNV Netherlands Development Organisation, Centre for Development Innovation of Wageningen UR (CDI), royal Tropical Institute (KIT), and Swiss Agency for Development and Cooperation (SDC). 2017. "The power of multi-sectoral governance to address malnutrition: Insights from sustainable nutrition for all in Uganda and Zambia", SNV.

[36] An example of the former could be whether the various Committees of the Parliament collaborate when addressing topics of overlapping interest. An example of the latter could be whether the work of a supreme audit institution supports enhanced integration in government as a whole on a given issue.

[37] Candel, J. J. L, 2017, Holy Grail or inflated expectation? The success and failure of integrated policy strategies, *Policy Studies*, doi: 10.1050/01442872.2017.1337090.

[38] Candel, J. J. L, 2017, Holy Grail or inflated expectation? The success and failure of integrated policy strategies, *Policy Studies*, doi: 10.1050/01442872.2017.1337090, p16.

[39] See for example, Rayner, Jeremy, and Michael Howlett, 2009. Conclusion: Governance Arrangements and Policy Capacity for Policy Integration. *Policy and Society* 28 (2): 165–172. doi:10.1016/j.polsoc.2009.05.005.

[40] In this category, one would also typically find institutions such as NSDCs.

[41] Those include: integrated water resources management (IWRM), which was first codified in 1992, and is referred to in successive international outcome documents on sustainable development, including in SDG 6.5; integrated coastal zone management (ICZM); ecosystem-based management for oceans; community-based forest management; and others. Payment for ecosystem services (PES) are also intrinsically cross-sectoral arrangements that seek to link the preservation of ecosystem services with economic incentives of those who are in a position to affect them.

[42] United Nations, 2010, *Reconstructing Public Administration after Conflict*, World Public Sector Report 2010, Department of Economic and Social Affairs, New York.

CHAPTER

2

HORIZONTAL INTEGRATION IN THE CONTEXT OF SDG IMPLEMENTATION

2.1. Introduction

This chapter presents an analysis of the opportunities at the national level for horizontal integration of SDG implementation in terms of structures, processes and policies. The 2030 Agenda for Sustainable Development is an integrated agenda, and effective horizontal integration across sectors is critical for addressing the inherently cross-cutting, interconnected nature of the SDGs (see chapter 1). Implementation of complex, interconnected SDGs calls for approaches and arrangements that allow governments to pursue SDGs effectively by taking into account inter-linkages among the Goals. SDG implementation transcends the competences of individual departments and requires bringing together all relevant ministries to identify emerging challenges and determine how to address them and act in a cross-sectoral way. It is well recognized, however, that overcoming sector boundaries to achieve horizontal integration is not easy.

Institutional arrangements have important bearings on integration for SDG implementation. An increasing number of countries around the world are integrating the SDGs into their national policies and putting in place institutional frameworks to implement them. The national institutional set-up plays a key role when it comes to promoting integration. As explored in this chapter, many governments have explicitly aimed to promote integrated approaches when deciding on institutional structures to lead on SDG implementation.

Integration is not solely about formal structures and institutional arrangements. It is as much about the various parts and processes of government to work together for integration. Among many relevant tools and instruments, five stand out and are examined in this chapter. **National strategies and plans** are important, as they set the overall direction and priorities and form the first opportunity to express SDG efforts in a coherent way at the national level through a shared vision. The **budget process** can help implement national strategies at the level of programs and activities, and budget allocations for cross-sectoral priorities can encourage the alignment of programs with the SDGs. The **public service** that implements government actions on the SDGs has a critical role to play, and needs to be provided with the means to play it fully, including by effectively collaborating across institutions and sectors. **Monitoring, evaluation and review processes** for the SDGs will be instrumental to allow governments to monitor progress in an integrated fashion. Lastly, as oversight institutions, **parliaments and Supreme Audit Institutions (SAIs)** have an important role to play to facilitate integration.

The chapter surveys institutional arrangements that countries have set up in order to coordinate the implementation of the SDGs across sectors and issues, focusing mostly on the systemic, whole-of-Agenda level (see chapter 1). It then examine opportunities that exist to mobilize governments' internal workings to stimulate and support integration, including: (a) long-term strategies and plans; (b) budget processes; (c) public service engagement; (d) monitoring, evaluation and review; and (e) the roles of parliaments and SAIs. The chapter concludes with recommendations on how countries may seize opportunities for horizontal integration.

2.2. National institutional arrangements for SDG implementation at the systemic level

Two years after the adoption of the 2030 Agenda, many countries have set up institutional coordination mechanisms for the implementation of the SDGs. For this purpose, some have used pre-existing mechanisms, while others have created new ones. Figure 2.1 illustrates different types of mechanisms, as observed in a sample of 60 countries across the world.[1] The chart classifies institutional coordination mechanisms in four groups, based on : (i) set up (cross-sectoral set up such as inter-ministerial committee versus unit in a specific ministry or government department); and (ii) leadership of the mechanism (Head of State or Government leadership versus ministry leadership). These two variables have been found to influence performance in terms of integration in the literature.[2] Taken together, they define four types of arrangements. **Type 1** arrangements are inter-ministerial entities under Head of State or Government leadership. **Type 2** arrangements are inter-ministerial entities under the leadership of a specific ministry (e.g. environment, planning). **Type 3** arrangements refer to units in Head of State or Government office. Lastly, **Type 4** arrangements refer to units located in a specific ministry. In addition, the chart distinguishes among countries that created new institutions or mechanisms specifically for SDG implementation, versus those which used already existing mechanisms for this purpose. While the results below are not statistically representative, they provide a good overview of the trends in terms of the mechanisms that countries have picked to lead SDG implementation.

A few clear trends can be extracted from the data. First, countries are moving ahead with SDG implementation. About half of the countries in the sample (27 countries out of 60) created a new structure to lead the implementation of the SDGs. This reflects strong determination on the part of governments to take action on SDGs at the national level. The fact that many countries felt compelled to create new arrangements may also signal that, at least in some cases, previous arrangements were found lacking. Information is not easily available in this regard. The cases of countries that have not created new institutions may reflect different political dynamics. In some countries, SDGs may not be

Figure 2.1.

National institutional arrangements to coordinate and lead SDG implementation

Source: Authors' elaboration.

high enough on the political agenda to justify the creation of new structures. It may also be the case that the existing institutional framework for sustainable development is thought to have performed well and not to require structural changes to accommodate the 2030 Agenda.

Second, countries that have set up new mechanisms have overwhelmingly chosen inter-ministerial committees or equivalent structures, as opposed to offices located either in a ministry or under the head of government (this is the case for 24 out of 27 countries in the sample). The contrast is striking with countries that chose to remain with existing arrangements – those were primarily of Types 3 and 4, with dedicated units under specific ministries or a Head of State or Government office.

Third, most countries that created new arrangements chose to place the new mechanism under Head of State or Government leadership. Again, this contrasts with countries that are using existing mechanisms, in which the rule seems to be that leadership is assumed by a specific ministry.

As a whole, data in the sample suggests that Type 1 mechanisms (inter-ministerial structures under the leadership of Head of State or Government) have been the preferred option for leading SDG implementation at the national level in countries that decided to put in place new arrangements. Type 4 arrangements remain widespread among countries that did not adjust their institutional setups, whereas they are not common as new arrangements – in the sample, only Sri Lanka belongs to this type. Sri Lanka will rely on its new Ministry of Sustainable Development and Wildlife Conservation to pursue an integrated strategy for SDG implementation.[3]

In the absence of dedicated inquiry, the reasons why countries choose specific institutional arrangements can only be inferred indirectly. Beyond the perceived urgency

of enhancing policy integration, other dimensions such as efficiency and transparency also play a role in countries' selection of institutional models, as do political economy factors (including ministerial competition over resources and power) and the level of interest in the 2030 Agenda. Botswana expressed concern over the challenge of accommodating new institutional layers without putting additional costs on the government. Some countries (e.g. Georgia) expressed concern over the risk of further complicating an already complex transformation process with additional bureaucracy.[4]

The popularity of inter-ministerial committees and commissions may reflect the greater visibility of linkages and interactions among the SDGs in the 2030 Agenda compared to previous development frameworks, and the fact that addressing these linkages has become more salient as a political agenda. For example, the institutional set-up of the Colombian Commission established to follow up on SDG implementation has been explicitly designed with the coordination of different institutions and cross-sectoral work in mind. Similarly, in Australia, an Interdepartmental Committee was set up to address the SDGs. It is co-chaired by the Department of Foreign Affairs and Trade, and the Department of Prime Minister and Cabinet. The Committee is tasked with integrating the 2030 Agenda into Government Departmental programs and reporting, among other responsibilities.[5]

Similarly, the choice of Head of State or Government leadership for the SDG coordination mechanism may signal high political salience of the SDGs on national agendas, mirroring the mainstreaming of sustainable development that occurred at the global level in 2015 (see chapter 1). For example, Estonia emphasized the importance of placing SDG coordination at the center of the government, and not in a line ministry. Finland argued for the highest possible leadership such as the Prime Minister's Office, as a 'neutral' body that is in a better position to engage line ministries.

Clearly, the description of institutional arrangements chosen by countries to lead SDG implementation does not, by itself, provide clues as to the effectiveness of these arrangements in terms of integration. Given the short time since the adoption of the 2030 Agenda, it is too early to assess this based on what countries have done so far to implement it. However, evidence from past, pre-SDG experiences can provide leads in this regard.

Head of State or Government leadership provides a number of assets that can help effectively implement SDGs. For example, unlike government ministries and agencies, Heads of State or Government have convening power and can bring pressure to bear to adjust policies and commit resources. Also, while line ministries might have little experience in driving cross-disciplinary policies (though often with the exceptions of finance ministries or planning ministries), the highest-level office usually has co-ordination expertise allied with political sensitivity.[6] In fact, in the case of most OECD countries, Head of State or Government is frequently leading cross-cutting initiatives. In a survey, many OECD countries identified "opportunity to better align policies across sectors" as the most important positive aspect of the process of organizing the planning for implementing the SDGs under Head of State or Government leadership. At the same time, most OECD countries identified the difficulty of coordinating across ministries as the most important challenge in implementing the SDGs. This confirms that a clear role and coordinating mandate of Head of State or Government can benefit SDG implementation.[7]

Having inter-ministerial arrangements does not guarantee successful integration, as seen in some countries. For example, a study reported that in Kenya, inter-ministerial committees notwithstanding, joint integrated planning is not common, partly because of the way the budget is structured and allocated.[8] It is also not easy for inter-ministerial arrangements to go beyond information sharing or coordination to joint policymaking. Such arrangements can also lead to ineffectiveness, loss of transparency and reduced accountability. In some cases, breaking down silos may lead to a loss of expertise, whereas deep expertise is needed to understand the interrelations among the SDGs.[9]

In fact, in cases of specific ministry leadership (Type 2 and type 4 arrangements), there is an advantage to benefitting from specialized expertise as well as clear accountability and resource allocation. 'Silos' may exist for good reasons. Divisions of labor and specialization can be important and efficient aspects of modern government organizations, and cross-agency collaboration has the potential to blur lines of accountability. Breaking down silos through the merger of ministries, as was attempted in some countries in the past, can be counter-productive in some situations.[10] The key challenge lies in finding a balance, and in particular maintaining vertical accountability in agency activities while supporting integration activities.

Type 1 arrangements project a clear expression of high-level commitment to the SDGs. This is also a model that provides great potential to support integration. Leadership at the highest level is often considered conducive to successful implementation of national policy. The authority that comes with the Head of State or Government leadership encourages cross-sectoral policies and other measures for collaboration and sets a direction for action. The inter-ministerial body can handle practical aspects of implementing cross-sectoral coordination and monitor the collective effect of new policies and actions. Type 1 arrangements seem to have worked well in the past. For example, in Germany, SDG implementation is driven by the high-level State Secretaries' Committee for Sustainable Development (headed by the Federal Chancellery with representation from all Federal

ministries). Such arrangement may be able to take into account both positive and negative interlinkages among SDGs and targets, and pursue SDGs which do not fall neatly under departmental or ministry portfolios. Another example of this approach is Bhutan. Bhutan's Gross National Happiness (GNH) Commission is an inter-agency coordinating body, which fosters 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. The GNH Commission coordinates the country's Five Year Plan process and is composed of all ministry secretaries with planning officers that provide links between individual ministries and the GNH Commission.[11]

A key question for **Type 2 arrangements** is whether a specific ministry has enough political clout and convening power to lead cross-sectoral entities like inter-ministerial committees. Different ministries are likely to have different levels of political clout. Foreign affairs ministries lead such entities in China, Denmark, Egypt and Samoa, whereas the Ministry of Finance leads them in Brazil and Liberia. In Belgium, the Ministry of Sustainable Development leads an interdepartmental commission and in Maldives, the Ministry of Environmental Energy leads a cross-sectoral entity. In Ukraine, Ministry of Regional Development leads an inter-ministerial working group.

In the case of **type 3 arrangements** with a Head of State or Government office leading SDG implementation, the authority that comes with the Head of State or Government leadership is likely to facilitate cross-sectoral integration. Several studies have suggested that in order to prioritize the SDGs in all parts of the government and increase the likelihood of a whole-of-government approach to their implementation, SDG implementation should be led in the Office of the President or Prime Minister.[12] In the past, tasking Head of State or Government authority with a multi-sectoral, multidimensional policy coordination function is thought by some to have worked well in terms of integration.[13]

Countries that have used existing **Type 4 arrangements** have placed leadership for SDG implementation under various ministries. Planning ministries are in charge of SDG implementation in some developing countries (e.g., Cambodia, Costa Rica, India, Vietnam, Dominican Republic). In countries such as Norway, Sierra Leone and Uganda, the Ministry of Finance is leading implementation, which can certainly help in allocating adequate resources to the SDGs. The environment ministry acts as the lead agency in Mauritius and the Republic of Korea. In certain country contexts, entrusting the ministry of Foreign Affairs or environment ministry with the task to lead implementation may be beneficial, but in others, they may not have sufficient influence on policies in other ministries. Such choices may project the SDGs as the agenda of a ministry to the exclusion of others (for example, an external or environmental agenda). This was clearly identified as a pitfall in past analyses of sustainable development implementation.[14] Some ministries in charge have clout and requisite capacity to account for all three dimensions of the SDGs. Sweden belongs to type 4. The country has been promoting an integrated sustainable development agenda and will continue to rely on the existing arrangement, with the ministry of public administration leading SDG implementation.[15]

As far as Member States are concerned, there is no single approach to institutional innovations that is more likely to facilitate integration by itself. Irrespective of which models countries choose, moving towards integration remains an important goal. Going forward, it will be important to develop institutional capacities for integration, for example through systematic mappings of institutional mandates in relation to all the SDG targets, as done in Sri Lanka.[16]

2.3. Sustainable development strategies and plans

In 1992, Agenda 21 introduced the concept of national sustainable development strategies, in a chapter entitled "Integrating Environment and Development in Decision-Making". One of the four areas of focus of the chapter was the integration of environment and development at the policy, planning and management levels. To advance this objective, many countries developed and sought to implement national sustsainable development strategies. The 1997 programme for the Further Implementation of Agenda 21 aimed for all countries to have an individual National Sustainable Development Strategies in place by 2002. However, by this stage, only 85 had achieved this goal, with the nature and effectiveness of these initiatives varying greatly from nation to nation.[17] By 2010 the number of countries implementing National Sustainable Development Strategies had risen to 106.[18]

National sustainable development strategies and plans provide a long-term vision that functions as a common reference for an integrated approach. This common reference enables a shared understanding across sectoral boundaries of the government's broad policy objectives. It allows different parts of the government to see how various interventions play together towards attaining the SDGs. Without it, actors in government may work on incompatible assumptions, which makes integration more difficult.

Agenda 21 emphasised that national sustainable development strategies should not be rigid or standardised, but rather formulated and continually modified according to national needs, priorities and resources. Over time, a strong consensus developed that successful national

sustainable development strategies had to comprise 'a set of coordinated mechanisms and processes that, together, offer an integrated and participatory system to develop visions, goals and targets for sustainable development, and to coordinate implementation and review'. In practice, however, by 2010 most nations were still only at the early stages of implementing strategies which fit this description.[19]

The evaluation of the effectiveness of national sustainable development strategies as tools for integration has been mixed. As described in chapter 1, in developed countries their political clout was rarely great, and in practice they did not play the role of "umbrella" strategy or anchor to sector strategies. In many of the world's poorest nations, national sustainable development strategies only played a peripheral role, with efforts instead focusing on Poverty Reduction Strategy Papers, conservation programmes, environmental action plans, strategies related to the so-called Rio Conventions (biodiversity, climate, desertification), and MDG-related initiatives, all of which were linked with more direct access to financial resources.[20] While attempts were made to shift the focus of Poverty Reduction Strategy Papers to policy strategies that genuinely incorporate sustainability, Poverty Reduction Strategy Papers remained an inadequate alternative for the far-reaching and integrated national sustainable development strategies advocated by Agenda 21.[21] Recent evaluations of national sustainable development strategies and other integrated strategies by scholars who have followed their developments over a long period are more pessimistic than in the past as to their potential. They suggest that national sustainable development strategies should never be expected to replace sector strategies. Rather, they emphasize the potential virtues of national sustainable development strategies as communication and capacity-building tools that enable the government to constructively engage with sectoral policy-making.[22]

Many countries have explicitly aligned their development strategies with the SDGs or incorporated SDGs in their national development plans.[23] Many developing countries have done so. They include Afganistán, Argentina, Azerbaijan, Bangladesh, Belize, Brazil, Botswana, China, Colombia, Chile, Costa Rica, Cyprus, El Salvador, Ethiopia, Georgia, Honduras, India, Indonesia, Jordan, Madagascar, Malaysia, Mexico, Nepal, Nigeria, Republic of Korea, Samoa, Sierra Leone, Togo, Thailand, Peru, the Philippines, Uganda, Venezuela, Zambia and Zimbabwe.[24]

For example, in Belize, the National Sustainable Development Strategy has been merged with the Medium term Development Strategy (now Growth and Sustainable Development Strategy, GSDS). The GSDS, while focused principally on the development vision for Belize as articulated in Horizon 2030, also aims to be in line with SDGs. Malaysia has tied implementation of the SDGs to its Eleventh Malaysia Plan 2016-2020 as the centerpiece and guiding policy of national development efforts. The preparation of Uganda's second and current National Development Plan (NDP II) (2015/16–2019/20) coincided with adoption of the 2030 Agenda, which was integrated into the NDP II from the beginning. For Zambia, the 2030 Agenda came at a time when the country was developing its Seventh National Development Plan (2017-2021). The Plan was developed with integration of the SDGs in mind.

A number of developed countries (e.g., Belarus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Italy, Luxembourg, Montenegro, the Netherlands, Portugal, Switzerland) also incorporated the SDGs in their national strategies.[25]

There are also countries that created new, additional strategies for SDG implementation, while their aligning their national development plans with the SDGs. These include Botswana, China, El Salvador, Panama and the Philippines.[26] For example, China's 13th Five-Year Plan (2016-2020) for Economic and Social Development adopted in March 2016 prioritizes poverty eradication and sustainable growth. The SDGs are reflected in this Plan. The country also released China's National Plan on Implementation of the 2030 Agenda for Sustainable Development, which translates each target of the SDGs into "action plans" for the country. This plan is entirely dedicated to the SDGs.[27]

2.3.1. Integration with other strategies

Past experience with national sustainable development strategies shows that it has been far from easy to integrate them with other strategies. SDG implementation strategies are likely to face similar difficulties. Indeed, countries have already experienced this challenge. For example, a study from 2004 that reviewed national sustainable development strategies in 19 countries concluded that in Germany, existing sectoral strategies were combined into a National Sustainable Development Strategy, but only in the form of a summary, which meant that an opportunity was lost to merge them into one overarching framework for action that would have facilitated the integration of policies.[28]

There are, however, positive examples of alignment and integration of strategies as part of the task of formulating an SDG strategy. An example of successfully merging a Poverty Reduction Strategy Paper into an SDG oriented national strategy is Sierra Leone (see Box 2.1).

2.3.2. Translating the strategy into governmental processes

The objective of a national strategy is to provide a vision and framework that will inform policies, plans and the budgetary process. For example, the case of Sierra Leone (see Box 2.1) shows how the strategic framework is accompanied by a budget strategy in alignment with the SDGs. This consistency

Box 2.1. Sierra Leone's integrated development strategy

In Sierra Leone, which is a Type 4 country (see figure 2.1), the SDGs will be implemented within the framework of the Agenda for Prosperity (A4P) 2013-2018, a third-generation Poverty Reduction Strategy Paper, under the leadership of the Ministry of Finance and Economic Development. The Agenda's eight pillars are clearly and explicitly aligned with the SDGs. For example, the first pillar, "diversified economic growth" is directly related to SDG7, 8 and 9; while "managing natural resources" is related to SDGs 12, 13, 14 and 15.

Sierra Leone has also integrated the SDGs into its national budget strategy. In fact, the SDGs constituted a major policy thrust in Sierra Leone's National Budget for the 2016 Fiscal Year, with actions on national objectives being aligned on spending categories in the Budget. Moreover, the Budget Statement clearly defines the responsible actors and the scope of their reporting responsibilities on the SDGs within the various government offices where resources were allocated.

Source: See endnote.[29]

is essential (see section 2.4 below). In Peru, the sustainable development plans have linked the social, environmental and economic dimensions of development in a multidimensional approach; however, this approach was not generally carried over to multi-year programming and budgeting, and the formulation and implementation of sectoral policies. Weak linkages between planning, policymaking and budget allocation processes - in this case compounded by the lack of capacities of planning institutions and possibly insufficient efforts to share information on policymaking - led to some development opportunities such as livelihood and income-generating opportunities being lost.[30]

2.3.3. The need for authority and influence

The National Strategy or Plan should clearly assign roles and responsibilities for its implementation, and SDG coordinating bodies need to be assigned a clear mandate, authority and resources.

Without adequate resources and influence over other government agencies, agencies tasked with coordination may not succeed. For instance, one study found that in the United Kingdom (where a specific ministry leads SDG implementation, see figure 2.1), the Department for Environment, Food and Rural Affairs, the agency leading the country's sustainable development strategies, did not have the power to compel the other departments to take the necessary actions to implement them, thus limiting the effectiveness of its leadership.[31] Also, in many Caribbean countries, sustainable development issues tend to fall under the responsibility of environment departments, but these departments are often under-resourced and do not have much clout to deal with issues that span the mandates of other ministries.[32]

The same was found in some other countries where national sustainable development strategies or sustainable development plans were in the realm of the environment departments. In many countries, the concept of sustainable development resonated first with environment departments, leading to national sustainable development strategies documents, processes and related indicators being developed in isolation, overly focusing on the environment, and not being integrated with the existing planning and budget machinery of government, intead of becoming concerns of the government as a whole and being integrated into national plans and budgets–which are traditionally "owned" by the planning and finance departments.[33]

Implementation of SDG strategies can and should learn from past experiences such as the importance of having a coordinating body with authority, clear cross-sectoral planning mandate and expertise to coordinate various key development strategies. As seen in the case of the UK, it is necessary to have sufficient legal authority, influence, resources and effective relationship to fully implement a sustainable development strategy.[34]

2.4. Budget processes

Even if the SDGs are effectively transformed into strategies and plans, these plans are unlikely to be successfully implemented if budgets are not aligned. While this may sound as common sense, past experience with national sustainable development strategies and other development strategies show that the overarching vision and specific objectives set out in a NSDS have often had little influence on national budget expenditures or revenue-generating processes.[35]

Lack of alignment of resources can render the strategy powerless, which quenches the motivation of various parts of government to contribute towards the vision and strategy, creating a vicious circle. For example, to address cross-sectoral challenges, Latvia developed a policy document (the National Development Plan 2007-2013) that was hierarchically one of its highest strategy papers–which meant that other policy documents should have been aligned with it. But

because it was not directly linked to the national budget and resource allocation, its importance in enhancing policy integration among sectors was diminished.[36]

2.4.1. Engaging the Ministry of Finance

Active engagement of the Ministry of Finance is one of the most helpful building blocks of successful SDG implementation. Given the importance of alignment of budgetary processes with the SDG strategies, the Ministry of Finance's engagement in the 2030 Agenda is critical. Their role is not only fiscal priority setting at the highest level, but also the adjustment of budget processes to ensure that cross-sectoral objectives do not get lost. This will likely require greater engagement of Ministries of Finance than has traditionally been the case. This will necessitate active efforts, as exemplified by the experience of the Millennium Development Goals (MDGs), a period during which finance ministries largely continued their budget planning and execution processes, with only occasional reference to the MDG targets.[37]

Mexico actively uses the budget as a tool to incentivize programs across sectors for alignment with the SDGs (see Box 2.2). In Bangladesh, the realization that the Government spends USD 1 billion a year, equivalent to 6 7 percent of its annual budget, on climate change adaptation has also helped to change the way the Government works. Levels of cooperation between ministries have increased because the ministry of finance now recognizes that the government's expenditure on climate change is of national economic importance.[38]

2.4.2. Budgeting to support integration

The budget process can be used to identify cross-sectoral opportunities, which makes it a powerful tool to support integration. One country that used this is Norway, which is working to reform its regular budget process to enable coordinated budgeting that will foster SDG implementation. The ministry of finance is responsible for the overall process. Responsibility for each of the 17 Goals is assigned to a coordinating ministry, which is tasked to consult with the other ministries involved in the implementation of the various targets under the Goal concerned. The ministry of finance sums up the main points in the national budget white paper presented to the parliament.[39]

There are countries where a strong integrated plan-to-budget system is already in place for specific SDGs. In Honduras, the ministry of education has defined specific responsibilities for the SDGs at all levels through the "Fundamental Education Act" and its corresponding regulations as well as identified the contribution of other actors who impact this sector. This is then planned and budgeted for in a cross-sectoral, integrated way, down to the detail of cross financing.[40]

One element of the budgeting process that can help integrate SDG implementation is a detailed analysis to identify cross-sectoral spending and explore opportunities for "cross-sector budgeting". Traditionally, budgets are separated along the sectoral lines and allocated to programs within one sector. However, if clear linkages between program elements across sectors exist, then one might create a budget allocation for their combined effect, rather than fund the individual parts. The funding of the different program elements could depend

Box 2.2. Leveraging Budget to coordinate SDGs across sectors (Mexico)

Mexico started its efforts to integrate SDGs throughout its national strategies and plans in 2016. The Ministry of Finance and Public Credit, which also oversees the formulation of national plans, developed a methodology to allow the budget to contribute to the achievement of the SDGs.

In order to align the budget with the SDGs, the ministry developed a framework aimed at integrating planning, public finance management, policymaking, and oversight. The ministry then partnered with the United Nations Development Programme to identify the specific budget items that would contribute to progress on the SDGs.

The first step was a process through which each ministry used the Performance Evaluation System and National Planning to match their programs to the SDGs. The use of budget codes allows the tracking of contributions per SDG across the budget. The second step is quantifying: identifying to what extent programs contribute to an SDG target, directly or indirectly, in order to estimate the Government's total investment per target. 102 SDG targets were further disaggregated by different topics, allowing the Government to identify more precisely the part of the target that a specific government action is to address. In future budgets, the process and the associated budget indicators and codes will be mandated from the start, which will clearly provide an incentive for all programs to align themselves with the SDGs.

Source: Transparencia Presupuesteria 2017, *Mexico's budgeting for sustainable development*, July, Mexican Ministry of Finance, Available from: http://www.internationalbudget.org/2017/07/mexicos-budgeting-sustainable-development/. [2 August 2017].

on their contribution to the integrated objective, which is a strong incentive for program managers to be aware of how their respective programs relate to other governmental efforts and explore possible synergies. Gender mainstreaming presents a prime opportunity for this approach.

The first step a government can take is identification of linkages in an existing budget. For example, Mexico was able to track the total spending on gender issues in all sectors in a given year.[41] To make tracking easier, countries can implement systematic tagging of the budget with cross-sectoral themes or topics – the SDG targets obviously being prime candidates. Encoding government programs, activities or other budget line items with codes or tags to indicate their relevance to SDGs in a quantifiable way, allows for easy visibility of the overall support for each SDG and the horizontal distribution of such support.[42] Colombia is an example of a country that has done so: the budget is encoded with tags for specific cross-sectoral and sub-sectoral topics, which can then be tracked throughout the budget plan.[43]

Linking the budget with SDG targets is not an easy task. For instance, determining whether a planned activity or program contributes to a particular target and to what extent can lead to long discussions. But such discussions are healthy: they create awareness among program managers of the relevance of their programs to SDGs and their relation to other programs in this respect. If a country has decided to reserve portions of the budget for certain cross-sectoral issues, the tagging of budgets is a convenient way to handle the allocation of such portions of the budget. And if it is made clear that the criteria for budget allocations are the contribution to the SDGs, this provides a strong incentive for program managers to align their activities with the SDGs in a synergistic way. As the various parts of government get more familiar with this type of budgeting, this may lead to a greater understanding of interlinkages among sectoral issues - both on the part of individual ministries and on the part of those in oversight functions or coordinating bodies.

A well-known practice among the public and private sector alike to encourage innovation, seed funding can be helpful in governmental strategies to remove barriers to cross-sectoral coordination. It provides a temporary "umbrella", with financial incentives offsetting the additional costs of collaborating and the challenges of reporting under different budget sources. The assumption is that once a cross-sectoral program is in place and the benefits become obvious, financing will sort itself out. For an SDG that is cross-sectoral, funding appropriations for that SDG across different ministries enable the lead ministry with a multi-sector task to encourage other ministries to deliver on their part of that task.[44]

Overall, the benefits of leveraging budgets to achieve integration have yet to become commonly realized and adopted.[45] In many cases budgets still show a high degree of departmentalized or functional planning, rather than planning across ministries and departments. For instance, in Bangladesh, according to the Education Sector Plan, a total of 11 government ministries administer accredited technical and vocational education and training programmes, but the budget is not structured in a way that would allow all these programmes to be identified, and thus aggregated upwards.[46]

2.5. Engaging the public service

Bringing about integration for SDG implementation ultimately depends on the people, particularly the public servants who will need to understand new integrative frameworks and priorities, acquire new skills and embrace new ways of working.

For public servants, integration on a daily basis requires that they should share their objectives across organizational boundaries, with sharing of information and services among government organizations in a way that boosts the efficiency of government processes and enhances governmental interaction.[47] However, very few countries seem to be mobilizing public servants systematically around the SDGs.

2.5.1. Capacity for recognizing and acting on interlinkages

Public servants may not be fully aware of the SDGs, their complex inter-relations and the national strategy to implement the goals, let alone be committed to them. A good start to overcome this is training and awareness programs for public servants. Working across organizational boundaries for better integration also requires changes in behavior, culture, skills and working practices. One way to raise the capacity of public servants for working collaboratively across sectors and departments is to encourage networking in public administration and introduce rotation of public servants. In fact, rotation and mobility are used in several countries to expose individuals to a range of organizational experiences. For example, the Republic of Korea maintains a Personnel Exchange System – a 1:1 exchange program wherein public servants move between departments for a limited period. It aims to improve work understanding among different agencies through personnel exchanges and to remove departmental partitions by building a cooperation system.[48]

To equip public servants with the requisite skills and competences to effectively work across different departments, some countries have implemented a range of professional development initiatives. Under its management agenda, the Government of Canada has established the Canadian School of Public Service. It provides federal public servants with a training course in horizontal management. The course

reviews what horizontal management means for managers and how to deal with the challenges of partnering with other organizations so as to benefit from shared goals.[49] Australia has developed a practice guide for public servants who are working together on integrated projects. It includes advice for deciding when to join up, how to choose the best structure for the initiative, possible accountability and budget frameworks to use, and how to create an appropriate organizational culture for joining up.[50]

2.5.2. Incentives in institutions and human resource management

Even with understanding of a new context, employees may need to be nudged in the right direction through concrete incentives. Some jurisdictions have experienced with incentives that link remuneration (performance pay) or career development opportunities (promotion, performance evaluation) to cross-sectoral work.[51] Performance evaluation and career opportunities can be strong motivators. Finland used to reward the sharing of knowledge: in order to improve integration, senior officials were assessed on their ability to share knowledge, establish partnerships and network. This was a part of Finland's innovative action plan – 'Government Programme System'. The priorities for the administration were reduced to a small number of strategic and cross-cutting policy outcomes. Each policy programme was allocated to a lead coordinating Minister and a number of other key Ministers. The coordinating Minister and programme directors organized the implementation of the policy programmes and made decisions on how to divide responsibilities across ministries.[52]

2.5.3. Accountability and integrated approaches

Ministerial responsibilities are largely organized along departmental lines. As a country increases joint work and cooperation, accountability lines may need to be amended or revised, for example by putting in place systems for horizontal (also called "joint" or "shared") accountability. Shared accountability can however give rise to various problems such as lack of clarity over lines of accountability, the risk of blame shifting, and difficulties in rewarding performance or applying sanctions in the event of poor performance. Within the public sector, these problems can thwart inter-agency collaboration and can make public servants reluctant to fully participate in joint work arrangements.[53]

As a way to deal with this problem, the Irish Office of the Minister for Children and Youth affairs combined sectoral accountability with cross-cutting thinking and action. The office was established to ensure policy coherence for issues impacting children. Accountability continues to reside with the sectoral ministries that own the relevant portfolios, e.g., Departments of Health and Children, of Justice, and of Education. However, by physically bringing together staff around common issues and target populations, the Irish Government sought to foster integrated approaches to policy issues.[54]

A related problem is a perceived lack of authority for government departments to lead or coordinate action spanning multiple departments. When the dynamics of cross-sectoral collaboration are not well defined, and despite government-wide programs to encourage integration, lower level staff and managers may be hesitant to engage in such projects. Mandates and regulations can reinforce collaborative working. In Ireland, the importance of cross-cutting issues was reinforced under Section (12) of the Public Service Management Act (1997), which enabled Ministers to collaborate with each other on cross-departmental issues, and to assign responsibility to public servants on such issues.[55]

2.6. Monitoring, evaluation and review

Monitoring and evaluation as well as review mechanisms are a *sine qua non* for integration and need to be an integral part of SDG implementation strategies. Monitoring and evaluation systems that can track and evaluate inter-sectoral policy outcomes and overall impacts are an important part of any integration effort. Based on the evidence gathered through monitoring and evaluation processes, reviews are used to assess overall progress and performance, to identify problems and take corrective actions. Reviews should link assessment to country follow-up actions including prioritization, resource allocation and policy dialogue.[56]

2.6.1. Challenges of monitoring and evaluation in the context of SDGs

While it is clear that integrated monitoring and evaluation offer many benefits and uses, implementing such systems faces several interrelated challenges. For a start, each country will need quality data and indicators. For most countries, this is a challenge. At present, countries are mainly making efforts to improve data quality, address gaps in data collection and develop indicators. For example, Afghanistan, Azerbaijan, Belize, the Czech Republic, Cyprus, Nigeria and Portugal are working to strengthen data collection and improve the quality of data on the 169 targets and 230 indicators of the SDGs. Belarus, Belgium, Botswana, Costa Rica, India, Italy, Jordan, Malaysia, Netherlands and Sweden are focusing on SDG indicators.[57]

A common challenge is that monitoring and evaluation tend to target specific policy interventions (e.g., a single policy or program in a particular sector), although it is important to assess progress towards interrelated goals and targets.[58,59]

While most countries have statistical offices that monitor various aspects of the economy, society and environment,

the interlinkages among the SDGs cannot easily be tracked without a vast number of indicators, or the use of composite indicators.[60] At this point in time, there are no well-established methodologies for the evaluation of complex programs, even though new forms of tech-enabled data such as big data have the potential to complement conventional monitoring and evaluation approaches – and lend greater insight into overall impacts of policy interventions.

Lack of effective monitoring and evaluation system and routine monitoring may lead to fragmented implementation of sustainable development strategies. For example, in the early 2000s, Pakistan's National Conservation Strategy implementation had relatively coherent strategic objectives, but lack of routine monitoring of project impacts and sustainability indicators caused the strategy to fragment into a number of unconnected component activities with no feedback mechanism.[61]

Another challenge is to mainstream monitoring and evaluation as a standard practice throughout SDG implementation. This also means that monitoring and evaluation need to take place continuously. Finland has established a system of periodic evaluations of the effectiveness and coherence of sustainable development policy. As part of the evaluations, the government solicits inputs from the scientific community and civil society on the state and future of sustainable development in Finland. Harmonization of a number of monitoring and evaluation activities is also an important part of the current efforts of the Finnish government.[62] In many countries, a number of monitoring and evaluation systems are in place throughout the government. Achieving some degree of harmonization among such systems may be important, so that evidence from multiple sources can contribute to inform the analysis of shared issues spanning across sectors.

2.6.2. Towards integrated monitoring and evaluation

The cross-sectoral nature of the SDGs constitutes a major challenge to monitoring and evaluation. If various SDGs and targets affect one another, the mechanisms to evaluate policy interventions to achieve these targets will need to look across sectors. It is clear that monitoring and evaluation has a particularly strong link to integration. It requires collaboration across sectors, but can also be a driver for sustaining that collaboration, as actors in different sectors work together to measure, interpret results and decide on necessary adjustments.

A particularly important step is how the results of monitoring and evaluation feed back into policy adjustment. The conclusions of monitoring and evaluation should inform adjustments in policies or strategies and pinpoint opportunities to improve cross-sectoral integration. This means that monitoring and evaluation should be planned as part of an integrated approach. This makes all the more sense as the challenges facing the design of monitoring and evaluation systems for the SDG (e.g., the need to measure cross-sectoral impacts and create insight across sectors and the need for indicators to collectively provide an accurate picture of the overall progress) mirror the challenges of designing integrated SDG implementation strategies.

Amid these challenges, some efforts to develop integrated monitoring and evaluation are underway. For example, the UN Inter-Agency's Global Expanded Monitoring Initiative (GEMI) is being developed as an integrated monitoring effort for water and sanitation-related SDG 6 targets. The Initiative's specific goal is to establish and manage, by 2030, a coherent and unified monitoring framework for water and sanitation to inform the post-2015 period. The scope is primarily limited to SDG 6, but it will also contribute indirectly to monitoring proposed related indicators in other SDG areas such as SDG 13 on climate action.[63]

Based on this discussion, an ideal approach to integrated monitoring and evaluation in the context of the SDG implementation could include:

i. Ensuring alignment between the SDG strategy and the monitoring and evaluation process;
ii. Mapping out critical interactions across the Goals and targets with synergies and trade-offs, so as to identify adequate indicators to assess the interactions at the national level;[64]
iii. Bringing together information about different aspects of an SDG that are commonly collected by different sectors;[65]
iv. Leveraging monitoring and evaluation as a dynamic tool to encourage continuous cross-sectoral collaboration;
v. Anticipating what data will be necessary or useful for monitoring and evaluation and making efforts to fill in data gaps, improve data quality, and generally creating a sound statistical basis for monitoring the SDGs;
vi. Ensuring that capacity for monitoring and evaluation exists at all levels of the government where it is needed;
vii. Strengthening the feedback between evaluation and policy making and budget cycles – an often-reported limitation of evaluation policy.[66]

2.6.3. Institutional framework for monitoring and evaluation

Countries will need to assess their existing institutional frameworks for monitoring in order to identify priority areas for improvement. Countries agree that systems of monitoring and evaluation should be based on country ownership.[67] This includes the need for enhanced inter-agency coordination and capacity across government, with a whole-of-government approach to monitoring and evaluation.[68]

Countries are exploring different ways of organizing their SDG-related monitoring and evaluation efforts. Belize has recently developed the Growth and Sustainable Development Strategy Monitoring and Evaluation Framework, which will identify responsibilities and progress made by specific agencies. Several other countries (e.g., Belgium, Georgia, the Philippines, Turkey) have established a new interagency structure and working group for monitoring of the SDGs. An interagency structure may provide one single platform for monitoring progress towards SDGs in an integrated way and facilitate better coordination between different sectors. In some other countries (e.g., Czech Republic, Estonia, and Finland), various (sustainable) development committees and councils perform these functions.[69]

Head of State or Government leadership could help advance monitoring and evaluation for integration. In Moldova, the Monitoring and Evaluation Division of the State Chancellery provides the highest-level monitoring of SDGs. The Government of Grenada has also established a Policy, Monitoring and Evaluation Unit within the Cabinet Secretariat. Most countries however rely on statistical offices in their monitoring and evaluation efforts.[70] Some examples are: Colombia (Department of National Administration and Statistics), Egypt (Central Agency for Public Mobilization and Statistics), Germany (National Statistics Institute), Italy (National Statistical Office), Madagascar (Ministry of Economy and Planning and the National Institute of Statistics), Republic of Korea (National Statistical Office), Samoa (Samoa Statistics Bureau and the Ministry of Finance) and Switzerland (Swiss Federal Statistical Office).

National statistical offices are sometimes units within Ministries rather than independent self-sufficient organizations, which is the case with many Small Island Developing States (SIDS). In such cases, it is important that ministries have access to data that they need.[71] Data will need to be provided from almost all government ministries because of the interconnected nature of the SDGs. In this regard, the UN can make a contribution, given its interactions with National Statistical Offices in the context of SDG monitoring.

2.6.4. Review

Monitoring and evaluation is central to follow-up and review processes, helping answer questions such as what works for citizens, why, under what conditions? What is the quality of evidence gathered and what conclusions should be drawn from it?[72] The 2030 Agenda (paragraph 74) states that follow-up and review processes at all levels will be rigorous and based on evidence, informed by country-led evaluations and data.[73]

The 2030 Agenda for Sustainable Development encourages Member States to conduct regular and inclusive reviews of progress at the national and sub-national levels. At present, reviews are often being conducted specifically for presenting at the high-level political forum (HLPF). Also, many countries are still planning to design the architecture for review of progress towards the SDGs. It is too early to assess the integrative impact of review processes for SDG implementation. National-level discussions on follow-up and review of the 2030 Agenda are ongoing in most countries.[74]

2.7. Roles of parliaments and supreme audit institutions

2.7.1. The role of parliaments

Much has been said, including in the 2030 Agenda (paragraph 45), about the role of parliaments in implementing the SDGs: their legislative mandate, their power to reform politics and create new institutional arrangements and their role in holding government accountable have all been emphasized. Indeed, each of these roles offers opportunities to strengthen integration.

Parliaments can support integrated implementation of the SDGs through three key functions:[75]

i. *Legislative:* Parliaments can review existing legislation, propose amendments or even draft new legislation required to meet the Goals. Parliaments can also ensure cross-sectoral coherence, for example, by ensuring that proposals to regulate an issue in a particular sector do not counteract efforts in other sectors.
ii. *Budgetary:* In their role in approving budgets, parliaments have the overview of all activities pertaining to SDG implementation and in some cases also have the leverage to request their alignment, so as to create a more balanced and coherent approach.
iii. *Monitoring and oversight:* As the primary institution for accountability at the national level, parliaments are in a unique position to have an overview of the collective efforts made by various parts of the government and the leverage to influence these efforts and ensure they form a coherent whole. Parliaments can demand that their governments prepare a plan aligned with the SDGs and send it to the parliament for review. For example, the Government of Norway presents a report to the parliament on how the country fares in terms of policy coherence for sustainable development.[76] The parliament may also be in a position to require integrated monitoring and reporting on SDG implementation at regular intervals. A concrete example of a parliament's role in supporting enhanced cross-sectoral policy coherence is the report produced by the International Development Committee of the British House of Commons, which requested the government to adopt an effective whole-

of-government approach for the implementation of the SDGs (Box 2.3).

A partial survey of the parliamentary community worldwide shows some countries' efforts to institutionalize the SDGs in parliaments. Parliaments in Ecuador, Chile, Japan, Mali, Romania, Chad, Trinidad and Tobago, Uganda and Zambia have adopted a formal motion or resolution to take stock of the SDGs and to outline key steps toward their implementation and review at the national level.[77]

In other countries, parliaments have been actively involved in the following ways. In Mali, the National Assembly established a Standing Committee on the SDGs, with the task to coordinate the work of parliament on the implementation of the Goals and strengthen government oversight. In Fiji, plans are underway for the Standing Committee on Economic Affairs to lead and coordinate the work of parliament on the SDGs. The parliament has also assessed its own capacities to institutionalize the SDGs with the help of the Inter-Parliamentary Union (IPU) – United Nations Development Programme (UNDP) self-assessment toolkit.[78] Germany has formed a Parliamentary Advisory Council on Sustainable Development to provide parliamentary support and evaluate the sustainability impact of federal government activity. In Madagascar, the National Assembly participates in the Committee for Follow-Up and Review of the SDGs. Pakistan has transitioned its parliamentary MDG Task Force to a SDG Task Force and plans to strengthen the role of the Task Force for SDG implementation. In Serbia, the National Assembly established a Parliamentary Focus Group to help steer the parliament's oversight role as regards the implementation of the SDGs. In Trinidad and Tobago, the parliament has established a new Joint Select Committee on the Environment and Sustainable Development.[79]

While a number of parliaments have formally positioned themselves with respect to the SDGs, many more have yet to fully engage and take the necessary measures to mainstream the SDGs in their work. An indication of this can be seen in the way parliaments are engaging in the Voluntary National Reviews: only 13 parliaments had some kind of involvement (varying greatly, from deep to superficial) in the forty-four national reviews presented to the HLPF in 2017, and only three of those parliaments got to review the government-led report before it was finalized.[80] Gaps remain in engaging parliaments, and in ensuring that the SDGs are not seen as the exclusive domain of the executive branch or as a ministry-driven exercise.

Like the Executive Branch of the government, parliaments tend to operate in silos. For example, there can be a parliamentary committee for the economy alongside a committee for the environment, with little coordination to effectively integrate different sectors into a single policy approach.[81] Parliaments need to find ways to work across structures. For example, a well-functioning and inclusive SDG committee, which may consist of the Chairs of the portfolio committees, can help vet all legislation emanating from the portfolio committees against the SDGs. While not every parliament may need an SDG-specific committee, such a body may be useful, provided it is endowed with a strong coordinating and oversight mandate as well as sufficient resources.[82]

In the case of Fiji, IPU worked with the parliament to mainstream the SDGs and recommended that each standing committee conduct an annual review of government outcomes in each portfolio area against the SDGs and relevant targets, with a group of committee chairs and deputy chairs established to ensure a coordinated approach to the oversight of government action on the SDGs across parliament.[83]

2.7.2. Role of Supreme Auditing Institutions

The role of SAIs as independent oversight bodies means that they can hold governments accountable for the implementation of the SDGs. SAIs can support the SDGs by undertaking performance audits of progress on SDG implementation, including the extent to which collaboration and coherence is being achieved as part of government action. Assessing the effective functioning of institutions and processes would be an important aspect of any audit of the governance of SDG implementation.

Box 2.3. Parliament's role for effective cross-sectoral policy coherence (United Kingdom)

In a 2016 report, the International Development Committee of the British House of Commons explicitly requested an effective whole-of-government approach for better policy coherence among British government ministries. It requested that the Government identify a formal mechanism for relevant Secretaries of State or responsible Ministers to come together regularly to discuss the implementation of the SDGs at the highest political level. It furthermore requested that the Secretary of State for International Development and the Minister for Government Policy provide a cross-Government plan for SDG implementation, and that the Government clearly outline how it will ensure policy coherence across the SDG agenda.

Source: United Kingdom Parliament 2016, *The UK government's response to the SDGs*. Available from https://www.publications.parliament.uk/pa/cm201617/cmselect/cmintdev/103/10307.htm [2 August 2017].

Traditionally, audits have been performed separately for each sector – it has not been very common for audits to focus on a coordinated approach. However, equally important are the insights that come from having an overall picture of investments and efforts made by various actors on given issues, something that SAIs are often in a position to do and which allows them to assess the extent of integration and the coherence and combined effectiveness of the various actions and identify important cross-sectoral issues.

This is increasingly being realized. For example, the US Government Accountability Office conducted a performance audit related to the energy-water nexus, which found that "energy and water planning are generally stove-piped, with decisions about one resource made without considering impacts to the other resource" and recommended better coordination among federal agencies and other stakeholders.[84]

The performance audit conducted by NIK, the Polish SAI, shows that SAIs can provide insights to reduce duplication and fragmentation in government and support integration by providing a broader, cross-cutting view on the functioning of processes and programs across government. In the context of the European Union financial framework, NIK assessed the relevant medium and long-term development strategies of different ministries. Seen from a whole-of-government perspective, NIK found that the lead ministry was in fact lacking the tools for effective coordination. Through the performance audit process, NIK brought its findings to relevant Parliamentary Committees.[85]

While the SDG context may be new, not all auditing needs to be reinvented. Many historical audits will be of value in assessing the performance on SDG implementation, and the findings from these audits may be helpful in pinpointing cross-sectoral issues. For example, in Canada, the government has looked at opportunities to explore historical audits and compare these to the SDGs, and has found it can help to identify strengths and successes as well as gaps. This will take efforts however, and the range and quality of available information is often insufficient to perform a thorough analysis of the combined effects of policy interventions.[86]

There are other challenges. For example, some mandates still do not include the audit of policy effectiveness and efficiency, not to mention the audit of cross-sectoral policy effectiveness.[87] In addition, as the role of SAIs is evolving to match the new approaches of governments, the legislative basis for national audits needs to be updated as well. Effective auditing also requires a good substantive understanding of the SDGs and their complex interactions, which is challenging for many countries. These problems need to be addressed if SAIs are to realize their full potential for SDG implementation and integration.

Amid these challenges, INTOSAI is building the capacity of SAIs to audit horizontal integration – e.g., through a capacity-building program on Auditing SDGs. The program will support SAIs to conduct cooperative performance audits of preparedness for implementation of the SDGs. These audits take a whole-of-government approach and emphasize issues of inclusiveness and stakeholder engagement. Fifty-five SAIs from English-speaking regions and Latin America are already participating in the program.[88]

2.8. Conclusion

Implementing the 2030 Agenda in an integrated manner will require much coordination, adaptation and in some cases structural change in the way governments operate. It is well recognized that an integrated approach is essential. However, breaking through sectoral silos that have been cemented over the years by separate priorities and strategies, budgets, institutional rules and work culture is indeed difficult. Nevertheless, governments have concrete opportunities to facilitate integration in their structures and processes, and this chapter has identified some of those.

Countries have already started to organize themselves to implement the SDGs. Institutional arrangements that

Box 2.4. Brazil's coordinated audit

Recently, Brazil has performed a coordinated audit on sustainable food production (covering target 2.4 of the SDGs). The audit encompassed various related topics such as low-carbon production, technical assistance, agrochemical reduction and sustainable alternatives. It looked at the interaction between various policies and programs and how they affect incentives for organic agriculture. The audit concluded that many policies are mutually counter-acting or counter-productive. For example, in spite of the stated objective to encourage organic agriculture, the production of fertilizers is subsidized. The audit recommended the adoption of a whole-of-government approach to sustainable food production systems and the setup of an inter-ministerial coordination mechanism.

Source: Brazilian Federal Court of Account 2017, *presentation at the SAI Leadership and Stakeholder Meeting – Auditing Preparedness for the Implementation of the Sustainable Development Goals*, United Nations, New York.

countries have selected for this purpose vary. This chapter has shown that many countries that chose to put in place new arrangements to lead on SDG implementation have opted for interministerial mechanisms placed under direct leadership from heads of State or governments. While this type of arrangement does not guarantee stronger integration in practice, it does suggest that the SDGs are high on national policy agendas and have political salience. This constitutes a marked change compared to the relatively marginal political profile of sustainable development in the first 25 years after the Earth Summit. It is, at this stage, too early to assess the performance of these new institutions. In coming years, it will be important to go beyond the description of institutional arrangements for the SDGs and study the effectiveness of these mechanisms in terms of integration in a systematic way.

A number of processes and parts of government hold opportunities to support integration. This chapter reviewed some of those. Going forward, countries may be able to enhance horizontal integration by actively leveraging various means and instruments. For example, combining revised budget processes, incentives for integrated work in the public service and strengthening of the capacity of public institutions to monitor and evaluate progress on the SDGs may reduce the likelihood of efforts being "stranded" in the face of the challenges in other parts of government.

Beyond specific ingredients, progressing towards horizontal integration will require strong leadership, as well as understanding and commitment across the board. It should be clear across the government that ministries, offices and individuals depend on each other to meet specific targets and the SDGs as a whole. In a sense, achieving the SDGs is not an exercise in achieving a collection of individual targets, but rather an exercise in collaboration and joint efforts within government, to a level that has not been seen before.

While this chapter focused on opportunities for horizontal integration within national government processes and structures, it is also important to note the role of development partners, both bilateral and multilateral, in relation to integrated approaches. Development partnerships too need to be reviewed in light of horizontal integration, as they can support or hinder governments' efforts this in regard. Differing agendas, lack of coordination and integrated policy approaches among the partners themselves, including lack of information exchange among the partners and with countries, may seriously hinder or even counteract countries' effective horizontal integration. As underlined in chapter 7, this problem tends to be especially acute in post-conflict situations, where external partners often provide a major portion of governments' budgets and can exert a strong influence on policy choices. Overall, coherent and co-ordinated actions at the regional and global levels can contribute to horizontal integration.

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CHAPTER

3

VERTICAL INTEGRATION FOR THE IMPLEMENTATION OF THE SUSTAINABLE DEVELOPMENT GOALS

3.1. Introduction

The 2030 Agenda and the Sustainable Development Goals (SDGs) require coordinated implementation across the different levels of governments. Most SDGs involve a local dimension. Local governments (LGs) have an essential role in policy formulation, implementation, and service delivery. They are also critical to link the implementation of the global Agenda with the needs and concerns of local communities.[1]

Hence, to pursue the multidimensional and integrated approach that the 2030 Agenda calls for, countries need to take territory and scale into account and ensure policy integration along the vertical dimension - that is, across multiple levels of authority and power structures. Vertical policy integration is a critical complement to horizontal policy coherence and integration (Chapter 2) and opens opportunities to strengthen stakeholder engagement in SDG implementation (Chapter 4).

This chapter analyses current efforts to ensure effective vertical policy integration in the implementation and follow-up and review of the SDGs. The chapter discusses the potential benefits of vertical integration and some of its challenges and barriers. It also examines approaches and tools that countries have put in place to advance vertical integration at different stages of the policy cycle, highlighting innovative practices.

3.2. Vertical integration for the 2030 Agenda

The realization of the SDGs requires the coordination of actions of different levels of government. The reasons for this are multiple. In most cases, the achievement of specific targets in each national context depends on the aggregation of sub-national, often local, outcomes, making coherent action a necessity. Targets relating to pollution reduction, waste generation, public transport, greenhouse gas emissions, are typical examples that require some coordination across government levels. Multi-level cooperation is also needed to achieve objectives related to inequality and poverty, as they require cross-territorial actions and cannot be achieved by local governments on their own, because of disparities in agendas, capacity and resources and the impact of national policies. In particular, the realization of the 2030 Agenda's imperative to leave no one behind involves a strong spatial and territorial component that makes coordination across all government levels critical.

More generally, coordination is necessary for most of the SDG objectives, as local governments have been assigned responsibilities that directly relate to specific SDGs and targets. Policy reforms in many countries have given local governments a wide array of powers, competences and autonomy in areas such as health, education, water, sanitation, transport, waste management, urban and territorial planning, infrastructure, environmental and territorial resilience, local economic development and social inclusion. Taking he local dimension of the SDGs into consideration is therefore of great importance to ensure effective their implementation and monitoring. Failing to consider the local institutional and socio-political context has frequently resulted in failed or ineffective processes.

Lastly, because of their closeness to the ground, local governments have a unique perspective on the integrated nature of sustainable development.[2] Many cities are already advanced in designing policies, plans and implementing projects to enhance urban sustainability. Cities can bring together a multiplicity of stakeholders to address interlinked and cross-cutting issues and pilot innovative solutions that could later be scaled up nationally and internationally.[3] The role played by local governments in planning, implementing and monitoring SDG implementation can also contribute to enhancing the accountability of the 2030 Agenda. This perspective is consistent with the view of decentralization reforms as empowering local governments to meet a general mandate to provide for the welfare of their population in an accountable manner (which constitutes an important element of the New Urban Agenda and Habitat III processes).

The importance of vertical integration and full involvement of local governments in sustainable development was acknowledged by Agenda 21, adopted at the 1992 United Nations Conference on Environment and Development held in Rio de Janeiro, Brazil.[4] Following Agenda 21, the need for localization of sustainable development strategies, policies and goals has been gaining recognition around the world. Local governments' responsibilities regarding sustainable development have increased worldwide following decades of processes of decentralization and devolution. Their role has been further recognised due to increasing urbanisation in most countries. The emergence of decentralized development cooperation and city-to-city cooperation has contributed to this development.[5]

The 2030 Agenda commits to work with local authorities "to renew and plan our cities and human settlements so as to foster community cohesion and personal security and to stimulate innovation and employment." It also indicates that "governments will work closely on implementation with regional and local authorities, subregional institutions, international institutions, academia, philanthropic organizations, volunteer groups and others."[6]

Frequently referred to as "the urban goal," SDG 11 ("Make cities and human settlements inclusive, safe, resilient and sustainable") introduces a comprehensive territorial approach to sustainable development.[7] SDG 11 is "not only about cities,

but rather a novel place-based approach to development, including a specific attention to urban, rural-urban, and regional linkages." Also, SDG 16 ("Promote peaceful and inclusive societies for sustainable development") makes repeated reference to the need to work "at all levels" to promote peace and to "provide access to justice for all and build effective, accountable and inclusive institutions." Other SDGs targets (such as 6.b, 13.b, 15.c) also highlight the importance of engaging local communities. Several studies have analyzed the ways in which local governments are involved in the attainment of the SDGs. One such study identified 110 targets (out of 169 for the whole Agenda) whose achievement would require the involvement of territorial authorities (see Figure 3.1).[8]

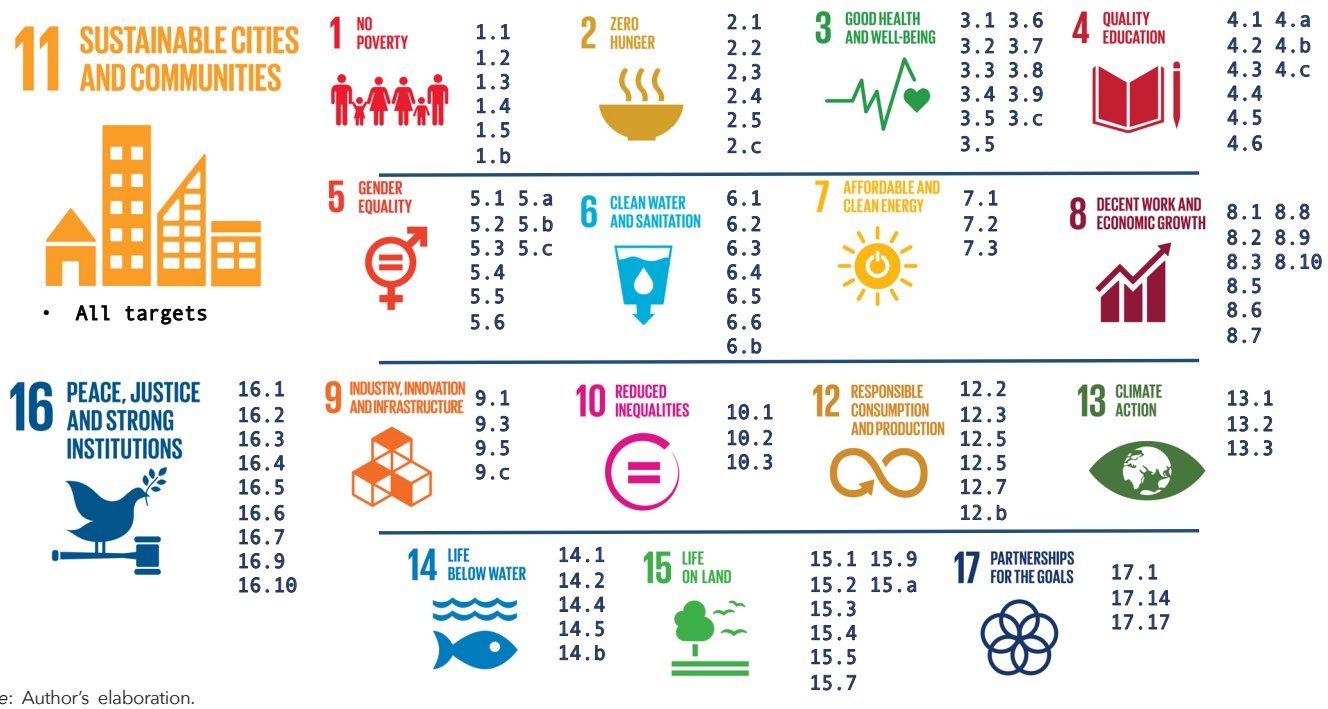
The increased engagement of local governments in SDG implementation requires a reflection on the mandate and capacities that they require for this purpose. It is important to identify the relationships and linkages with the national level of government depending on the country context (different degrees of centralization) in order to assess how local governments can contribute to SDG efforts, including advancing integrated policies. Ensuring alignment and coordination across levels of government can be challenging in certain contexts, as the 2030 Agenda aims to engage a multitude of actors that operate at different levels. Moreover, while the 2030 Agenda provides an overarching framework, there are other frameworks and strategies that also support local development action and should be aligned at each government level and coordinated across levels to avoid overlaps, duplication and fragmentation. The next section defines vertical integration and explores its relationship to localization and multi-level governance.

3.2.1 Vertical integration, multi-level governance and localization

In this report, vertical policy integration refers to mechanisms that deal with the challenge of coordinating and integrating sustainable development strategies and policies across different levels of governance. It implies linking different scales of governance, from local to international, as well as institutions across different levels of social organization. It is customary to distinguish various levels of vertical integration. Two or more levels of governance are said to *cooperate* when they work together to achieve their own goals; they *coordinate* when they take joint decisions or actions that result in joint outcomes; and they do integrated *policy-making* when they formulate or implement joint policies on cross-cutting objectives prioritised by both. These distinctions notwithstanding, most of the definitions of vertical integration usually remain at the level of coordination.[9]

Successful vertical integration requires coordination of action across different levels of government to jointly formulate and implement sustainable development strategies and

Figure 3.1.
SDG Goals and targets that involve sub-national authorities



Source: Author's elaboration.

Box 3.1. Localizing the SDGs

Localization is "the process of defining, implementing and monitoring strategies at the local level for achieving global, national, and subnational sustainable development goals and targets." Specifically, it includes the "process of taking into account subnational contexts in the achievement of the 2030 Agenda, from the setting of goals and targets, to determining the means of implementation and using indicators to measure and monitor progress.".

UN-Habitat, UNDP and the Global Taskforce of local and regional governments (GTF) are leading the global initiative "Localizing the SDGs" to support local and regional governments as well as other local stakeholders for an effective landing of the SDGs into practices at the local level and for the recognition of local leadership to drive the change. The initiative promotes a multi-stakeholder approach through partnerships and direct involvement of the beneficiaries in developing policies and solutions together.

In 2014, the partners were mandated by the United Nations Development Group to carry out the Dialogues on implementation: Localizing the Post-2015 Development Agenda. Since then, the guide *The SDGs: What local governments need to know*, developed by United Cities and Local Governments (UCLG) supports sub-national *governments* to better understand the nature of the global agenda and to increase ownership; while The Roadmap for localizing the SDGs provides supporting guidelines to support awareness-raising; advocacy in national processes, implementation and monitoring strategies at the subnational level.

UN-Habitat, UNDP and the GTF are supporting ongoing efforts by municipalities, regions, states and provinces to enhance partnerships at the local level and promote integrated, inclusive and sustainable territorial development. These activities are documented and compiled in an open toolbox, www.localizingthesdgs.com, which comprises of a knowledge platform, case studies and learning activities to encourage a widespread engagement of all in the 2030 Agenda.

Source: Localizing the SDGs Platform, input to the World Public Sector Report 2017.

policies for achieving the SDGs. Multi-level governance involves linkages and exchanges between institutions at the transnational, national, regional and local levels. This is frequently the result of broad processes of institutional creation and decision reallocation that pulled some previously centralized functions of the state. The effectiveness of this type of governance depends on the linkages that connect these levels of government.[10] Calls for multi-level governance have been common in relation to climate change, water resources, oceans and sustainable development objectives. Multi-level governance involves the notion that the dispersion of governance across multiple jurisdictions is more efficient than mere centralized authority, due to its capacity to capture variation in local contexts. It allows involving stakeholders in decision-making and policy implementation, reducing implementation costs and strengthening the ownership and legitimacy of policies. Multi-level governance can also reflect the heterogeneity of preferences among citizens, facilitate credible commitments, and promote innovation and experimentation.[11]

From the perspective of the implementation of the 2030 Agenda, multi-level governance is expected to contribute to the effective localization of the SDGs. Not only do the perspectives and information provided through the exchange and collaboration of multiple levels of government contribute to better designed strategies, policies and objectives, but ongoing coordination supports consistent and coherent implementation. Ultimately, SDG localization and multi-level governance are interdependent processes which can take advantage of synergies and opportunities across jurisdictions.

3.2.2 Potential benefits of and challenges to vertical integration

The potential benefits of vertical integration are multiple. Vertical integration may help promote a shared vision and commitment to sustainable development across levels. It can foster synergies and enhanced consistency across levels of government through mutually reinforcing and supportive actions. By embedding the SDGs at multiple levels, local governments can support the achievement of the SDGs through their own actions and budgets, while the SDGs can also provide a framework for local governments to better showcase their sustainable development strategies and policies.[12] Other potential benefits of vertical integration are identified in the literature. Vertical integration is a critical complement to horizontal policy integration.[13] It may help increase the efficiency of policy actions, promote a more efficient allocation of resources, and enhance the transformative capacity and potential impact of policy actions aimed at achieving the SDGs. Vertical integration can also reduce implementation risks (e.g., overlap or duplication of functions across levels) and strengthen lines of responsibility and accountability to the public. Finally, vertical integration brings an opportunity for political dialogue among the different spheres of government, providing an opportunity to create trust and a more long-term vision across the public sector.

Potential costs to vertical integration include:[14] costs related to coordination and the creation of additional structures, development of systems and processes (e.g., online platforms, multi-level planning processes), outreach and awareness raising efforts, legislation and regulation, training and capacity building, and monitoring and evaluation, among others. Vertical integration also increases the complexity of policy actions, as there are more actors and processes involved in SDG implementation. Importantly, it is often difficult to generate consensus between national and local governments that have different policy priorities and political agendas. In this regard, a potential risk of vertical integration is that policy actions may not be effectively implemented and SDG priorities become diluted across multiple levels of governance.

Despite the potential benefits of vertical integration, evidence of these positive effects is still scarce. In practice, there are few examples of effective vertical integration across local, regional and national levels.[15] This may be due to the potential risks and implementation challenges that vertically integrated approaches face. Vertical integration should consider differences in country contexts, as the prevailing intergovernmental relations (e.g., level of decentralization, allocation of resources and responsibilities across levels of government) may either support or hinder vertical integration. Lack of policy integration and poor coordination can indicate that the institutional arrangements are not well suited to enabling collective action across levels of government.[16]

These risks call for having monitoring and other mechanisms in place that help ensure actual implementation.[17] In each case, the most effective degree of vertical integration will depend on the specific context, government structure and goals being pursued.

There are significant challenges to achieving vertical integration of SDG policies and programmes in practice (see box 3.2). One challenge is the difficulty to mobilize support of local governments around the SDGs given the nature of local politics and the fact that in many contexts, local authorities have the autonomy to decide over local priorities. This can be compounded by a lack of awareness of local governments about the SDGs and the gap between the abstract and universal nature of SDGs and the specificity of local initiatives and policies. Existing institutional weaknesses;[18] local resource and capacity constraints; knowledge, data and information gaps; harmonization challenges; and limited incentives of local governments to cooperate with other levels of government are other significant challenges.

Corruption can be another major challenge to vertical integration. It is difficult to align, coordinate and integrate government activities and programmes across different levels of government. When corrupt practices are prevalent at one level of government, challenges to vertical integration for SDG implementation arise as corrupt public officials have an incentive to divert government efforts towards activities, policies and programmes that allow them to maximize corrupt

Box 3.2. Potential challenges to vertical integration

- Gap between the abstract and universal nature of SDGs and the specificity of local initiatives and policies.
- Local governments' lack of awareness of SDGs and/or unclear or lack of mandate and role.
- Differences (e.g., organizational culture, ideology, policy priorities) between national government and local governments.
- Institutional weaknesses/ poor management mechanisms: lack of /poor coordination mechanisms; duplication/fragmentation of jurisdictions, mandates, functions; centralised bureaucratic governance structures; weak mechanisms for reconciling conflicting priorities.
- Weak or perverse incentives for local governments to cooperate with other levels of government (e.g., financial transfers), including at individual level (e.g., public sector pay and appraisal do not recognize intergovernmental contributions)
- Unequal distribution of costs and benefits across levels of governance.
- Local constraints in terms of resources (e.g., budget, access to international and private finance), data and information, and capacity (e.g., lack of skilled staff and technical expertise).

Sources: See footnote.[19]

resources and preserve their sources of rent extraction.[20] If corruption is widespread, corrupt elites and public officials with strong vested interests may collude across levels of government and be quite effective in neutering and rolling back incremental policy reforms to advance SDG implementation.[21]

More centralized countries will, by design, tend to exhibit more policy coherence across levels of government, as policy making powers are concentrated in the national government, which defines strategies and plans for the subnational units. Conversely, more decentralized and federal countries can show more diversity in the distribution of resources across levels of government as well as differences in policy objectives due, for example, to more differentiated local priorities. This is consistent with evidence found in our analysis of vertical integration in sustainable development at the systemic and SDG nexus level. Taking transport as an example, developing countries, which generally show lower levels of decentralization,[22] often lack formal mechanisms to ensure policy coordination and coherence in transportation planning and development across levels of government. In contrast, countries with higher levels of decentralization (e.g., EU countries) show a stronger integration of transportation systems across levels of government.[23] At the country level, federal countries or countries with high levels of decentralization show stronger but also more complex mechanisms of vertical integration.

However, decentralization takes many forms across different contexts, with variations in how functions and mandates, fiscal and financial resources, and administrative and accountability mechanisms are assigned to subnational governments. Decentralization may also be different across sectors within the same country.[24] Even within specific countries, decentralization processes are frequently dynamic, and attempts at policy integration need to take this into account. In addition, the actual functioning of intergovernmental relations is quite different from the formal design of intergovernmental systems.[25] Another significant factor is national bureaucratic dynamics, and particularly how poor horizontal integration and coherence may hinder the "development, operation and outcomes of the sub-national system."[26] For example, evidence from Peru shows that vertical integration of SDG implementation might be undermined by national ministries with sectoral policy perspectives "that often have greater power than do regional governments over regional level sectoral offices, which are formally under more territorially-oriented regional management units."[27] Weak communication mechanisms, duplication and fragmentation of resources, weak governance structures and institutional capacity constraints are other common barriers.[28]

Other relevant factors that affect the capacity of the local level to contribute to sustainable development include political economy factors related to actors' incentives and the distribution of resources. Political power and incentives, the nature of elections, the characteristics of the party system, and the existence of patronage networks, among other factors, may affect the performance of local governments. Sectoral experience of vertical integration in climate action shows that local governments may lack clear formal mandates or the political incentives to engage with other levels of government due to misalignment between national and sub-national priorities, barriers caused by vested interests, or the potential negative impacts for sub-national stakeholders.[29]

Local capacity and resource constraints are often highlighted as barriers to vertical integration. Issues such as insufficient public budgets, lack of access to financing, lack of technical staff and technical expertise, or limited data and information at the local level have been found to create barriers to effective vertical integration.[30] However, another important factor to strengthen relations among different levels of government is the capacity of the national level to provide local governments with strategic coordination, facilitation and support (e.g., financial, technical).[31] Other factors that may affect vertical integration include information asymmetries, which may prevent effective dialogue and communication between different levels of government, or differences in organizational culture, priorities or political ideology between national and sub-national governments which may block sub-national actions.[32]

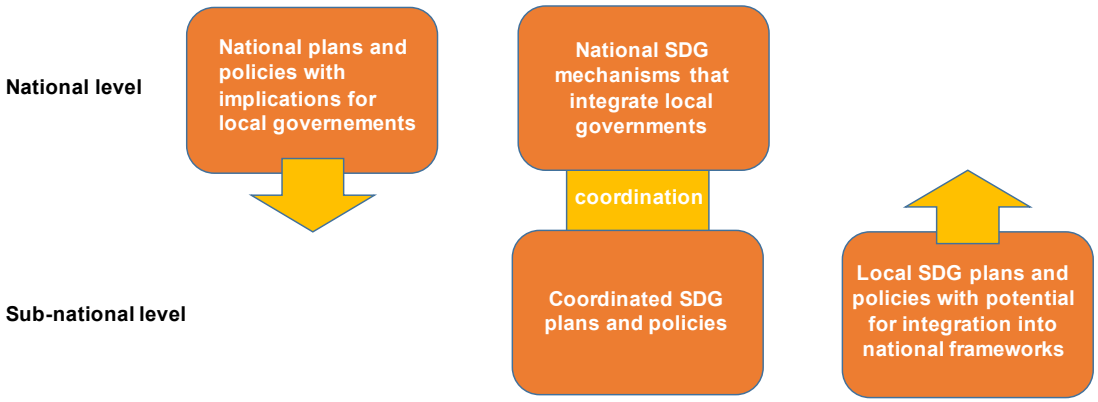
Going forward, some experts think that there is considerable potential to link the pursuit of the SDGs to the process of development of intergovernmental systems. Local governments' playing their role in SDG implementation may require changes to the overarching system, not just SDG specific mechanisms. In fact, the SDG agenda can be an opportunity to help strengthen the intergovernmental system (including planning, budgeting, and financial management) to support sustainable development and improved governance.[33]

3.2.3. Linkages between national and subnational action on the Sustainable Development Goals

As indicated above, vertically integrated implementation of the SDGs is an ambitious goal. Therefore, there are different forms or degrees of vertical integration. Policy integration can occur for some but not all levels of government (territorial reach or scope), as well as along some but not all dimensions of the policy cycle (coverage). This could include top-down forms of vertical integration without true shared spaces across levels of government, for example, or initiatives of SDG localization that might be potentially scaled across levels of government (see below). Even partial forms of vertical integration can make a difference in terms of SDG implementation, especially if they are able to articulate policy

Figure 3.2.

Linkages between national and sub-national levels for SDG implementation: categories used in the chapter



Source: Author's elaboration.

formulation, implementation and monitoring across scale.[34]

In practice, there are different modalities for vertical integration, which reflect linkages of a different nature between the national and the sub-national levels of government in the implementation of the SDGs.[35] For the purpose of this chapter, we distinguish three broad categories of modalities: (i) national actions or initiatives that recognise, recommend, direct or promote territorial actions on the SDGs; (ii) Local governments' plans and policies aligned with the SDG that can potentially be scaled up or integrated into national frameworks, even if the national level does not initially recognise local action; and (iii) mechanisms that actively involve different levels of government in the definition, coordination or implementation of actions (see Figure 3.2). Existing initiatives and practices can be classified in those three broad categories

The second category includes countries and cases in which sub-national sustainable development action and SDG localization is occurring, but the national level strategies, plans and policies (if they exist) do not acknowledge the importance of such action. Local action can be innovative and effective and have the potential to eventually be taken-up by the national level or scaled up through other mechanisms (including stakeholder engagement), as was the case with climate change policies first adopted by cities like Mexico City or Santiago and then integrated into national legislation in places such as Mexico.[36]

The third category (multi-level mechanisms) encompasses mechanisms or processes that actively involve national and local governments. These multi-level tools integrate the active participation of authorities across levels of government. In this case, different levels of government work together and combine their mutual strengths to achieve shared objectives (coordination) or to define and implement new joint policies.

These categories are not new. In general, countries show continuity in the nature of the linkages across levels of government, with current patterns similar to those observed in earlier phases of the process of institutionalization of sustainable development (e.g., through national sustainable development strategies).[37] However, in some cases, relations across levels of government have intensified after the adoption of the 2030 Agenda. This is reportedly the case for Colombia and Germany, as described later in this chapter. In Finland,[38] many local authorities had their own local Agenda 21 before the development of a national sustainable development strategy. Now, in the SDG context, the national government has included representatives from regions, cities and municipalities in the National Commission on Sustainable Development to strengthen coordination across levels of government and alignment of national and subnational processes.

3.3. Vertical integration in the implementation of the Sustainable Development Goals: Approaches and tools

There is a growing catalogue of approaches and tools for advancing vertical integration in SDG implementation at the country level. This section maps and classifies these tools, and provides examples thereof. The country examples provided were identified through a review of the Voluntary National Reviews at the HLPF and relevant literature. While they illustrate practices and innovations taking place at the local level, they are not meant to be exhaustive or representative.[39] Nor are they necessarily transferable across countries. Indeed, depending on the country-specific context, practices or processes illustrated here may not be legally feasible or may make little sense from a practical standpoint.

Table 3.1. Tools for vertical integration in SDG implementation

	Leadership	Laws and regulations	Planning	Implementation	Monitoring
National Actions, driven by the national government for assistance or implementation by LGs, including both soft (e.g. learning) and hard (e.g. guidance) approaches	• Recognition of the importance of LGs and vertical integration • Outreach and awareness campaigns intended for LGs on SDGs	• National laws or regulations that acknowledge, mandate or enable the participation of LGs in planning and implementation of the 2030 Agenda	• Guidelines or templates to support LGs' planning processes • Learning activities intended to share and incorporate inputs on SDGs from LGs (workshops, seminars, forums, dialogues, online activities) • Assessments of subnational alignment	• Financing/budget support for localization • Capacity building for localization • National policies (urban, climate, water, transportation, etc.) that mainstream SDGs across levels	• Sharing of experiences and good practices • Monitoring or reporting SDG implementation at subnational level • Building capacity for subnational monitoring. • Auditing
Sub-national Bottom-up actions adopted by LGs to advance SDGs with potential of adoption by central government and integration into national policies	• Declarations and high-level events that signal political commitment to implement SDGs • Outreach and awareness raising campaigns and events on SDGs for LGs, communities and their stakeholders	• Subnational legislation to facilitate the adoption of SDGs in strategies, plans and policies	• LGs adopt a SDG strategy or align their strategies and plans with the SDGs	• Alignment of LGs' financial plans with SDGs or national SDG policies • Training/capacity building in LGs • Policy tools (action plans, institutional, regulatory, etc.)	• Sharing of experiences and good practices • Alignment of LGs' indicators to SDGs' frameworks • LGs' mechanisms for reporting and data collection • Auditing
Multi-level Mechanisms that incorporate the active participation of multiple (national, regional, local) levels of government. Shared spaces or processes across levels of government	• Involvement of LGs in high-level events to signal commitment • Adoption of agreements with LGs for implementation	• Elaboration of global and international guidelines and training materials to support local and regional government involvement in SDG delivery	• Involvement of LGs in national structures for coordination in formulation of national policies • Multi-level mechanisms for communication and/or coordination in national policy formulation • Non-institutionalized/ ad-hoc multi-level communication and/or coordination processes • 2- way learning activities intended to give or receive inputs for/from LGs (workshops, seminars, forums, dialogues, online activities)	• Involvement of LGs in structures for coordination in implementation • Structures for multi-level coordination in implementation	• Workshops to share information and practices • Involving LGs in monitoring structures • Ensuring consistency of SDG indicators across levels • Coordinated auditing across levels of government • Multi-level accountability frameworks

Sources: Author's elaboration.

Table 3.1 classifies vertical integration approaches and tools according to five essential steps of policy making (leadership, legislation, planning, implementation and monitoring). In addition, tools are organized around the three broad categories introduced above: actions driven by national governments that promote the SDGs at local level or their integration into sub-national strategies, plans and policies; actions initiated by local governments (bottom up) to advance SDG implementation, which could potentially be scaled up or integrated into national SDG frameworks; and actions that create multi-level processes or mechanisms of communication, coordination and collaboration across levels of government, whichever their origin and driving force (national, local, or both).

3.3.1. Leadership for vertical integration

Leadership at all levels of government is a fundamental prerequisite for the success of the 2030 Agenda. Leadership may be defined as signaling commitment and "developing an underlying vision through consensual, effective and iterative process; and going on to set objectives."[40] It involves identifying overall goals and building commitment for reform processes. Commitment and direction are vital for vertical integration, as alignment and coordination of policies requires cooperation and collaboration of actors that have their own responsibilities, constituencies, structures and agendas.

Declarations by national governments that acknowledge the role and importance of local governments in the implementation of the 2030 Agenda have a large potential impact in creating the conditions for increased cooperation and collaboration. Some countries (e.g., Japan and Madagascar) specifically refer to the role of territorial governments in official documents, while others have stressed the importance of vertical integration (e.g., Mexico and Nigeria).

In Colombia, after an electoral process, the national government encouraged newly elected authorities to adopt local development plans based on the integration of the SDGs.[41] In Madagascar, the government has recognized the importance of local autonomy in the implementation of the SDGs. A National Strategy for Local Development serves as an overall framework for decentralization, which will be executed through a specific action plan.

Local governments can also exercise leadership in promoting the 2030 Agenda. In countries such as the USA and Spain, local governments and cities have taken the lead in promoting the sustainability agenda. In many cases, including countries such as Finland, Nigeria, and Portugal, regional, state and city governments have signed their own declarations promoting the implementation of the Agenda. German municipalities, for example, signed the 2030 Agenda for Sustainable Development Declaration. It calls for "the state and state governments to: involve local authorities and their representatives as equals when developing strategies to achieve the SDGs" and to create structures to enable their participation, including funds to compensate for the financial burden faced by local authorities in implementing international obligations.[42]

At the level of signaling and exercising leadership in promoting vertical integration, national governments can explicitly include subnational authorities in high-level events, organise events specifically aimed at stressing multi-level coordination (for example, in Japan and Mexico), or they can sign agreements or declarations together with local governments to mutually commit to the implementation of the Agenda (e.g., in Argentina). High-level events led by subnational authorities, in countries like Japan, can also help promote the integration of national and local actions to advance sustainable development.

Creating awareness about the importance of the SDGs at the local level and the role of local governments in SDG implementation is the most basic type of action that can be taken by all levels of governments to promote vertical integration. National governments can undertake outreach and communication campaigns directed at local governments to promote local SDG action. In Sierra Leone, for example, the Ministerial Committee on the SDGs has held sensitization meetings and workshops with multiple stakeholders, including local councils.[43] At their own level, local governments are promoting SDG awareness through outreach and campaigns aimed at local stakeholders that stress the importance of the SDGs for local development. For example, several departments and city governments (e.g., Shiga and Nagano as well as the cities of Sapporo, Otsu and Omihamichan) have organized workshops and seminars, in collaboration with national agencies (such as the Ministry of the Environment or the Ministry of Foreign Affairs), and established local offices to promote awareness and collaboration among local stakeholders around the SDGs.[44]

3.3.2. Vertical integration through laws and regulations

Enacting legislation or regulations that compel governments to adopt strategies, plans and programs to advance the SDGs is the strongest normative form of commitment to the 2030 Agenda. Governments are starting to adopt laws and regulations that formally tie policy making with the SDGs. This can be done in multiple ways, for example, by mandating, through legal instruments, that authorities at different levels of government issue sustainable development strategies or by making it compulsory that all national and local development plans and strategies should be aligned with the SDGs. Such norms can help to promote vertical

integration of SDG implementation.

From the top-down, national legislation can mandate the inclusion of local governments in the implementation of the SDGs. In Indonesia, a Presidential Regulation has been drafted to establish governance mechanisms for the SDGs and guide mainstreaming of the SDGs into sectoral development plans. The Regulation also ensures the role of provincial governments in leading implementation of the SDGs at their level and in the districts under their supervision. Similarly, the Italian government, through the State and Regions Conference and in accordance with Art. 34 of the Legislative Decree 152 (2006), will encourage local and regional authorities to be active and take part to the implementation process. Conversely, territorial governments can also adopt norms that mandate the alignment of their policy instruments with the SDGs. Wales is reported to be the first place in the world to have enacted an explicit legal link to the SDGs through its Well-being of Future Generations Act.[45] At the municipal level, Barcarena, in Brazil, issued a municipal decree that establishes that local policy planning has to be aligned with the SDGs.

In some countries, there are examples that precede the SDGs and illustrate the use of legal instruments by different spheres of government to advance sustainable development. For example, in 2008, Japan adopted the Act on Promotion of Global Warming Countermeasures, that requires prefectures and municipalities to formulate and implement local action plans to be integrated with related policies.[46]

In Belgium, since 1997, a national law about the coordination of the federal sustainable development policy includes a federal strategy, and at the subnational level, the Walloon Parliament adopted a decree in 2013, which provides for the adoption of one new sustainable development strategy per parliamentary term. Since 2004, the Brussels urban planning code requires the Government of the Brussels-Capital Region to adopt a regional development plan.[47]

3.3.3. Vertical integration at the planning stage

Coordination and integration across levels of government at the planning stage are fundamental for the attainment of the SDGs. Planning is frequently the stage of the policy-making cycle that is more clearly identified with government functions. It involves identifying the means (institutional mechanisms, programmatic structures, specific policy tools) of achieving the objectives. Strong institutions heading the process, comprehensive and reliable analysis linking national, regional and local levels, coherence between budgets and strategic priorities, building on existing mechanisms and strategies, developing and building on existing capacities, and effective participation are important preconditions for successful planning.[48] While some countries opt for soft approaches like informing local governments or organizing learning activities, others more proactively and strongly support the preparation of local plans and development of local capacities.

National governments can issue guidelines or templates that local governments can use to integrate the SDGs and align their own plans, policies and budgets. The Government of Uganda has developed development planning guidelines which provide for integration of SDGs into sector and Local Government Development Plans. Further, the National Development Plan provides national strategic direction and guides planning at decentralized levels, and capacity building workshops on SDGs have been run with local governments.[49] The Czech Republic is reforming its regional public administration with the aim of improving coordination, and has committed to provide methodological and coordination support to regions and municipalities in order to set minimum standards for public services. Similar practices have been identified in Japan, Philippines, and Sierra Leone. Already during the implementation of the MDGs, Ecuador had been recognized for "its ambitions at the subnational level, with a focus on creating a national decentralized system of participatory planning in order to move towards a plurinational and intercultural state."[50]

At the sector level, national governments can use policy frameworks to advance policy integration in specific SDG areas. For example, in Australia, a Policy Framework for Integrated Transport Plans sets governmental integrated transportation directions and strategic goals at the national, regional, sub-regional and local levels. The formulation of policies and strategies at all levels needs to be aligned with this national policy framework.[51] Climate change is another sector where this type of policy integration tool is relevant. In countries like Japan, for example, a national action plan for a low-carbon society provides and mid and long-term strategic outline for the transformation of urban and regional structures.

Some governments opt for top-down approaches that direct subnational governments to adopt specific models of sustainable development plans and strategies. In Egypt, for example, the central government, through the General Organization of Physical Planning, draws up General Strategic Plans for governorates and cities to pilot SDG policies and initiatives.

National governments can promote vertical integration by assessing the alignment of subnational strategies, plans and policies with the SDGs. Colombia undertook an assessment of the extent to which local governments consider the SDGs and equivalent goals and targets in their development plans. The study found that all of the Territorial Development Plans (TDV)--including objectives, indicators, and investments--have incorporated the SDGs, though with varying degrees of comprehensiveness.[52]

Whether initiated by the national or local government, learning activities to jumpstart the implementation of the SDGs at the local level and to promote the exchange of inputs across levels of government can also contribute to vertical integration. In Japan, the Institute of Building Environment and Energy Conservation led discussions on ways to implement the SDGs in local communities. Afterwards, the discussion was released as *SDGs in our town. Guideline to introduce the SDGs*, which suggests ways to interpret each SDG in the local context.[53]

Alignment of subnational strategies and policies to the Sustainable Development Goals

Aligning local strategies, policies and plans with the SDGs can make an important contribution to strengthening vertical integration. A large number of local governments are aligning or have already aligned their strategies and plans, sometimes unilaterally and sometimes with the support of the national government. Some territorial jurisdictions opt to adopt new sustainability strategies, while others decide to adapt existing strategies to the Agenda or start through specific sectoral plans or local pilots. Frequently this alignment is a continuation of processes initiated under the MDGs or Agenda 21. National associations of municipalities and international networks of local governments are promoting and supporting alignment with the SDGs.[54] Examples include the Association of Flemish Cities and Municipalities (VVSG), the Mexican association of state governors, and the Brazilian National Confederation of Municipalities (CNM), among others. (See Box 3.3).

Although according to a United Cities and Local Governments (UCLG) 2017 review of the Voluntary National Reviews (VNRs), "the integration of the SDGs in plans and strategies of local and regional governments is, with only a few exceptions, still in a very preliminary phase,"[55] many incipient practices have been identified. A recent survey of 12 regional governments from countries which submitted VNRs to the 2017 HLPF found that 8 had SDG strategies in place.[56] For example, the Norwegian municipality of New Asker has adopted the SDGs as a framework for developing its municipal master plan and planning strategy. The municipality expects to fully localize the SDGs by 2020.[57] Several Indian states have initiated the process of aligning development plans to the SDGs and begun building roadmaps for implementation. For example, the state of Assam has developed a roadmap and initiated pilot projects in several villages.[58]

In countries that have been champions of the 2030 Agenda, like Colombia, the process of alignment is quite advanced. With support from the Colombian national government, 32 departments and 31 capital cities have adopted local development plans that include SDG localized targets.[59] Around a third from close to a hundred experiences identified researching this report involve SDG alignment at the subnational level. In some countries, the process of subnational alignment has been driven by the central government (e.g., Azerbaijan, Colombia, South Africa); in many instances it is regional, state and municipal governments that have led the process.

Box 3.3. Aligning local strategies and plans with the SDGs

According to the UNDG publication *Roadmap for Localizing the SDGs*, "local and regional plans should provide a comprehensive vision of the territory and define strategies based on an integrated and multi-dimensional approach to inclusive and sustainable development." These plans should include:

I. Baseline diagnosis of the socioeconomic and environmental context.
II. Local or regional priorities.
III. Shared and consistent targets across levels of government.
IV. Coherence with SDG-based national (and regional) plans.
V. Strategic projects.
VI. Budget and financial strategies.
VII. Implementation timeline.
VIII. Cooperative governance mechanisms.
IX. Monitoring and assessment tools, including a set of local and regional indicators aligned with the indicators established in the 2030 Agenda.

Source: Global Task-Force for Local and Regional Governments, UN-Habitat and UNDP 2016, *Roadmap for Localizing the SDGs: Implementation and Monitoring at Sub-national Level*, p. 28

Box 3.4. Mechanisms for multi-level collaboration and coordination in Germany

The German Council for Sustainable Development was established in 2001 and is an advisory body to the German Government. It organizes numerous campaigns to encourage dialogue within society on the principle of sustainability, and to put sustainability into practice. In 2010, the Council established a Sustainability Network of Lord Mayors, which was complemented with the establishment of Regionale Netzstellen Nachhaltigkeitsstrategien (regional hubs for sustainability strategies), designed to strengthen the nationwide networking of sustainability initiatives launched by federal, state and local governments.

The new National Sustainable Development Strategy was designed to align German sustainability policies with the SDGs. The states (Länder) participated in the development of the new strategy, with a contribution approved at the level of the states' prime ministers, in which they stress the need for cooperation between the federal, state and local governments. By February 2016, four public regional conferences had been held, attended by state-level ministers, state secretaries and other representatives of federal, state and local governments. Further, eleven Länder already have their own sustainability strategies or are currently working on adopting them

The State Secretaries' Committee for Sustainable Development steers implementation of the Sustainable Development Strategy and oversees the updating of its content. The committee invites external experts from the private sector, the scientific and research community, civil society, and from the federal states and local authorities to attend its meetings. Regular meetings of federal and state governments are held to enable participants to share their experience of sustainability activities.

Source: nd. "Sustainable City' Dialogue.' Mayors for Sustainable Development in Municipalities, German Council for Sustainable Development.

Multi-level mechanisms of coordination and collaboration

Some of the most ambitious and promising tools for vertical integration at the planning stage are multi-level mechanisms of coordination and collaboration. These can be as varied as the national institutional contexts in which they are adopted, and are typically implemented through top-down processes of integrating territorial governments into national structures. According to the UCLG study, from 63 countries that have reported to the HLPF in 2016-17, 27 include local governments in high-level decision making or coordinating mechanisms (see Box 3.4).[60]

Two relevant distinctions affect the potential impact of multi-level planning structures on vertical integration and localization. First, whether the structures themselves have decision-making powers or are merely advisory bodies; and second, whether local government participation is by invitation and for ad-hoc consultation, or involves actual membership in the coordination or collaboration structures.

One model is inviting or integrating representatives of local governments into national structures for coordination and policy formulation. Practices identified in Argentina, Azerbaijan, Belgium, Benin, Brazil, Czech Republic, Ethiopia Finland, Nigeria, Estonia, Jordan, Montenegro, and Togo fit this model. This model provides opportunities for exchange of information and for local governments to provide inputs into national SDG policies and strategies.

In contrast, other cases of multi-level level cooperation work from the bottom up, by including national institutions or agencies in subnational processes. For example, in Brazil, the State of Goias collaborated with the national government in a pilot to develop and support a plan for SDG implementation in the municipality of Alto Paraiso.

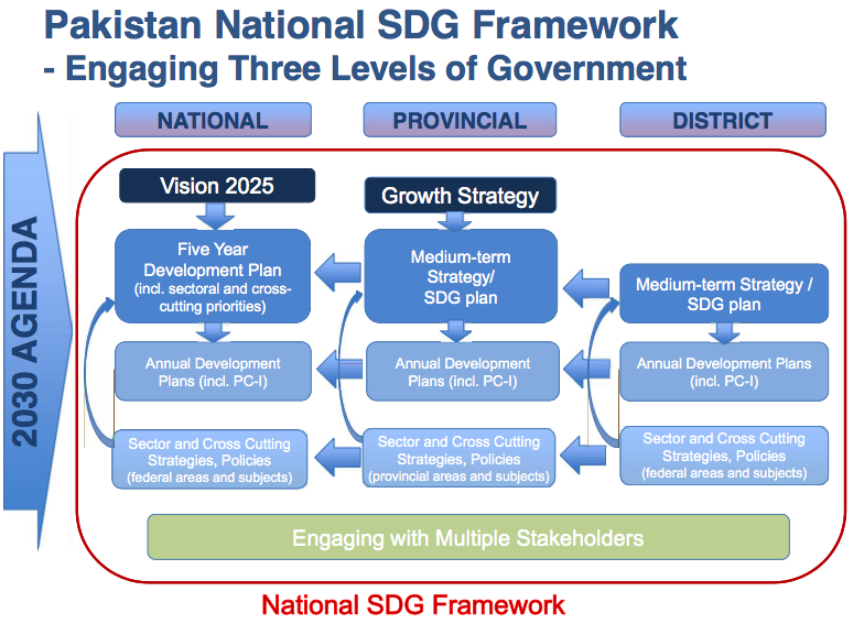
Multi-level mechanisms for communication and coordination in policy formulation are potentially the most effective to promote vertical integration, providing for both multi-level coordination and proper localization of SDG goals. There are several examples of mechanisms that incorporate multiple levels of government into sustainable development planning bodies, as well as mechanisms that reproduce national coordination and collaboration mechanisms at different levels of government. Both strategies can foster strong coherence and collaboration.

Countries that have established such tools include Brazil, Germany, Kenya, Malaysia, Mexico, and Switzerland. Building on institutions that preceded the 2030 Agenda, Germany (Box 3.9.) has developed a dense structure of coordination for the SDGs, which involves local governments at multiple points. Kenya and Mexico have recently established councils or conferences of state governors which are used as transmission chains between the national and local governments and provide a forum for the coordination of SDG policies across levels.

Even before the adoption of the 2030 Agenda, Pakistan's National Vision 2025 promoted vertical and horizontal policy coherence through partnerships and coordination by a National Planning Commission, supported by SDG units, and provincial and thematic SDG units and coordination

Figure 3.3.

Vision 2025. Multi-level planning for SDG implementation in Pakistan



Source: Prokop, M, nd, "Integrating the Agenda 2030 into Planning and Budgeting Processes. Overview of key steps." Presentation. Regional Knowledge Exchange, UNDP.

bodies, national and provincial cabinet committees, national and provincial assemblies and their committees, including a national parliamentary secretariat for SDGs.[61] (See Figure 3.3.)

Following a different strategy, Malaysia is replicating its national-level multi-stakeholder governance structure at state levels in order to enhance vertical and horizontal policy coherence and increase engagement with civil society, businesses and individuals around the SDGs. This would contribute to better adaptation of the SDG indicators, data collection, accountability, monitoring and evaluation, as well as to budget allocations and resource mobilization at sub-national levels. One of Malaysia's adopted national priorities is enhancing coordination between federal and state levels through a single platform.[62]

Even lacking fully institutionalized structures for collaboration, some governments have established *ad hoc* channels of communication and coordination to promote the alignment of subnational strategies and plans with the SDGs. Sierra Leone used the Ministry of Finance and Economic Development and the Ministry of Local Governments and Rural Development to engage the 19 local councils to integrate the SDGs into their district and municipal development plans.

Multi-level structures are frequent in sectors that require cooperative management due to the existence of multiple, overlapping jurisdictions, such as oceans and water resources. In Canada, since 1998, the Eastern Scotian Shelf Integrated Management Working Group (ESSIM Working Group) is tasked to integrate federal and provincial policy and coordinate regulation. Similarly, and preceding the SDG Agenda as well, the Australian integrated ocean management working group, formed by the federal government and the states, works to establish appropriate institutional arrangements to address ocean-related issues.[63]

3.3.4. Vertical integration in the implementation of the Sustainable Development Goals

Effective implementation of sustainable development strategies and policies has been a critical issue in international discussions.[64] A critical challenge in this regard is to establish clear and coordinated responsibilities. Some country experiences of vertical integration in SDG implementation are analysed below, with focus on budgeting and financing, capacity building and policy instruments or tools.

Approaches and tools to advance vertical integration in the implementation of the SDGs seem less frequent than at the planning stage. However, emerging practices show that countries that have strengthened the linkages across levels of government in the planning process are also advancing more integrated approaches to budget and financing for SDG implementation. Some local governments are advancing action plans and institutional mechanisms for localised SDG implementation. Multi-level structures for implementation, however, are not frequent yet.

As analysed in Chapter 2, countries are setting new institutional coordination frameworks for the implementation of the SDGs with the aim of enhancing an integrated approach to implementation. However, the focus seems to have been more on strengthening horizontal than vertical integration, and participation of local governments in these structures is yet limited (see section 3.2). Only in a few cases, key institutional SDG coordination actors or institutions are engaging institutions responsible for intergovernmental relations (if and when they exist). One of the few examples is Sierra Leone (collaboration between the Ministry of Finance and the Ministry of Decentralization). However, this collaboration is around specific approaches or tools that involve a territorial dimension, rather than more generally on overall implementation of the 2030 Agenda.

Financing and budgeting

Public finance reforms have emphasized that budgets should follow policy and plans.[65] Therefore, countries that have mainstreamed the SDGs (or previously the MDGs in the applicable contexts) should have a budget that prioritizes the SDGs and budget processes that are linked to the national policies to achieve them. However, the experience of the MDGs and of institutionalizing sustainable development strategies shows that linking sustainable development approaches and strategies to budget allocation processes is often challenging. This challenge is even stronger at the local level, given the complexity of fiscal decentralization processes. Decentralization complicates budget tracking as it increases the number of units with their own budgets and expenditures. Moreover, different levels of government may use different budget formats and classifications.[66]

Another challenge is mobilising financial resources for effective SDG implementation both at national and local levels. Ambitious development plans with too many priorities may exceed the available resources for its implementation and require budget prioritization. This is particularly relevant at the subnational level, since many local governments (particularly in developing countries) are heavily dependent on transfers from the central level and raise limited revenues through taxes, debt or other sources.[67] Given these limitations, local governments may consider different alternatives, including by engaging with the private sector, such as public-private partnerships (PPPs), equity finance, pooled investment agendas, municipal bonds, and other efforts including crowdsourcing and social impact bonds.[68] However, some of these alternatives, such as PPPs, may also involve specific challenges for vertical integration, as they may remain outside the regular channels of public monitoring and oversight (for example, external audits). Ensuring the transparency and accountability of these mechanisms is therefore important in order to enable further vertical integration and effective SDG implementation.

Despite these challenges, some countries have started the process of aligning sub-national and local financial plans and budgets to the SDGs. In some cases, the national government drives this alignment process, while in others it strictly happens at the subnational or local level. Overall, these cases correspond to either countries or local governments which have advanced in integrating the SDGs into their national or subnational strategies and plans.

Examples of government-driven alignment processes are Mexico, Uganda, Pakistan and Sierra Leone. In Mexico, the SDGs have been embedded in the budget process and the link between the SDGs and budgetary programs has been formally recognised in the Executive's Budget proposal for 2018.[69] Local governments have been engaged in the process to align sustainable development plans and budgets to the SDGs. In Uganda, with UN support, the government aligned sub-national development plans with the national plan and SDGs. These plans are already guiding the budgeting process at the sub-national level.[70] In Sierra Leone, the Ministry of Finance and Economic Development and the Ministry of Local Government and Rural Development engaged the 19 local councils to integrate the SDGs into their district and municipal development plans and ensure that future annual budget proposals of councils are aligned to the SDGs.[71] Other countries like Azerbaijan are also highlighting their commitment to integrate the SDGs into the regional and local plans and budget allocations.[72]

In Pakistan, national and sub-national financing frameworks are being aligned to the SDGs. New frameworks are being established to track related expenditures, while district-level frameworks are being piloted to highlight priorities, especially those related to health and education.[73] District budgets can be disaggregated by gender and poverty level.[74]

At the subnational level, some provinces, cities and municipalities are also seeking to align and integrate the SDGs into their financial plans and budgets. Examples include municipalities in Belgium, Brazil, the Netherlands, Sweden and South Africa, among others. In Benin, *départements* are revising their local plans in order to access national funding for municipal development from the Fonds d'Appui au Développement des Communes.[75]

In Belgium, the Flemish association of municipalities is supporting pilots for integrating the SDGs in the financial and strategic plans of 20 municipalities.[76] In Brazil, the municipality of Barcarena institutionalized the revision of its Master Plan for Urban Development based on the SDGs (through Municipal Complementary Law No. 49 and Decree No. 436) and developed a corresponding multi-annual investment plan to support its implementation.[77] In 2017, the Swedish city of Malmö, which had already aligned its local goals to the SDGs, introduced them into the budget. The city also integrated the SDGs in its international cooperation

Box 3.5. Aligning budgets to SDGs in Colombia

Colombia has a high level of functional and fiscal decentralization. Multilevel planning and budgeting processes allowed to establish common formats for reporting on the MDGs for different levels of government and across sectors. Strong multi-year plans and transparent and detailed budgeting formats facilitated tracking and accountability of MDG budgets. Building on these budgeting practices, the strong planning process and institutionalised coordination mechanisms established for SDG implementation, Colombia appears as one of the main innovators on SDG budgeting. The territorial development plans of the newly elected local representatives include budgetary and regulatory policy actions that are aligned to the SDGs. Moreover, multi-level planning and budgeting processes, including the General Participation System (*Sistema General de Participaciones*), redistribute national funds to social sectors across territories and establish common reporting formats.

Source: International Budget Partnership, 2017. "Tracking spending on the SDGs: What have we learned from the MDGs?" Budget brief. IBP. 2017. Input submitted to the WPSR.

frameworks, in special partnership with local governments in Africa and Asia.[78] In South Africa, the city of eThekwini-Durban has aligned its long-term strategy, its five-year Integrated Development Plan, and budgets to the SDGs.[79]

There are not many examples of countries where truly multi-level budgeting processes and structures to support SDG implementation are being set. Colombia is one of the innovators in this area as well as in the alignment of subnational budgets (see Box 3.5). Finally, in some countries, national governments are providing financing or budget support to local governments in order to support localised implementation of the SDGs. Examples include Nepal and Ghana.

At the local level, some municipalities are also mobilizing their own revenues and investments to support the implementation of policies in specific SDG nexuses or areas. For example, in the Netherlands, a joint investment agenda of the municipalities, provinces and water authorities has committed EUR 28 billion per year in investments to support adopting energy neutral, climate-proof and circular economy solutions, whenever possible.[80]

Capacity constraints are often identified as one of the main challenges for local governments. Initiatives aimed at developing or accessing skills and knowledge are particularly important to enable their effective engagement in SDG implementation. Capacity building of local government is a critical dimension of the enabling environment for SDG localization and thus, a precondition for strengthening vertical integration.[81]

Most of the ongoing capacity building efforts focus on strengthening local capacity to address long-term challenges related to SDG planning and implementation in general, rather than creating specific capacities for vertically integrated action. However, some initiatives that more explicitly support vertical integration are starting to emerge.

The role of national governments (e.g., developing training opportunities or facilities, subsidizing recruitment of specialised staff) may be critical to support capacity development. Tailored approaches should be developed by considering variations in capacity across subnational and local governments. For example, a vertically integrated climate change mitigation initiative in South Africa used a two-window approach involving intensive hand-holding for less experienced local governments and a package of financial incentives for the most capable.[82]

Building the capacity of local governments to promote sustainable development can involve broader reforms and support than strengthening intergovernmental systems and better governance. These measures can include enhancing local capacities for strategic development and implementation, through improved planning, budgeting and financial management systems. Some national governments have committed to enhancing the capacity of local governments for SDG localization and implementation. For example, the national governments in the Czech Republic, Italy, Philippines, and Uganda have committed to supporting the capacity of local governments to engage with other levels of government in the context of SDG implementation.[83] In the case of the Philippines, capacity building efforts to empower local governments to include SDGs in their local development plans take place through the National Economic and Development Authority (NEDA) and its regional offices. In Uganda, training of technical local government officials took place in the process of aligning national and sub national development plans and budgeting with the SDGs and ensuring multi-stakeholder participation.[84] In general, there is not much detail on the focus of these efforts and the capacity building modalities or tools used.

Local governments are investing in strengthening their capacity for SDG localisation, with strong support from local associations and networks. For example, in Costa Rica, the national association of local governments trains municipal planners in SDG implementation.[85] In Brazil, the National Confederation of Municipalities (CNM) with UNDP support has set the ART Initiative to support municipalities in localizing the SDGs. They have developed a guide for

helping municipalities integrate the SDGs into their local plans and build monitoring and accountability systems. Other activities include: identification of relevant indicators for municipalities; the elaboration of guidelines and publications on the role of local governments in the new development framework; and capacity building for newly elected mayors on implementation and monitoring of the SDGs.[86] The initiative takes a bottom-up approach to sustainable development which recognises the importance of integrated action across levels of government (see Box 3.6).[87]

Another interesting example is the *Global Goals Municipal Campaign* in the Netherlands (https://vng.nl/global-goals-gemeenten). The campaign, implemented by VNG International (the international cooperation agency of the Association of Netherlands Municipalities), will support municipalities to create an enabling and vibrant environment in which stakeholders can share ideas, innovate and start local partnerships for sustainable development and international cooperation.[88]

In Kenya, the national and subnational levels of government are joining efforts to improve their capacities to work together for SDG implementation. The national government engages the Council of Governors in training to build capacities and ensure mainstreaming of SDGs into the counties' own development plans. At the same time, the Council plans to strengthen local capacities to use national indicators and promote the collection of disaggregated data in counties.[89]

3.3.5. Vertical integration in monitoring, evaluation, follow-up and review

Monitoring and reporting on progress toward the SDGs, taking into account uncertainties and risks, and learning from this information to adapt existing strategies and programmes, are critical for the effective implementation of the 2030 Agenda.[91] The Agenda includes specific principles and provisions for follow-up and review to ensure that the data systems, capacities, methodologies and mechanisms are in place to track and report on progress in order to ensure accountability to citizens.[92] Moreover, as a complement to the global SDG indicator framework developed at the global level, it is expected that national and local indicators will be developed as well.[93]

The 2030 Agenda established that systematic, regular and inclusive reviews of progress will take place at sub-national, national, regional and global levels.[94] For example, local governments can play an important role to gather data to monitor progress in a spatially disaggregated way.

Monitoring, tracking and reporting on progress

Tracking, monitoring and reporting on progress towards the SDGs, and learning from the information gathered in monitoring processes and outcomes, is a fundamental part of managing the implementation of the 2030 Agenda. Monitoring and reporting on progress should be based

Box 3.6. The role of local government networks and associations in advancing vertical integration

Local governments often network or associate with other local governments for efficient and effective delivery of local services. Local government networks can be defined as structures of interdependent relationships among local governments or between them and other actors that help fulfill their functions. They are often sponsored through partnerships between different stakeholders and can exist at different levels: global, regional, national and subnational/local. They have been critical to advance the role of local governments in sustainable development and SDG implementation, and to enhance local capacity and the availability of information needed for SDG implementation. By strengthening local governments and supporting SDG action at the sub-national and local levels, local networks and associations can create opportunities for more effective vertical integration.

Networks and associations have been important actors in promoting alignment of subnational and local strategies, plans and policies with the SDGs. Associations of departments and municipalities can play a multiplier role. Examples include the Flemish and Swedish associations of municipalities, the Mexican association of state governors, and the Brazilian National Confederation of Municipalities (CNM). For example, the Norwegian municipality of New Asker is partnering with the Norwegian Association of Local and Regional Authorities to develop national performance indicators for other municipalities to adopt and localize the SDGs.

Local associations and networks are also leading efforts to strengthen local capacity for SDG implementation. National networks and associations are supporting their members through different initiatives, including online portals, knowledge-sharing resources and the development of solutions to address implementation challenges. Examples include the open online toolbox Localizing the SDGs (http://www.localizingthesdgs.org/), and United Cities and Local Governments' (UCLG) Local4Action Hub (https://www.learning.uclg.org). In some cases, knowledge-sharing and capacity building efforts have a cross-regional dimension. For example, a learning dialogue on localizing the SDGs was organised between Latin America and African local government networks in Cabo Verde in October 2017.

Source: see footnote.[90]

on integrated mechanisms for assessment and follow-up, and consider not only the development of sound indicators but also setting structures and strategic processes to track progress and capture lessons learned.[95] In addition, SDG monitoring requires setting monitoring structures that involve and engage multiple levels of government, from the global to the national and the subnational and local levels.

The development of indicators to track progress towards the SDGs on the ground is a complex process. Local governments face specific challenges such as variation in data availability across regions and municipalities, or the prevalence of local monitoring systems that assess performance within sectoral divisions.[96] Moreover, vertical integration of SDG data from the local to the national and the global levels requires protocols, guidance and reporting mechanisms that ensure harmonization and prevent double-counting.[97]

At the national level, based on data from the voluntary national reviews held at the UN high-level political forum on sustainable development in 2016 and 2017, a few countries have highlighted the importance of territorial disaggregation of data across levels of government. Countries like Finland, Mexico and Peru emphasize the need of having localised indicators and the importance of engaging sub-national tiers of governance in monitoring to improve availability of disaggregated data.[98]

Consistently, one trend observed is the localization of SDG indicators, i.e. efforts by local governments to integrate or align SDG indicators at the regional and local level and to develop mechanisms to ensure sub-national monitoring and follow-up of sustainable development action. Examples include local governments' efforts in Brazil, Ecuador, Germany, the Netherlands, Sweden, some counties in Kenya, some states in Belgium and some regions in Spain. In Brazil, the Brazilian Confederation of Municipalities (CNM) has developed a performance measurement tool to support municipalities in monitoring their results in implementing the SDGs.[99] At the subnational level, building on its previous experience in developing annual monitoring reports of the MDGs, Sao Paulo's statistical office (SEADE) is active in SDG monitoring.[100] In Spain, the statistical office of the government of Catalonia (IDESCAT) provides a comprehensive set of data on many topics and areas relevant for the SDGs, and has an online portal to access data by sector, and also by the municipalities of the Catalan territory.[101] In Belgium, the Flemish Strategy includes indicators for monitoring SDG progress.[102] Subnational governments with monitoring structures are generally building on pre-existing mechanisms, efforts and institutional structures for sustainability (e.g., Argentina).

As in other areas, cities are taking the lead and innovating in the localization of SDG indicators. Some cities are establishing partnerships with universities (e.g., San Jose and New York in the USA) to develop comprehensive monitoring systems of their sustainable development plans aligned with the SDGs.[103] Also, cities are innovating in the use of technology and data-based tools for monitoring SDG progress at the local level. In San Jose, an SDG Data Dashboard allows assessing the alignment of the city's strategies with the SDGs with a focus on SDG 13. The tool generates individualised and incentive-based improvement plans and links to municipal resources.[104]

Colombia, Kenya, Nigeria and Zimbabwe are innovating by setting mechanisms that may be conducive to effective vertical integration of SDG indicators and data collection, as they involve coordinated actions by different levels of government or multi-level structures. The analysis shows that countries are not following a single model.[105] In Nigeria, for example, the national government and regions share the responsibility for gathering SDG data. Zimbabwe has appointed focal points in local governments to support the national statistic committee in gathering SDG data. Kenya is developing an integrated monitoring and evaluation system to track indicators at the county level (CIMES). Indonesia is a particular case due to the use of a regulatory instrument at the highest level of government. A Presidential Regulation, which establishes governance mechanisms for the SDGs, also provides for regular monitoring and evaluation reporting from ministries and the sub-national level.[106]

Some initiatives show advances in local SDG reporting. Some sub-national governments are developing their own reports to assess and monitor SDG implementation at the subnational level. However, with some notable exceptions such as Flanders, Belgium, in many cases there are no mechanisms yet in place to ensure that these reports systematically inform national monitoring processes. For example, according to a review conducted by UCLG in cooperation with the Global Taskforce of Local Governments (GTLG), local governments were involved in the reporting process and preparation of the VNRs in 2016 and 2017 in 37 out of 63 countries, most of which are in Europe and Latin America.[107]

Colombia again seems to be unique in terms of engaging subnational governments in monitoring efforts. The assessment of the alignment of local and subnational plans to the SDGs included goals, targets and indicators, also considering the availability of data to measure the indicators at the subnational and local levels. All the Territorial Development Plans have incorporated SDG-related indicators to different extent. The National Planning Department plans to follow-up on SDG indicators at the local level.[108]

In Colombia and the Philippines, national governments have also committed to support the strengthening of the capacity of sub-national levels to generate and collect data and use it for policy-making related to the SDGs.[109] Subnational actors are also mobilizing support to strengthen capacities for developing and using SDG indicators. In Kenya, for instance, the Council of Governors plans to build capacities to use national indicators and promote the collection of disaggregated data in counties.[110]

In other cases, the SDG high-level decision-making or coordinating body will play a role in monitoring the performance of sub-national governments. For example, in the Czech Republic, the Government Council on Sustainable Development, chaired by the Prime Minister, will prepare a bi-annual report on quality of life and sustainability in order to monitor the compliance of sub-national strategic documents, programs and measures of progress with national goals.[111]

Some federal countries are setting up structures for multi-level coordination and collaboration across levels of government for monitoring and oversight purposes. In Brazil, the National Commission for the SDGs, which includes representatives from federal, state, district, municipal governments and civil society, is also tasked with monitoring initiatives for SDG implementation at the state, district and municipal levels.[112] In Belgium, a political steering committee helps facilitate the interaction between the federal government and the federated entities for monitoring purposes. The federal government has fully recognized the need to receive the contribution of regional governments in order to get a more comprehensive picture of SDG implementation in the country. The federal and the regional governments jointly decide on the information to be included in the national SDG review.[113]

Knowledge sharing and learning

Sharing information and knowledge on SDG implementation at all levels of government and learning from the information gathered through monitoring efforts is important to adapt SDG implementation. Knowledge sharing and learning may help strengthen vertical integration mechanisms, enhance capacities to support vertical integration efforts, and help disseminate and scale up local SDG action. Learning and information sharing can occur through a combination of different tools and approaches.

There is not much information yet on how governments may be using evaluations and progress reports to learn from the SDG implementation process and enhance vertical integration. In Italy, the national association of municipalities (ANCI) has supported and participated in a bottom-up process of SDG monitoring and evaluation, led by the Italian Alliance for Sustainable Development (ASviS).[114] Colombia's Department of Planning has conducted an assessment of the integration of the SDGs at the sub-national level and identified lessons learned and challenges of this process.

National governments can play an important role in facilitating information sharing on local SDG action and implementation practices. This role of the national government has helped support vertical integration in specific sectors such as climate change. For example, as part of Japan's efforts to improve integration of climate change mitigation across levels of government, the national government set a venue for showcasing and nationally promoting city initiatives in order to facilitate their replication across the country and promote the creation of implementation partnerships.[115] In the context of SDG implementation, some national governments have committed to support local governments through knowledge sharing. For example, in the Czech Republic, the national government will provide methodological and coordination support to local governments to set minimum standards of services and to ensure exchange of information and good practices.[116]

In other cases, local knowledge-sharing initiatives seek to involve actors at different levels of government, thus enhancing vertically integrated approaches. For example, in Japan, the City of Kita-Kyushu convened a symposium, co-organized with the Ministry of Foreign Affairs and the Ministry of the Environment, on "Local efforts to achieve the SDGs in Japan" in 2017.[117] These initiatives may be particularly valuable in specific SDG sectors.

Networks can also be a powerful tool for learning and adaptation on vertical integration for SDG implementation. Generally, national governments are not setting and/or supporting these networks, but these are mostly driven by local governments and their associations (see Box 3.6).

3.3.6. Vertical integration through oversight and audit

Monitoring SDG implementation and learning from the implementation process can occur through a combination of both formal and informal tools and approaches. Formally, it can be institutionalised through oversight mechanisms and external audit institutions.

Integrated oversight

There are not many examples of countries setting coordinated or integrated structures for oversight and accountability of SDG implementation. Two factors may explain this gap. On the one hand, the independent mandate of external oversight and accountability mechanisms (e.g., Parliament) may create barriers to coordinate their action across levels of government. On the other hand, external oversight mechanisms at sub-national and local levels of government usually only exist in countries with federal systems or with high levels of decentralization. One interesting example is

Pakistan, where the National Assembly has created a special Parliamentary Secretariat for the SDGs which coordinates with the Provincial Assemblies and their committees at the sub-national level.[118]

External auditing

In many countries, Supreme Audit Institutions (SAIs) are committed to playing a significant role in supporting the 2030 Agenda and SDGs, building on their experience in auditing government performance.[119] According to the 2017 IDI Global Survey, 56% of SAIs intend to include themes on preparedness for or implementation of the SDGs in their next audit program.[120] By auditing and reporting on the performance of national and sectoral sustainable development strategies, programmes and actions with a focus on horizontal integration (see Chapter 2), vertical integration as well as stakeholder engagement (see Chapter 4), SAIs can make important contributions to sustainable development.

Independent auditing also provides a learning tool, as the auditing process looks for weaknesses and suggests remedial measures to address them.[121] Through their audits, SAIs may produce relevant information on the obstacles and challenges for vertical integration, how well governments perform on this dimension, and make recommendations for enhancing vertical integration in specific contexts, taking into account the institutional capacity to adjust to findings from the audits. Moreover, by using standardised oversight tools and methodologies and consolidating the emerging audit findings, SAIs can help identify similar problems that undermine vertical integration and government performance across countries and often have common causes and consequences.[122]

Many SAIs have accumulated experience in conducting audits that consider issues of vertical integration in the implementation of government policies and programmes. According to a recent OECD review,[123] 8 of 10 SAIs surveyed assessed mechanisms for effective information sharing and coordination for implementation between levels of government (in addition to within entities and across entities). These audits provide information on relevant aspects such as the coordination of public agencies across levels of governance, the existence of fragmentation, overlaps, duplications and omissions in competencies, processes and management of public policies across levels of government, and the limits of monitoring and evaluation efforts across different levels, among others (see Box 3.7).

In the SDG context, SAIs are conducting audits of the preparedness of governments for implementing the SDGs. These audits include relevant questions to understand the extent and forms of vertical integration, as well as the main constraints to a vertically integrated implementation of the SDGs. An innovative example is the coordinated audit on government preparedness and Target 2.4 (food security) that is being conducted in 11 Latin American countries and coordinated by SAI Brazil. This audit inquires into the preparation of the Center of Government to articulate the implementation of the SDGs across levels of government, considering the definition of competencies and powers to exercise vertical coordination as well as the definition of institutional structures and mechanisms to ensure effective vertical integration in practice.[124] Another innovative example has taken place in Guatemala, where the SAI not only plans to audit SDG implementation at the local level, but is supporting the government in raising the municipalities' awareness about the 2030 Agenda and SDGs.[125]

In many countries, audit institutions also exist and operate at the sub-national level. A relevant question for further consideration is the integration and articulation of external auditing across levels of government when there are several audit institutions operating in the same country. The vertical integration and coordination of external auditing could help provide a more complete picture of the strengths and weaknesses of the SDG implementation process across the territory, contributing to identify territorial imbalances and challenges for managing sustainable development. A good practice is illustrated by the audit conducted by the Brazilian SAI on the management of protected areas in the Amazon and then as a coordinated audit in Latin America.

While no specific examples of this kind of articulation have been found for SDG related-audits, some innovative experiences can be mentioned here. In Colombia, both the Comptroller Office of the City of Bogota and the General Comptroller Office are participating in the coordinated audit of preparedness for the implementation of the SDGs in Latin America.[126] In July 2016, the Brazilian SAI organised a multi-stakeholder dialogue for sustainable development in the Northeast region. The initiative engaged the institutional network of sub-national audit institutions as well as other state and non-state actors from nine Northeastern states in a technical dialogue about regional sustainable development challenges and potential solutions. The dialogue also contributed to align the audit approaches and improve coordination between the federal audit institution and its state counterparts.[127]

Box 3.7. Auditing vertical integration in Latin America

Selected examples from Latin America illustrate the information on vertical integration that external audits may produce.

Costa Rica

The General Comptroller (*Contraloria General de la Republica de Costa Rica*) has conducted several audits of social programmes that analyse vertical integration and coordination. The SAI has also assessed the effectiveness of social programmes based on the extent to which they address territorial imbalances (e.g., distribution of the target population, demand for social programmes). For example, an audit on public policies and programmes targeting young people who are both unemployed and not in school concluded that the programmes were ineffective because, not considering the existing territorial imbalances, they did not reach their target population and failed to produce the expected outcomes.

In 2016, the SAI conducted a special audit on the interrelations between transfer programmes for the elderly. The audit identified instances of overlap, fragmentation, duplication, complementarity and gaps between public agencies, including municipalities and regional entities, in the implementation of several transfer programmes. Regarding vertical integration, for instance, the audit found fragmentation in public financing across nine institutions, including municipalities and one regional development agency. Moreover, the national coordinating entity did not include representation of the territorial level (municipalities and the regional development agency) and therefore, failed to coordinate and articulate financing, oversight and accountability across levels of government. The entity did not systematically collect and analyse information regarding the territorial distribution of demands and necessities of the target population.

Colombia

In 2015, the General Comptroller (*Contraloria General de la Republica de Colombia*) conducted an audit of the Peasant Farmer Reserve Area (Zona de Reserva Campesina, or ZRC for its Spanish name), a policy instrument created by Law 160 in 1994 to provide productive alternatives to rural populations for reducing illicit crops and as a tool for land use planning.

The SAI mapped all actors involved in the policy at the national (e.g., Ministries), regional (Regional Autonomous Corporations), departmental, local and even community levels. The audit found insufficient vertical integration (according to the constitutional principles of coordination, concurrency and subsidiarity) of the different actors involved in the formulation, implementation and monitoring and evaluation of the policy across different levels of government, which ultimately prevented the achievement of the policy's objectives. While the policy instrument had been incorporated in the National Development Plans between 1994 and 2014, the government had failed to identify specific targets to assess progress. Moreover, the ZRC had not been integrated in practice into Municipal and Departmental Development Plans. Another relevant finding was that limited vertical integration undermined monitoring. The Minister of Agriculture did not coordinate with other national and territorial entities to obtain relevant information for monitoring progress. The audit also looked into imbalances, tensions and trade-offs between the economic (mining and oil extraction), environmental (ZRC are created in strategic ecosystem areas) and social dimensions (health, education) of the ZRC policy.

Sources: see footnote.[128]

3.4. Conclusion

The 2030 Agenda emphasizes the need to embed the SDGs at multiple levels of government to facilitate localised and tailored implementation processes that respond to people's needs. Vertical integration efforts aim to create synergies and enhanced consistency across levels of government through mutually reinforcing and supportive actions, with the ultimate goal of improving the quality and effectiveness of SDG implementation and the outcomes of the implementation process.

Vertical integration can contribute to sustainable development by promoting a shared vision and commitment among different levels of governments, increasing the effectiveness and impact of policy actions, making resource allocation more efficient, reducing implementation costs and risks (e.g., related to overlap or duplication of functions across levels), and strengthening lines of responsibility and accountability to the public, among other potential benefits. Yet, vertical integration also bears costs and presents challenges. The performance and effectiveness of vertical integration initiatives requires that sufficient resources (financial, staff, resources, etc.) be assigned to support them.

The review of the literature conducted for this chapter shows that the appropriate level of vertical integration and the role played by local governments in promoting sustainable development have to be contextually determined in accordance to the nature of each government system and the extent to which specific functions are local responsibilities, among other factors. In practice, how far vertical integration

should be pursued depends on a country's and a policy area's specific context and circumstances. In practice, there are few examples of full vertical integration across national and local levels for SDG implementation.

The chapter maps different tools and approaches to advance vertical integration for SDG implementation, and identifies relevant examples of how countries are using these tools in practice. The analysis shows that while national governments are recognizing the role of local governments for SDG implementation, this does not necessarily lead to the creation of multi-level spaces for dialogue and joint action. There are many and increasing SDG localization initiatives, and local governments are leading SDG innovation in many countries. Networks and associations of local governments are playing an important role in driving these efforts. However, these initiatives face the challenge of going beyond the local level and effectively connecting SDG action across levels of government. Enhanced collaboration with other stakeholders could help establish and sustain these linkages.

Many examples identified in the report are at the leadership and planning stages of policy-making, including multiple awareness raising efforts. In some cases, national coordination mechanisms for SDGs have engaged local governments, but no general pattern has yet emerged regarding the nature of this engagement and its impact on SDG implementation. This will require further analysis, as institutional mechanisms continue to develop and operate over time.

Some countries are relying on legal and regulatory instruments, establishing structures for coordination across levels of government, ensuring consistency of strategies and plans across levels of government, and finding ways for different levels of government to work together in addressing commonly identified SDG implementation challenges. It remains to be seen, however, how these structures work and whether they are sustained with appropriate resources, capacities and mandates. The report illustrates some of the challenges to effective vertical integration, particularly in terms of local capacities, and ongoing efforts to address those barriers. The chapter also illustrates the potential of external audits to enhance vertical integration.

Further analyzing vertical integration and its effectiveness for advancing SDG action would involve assessing the outcomes of governments' efforts and activities to enhance vertical integration. Some of the relevant dimensions to consider would include: analyzing the extent to which the interests of all levels of government are balanced and represented; and whether there are clear mandates, roles and responsibilities for different jurisdictions, as well as simple and consistent administrative processes in place to support and facilitate collaboration. In terms of planning, it would be important to consider if there are joint or consistent planning processes across levels of government. Further, more research is needed to identify the appropriate degree of vertical integration in specific contexts, as well as the contextual conditions that foster the effectiveness of vertical integration mechanisms and the measures and reforms that can be adopted to maximize their likelihood of success. Regarding financing, it would be important to assess whether there are joint or consistent budgeting processes across levels of government and if adequate resources and necessary capacity are available for all levels of government to act. Finally, attention should also be paid to the existence of clear lines of reporting, oversight and accountability across levels of government.

Going forward, some experts think that there is considerable potential to link the pursuit of the SDGs to the process of development of intergovernmental systems. Local governments' playing their role in SDG implementation may require changes to the overarching system, not just SDG specific mechanisms. In fact, the 2030 Agenda can be an opportunity to help strengthen the intergovernmental system (including planning, budgeting, and financial management) to support sustainable development and improved governance.

Endnotes

1 The term "local governments" is used as a shorthand for all sub-national levels of government. This is done with the understanding that the number of government levels--as well as the arrangements that govern the relationships among them --vary according to each country's context.

2 United Cities and Local Governments 2017, *National and subnational governments on the way towards the localization of the SDGs*, Local and Regional Governments' Report to the 2017 HLPF, UCLG, Barcelona. Available from: http://www.uclg-decentralisation.org/es/node/1390; Lucci, P, Khan, A, Hoy, C & Bhatkal, T 2016, *Projecting progress: Are cities on track to achieve the SDGs by 2030?*, Overseas Development Institute, London. Available from: https://www.odi.org/sites/odi.org.uk/files/resource-documents/11001.pdf; Peters, G & Pierre, J 2001, 'Developments in intergovernmental relations: towards multi-level governance', *Policy & Politics*, vol. 29, no. 2, pp. 131-135. Available from: http://dx.doi.org/10.1332/0305573012501251

3 Freyling, V, 2015, 'Introducing a new global goal for cities and human settlements'. *ICLEI-Local Governments for Sustainability, Briefing Sheet-Urban Issues*, no. 3, 1-4. Available from: http://localizingthesdgs.org/library/233/ICLEI-SDGs-Briefing-Sheets-03-Introducing-a-new-Global-Goal-for-Cities-and-Human-Settlements.pdf

4 Local authorities' initiatives are addressed in chapter 28, which states that: "Because so many of the problems and solutions being addressed by Agenda 21 have their roots in local activities, the participation and cooperation of local authorities will be a determining factor in fulfilling its objectives. Local authorities construct, operate and maintain economic, social and environmental infrastructure, oversee planning processes, establish local environmental policies and regulations, and assist in implementing national and subnational environmental policies. As the level of governance closest to the people, they play a vital role in educating, mobilizing and responding to the public to promote sustainable development.". See United Nations Conference on Environment and Development 1993, *Agenda 21: Programme of action for sustainable development, Rio Declaration on Environment and Development, Statement of Forest Principles: The final text of agreements negotiated by governments at the United Nations Conference on Environment and Development (UNCED)*, 3-14 June 1992, Rio de Janeiro, Brazil. United Nations Department of Public Information, New York.

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7 Freyling, V, 2015, "Introducing a new global goal for cities and human settlements." *ICLEI-Local Governments for Sustainability, Briefing Sheet-Urban Issues*, no. 3, p. 1. Available from: http://localizingthesdgs.org/library/233/ICLEI-SDGs-Briefing-Sheets-03-Introducing-a-new-Global-Goal-for-Cities-and-Human-Settlements.pdf

8 See, e.g., Freyling, V, 2015, "The importance of all sustainable development goals (SDGs) for cities and communities." *ICLEI-Local Governments for Sustainability, Briefing Sheet-Urban Issues*, no. 4, pp. 1-24. Available from: http://www.iclei.org/fileadmin/PUBLICATIONS/Briefing_Sheets/SDGs/04_-_ICLEI-Bonn_Briefing_Sheet_-_Cities_in_each_SDG_2015_web.pdf

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39 This is the case because many examples are based on what countries choose to report. Similarly, many cases found in the peer-reviewed literature were not developed with the typology developed here in mind.

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CHAPTER

4

STAKEHOLDER ENGAGEMENT AND POLICY INTEGRATION IN THE CONTEXT OF THE SUSTAINABLE DEVELOPMENT GOALS

4.1. Introduction

The importance of participation and engagement of non-State actors for the realisation of sustainable development has been recognised since the concept of sustainable development was coined. In 1992, Agenda 21, the outcome of the World Conference on Environment and Development (Earth Summit), which introduced the term in the United Nations setting, devoted one out of its three sections to the engagement of different stakeholder groups, stating that "one of the fundamental prerequisites for the achievement of sustainable development is broad public participation in decision-making".[1] In years since, it has increasingly become clear that inclusive engagement is necessary to effect the type of structural change needed to achieve sustainable development. For example, to achieve sustainable patterns of consumption and production, engaging consumers who embrace sustainability values can help create demand for sustainable services and products and for the innovative business models that can deliver them.[2] The recognition of indispensable components of sustainable societies such as participation, access to information and justice is one of the strongest legacies of the Earth Summit.[3]

Mechanisms that support participatory, multi-sectoral and multi-level problem solving are needed for achieving long-term integrated approaches. Those need to involve a wide range of stakeholders, in addition to various levels of government. Also, adhering to the principle of "leaving no one behind" enshrined in the 2030 Agenda requires engagement with the full diversity of stakeholders, with a particular focus on marginalized groups and individuals.

Box 4.1. Definition of stakeholder

The notion of stakeholder has its origins in the business management literature, which defines it as any group or individual who can affect or is affected by the achievement of the organization's objectives. While the term has often been narrowly understood, Agenda 21 adopted a broad definition, systematically referring to individuals, groups and organizations. This is the definition used in this report. Specifically, for the purposes of this report, stakeholder will be used to designate an individual or a representative of a formally constituted group or organization that has or is thought to have a collective interest and can affect (e.g., informing decisions, voicing views and interests) or is affected by a policy process or action taken by herself or others that impact the policy.

Source: see footnote.[5]

This chapter explores how the adoption of mechanisms for stakeholder engagement, both at the systemic and sector levels, can affect outcomes in terms of integration. A wealth of experience has been accumulated regarding processes and mechanisms for engagement in different sectors, at different levels of decision-making, and with different constituencies. Drawing on previous experience, countries have recognized the importance of stakeholder engagement in order to enhance ownership of the SDGs and ensure effective implementation and monitoring at all levels.[4] This chapter presents a preliminary review of these experiences, focusing on how they can inform choices that countries will have to make in designing engagement mechanisms that enhance policy integration.

4.2. Engaging stakeholders for policy integration

4.2.1. Engagement and participation in Agenda 2030

Agenda 2030 highlights the importance of national participatory processes to ensure meaningful and active participation of stakeholders at all stages, from the development of national strategies to implementation to national monitoring and review. Specific SDG targets refer to participation. At a systemic level, target 16.7 calls for ensuring "responsive, inclusive, participatory and representative decision-making at all levels". At the level of specific SDGs, target 6.b ("Support and strengthen the participation of local communities in improving water and sanitation management"), target 10.2 ("empower and promote the social, economic and political inclusion of all") and target 11.3 ("enhance inclusive and sustainable urbanization and capacity for participatory, integrated and sustainable human settlement planning and management") refer to engagement and inclusiveness in governance processes. The Agenda states that "people who are vulnerable must be empowered" and "indigenous peoples, children and youth, especially those in vulnerable situations, should have access to lifelong learning opportunities that help them to acquire the knowledge and skills needed to exploit opportunities and to participate fully in society."[6] The Agenda also mentions that follow-up and review processes must be "open, inclusive, participatory and transparent for all people" (paragraph 74d), and reviews should have a "particular focus on the poorest, most vulnerable and those furthest behind" (paragraph 74e).

SDG 17 calls for revitalizing the global partnership for sustainable development and includes the establishment of multi-stakeholder partnerships to promote and implement policies for poverty eradication and sustainable development,

which involves: (i) Enhancing the global partnership for sustainable development, complemented by multi-stakeholder partnerships that mobilize and share knowledge, expertise, technology and financial resources, to support the achievement of the sustainable development goals in all countries, in particular developing countries (Target 17.16), and (ii) Encouraging and promoting effective public, public-private and civil society partnerships, building on the experience and resourcing strategies of partnerships (Target 17.17).

4.2.2. Why is engagement important for integration?

The comprehensive scope of the 2030 Agenda requires coordinated action between all levels and sectors of government and all stakeholders. At the most basic level, awareness needs to be raised and ownership of the SDGs needs to be increased in the whole population if the Agenda is to succeed. Beyond this, the realisation of the Agenda requires structural transformation, which in turn requires change in behaviours at the individual, organizational and societal levels. Engagement is necessary to achieve those. Non-governmental actors are themselves key drivers of change, and can help keeping the pressure on governments to act to deliver on the SDGs. At the broadest level, engagement is key to building integrated visions and strategies for the future, shared by all components of society, as a support to long-term transformation.

Solving sustainable development problems requires working across the internal and external boundaries of public organizations. As they are socially complex, solutions to sustainable development problems require coordinated action by a range of stakeholders, including state organizations (government agencies at different levels of government), but also non-profit organizations, private businesses, academia, organised civil society and individuals.

Integration requires the balancing of perspectives from different actors operating in different sectors, and by definition, this can only be done through engagement. Engagement is also critical to achieve a shared understanding of complex problems and devise integrated solutions that benefit from large societal consensus, which in turn is crucial for ensuring ownership and commitment to the possible solutions.

Lastly, engagement with vulnerable and marginalised segments of the population is necessary to deliver on another key dimension of the agenda, leaving no one behind. Therefore, government agencies can benefit from investing resources in engaging stakeholders, rather than merely concentrating and investing in traditional policy tools.[7]

4.2.3. Benefits and costs of engagement for integration

Potential benefits

Potential benefits of engagement for integration are numerous. As highlighted above, engaging stakeholders can improve policy performance by helping frame problems in more accurate ways, providing information relevant for identifying policy solutions and evaluating the implementation process.[8] Opening policy-making to the interaction with non-state actors helps governments better understand people's needs and demands and correct inequalities in terms of access to policy processes and public services. Moreover, non-state actors can be directly engaged in solving policy problems and contribute additional resources through co-production of knowledge, policy and technology.[9]

Stakeholders as beneficiaries and monitoring agents in SDG implementation can contribute direct knowledge of how services and programs work for them in practice. In some contexts, an additional benefit of involving non-state actors, particularly actors with strong community links (e.g., NGOs involved in service delivery), is that they can assist to identify and implement policy solutions that are better tailored to particular contexts and reflect the specific characteristics of communities. This can enhance policy ownership, which in turn may lead to better compliance.[10]

As mentioned above, one of the potential benefits of stakeholder engagement is its contribution to policy integration. From a procedural perspective, advancing policy integration requires changing procedures for policy-making or adding specific procedures that can sustain policy integration.[11] These changed procedures include increased interaction with non-state actors - either through formal mechanisms or informal contacts and relations. Interacting more with non-state actors would bring two main benefits in terms of policy integration.[12] On the one hand, it would make the process of achieving policy integration more democratic, as it enhances transparency, accountability, participation and helps build civic capacity. On the other hand, it would make policy integration more efficient by providing more knowledge and information and increasing the chances that policy outputs will be more broadly accepted and seen as legitimate.

While the causal mechanisms that link stakeholder engagement with policy integration have rarely been explored, some linkages can be extracted from the literature. On the one hand, stakeholder engagement in horizontal or vertical coordination mechanisms can provide information and increased awareness of integration failures at any

stage of the policy-making cycle. In such cases, inputs from engagement can contribute to coordination and integration. On the other hand, stakeholder mobilization across levels of government can improve policy integration by promoting coordinated action in pursuit of specific development goals,[13] while lobbying or grassroot mobilization can promote awareness among policy makers and implementers about issues and challenges that demand coordinated action at multiple levels.

Potential costs

Engaging multiple stakeholders for advancing integrated policy also involves costs. These must be compared to the potential benefits to be obtained in order to assess whether and how to engage stakeholders in particular contexts. The administrative costs of setting up and administering participatory processes, both in financial and human resource terms, can potentially be significant. Wide stakeholder engagement takes time and can militate against the quick policy responses that some sustainable development challenges may demand.[14] As shown by chapter 7 in this report, these two dimensions often become critical in post-conflict situations, where governments have to arbitrate between quick gains in economic and social terms, on the one hand, and restoring trust in public institutions, on the other hand, for which the creation of participatory processes and engagement with different groups of the population can be a critical means.

While bringing the perspectives of multiple stakeholders helps gain a more comprehensive and legitimate understanding of complex policy problems, engagement can make it more difficult to reconcile divergent views into commonly agreed policy solutions. Also, different stakeholders may bring siloed perspectives that represent narrow interests and thus promote policy solutions that increase fragmentation, overlaps and duplication rather than advancing integrated approaches.

Finally, managing stakeholder engagement and the expectations that engagement creates requires public administration and civil servants to build specific skills and capacities and to mobilize the necessary resources to effectively implement participatory approaches. The challenges observed in various sectors in relation to engagement and integration are discussed in more detailed in section 4.5.

4.2.4. The dimensions of engagement

There is a wide and increasing variety of engagement tools and mechanisms. The literature has adopted multiple classifications to analyze them, none of which seems to be universally preferred to the others. Broadly speaking, all these classifications consider some or all of five broad dimensions: (i) level of engagement, from provision of information to full collaboration and empowerment. This includes the decision-making power of the mechanism, as well as its formal or informal nature; (ii) who the participants are and how they are selected; (iii) level in the decision-making structure (e.g., working level versus high-level); (iv) stages of policy-making or strategic management covered by the mechanism; and (v) internal methods of work and rules of procedure of the mechanism, including methods of communication.[15]

As an example of the first dimension, the International Association for Public Participation (IAP2) classifies the types of engagement mechanisms by the level of interaction and expected public impact (Figure 4.1).[16] The literature suggests that one-way engagement mechanisms that remain at the level of disseminating information are less effective in advancing policy integration than two-way mechanisms that involve more structured exchanges. It has been argued that achieving a shared understanding and changing behaviors for solving complex sustainable development problems requires the highest levels of stakeholder engagement.[17]

Presumably, the more one progresses from one-way forms of engagement towards collaboration and empowerment, the more formalised the mechanisms must be. However, the relation between formalisation and impact is not always straightforward. The experience of Bolivia with participatory approaches in the formulation of the Poverty Reduction Strategy Paper (PRSP) process and the National Development Plan (NDP) in the early 2000s shows that top-down, formal participatory approaches without a truly participatory environment (as was done for the PRSP) are difficult to implement and may fail to produce the expected results. In contrast, non-formalised participatory processes ("participation without rules") for the NDP were more effective in producing results closer to the real demands of the population.[18]

4.2.5. Evidence of impact of stakeholder engagement

Hard empirical evidence of the effects of public engagement on development outcomes has been accumulating over the past two decades and has just begun to be systematized. A recent review of the research literature found substantial evidence of positive effects of different participatory and social accountability mechanisms across countries and sectors.[19] Similarly, a review of existing studies from 2010, covering 100 case studies across 20 countries, highlighted many instances in which citizen engagement was connected, through observable outcomes, to development processes.[20] The study found that formal participatory mechanisms were less conducive to positive outcomes in terms of inclusiveness, accountability or construction of citizenship than local associations or social movements. For the cases analyzed, the combination of different engagement strategies and collaboration of multiple actors seemed to be more effective

Figure 4.1.

Public Participation Spectrum

Increasing Level of Public Impact

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

Source: International Association for Public Participation, IAP2 *Public Participation Spectrum* (Wollongong: IAP2, ND), https://www2.fgcu.edu/Provost/files/IAP_Public_Participation_Spectrum.pdf.

for enhancing responsiveness and accountability than the use of one single engagement mechanism.

However, the empirical evidence on the impact of specific tools of engagement on policy effectiveness and other development outcomes is mixed. Some studies show that engagement through institutional mechanisms such as community monitoring may have little or no impact.[21] Others found evidence of the vulnerability of local development projects to elite capture.[22] The contrasting evidence suggests that the positive effects of engagement and participation may require additional conditions besides the design and operation of institutional mechanisms to engage different stakeholders, including the presence of collective action or social mobilization to render them effective.

Empirical evidence indicates that the presence of institutional mechanisms for engagement is not sufficient to ensure the effective participation of all groups, and particularly the poorer and more marginalised. It is also important to understand how collective actors emerge, gain capacity, mobilize and engage in contexts in which power relations are not symmetric. For example, multi-stakeholder Health Councils in Brazil were found to perform better in terms of monitoring health services and articulating alliances in areas where there is more social mobilization.[23]

For engagement mechanisms to be effective, they require an enabling environment that sustains and fosters collective action. Formal theories of collective action, for example, show that a history of collaboration enables a community to overcome collective actions problems to hold public officials accountable.[24] Other relevant factors include the integration of civil society efforts with formalised institutional arrangements, a free and capable media, leveraging ICTs, articulation of civil society efforts with political actors that can exercise their authority and use enforcement instruments, the combination of community mobilization with a few leading professionalized CSOs, and engaging actors into coalitions or networks, among other factors.[25]

Although successful mobilization of specific stakeholders may require particular conditions (e.g., personal stakes for grassroot level participation or leadership or public charters for corporate social responsibility), a number of contextual elements play a role. The World Public Sector Report 2008 provides a list of enablers, including political liberties, civil liberties, rule of law, right to information, freedom of expression, an independent judiciary, freedom of association and unimpeded operations of civil society organizations.[26] Availability of information, transparency, stakeholder and policy makers' skills and capacities for engagement, dedicated legal provisions, budget and staff, clear responsibilities

and accountability have all been mentioned among the requirements of engagement. Without conditions such as these being in place, engagement mechanisms can become ineffective or even counterproductive, fall victim to elite capture, become mere window dressing, or fail to reach and engage stakeholders.

Despite the importance of engaging stakeholders, the literature on policy integration has not focused much on the engagement and participation of external actors in policy-making.[27] Policy integration is often seen as a state-centric idea - something that falls under the responsibility of the government. However, an increasing interest in non-state governance and in the relation between policy integration and sustainability has led to more attention being paid to the question of how engagement may advance policy integration.[28]

4.3. Whom to engage for policy integration?

Different non-state actors bring distinctive benefits and value in their interactions with governments in the process of implementing the SDGs.[29] For example, the engagement of women and girls helps bring gender considerations into policy in various fields. Children and youth inclusion encourages cross-generational thinking.[30] The scientific and technological community can help strengthen the policy-science interface, help raise public awareness of sustainable development challenges (for example, climate change), provide information and evidence and identify good practices. Similarly, by engaging with the private sector, governments can better mobilise resources and technical assistance through partnerships, as well as leverage the private sector's sustainability initiatives. The private sector, as the chief producer of goods and services, is key to the realisation of all the goals, in particular ensuring sustainable consumption and production patterns (SDG 12) and economic growth and decent employment (SDG 8).

Different groups of stakeholders require different processes and channels for engagement (e.g. individual citizens versus multinational firms) as well as different incentives to engage. As with other dimensions of integration (see chapter 3), it is conceptually and empirically relevant to distinguish engagement mechanisms at the systemic level (for example, national sustainable development councils) and those that operate at the sector level. Section 3 in this chapter is based on this distinction.

The set of sustainable development goals and targets itself can be used as a tool for preliminary identification of stakeholders in relation to specific issues. Maps of interlinkages between the issue in question and all the other SDGs (including other targets of the same SDG) provide a natural starting point for stakeholder identification,[31] after which the usual methods and tools of stakeholder identification and mapping can be used. In practice, proper identification of stakeholders should go well beyond this preliminary stage, as illustrated later in this chapter.

Figure 4.2 takes the example of marine ecosystem management, which is encapsulated in SDG target 14.2. Actions under several targets and SDG areas other than oceans (SDG 14) potentially affect performance on target 14.2. Conversely, the management of marine ecosystems also affects outcomes in a number of SDG areas. This basic map shows that holistic discussions on this issue should seek to involve stakeholders concerned with conservation of marine ecosystems, food security, energy production, climate change, poverty alleviation, education, and many other subjects.

Two dimensions merit mentioning in this regard, as they are especially important: scope and geographical scale.[32] First, finding the appropriate breadth of scope to address problems is important to identify the appropriate stakeholders. As noted by experts who have mapped SDG interlinkages, the level of SDG targets often seems appropriate for this purpose.[33] Second, depending on the issue being considered, stakeholders at different geographical levels can have an impact. When working at the national level, it is important to be clear on how much international actors can influence outcomes in this area, and how this can be accounted for in policy-making.[34]

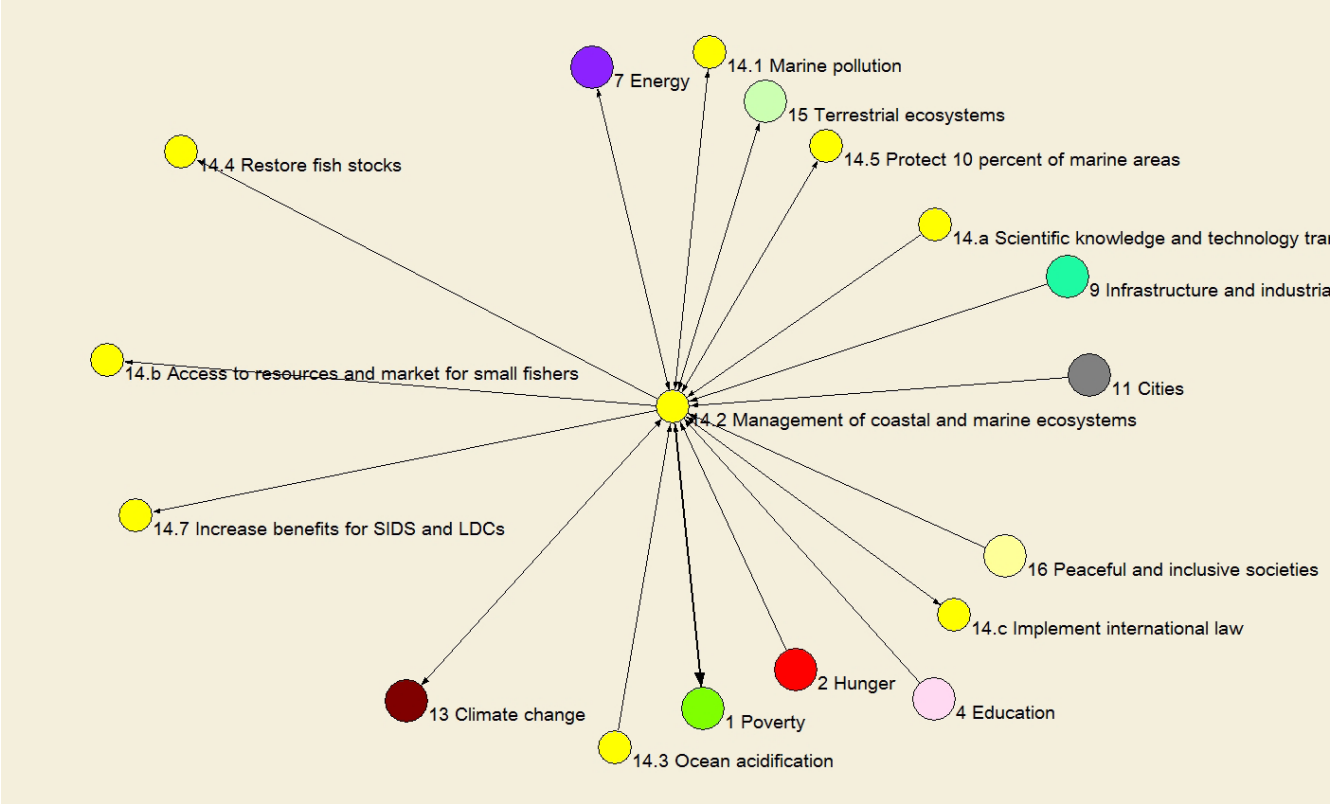
4.3.1. Selecting stakeholders to contribute to integration

Engagement mechanisms aim to represent the diversity of the relevant actors in the public policy domain. Diverse actors offer more potential resources and bring varied knowledge that opens opportunities for innovation and learning.[36]

There are many ways of selecting the actors to be engaged, depending on capacity, resources, and practice.[37] While some mechanisms are open to all, others rely on some form of sampling, use public invitations, draw on existing networks or deliberately target some actors or groups. Diverse selection mechanisms have strengths and limitations in terms of their representativeness and legitimacy and, therefore, their potential to enhance policy integration for SDG implementation.[38] For example, engagement mechanisms that are open to all are often unrepresentative of the larger public, because those with more resources and capacity may capture the process, reducing the range of inputs and therefore, the opportunities for integration. In contrast, selective recruitment may target actors that are less likely to engage yet whose views and inputs may be valuable for finding multi-sectoral solutions, and random

Figure 4.2.

Linkages between SDG target 4.2, other SDG 14 targets and other SDGs



Source: Le Blanc, Freire and Vierros, 2017.[35]

selection also ensures higher representativeness of different perspectives. If properly implemented, open mechanisms with incentives for the disadvantaged (e.g., participatory budget), mechanisms that rely on random selection, and those that involve people interested in an issue, can help strengthen policy integration.[39]

The details of how engagement mechanisms are designed play a fundamental role in achieving the objectives of engagement by creating the proper incentives for effective and inclusive involvement. For example, institutional design can help avoid the co-optation of engagement processes by groups that are better connected or have more capacities, and foster the inclusion of all relevant stakeholders, especially in the cases of weaker or marginalized groups.[40] Understanding how engagement contributes to improved policy integration and effectiveness requires considering the interaction between the institutional design of engagement mechanisms, and the collective action that sustains the mobilization of social actors.[41]

Guidance or guidelines on stakeholder engagement for government agencies address some of these design issues. Some available guidelines indirectly point to the benefits of engagement in terms of integration.[42] In some cases, such as the guidance for engaging stakeholders in the implementation of the US Every Student Succeeds Act, specific methods of engagement such as Stakeholder Advisory Panels are identified as a good way to "address complex or long-term decision-making and build consensus over time."[43] However, in general, these guidelines do not explicitly mention how stakeholder engagement may contribute to integration or how engagement mechanisms must be deployed to strengthen integration.

One notable exception is the 2016 *Guideline for stakeholder engagement on aquatic resource management-related processes* of the Government of Western Australia,[44] which explicitly indicates that the resulting synergy of engaging different stakeholders "encourages the development of *integrated and comprehensive solutions to complex problems* and increases the capacity of the Department to provide better management of fisheries and aquatic ecosystems". The Guidance relies on the IAP2 levels of interaction presented above, and identifies specific methods of engagement for each level. The framework provides specific guidance to identify key stakeholders in a systematic way, and identifies the minimum level of engagement required for particular

processes in fisheries such as formulating an overarching policy, conducting and environmental impact assessment or amending a fisheries management plan.

In the case of integrated water management, guidelines developed by the government of South Africa build on an approach that sees integration as the result from harmonizing stakeholders' needs for use of water resources. The focus is on the interactions that threaten stakeholders' use, or desired use, of water or on those processes that may impact on the desired state of the aquatic ecosystem. This aims to allow stakeholders to contribute more meaningfully, and to direct the limited resources to issues that threaten stakeholders' ongoing use of water resources.[45]

4.4. Tools for engagement: How do they contribute to integration?

This section presents examples of engagement tools and mechanisms. It first introduces the various dimensions of engagement, then presents examples at the systemic level, followed by sector-level examples and finally some considerations on multi-stakeholder partnerships. Challenges observed in relation to these three types of mechanisms are discussed in the final part of this section.

4.4.1. Engagement mechanisms at the systemic level

Governments are experimenting with different approaches to stakeholder engagement for the implementation of the SDGs. These approaches build on the lessons learned from previous stakeholder engagement efforts. For example, the national Economic and Social Councils (ESCs) are consultative bodies to engage multiple stakeholders (including representatives from business, civil society organisations, trade unions and governments) in consultations on public policy. Originated in Western Europe after the Second World War, ESCs initially provided a structured framework to address economic policy dilemmas in time of crisis; their scope was later expanded in some countries to include broader social and environmental issues.

The ESCs were created to make public policies more balanced, equitable and accountable, and not specifically more integrated. However, an analysis of the ESCs offers relevant insights for policy integration. The experience of the ESCs shows that they have helped generate national agreement on key objectives, integrated non-state actors' views into public policies, making them more responsive, and provided a platform for social actors to advance concerns that might be otherwise excluded from the policy agenda.[46] Therefore, at the most basic level of integration, ESCs have contributed to the identification of shared objectives and enhanced collaboration or cooperation between actors. In some cases, at a higher level of integration, they have also contributed to shared problem resolution and more integrated strategic policy planning among different actors.[47] The examples of Brazil, Bulgaria, Denmark or South Africa show the contribution of ESCs in shaping national policies and strategies that integrate both economic and social dimensions.[48] The ESCs have faced challenges, particularly in developing countries, related to limits in the range of actors represented, absence of representation of specific groups such as the rural poor, and limited credibility in certain contexts.[49]

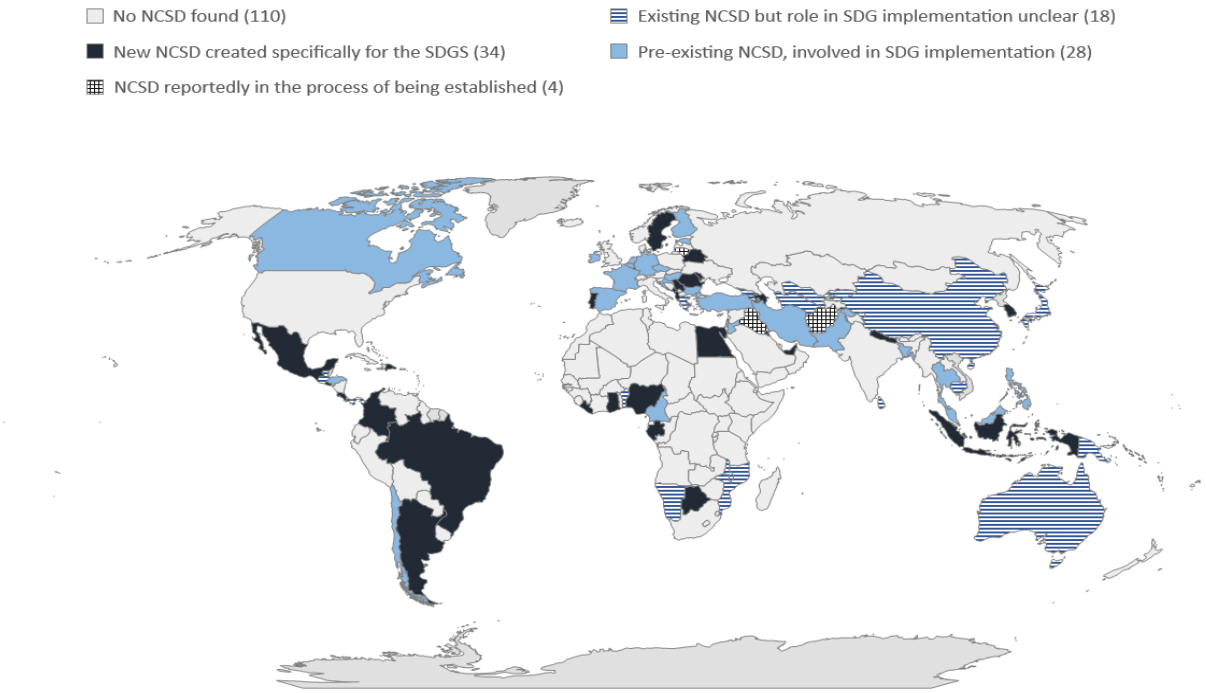
Another engagement mechanism on which countries are building is National Councils on Sustainable Development (NCSDs). NCSDs were first identified as institutional components in Agenda 21 in 1992 to promote sustainable development at the national level. The aim was to address challenges related to integrated decision-making through multi-stakeholder and cross-sectoral national mechanisms. Some of those NCSDs - comprising representatives from academic, scientific, business and NGO backgrounds - contributed to monitoring governments' progress in implementing sustainable development strategies. However, experience showed that the influence of NCSDs on most policy-making process often remained low.[50] Many countries have operating national sustainable development councils today, many of which have been assigned an explicit role in SDG implementation (see Figure 4.3).

According to a recent OECD survey, in the SDG context, stakeholder engagement has taken place at different policy stages, including: the adaptation and prioritization of Goals to the national context; the development of national SDG implementation plans; SDG implementation; and the identification and development of indicators. Interestingly, about one-third of the countries surveyed replied that they would involve stakeholders in horizontal coordination mechanisms.[51] Examples of engagement mechanisms at the systemic level covering different phases of the policy-making cycle are presented in Table 4.1.

Some efforts to engage stakeholders in the SDGs have focused on raising awareness and disseminating information about the 2030 Agenda and the SDGs. Activities to raise awareness are very diverse, including the organization of workshops, conferences, events, communication and outreach campaigns, including the use of social media. These initiatives, which are generally ad-hoc, time-bounded, and not institutionalised, are often organised in collaboration with civil society organizations (CSO). Countries have also highlighted the importance of education to raise awareness about the SDGs, and have started to integrate SDGs into educational curricula and programmes. For example, in South Korea, contents related to SDGs have been included in textbooks for primary and secondary school students.[52]

Figure 4.3.

World map of National Sustainable Development Councils as of 2017



Source: Authors' elaboration.

Many countries have promoted stakeholder participation in SDG implementation through dedicated discussions, advocacy and consultation activities.[53] Consultations aim to gather inputs from different stakeholders for formulating national strategies and plans for SDG implementation. They can be conducted both in face to face and in online settings and through different approaches such as roundtables, seminars, workshops, bilateral discussions and online channels. For example, France has launched consultative workshops on the implementation of the SDGs as well as an online public consultation. Morocco has organized several consultations on the localization of the 2030 Agenda, with inputs from civil society representatives. Peru has organized large national consultations on the SDGs, both in the lead up to the 2030 Agenda between 2012 and 2014, and more recently in 2017.[54] In Brazil, Belgium

Table 4.1. Generic examples of systemic level engagement mechanisms at different stages of the policy cycle

Leadership	Legal/ regulatory	Planning/ Design	Implementation	Monitoring and evaluation
• Awareness raising efforts on the SDGs • Engagement with groups of the population left behind	• Setting up of formal consultation mechanisms • Resources allocated to engagement mechanisms	• (ad hoc) public consultations for the elaboration of a national SD strategy • NSDC leading the design or revision of the national SD strategy • Participatory planning • Participatory budgeting	• Multi-stakeholder partnerships • Stakeholder coordination in institutional mechanisms for implementation	• Learning networks (sectoral and systemic levels) • Participatory monitoring and review (by governments or oversight institutions) • Participatory development of indicators and data collection

Source: Authors' elaboration.

and Italy, consultations have been organised through civil society networks to broaden the number of participants and reach out to specific groups (e.g., academia, youth, consumers) and sub-national levels.[55]

Besides these efforts, countries are engaging stakeholders in SDG implementation through diverse types of institutionalised mechanisms. For this purpose, they are adapting existing institutions or creating new ones. There is no single blueprint, but rather great variation in terms of the resulting engagement mechanisms. Institutional structures for engagement may involve several types of stakeholders, operate at various levels of government and perform their functions at different stages of the policy-making cycle. Also, while some of these structures are led by governments, others are led by non-state actors. Some institutions have decision-making powers while others are advisory bodies.

Some countries are using newly established institutions for engaging non-state actors in SDG implementation. These include Benin, Botswana, Brazil, Colombia, Egypt, Georgia, Honduras, Kenya, Maldives, Mexico, Sweden and Thailand, among others. One form of stakeholder engagement is to include stakeholder representation not in the high-level body that provides overall strategic direction for SDG implementation, but at the technical or thematic level. For example, in Kenya, stakeholders are represented in the SDGs Coordinating Department that has been established within the Ministry of Devolution and Planning, which provides the overall coordination. The Department is supported by an Inter-Agency Technical Committee (IATC) comprising officers from key government ministries, departments, agencies, civil society organizations and the private sector.[56] Similarly, in Colombia, the newly established technical secretariat of the High-level Inter-Ministerial Commission for the Effective Implementation of the 2030 Agenda and its Sustainable Development Goals interfaces with representatives from civil society, the private sector, academia, and has strong stakeholder participation. Honduras exemplifies a different institutional arrangement, in which stakeholders are represented both at the high-level commission and the technical committees for SDGs. Stakeholders represented include the private sector, workers and farmers' organizations, academia, organised civil society, and municipal governments.[57]

In other countries, such as Brazil, Botswana, Benin or Thailand, the central coordinating mechanism responsible for steering for SDG implementation also provides a platform for stakeholder engagement. Brazil created the National Commission for the Sustainable Development Goals in 2016 as "an essential institutional coordination mechanism for the achievement of SDGs in the Country".[58] The Commission, whose members represent the national and local governments, civil society, the private sector and academia, advises the Brazilian government in the continued implementation of the 2030 Agenda.

Costa Rica represents a slightly different case. Stakeholder engagement has been institutionalised through a non-hierarchical National Pact, signed by the three branches of government, civil society organizations, faith-based organizations, local governments, the private sector, and universities.[59]

Other countries are engaging stakeholders around SDG implementation through pre-existing institutional mechanisms and processes. These include Belgium, Estonia, Finland, Germany, Italy, the Philippines, South Korea and Switzerland, among others. For example, in Estonia, the Sustainable Development Commission[60] acts as a stakeholder forum and performs advisory functions in the implementation and monitoring of the SDGs. In Belgium, the Federal Council for Sustainable Development facilitates broad multi-stakeholder participation in the design and implementation of national, federal, and regional sustainable development strategies. In Switzerland, the 2030 Dialogue on Sustainable Development facilitates discussion among the private sector, civil society, and academia about sustainable development.[61]

Some multi-stakeholder structures are government-led, such as Korea's Presidential Committee on Green Growth, a government Committee established in 2009 that has developed an integrated strategy for sustainable development. While it is mainly composed of government officials, it has mixed government-private sector membership.[62] In contrast, the Council for Sustainable Development in Germany is an example of non-government led multi-stakeholder institution. The Council brings together 15 notable individuals from civil society (trade unions and other stakeholders appointed by the Chancellor) to represent the environmental, economic and social aspects of sustainable development in both the international and national dimensions.[63] Since 2001, the Council has been advising the government on its sustainability policy and has been promoting dialogue on sustainability issues. It has also presented recommendations and put forward stakeholder proposals for implementing the SDGs.

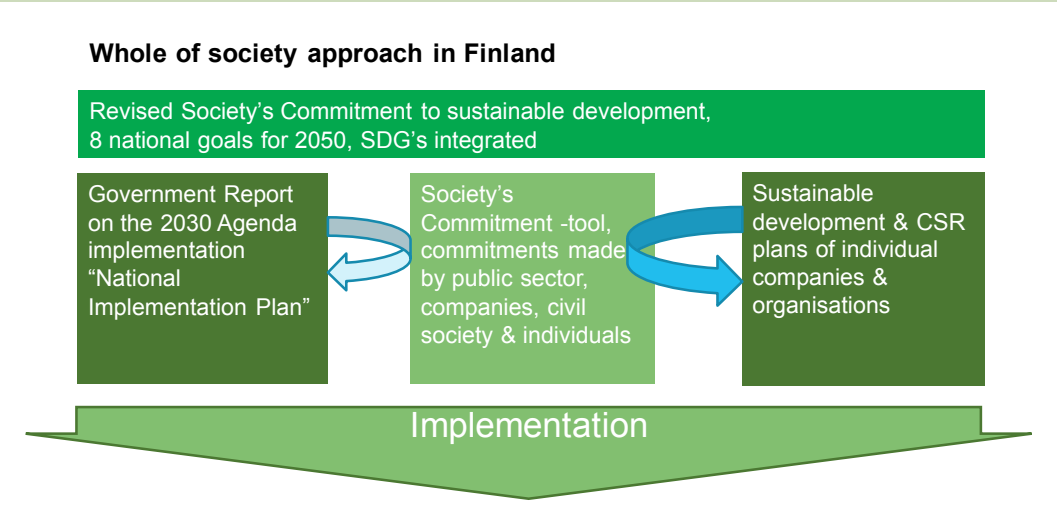
In some cases, multi-stakeholder structures have purely advisory functions rather than decision-making competencies. For instance, Turkey's Sustainable Development Solutions Network, established in June 2014, brings together people from civil society, academia, and the private sector to discuss and provide advice on attaining sustainable development in the country. The Network works closely with different organizations in the country to generate research and proposals and stimulate problem-solving at the global, national and local levels.[64]

In terms of the level of government, some engagement structures are created at the local level. For example, the Local Sustainability Alliance of Korea, established in 2011, has been supporting SDG implementation. The Alliance set up local institutional and organizational frameworks to collaborate with local stakeholder groups, including local communities and governments, to address the SDGs and targets.[65]

Other structures, such as the government-led Finnish National Commission on Sustainable Development, are mainly operating at the national level, although they may also involve representatives from other levels of government. The Commission was established in 1993 to enhance Finland's commitment to sustainable development. It is led by the Prime Minister and includes different ministers, high-level government officials as well as members of civil society such as representatives from municipal governments, church groups, trade unions, NGOs and the scientific community.[66] This is one of the mechanisms of Finland's integrated approach to stakeholder engagement (whole-of-society) for SDG implementation. (Box 4.2).

The Finnish example also illustrates one way of mobilizing non-state actors that is consistent with government actions for SDG implementation. A great number of initiatives request and publish voluntary commitments by different actors – government and other stakeholders (e.g., private sector, civil society). Registries often aggregate and publish commitments from different initiatives. For example, in the context of

Box 4.2. Finland's whole-of-society approach to SDG implementation



Finland has integrated the SDGs into its national context by mapping the existing national strategy, consisting of eight national goals for 2050, to the 2030 Agenda. The country promotes a whole-of-society approach to the achievement of the goals.

A national participatory stakeholder process was used for the assessment of the sustainable development situation, challenges and opportunities that supported the formulation of the national action plan. Non-state stakeholders were involved in the process from the start, and also had a chance to comment on the resulting report and to identify the next steps for implementing the SDGs.

SDG implementation in Finland also relies on a collaborative approach. A public, online "Society's Commitment for Sustainable Development" Tool (https://commitment2050.fi/) has been created, where stakeholders from all parts of society can make public commitments that contribute to the goals. It provides an open, voluntary and concrete way for individuals, companies and organizations to participate in SDG implementation. As of December 2017, over 300 commitments had been submitted. Companies or organizations with existing corporate social responsibility (CSR) programs are also encouraged to submit their commitments, so as to make their CSR commitments more visible and part of a broader stakeholder engagement across the society. The online tool also helps in involving stakeholders in governmental efforts. The interaction between the government's National Implementation plan, societal efforts, large or small, and CSR efforts from companies and organizations through the online tool helps enhance policy coherence in SDG implementation among stakeholders.

Sources: See footnote.[67]

the SDGs, a global registry of voluntary commitments to sustainable development has been created, which includes almost four thousand commitments as of early 2018.[68] SDG 13 on climate change is another area in which voluntary commitments from non-state actors are numerous.[69]

In terms of integration, voluntary commitments may offer certain advantages. They can provide space for cooperative efforts that would enhance integration.[70] Also, they give actors flexibility, can be initiated quickly and adapted to the local context, which would enhance the potential for more integrated solutions. As they provide reputational gains to the actors involved, they can also contribute to learning from integrated solutions to sustainable development problems and support their replication and dissemination. However, one of the challenges is the lack of mechanisms for tracking and monitoring commitments. With limited accountability, it is difficult to ensure that those commitments are implemented. Low compliance with voluntary agreements and limited possibilities for sanctions are barriers to policy integration.[71] Moreover, only to the extent that they reflect relevant shared values will voluntary commitments be more easily enforced and provide a stronger lever for integrated approaches.[72]

Stakeholders can provide relevant information to help government address uncertainties in the implementation of the SDGs and contribute to monitoring and reviewing SDG implementation. Efforts to engage stakeholders in monitoring, review and reporting are limited but gaining increasing attention at both the global and national levels. At the global level, the number of non-state stakeholders engaged in the SDG follow-up and review process has increased steadily since 2016. Over 2,000 non-state stakeholders participated in the HLPF 2017. Stakeholders were invited to be part of official country delegations (e.g., Azerbaijan, Brazil, Honduras, India, Indonesia, Jordan, Uruguay) and, in some cases, they had a speaking role during the presentations at the HLPF (e.g., Argentina, Belgium, Cyprus, Czech Republic, Italy, Japan, the Kingdom of the Netherlands, Nigeria, Slovenia, Sweden and Thailand).[73]

Many Member States recognise the importance of engaging stakeholders in the process of preparation of the VNRs, although the extent of engagement and the methodology varies from country to country. In many countries, stakeholder groups have been consulted (through offline and online mechanisms) and given opportunities to provide inputs to VNR. Countries like Argentina, Bangladesh, Belgium, Belize, Costa Rica, Denmark, and Ethiopia shared draft reports with stakeholders for their feedback and comments, and Denmark and Sweden included an annex based on information provided by stakeholders.[74] Some countries have also highlighted the efforts from stakeholders to conduct their own parallel or complementary reviews of SDG implementation (e.g., Portugal, Brazil).

At the national level, some countries have mobilised stakeholders for the development of national SDG indicators and to contribute to data collection. In the Philippines, the National Economic and Development Authority (NEDA) organised two technical workshops in 2015 and 2016 with the participation of CSOs, academic institutions, donors and government officials to assess the SDG indicators in the country context, identify data availability, prioritise the global indicators and agree on 23 complementary national indicators for SDGs 2, 3 and 5.[75]

Countries like Belarus, Denmark, Ethiopia and Nigeria have engaged stakeholders for the development of tools for data collection as well as to complement governments' efforts to collect data for SDG monitoring. In Nigeria, for example, stakeholders were invited to provide inputs to the data mapping process.[76] In Denmark, the International Working Group for Indigenous Affairs (IWGIA) has contributed to the development of a community-based tool for collecting disaggregated data to monitor the implementation of Indigenous Peoples' Rights in relation to the SDGs.[77]

The impact on policy integration of these efforts to mobilise and engage stakeholders is little known. There is no systematic evidence yet on the performance and effectiveness of engagement mechanisms – both informal and institutionalised- and how they may contribute to a more integrated implementation of the SDGs. The possible impact of stakeholder engagement on policy integration may be mediated by institutional design factors (such as the configuration, membership, etc. of engagement mechanisms), whether these mechanisms are linked with decision-making power (e.g., decision-making versus advisory bodies), as well as by specific contextual factors such as previous patterns of stakeholder mobilization in the country. Moreover, as illustrated by the example of Finland, a critical factor could be whether countries prioritise stakeholder engagement as a critical cross-cutting issue and use their national sustainable development strategies to align different yet complementary efforts to mobilise and engage stakeholders substantially throughout the entire SDG process.

Supreme Audit Institutions (SAIs) as well as other monitoring and oversight mechanisms can be important sources of information to shed light on the characteristics, performance and potential impact of engagement efforts for SDG implementation. (See Box 4.3).

4.4.2. Engagement mechanisms at the sector level

As noted above, institutional attempts at integration at the level of specific sectors or issues have been widespread. Evidence on engagement at the sector level is often found in field-specific literature, making a systematic analysis a massive undertaking well beyond the ambition of this chapter. Table 4.2 presents selected examples of engagement in different

Box 4.3. Assessing stakeholder participation as part of audits of SDG implementation readiness by SAIs

As part of ongoing audits of governments' efforts to prepare for SDG implementation, supreme audit institutions (SAIs) may provide valuable information on whether and how government are engaging stakeholders. SAIs may build on their experience in auditing participatory approaches and components of government policies and programmes to assess relevant issues related to stakeholder engagement for the SDGs, including:

What are the levels and sectors of non-state actors involved in integrating SDGs?

How have the views of different stakeholders been taken into account in aligning national plans and policies to SDGs?

Have relevant stakeholders been included in institutional mechanisms for coordination of SDG implementation?

Have relevant stakeholders been included in the process to establish national goals and targets/ national indicators?

Is there a plan to manage and coordinate efforts of stakeholders in support of SDG implementation?

What efforts have been undertaken by non-state actors to support SDGs, such as mobilizing partnerships, raising awareness, etc.?

Results from such audits will be available in 2018 and 2019 for several countries. Some SAIs have already explored these issues in their audits of preparedness for SDG implementation. In Brazil, the audit concluded that the federal government did not have a long-term national plan for SDG implementation which ensures participation of non-state stakeholders (in contrast with other experiences in the country such as in the States of Pernambuco and Minas Gerais).

While conducting these SDG-related audits, SAIs themselves are seeking to engage with a wide variety of stakeholders to go beyond their traditional sources of information and evidence collection as well as to ensure wide dissemination of the findings of SDG audits and proper follow up and implementation of the audit recommendations.

Sources: Authors and Tribunal de Contas da União 2017, "Audit report on Brazilian government's preparedness for implementing the Sustainable Development Goals," TC: 028.938/2016-0

sectors, based on a limited review of specific sectors across different SDGs. The level of stakeholder engagement as well as the structures and approaches to foster stakeholder engagement seem to vary across sectors and within the same sector from country to country (e.g., for climate change).[78] For example, the lack of institutionalization of collaborative practices has been noted in documents related to clean energy,[79] and transport planning in developing countries,[80] but good examples were also found for these and other sectors such as nutrition, integrated water resource management (IWRM), climate change, ocean and forest management. Participatory approaches that foster a high level of stakeholder engagement in planning and decision-making processes have been highlighted, for example in ocean and forest management.

The types of structures for stakeholder engagement used in various sectors include multi stakeholder networks and platforms, multi-sectoral committees or councils, and advisory and expert committees. Consultation approaches also include public hearings, workshops, consultations through open meetings, and incorporating stakeholders in teams responsible for preparing strategic documents (e.g. policies, plans or programmes).

The types of stakeholders engaged seem to vary within and between sectors. For example, looking at poverty reduction, the literature has noted that poverty reduction strategy papers (PRSP) tended to engage largely urban-based NGOs, including many with strong links to international NGOs or donor agencies.[98] Academia has played an active role in domestic initiatives related to climate change in Asia,[99] as it has been included in national advisory panels (e.g. Japan) and inter agency coordination mechanism on climate change (e.g. Republic of Korea). The private sector and local governments are also actively represented in this sector.[100]

The example of the water sector illustrates the variety of approaches. Diverse formal and informal structures are used to engage stakeholders in water policy-making. These may range from conventional public hearings and participation of civil society as observer in the planning phase of policy-making (e.g., South Korea)[101] to water councils[102] (e.g., Sweden, Denmark, United States), which are institutionalized consultation platforms for civil society, the private sector and academia to provide inputs to public authorities on issues related to water management, including but not limited to the policy planning phases. Other engagement modalities include outreach and communication programmes between basin agency personnel and stakeholders (e.g.,

Table 4.2. Selected evidence of stakeholder engagement in specific sectors

Sector or issue	Example of engagement mechanisms observed
Poverty reduction (SDG 1)	Variety of informal and formal structures for stakeholder engagement. The poverty reduction strategy papers (PRSP) approach resulted in engagement by civil society organizations in poverty policy debates, as per a study that assessed PRSP implementation worldwide. New national networks of civil society organizations were formed around poverty policy, often with sub-committees grouped around sectoral or other special interests.[81] (E.g. Poverty Observatory in Mozambique that included more than 440 different civil society groups)[82]
Nutrition (SDG 2)	Effective structures for multi-stakeholder engagement that include a broad variety of stakeholders used in some countries (e.g. Senegal, Brazil)[83] The literature stresses the key role of advocacy to galvanize and maintain action[84]
Integrated water resources management (SDG 6)	Various types of formal and informal structures: outreach and communication programme between basin agency personnel and stakeholders in the basin (Indonesia); multi-sectoral committees or councils with representatives from national and sub-national governments (Brazil; Costa Rica; Canada); advisory committees with representatives from subnational levels and water user sectors (Australia).[85] Some structures (e.g. multi-sectoral multi-stakeholder committees) played a leadership role and mobilization occurred on water issues (e.g. Brazil), or were considered as good fora for information generation and sharing (e.g. Canada).[86]
Energy (SDG 7)	Platforms for multistakeholder engagement created in some countries with some initiated by the private sector (IDCOL in Bangladesh). Those platforms involve, among others, civil society organizations (CSOs), civil servants and private sector representatives.[87]
Integrated transport (SDG 11)	Importance of involving a variety of stakeholders upfront in transport planning, and throughout the planning and implementation process stressed in many reports (mostly in developed countries).[88] Relevant mechanisms/tools for engaging stakeholders in transport planning and implementation highlighted in the literature documenting Australia's experience[89]
Sustainable consumption and production (SDG 12)	Literature outlines lack of regular consultation mechanisms and processes in some countries (of Eastern Europe and the Caucasus and Baltic States) to influence governments' decision-making on SCP[90] Budget made available by a few countries to support engagement on SCP (e.g. Singapore's plans to finance NGOs' engagement in networking, promoting cooperation and encouraging exchange of ideas on sustainable lifestyles)[91]
Climate change (SDG 13)	Civil society participation arrangements and level of engagement vary from country to country. Establishment of small technical expert groups, and larger participatory events to raise awareness and reach consensus highlighted in literature as common participatory mechanisms for climate change planning.[92] Based on a study in Asia,[93] academia has played an active role in domestic activities related to climate change (e.g. Advisory Panel on Climate Change created in Japan 2008). Private sector and local governments more actively represented than before (e.g. large coalitions of sub-national government such as Under2 led from the State of California; business alliances such as 'We Mean Business' that include more than 680 companies and investors worldwide).[94]
Ocean management (SDG 14)	Effective participative mechanisms for integrated ocean management outlined in literature. These mechanisms involved active multi-stakeholder participation in the planning process, and public consultations They involved a diversity of stakeholders (e.g. ocean industry and resource user groups, community interests, NGOs, science and research community, local authorities, general public, aboriginal communities).[95] Active involvement of ocean resource users in marine fisheries planning processes reported in several cases in Europe.[96]
Forest management (SDG 15)	Approaches to involving local stakeholders in forestry have multiplied over the years. Great variety of structural arrangements (e.g. top down or bottom up). Some approaches provide local or community stakeholders with an important role in the forest planning and decision-making process and can include devolution of forest management responsibility from the central government to local communities and/or entail sharing forest management roles amongst multiple stakeholders, including the private sector.[97]

Source: Authors' elaboration.

Indonesia), water colloquia (e.g., South Africa) or water forums (e.g., Ecuador) to raise awareness and to identify gaps in knowledge. Multi-sectoral committees or councils with representatives from national and sub-national governments such as watershed and river basin committees[103] (e.g., Brazil, Costa Rica, Canada) are used to tackle specific issues such as water pollution as well as to allow for the public's general participation in water policy-making. Advisory committees with representatives from subnational levels and water user sectors (e.g., Australia), local deliberative forums, online information and dialogue facilities and comprehensive community development programmes[104] (e.g., Australia) and associations of water users[105] (e.g., Burkina Faso) are also among the different ways in which multi-stakeholder engagement platforms have been established. All these approaches and tools have been effective in promoting information-sharing (e.g., Canada)[106] and consultation for policy planning, and to a certain extent, for policy implementation but less so for advancing more active forms of engagement such as collaboration and empowerment. Research has also found engagement in water policy monitoring and evaluation to be weaker than in policy planning and implementation phases.[107]

In terms of enabling conditions, effective use of technology[108] and decentralization seem relevant factors in fisheries and other sectors. Successful decentralization was found to be an enabling factor of engagement around the issues covered by SDG 6. Decentralized development planning[109] also figures among the enabling factors for engagement modalities to lead to sustainable fisheries. Successful decentralization and local governance[110] have in some cases led to wider engagement in forest management and to reduction in deforestation.[111]

Engagement approaches in forest management also seem to have been further enabled with transparent and inclusive deliberative methods and awareness-raising and training for all stakeholders[112], particularly for those without prior knowledge on the cost and benefits of different resource exploitation schemes.

4.4.3. Multi-stakeholder partnerships

Generally speaking, the set of stakeholders relevant to integrated decision-making depends on the issue being considered. In this context, a relevant type of mechanism for engagement is the multi-stakeholder partnership (MSP). MSPs are founded on principles of shared risk, cost and mutual benefit. They vary in terms of their purpose, scope, complexity, geographic scale (local, regional to national, global), diversity, size and composition. Partnerships are motivated by diverse factors and objectives, with varying governance structures and distinct operational challenges.[113] MSP leadership can be varied too, from government-led to private-sector led to civil-society-led.

The emergence of multi stakeholder partnerships for sustainable development can be traced back to the 1992 Earth Summit, where Agenda 21 called for a "Global Partnership for Sustainable Development" and alluded to multi stakeholder partnerships between public, private and community sectors to support implementation.[114] A decade later, a set of principles for multi stakeholder partnerships was drawn up as input to the World Summit on Sustainable Development.[115] In 2015, the 2030 Agenda for Sustainable Development emphasized the central and integral role of partnerships to facilitate global engagement in support of the implementation of all the Goals and targets.[116] The 2017 Ministerial Declaration at the high level political forum on sustainable development (HLPF) further stressed that multi-stakeholder partnerships that are cross-sectoral and effectively integrated are instrumental for contributing to achieving poverty eradication in all its forms and the SDGs.[117] Thus, high hopes have been placed on MSPs in the context of the implementation of the 2030 Agenda.

Several countries have put forward multi-stakeholder partnerships or frameworks for those in relation with the SDGs. The Netherlands has a broad coalition of over 75 different stakeholders referred to as the "Global Goals Charter NL". Participants ranging from companies, to banks, to civil society organizations, have signed the charter and are contributing to the implementation of the SDGs. As highlighted above, Finland's whole-of-society approach to the achievement of the goals encourages stakeholders from all parts of society, including companies or organizations with existing Corporate Social Responsibility (CSR) programs, to make public commitments that contribute to the goals.

At the sectoral level, MSPs have been increasingly prominent over past decades. Examples include the well-know "vertical partnerships" in the health sector, such as the Global Alliance on Vaccines and Immunization (GAVI) and the Global Alliance for Improved Nutrition (GAIN). Climate change is another sector where MSPs are important. The emphasis on the role of partnerships was especially strong in the preparation and the follow-up of the Paris agreement on climate change in 2015.[118]

Since the adoption in 2015 of the SDGs and the Addis Ababa Action Agenda on financing for development, there has been an increased focus on the role that philanthropy and philanthropy-based partnerships could play for sustainable development through both financial and non-financial means.[119] The role of philanthropy in development has become more visible in recent years as has its role in partnerships. In the drive to better tap the resources from philanthropy, the "SDG Philanthropy Platform" was set up as a collaboration between philanthropy and the greater international development community,[120] so that they can engage better in integrated approaches for the

implementation of the SDGs. The first four pilot countries are Colombia, Ghana, Indonesia and Kenya. Various actions will be undertaken, including "mapping" the ecosystem of actors in priority areas, including reputable grantees, as well as identifying accessible and productive entry points to support governments in integrated implementation of the SDGs.

4.4.4. Challenges and opportunities

Evidence on the impacts of stakeholder engagement in terms of improving policy integration and coordination is scarce. In many sectors, there are examples of positive effects of stakeholder engagement on development outcomes, but also contradictory evidence. For example, local initiatives based on civil society engagement were found to successfully uphold mangrove forest conservation in Ecuador while similar initiatives had no effect in cooperation with respect to fisheries, for instance.[121]

Engagement at the national level often fails to target the most relevant actors to advance integrated implementation due to the criteria used for identifying the actors to be engaged. In some cases, actors are selected based on pre-existing contacts and working relations with government institutions[122] but not necessarily on the potential value they can bring to address complex problems. Government officials may also fear negative public reactions if they include certain actors, or be wary of engaging some external actors due to potential bias or politicization of technical issues.[123] Another relevant consideration is trust. Effective engagement requires building trust between government and stakeholders. Governments often engage with familiar actors with whom they have engaged before, because building trust takes time and requires interaction between the actors to define roles and responsibilities and build rapport and relationships (e.g., specific activities where they meet each other and reflect together).[124] Moreover, the capacity of actors to engage meaningfully with government is another relevant precondition that is often not addressed. While the limitations of selecting stakeholders for convenience, influence, or political considerations should be recognized and articulated, an analysis of 79 engagement case studies in the natural resource management literature concluded that less than half of the case studies (44%) mentioned how or why particular stakeholders were chosen, which raises questions about the representativeness of those efforts and the inclusion of potentially marginalized groups.[125]

Moreover, when stakeholder engagement structures are purely formal but there is no genuine engagement and incorporation of stakeholders' views and inputs, some negative outcomes may occur. In the water sector, lack of genuine engagement in the early days of the policy planning process in some experiences (e.g. Australia) led to significant misunderstandings and community backlash that affected implementation and integration.[126] In relation to energy, lack of consultation and opportunities to participate in policy and regulatory processes, both nationally and at the subnational level, have also been noted.[127]

Typical challenges facing engagement and participation highlighted in the literature may also affect the impact of engagement mechanisms on integration. For example, differences in power, capacity and resources between the public, civil society, government institutions and the private sector can result in outcomes that heavily favor one or several of the stakeholders. This has been a recurrent concern in particular in natural resources sectors, such as extractive industries.[128]

Lack of variety of stakeholders engaged has been an issue, for example in relation with poverty eradication strategy processes in the early 2000s (see above). Similarly, limited involvement of communities in nutrition-related planning and processes has been noted in some countries.[129] With respect to transport planning and implementation, the literature notes lack of mechanisms for stakeholder engagement in some regions.[130]

Stakeholders have different knowledge, values and preferences across groups of stakeholders but also among individuals within pre-defined groups.[131] The lack of coherent preferences among stakeholders has implications for policy integration. First, engaging more actors can increase transaction costs and make it more difficult to achieve synergies, undermining integration.[132] Second, decisions made with stakeholder inputs may be more affected by the particular actors engaged in each policy process than by the larger composition of the stakeholder groups represented. The selection of actors based on pre-defined stakeholder categories, for example, may fail to ensure a wide representation of views and interests.[133] Therefore, the processes and procedures to identify and select stakeholders to be engaged matter, as they will affect the results of decision-making.

Investing time and resources in the selection process, and having clear procedures and criteria for selecting stakeholders contribute to the effectiveness and efficiency of the engagement as well as its outputs and outcomes in terms of integration.[134] At the sector level, however, the literature recognizes that the identification of stakeholders is challenging, and different classifications of stakeholders usually coexist. For example, in fisheries, academic classifications that distinguish between principal and secondary stakeholders (the latter meaning those with more indirect interests) do not exactly match the mapping of stakeholders that exists at the policy level (e.g., the EU's Common Fisheries Policy).[135] Therefore, some guidelines on stakeholder engagement provide specific guidance to government entities on how to systematically identify key

Box 4.4. National Forum of Non-Governmental Organizations, NGOs

In Europe, many CSOs and NGOs working on development and sustainable development issues are involved in the implementation of the 2030 Agenda through the EU. Cross-sectoral and multi-level efforts are critical for the implementation of the Agenda. Before the final adoption of the SDGs, civil society groups working at the EU level made a decision to work in an integrated way to promote a coherent approach--breaking silos--to SDG implementation. SDG Watch Europe brings together organisations working on a series of issues including social justice, women, youth, culture, transparency, and the environment, and works at multiple levels (local, national, regional). The alliance accepts national members from EU countries in addition to European level organizations.

Source: Deidre de Burca, Advocacy Coordinator, National Forum of NGOs. See also, their webpage https://www.sdgwatcheurope.org/.

stakeholders in particular sectors (for example, through specific questions that can be used as prompts to consider relevant dimensions).[136]

The importance of awareness raising in the public is noted in several sectors, for example regarding the potential benefits of integrated transport[137] and sustainable consumption and production.[138] Studies on the latter highlight the need for governments to fill information gaps to influence consumption and production patterns through, *inter alia*, publicly available databanks, public information campaigns, education, label information, and disclosure of information by producers on their overall social and environmental values and practices.[139]

The need for adequate financial support for participation has also been highlighted (for example, in processes related to clean energy and integrated transport).[140] Although this is rarely a focus in the literature, there are examples of instances of resources being provided to support stakeholder engagement, such as Singapore's plan to finance NGOs' engagement in networking, promoting cooperation and encouraging exchange of ideas on sustainable lifestyles.[141]

Importantly, political factors play a key role in determining the existence of engagement mechanisms, the way they are designed and allowed to function, and their ultimate impacts on policy. Engagement mechanisms that are assessed as successful by some criteria (e.g. because they genuinely impact decision-making) may threaten interests in place and be vulnerable to political changes. More generally, the public administration literature underlines that engagement is a strategic policy tool that governments can use to influence the outcomes of political processes.[142]

Evidence in terms of how MSPs can contribute to policy integration is scarce, and the topic does not seem to have been systematically studied in the academic literature. However, specific examples suggest that MSPs can be at odds with integration and coherence at the national level. It has been highlighted that vertical partnerships in health could in some cases encourage fragmentation and undermine efforts to strengthen national health systems.[143]

Some MSPs have been criticised for reinforcing a siloed, sectoral or 'projectised' approach to development problems and solutions, which might undermine the potential for addressing the drivers of systemic change and scaling up impact through a more integrated programmatic approach.[144]

Fragmentation and limited coordination of development partners' interventions and associated instruments is a well-known constraint to integration, as it promotes siloed approaches.[145] Country-level support from development partners is often scattered across multiple actors and initiatives. It is often challenging to align and coordinate efforts from development partner agencies. Also, actors that receive support may respond to development partners' specific interests and priorities, which may in turn create incentives for fragmentation. To promote integrated approaches, development partners could commit to at least not exacerbate the barriers for integration and improve coordination with other development partners in supporting stakeholder engagement across sectors and government levels. Also, better coordination within each development partner agency between programs that support non-state actors (e.g., civil society) and those that support specific sectors may also help enhance synergies for SDG implementation. Development partners may also facilitate dialogue among different non-state actors and between them and governments at all levels to contribute to create the enabling conditions for more integrated approaches.[146]

It seems clear that "more engagement" does not automatically result in more integration. In fact, strengthened engagement is compatible with maintained fragmentation, duplication and work in silos, inasmuch as institutions and processes in each sector or issue areas develop a constituency of non-State actors who pursue narrow interests. Low capacity of non-state actors may also limit the impact of stakeholder mobilisation and engagement.[147] Also, as engagement mechanisms often fail to engage vulnerable or marginalised groups, they can contribute to further marginalisation. Moreover, stakeholder initiatives such as oversight efforts by CSOs in specific sectors (e.g., health, education) often take place as purely local

Box 4.5. Vertical integration of participatory approaches: Textbook Count in the Philippines

Textbook Count was a collaborative program undertaken by the Philippines' Department of Education and Government Watch (G-Watch) between 2003 and 2007. The primary objective of the initiative was to ensure that public school students were provided with the adequate amount of quality textbooks. Textbook Count helped to reduce the unit price of textbooks from between 80 and 120 Philippine Pesos (PHP) in 1999 to between 30 and 45 PHP in 2006, shortened the average textbook procurement cycle by half, and improved the Department of Education's trust rating.

The success of the initiative in terms of effective oversight of the delivery of books (reducing corruption and enhancing efficiency) can be explained by the vertical integration of coordinated actions between national CSOs, reformists in government and broad-based civic organisations. CSOs monitored each link in the supply chain – including contracting, the quality of production of the textbooks, and the multiple levels of the Department of Education's book distribution process. Citizen monitors covered 70-80% of the textbook delivery points in the country. The private sector was engaged to ensure the distribution of books. Joint government-civil society problem solving sessions resolved issues identified.

Textbook Count helped support government officials who favored enhanced participation, transparency, and accountability. Since the programme's weakest link was at the provincial level, while the strongest monitoring capacity was at the local and national levels, the intermediary level was a critical place where coordinated efforts between different actors were needed. Finally, the programme exemplified the importance of understanding the complexity of multi-level and multi-faceted actions, the engagement of different actors, and the scope and limitations in terms of making gains in governance-related processes sustainable.

Source: Aceron J 2016, "Mobilising citizens for transparency and accountability in education through Textbook Count," Ateneo School of Government and Accountability Research Center. Available from: https://opendocs.ids.ac.uk/opendocs/bitstream/handle/123456789/12380/MAVC_CStudy_Philpp_Education_FivePager_FINAL2.03.pdf

and disarticulated initiatives which may not be sufficient to gain leverage vis-à-vis the state to promote more integrated approaches to sustainable development.[148]

In contrast, some examples of stakeholder engagement show the potential of more integrated approaches across levels of decision-making (from the local level to district, provincial, national and transnational arenas) that do not involve the adoption of centralised, top-down forms and mechanisms of engagement by the national government. Examples like Textbook Count and the reproductive health law in the Philippines (see Box 4.5), the right to food campaign in India, and the Community Food Councils and the maternal mortality observatory in Mexico illustrate the impact of bottom-up participatory approaches that work across levels of decision making, through different patterns of engagement with the state, cutting across the state-society divide and involving soft forms of coordinated action to address specific development problems or seeking broad policy change.

4.5. Conclusion

Advancing and achieving the ambitious goals of the Agenda 2030 requires the engagement of all groups of society at all levels. The contribution of multiple stakeholders is key to produce the complex and reinforcing changes promoted by the SDGs, in their integrated and interdependent nature. Stakeholder engagement has the potential to make an important contribution to policy integration in SDG implementation. Engagement can provide policymakers with better information from the ground, help better define priorities and needs, and create ownership of policy solutions. This is particularly the case when addressing complex problems that require cross-sectoral work and changes in behavior, as is the case with the SDGs.

There is an extreme variety of engagement mechanisms around sustainable development across countries, both at the systemic level in the overall course of SDG implementation and in relation to sector issues (e.g., water management). While evidence of direct impact of engagement on development outcomes is starting to emerge, there does not seem to be much evidence yet of the impact of engagement on integration. Theoretical arguments point to both benefits and drawbacks of engagement in this regard, but it is clear that the balance of costs and benefits can be highly idiosyncratic, both across countries and sectors.

In spite of this scarcity of information, impacts can in part be inferred from challenges that engagement mechanisms face. It seems clear that "more engagement" does not automatically result in more integration; for example, strengthened engagement in sectoral mechanisms can

reinforce existing silos and entrench fragmentation. By the same token, to the extent that successful integration relies on balanced consideration of perspectives of multiple actors, engagement processes that fail to address power and resource imbalances among participants may actually lead to policies that give privilege to narrow interests, with negative impacts on politically weaker stakeholders or sectors, the precise outcome that integration efforts seek to avoid.

At the same time, there are examples of countries moving towards more integrated forms of engagement – including across sectors and levels of governments. These exemplify the potential for engagement and horizontal and vertical integration to be mutually reinforcing.

From the perspective of this report, special attention should be paid to ensuring that the selection of stakeholders takes into account their capability to support objectives in terms of policy integration around specific SDGs.[149] Further, government institutions can specifically support the involvement of actors that represent and bring the perspective of under-served constituencies.[150]

The capacity of actors to engage strategically either at the systemic level (e.g., national SDG coordination institutions) or in specific SDG sectors is also critical to advance integrated approaches. Governments could help strengthen the capacity of stakeholders that may contribute to integration and encourage them to work together and to form alliances or partnerships, so that more actors can be engaged, their knowledge and information pooled together and their actions aligned. As more actors engage, it is important to ensure that interactions across alliances and partnerships do not exacerbate the complexity of the problems that engagement sought to address in the first place.[151]

More research would be necessary to fully understand how engagement contributes to integration. Ideally, this research should be cross-sectoral and comparative in nature, and based on clear benchmarks for measuring outcomes in terms of integration. It could explore some of the critical dimensions that would help translate engagement into integrated approaches for SDG implementation, such as: which actors are being engaged; what are the appropriate mechanisms (both formal and informal) to engage particular actors that may contribute to integration in relation to specific issues and contexts; the value (e.g., information sharing, coordination) that different actors bring on different SDG issues and related programmes; and the alignment of engagement strategies with the expected outcomes in terms of integration, among other issues.

Endnotes

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[115] Designed for so-called 'Type II' partnerships, the Bali principles indicate that partnerships should: help achieve the implementation of Agenda 21 and the Millennium Development Goals, consistent, where applicable, with sustainable development strategies and poverty reduction strategies; be voluntary and self-organising; be based on mutual respect and shared responsibility of the partners involved; have a multi-stakeholder approach, arranged among any combination of partners, including governments, regional groups, local authorities, non-governmental actors, international institutions and private sector partners; and be international in their impact, beyond the national level.

[116] A/RES/70/1 - Transforming our world: the 2030 Agenda for Sustainable Development.

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CHAPTER

5

INTEGRATED APPROACHES TO ADDRESSING THE NEEDS OF INTERNATIONAL MIGRANT POPULATIONS: POLICY AND INSTITUTIONAL ASPECTS

5.1. Introduction

This chapter focuses on how national public institutions and administration have used integrated approaches to policy-making and public service delivery to respond to the needs of migrants and refugees. By its very nature, sustainable development calls for policies that systematically consider the interlinkages between its economic, social and environmental pillars. The integrated nature of the Sustainable Development Goals (SDGs) reflects the complexity of the interactions that need to be considered when making policies and building and reforming institutions.

Integrated policies and institutions are particularly important in international migration, as migratory and refugee flows have been increasing across the world. The SDGs include a target (10.7) on "facilitating orderly, safe, regular and responsible migration and mobility of people, including through implementation of planned and well-managed migration policies". Many countries find themselves facing the challenge of adapting their public institutions in the face of international migration and refugee movements–in making and implementing appropriate policies, in designing and connecting the adequate public institutions and in planning and delivering the needed public services.

Integration across sectors and across levels of governments is especially relevant to migration, given the fact that many relevant policies are formulated at the national level, whereas delivery of services to migrants happens for a large part at the local level. The fact that the legal status of migrants has a critical impact on their ability to generate livelihoods and access various services also warrants integrated approaches, including between policies in relation to border control and other sectoral policies (e.g. in relation to employment).[1]

Mainstreaming migration into efforts to achieve sustainable development requires a careful balancing of complex and multifarious policy issues. How the multiple linkages between migration and the SDGs are translated into national policies and addressed in practice by public institutions and public administration reflects political processes of adjudicating and reconciling competing claims of different stakeholders, including governments, civil society, and migrants themselves. The political context, which can vary quite dramatically over time in any given country and across countries, shapes the space in which public institutions and public administration operate and can innovate.

Given this, and within the political and legal context of each country, how can public institutions better support integrated approaches to migration? How can they assist the integration of such approaches into sustainable development policies and institutional processes? Where can development policies make the most impact when it comes to serving the furthest behind among international migrants? What are promising ways in which policy-makers and policy communities can connect migration and development through innovative services? These are some of the questions that this chapter raises, with the aim of illustrating how public institutions and public administration at the national level can address salient migration-development linkages.

Against this backdrop, the first section introduces the main linkages between migration and the SDGs. The second section presents an analysis of national migration policies and institutional arrangements in a sample of countries,[2] with additional focus on labour, education and health policies concerning migrants and refugees. The third section documents innovative public service delivery mechanisms for migrants and refugees in relation to housing, as an example among many sectors that are relevant. The chapter concludes by documenting some of the main lessons learned and making recommendations.

As in the rest of the report, this chapter uses the dimensions of horizontal integration, vertical integration and engagement with non-governmental actors to structure the analysis. The level of analysis is national and local; the regional and global levels are brought into analysis for illustrative purposes only. Throughout the chapter, initiatives linking migration with development are presented, notably from among the cases submitted by public institutions for the United Nations Public Service Award,[3] with the aim of presenting a variety of integration perspectives from around the world. It is important to underline from the outset that the definition of "innovation" in public administration is context-dependent: policies and institutional approaches that are commonplace in a given country can constitute a ground-breaking innovation when adapted in another country.[4] As underlined by experts who contributed to this chapter, many examples presented here are not necessarily at the frontier of innovation globally, and may not qualify as "good practices" (however those are defined) in other contexts.

The chapter does not systematically distinguish between different types of migration such as circular migration, return migration, diaspora movements, migrant smuggling and human trafficking. Those are brought forth where and when relevant, however, to illustrate their bearing on policy and institutional integration. Nor does the chapter look in depth at the commonalities and differences among the migration policies of sending, receiving and transit countries, due to lack of space. In practice, many countries increasingly play all three roles simultaneously. In the same vein, this chapter does not systematically separate the treatment of refugees from that of other types of international migrants, although the two terms imply very different legal rights and opportunities for those concerned and responsibilities of host countries. Instead, it concentrates on their *common vulnerabilities and capabilities*. Finally, the focus of the chapter is not on the causes or consequences of migration.[5]

5.2. Linkages between migration and sustainable development

An international migrant is a person who changes his or her country of residence.[6,7] International migrants move for a variety of reasons, for different time intervals, following different migratory routes. In consequence, international migration includes manifold patterns, processes, actors, challenges and opportunities.

The United Nations Department of Economic and Social Affairs estimates the number of international migrants worldwide to have reached 258 million in 2017, up from 173 million in 2000. The stock of international migrants comprises about 23 million refugees and about 2.8 million asylum seekers.[8]

During the period from 2000 to 2017, the total number of international migrants increased by 85 million persons. Half of this increase took place in developed countries, while the other half took place in developing countries. The role of developing countries in global migration is increasing. Between 2000 and 2017, the number of international migrants residing in developing countries increased from 40 to 43 per cent of the total worldwide while the number of international migrants born there increased from 67 to 72 per cent. Top international migrant receiving countries are the United States, Germany, Russian Federation, Saudi Arabia and the United Kingdom.

Refugees and asylum seekers constitute roughly 10 per cent of all international migrants. Between 2000 and 2017, the number of refugees and asylum seekers increased from 16 to 26 million. Four of every five refugees or asylum seekers are hosted by developing countries. In 2017, refugees accounted for just 3 per cent of all international migrants in developed countries. In developing countries, however, almost a fifth of international migrants are refugees (19 per cent), and in the least developed countries, refugees constitute more than a third of all international migrants (36 per cent).

International migrants include those who escape destitution and violence or chase better life opportunities, in addition to those who move for other purposes, such as family reunification.[9] This often subjects them to further discrimination, exploitation and exclusion compared to regular migrants.[10] Women and children migrants in an irregular situation often fare even worse, as they are afflicted with multiple and intersecting vulnerabilities.[11]

International migrants are not all vulnerable, nor is international migration precarious altogether. It also concerns skilled migrants, workers, students, scholars and others, each associated with different legal status. When forced or involuntary, however, international migration comes with significant vulnerabilities not only for those who move, but also for those who are left behind, and the host communities, which themselves may suffer from poverty, lack of decent employment, famine and other deprivations.

The relationship between migration and development is complex.[12] Prominent academic journals covering migration issues[13] emphasize issues related to political integration, remittances and diaspora philanthropy, returnees and their integration. An analysis of public administration journals[14] shows that migration appears only infrequently as a topic of interest. There is thus a need to interlink the two disciplines while also bringing their science and policy communities together. Reflecting this, many indices and other types of processes have attempted to link migration with specific SDG targets. A few of them are shown in Box 5.1.

A review of the development literature indicates that the linkages between migration and development can be classified into six broad categories, which also represent potentially competing perspectives and interests adopted by various stakeholders involved in migration issues (see Figure 5.1). These categories are not exhaustive or exclusive, and each of them contains cross-cutting issues such as gender, information and communication technology and data.

From a *security perspective*, migration is associated with peace and security, both of which are vital for development. Migration policies based on this perspective tend to emphasize disaster risk reduction and conflict resolution, mediation and resilience, among others. From this standpoint, migration policies include not only asylum and immigration policies, returns, repatriation and emigration. They also relate to migrant smuggling, human trafficking, drug, crime, prevention of extremism, counter-terrorism, national security, public order and public safety. They extend to considerations of prevention and control of irregular moves through policies of border management, deterrence, third country readmission agreements and compulsory readmission and aid conditionality, which are all contentious policy issues.[15]

From a *human rights perspective*, migration is linked with fundamental freedoms and rights, including right to association, expression, freedom from discrimination, right to life, liberty, belief and personal security, and

Box 5.1. Linkages between Migrations and SDGs: Some examples of indices and processes

UN DESA's Population Division refers to seven linkages: 3.c on health workforce; 4.b on scholarships for studying abroad; 5.2, 8.7 and 16.2 on eradicating human trafficking; 8.8 on protecting migrant workers' labour rights; 16.9 on legal identity; and 17.18 on data disaggregation by migratory status, in addition to 10.7 on safe, orderly and responsible migration.

Indices

The Index of Human Mobility Governance focuses on five linkages: 8.8 on labor rights; 16.1 on death and violence; 5.2 and 16.2 on human trafficking; in addition to 10.7 on safe, orderly and responsible migrations.

The Migration Governance Indicators produced by the International Organization for Migration (IOM) and the Economist consider 16 migration-development linkages: 4.b on international scholarships; 5.2, 8.7 and 16.2 on human trafficking; 8.8 on labor rights; 17.16, 17.17, 17.18 on partnerships and data: 1.5 on resilience to climate and socioeconomic shocks: 3.8 on universal health coverage: 13.1, 13.2, and 13.3 on resilience to climate hazards/natural disasters: 11.5 on reducing deaths and losses caused by disasters; 11.b on cities implementing integrated policies; and 10.7 on safe, orderly and responsible migrations

Processes

The Global Forum on Migration and Development (GFMD) has referred to 10 linkages: 3.c on health workers; 4.b on international scholarships; 8.8 on labor rights; 10.c on cost of remittances; 16.9 on legal identity; 17.18 on data; and 16.2, 5.2, and 8.7, all on human trafficking, in addition to 10.7 on safe, orderly and responsible migrations.

Global Migration Policy Associates (GMPA) has underscored 40 linkages, covering 15 of the 17 SDGs.

The 2035 Agenda for Facilitating Human Mobility outlines eight human mobility goals, which largely overlap with different SDGs. They are: safe, regular and orderly mobility; labor and human rights of migrants; monitoring and accountability of migration management; end of detention as a deterrence mechanism; access to justice and to basic services, including education and health; ending discrimination; and collection of disaggregated data on migration and mobility.

Source: see footnote.[16]

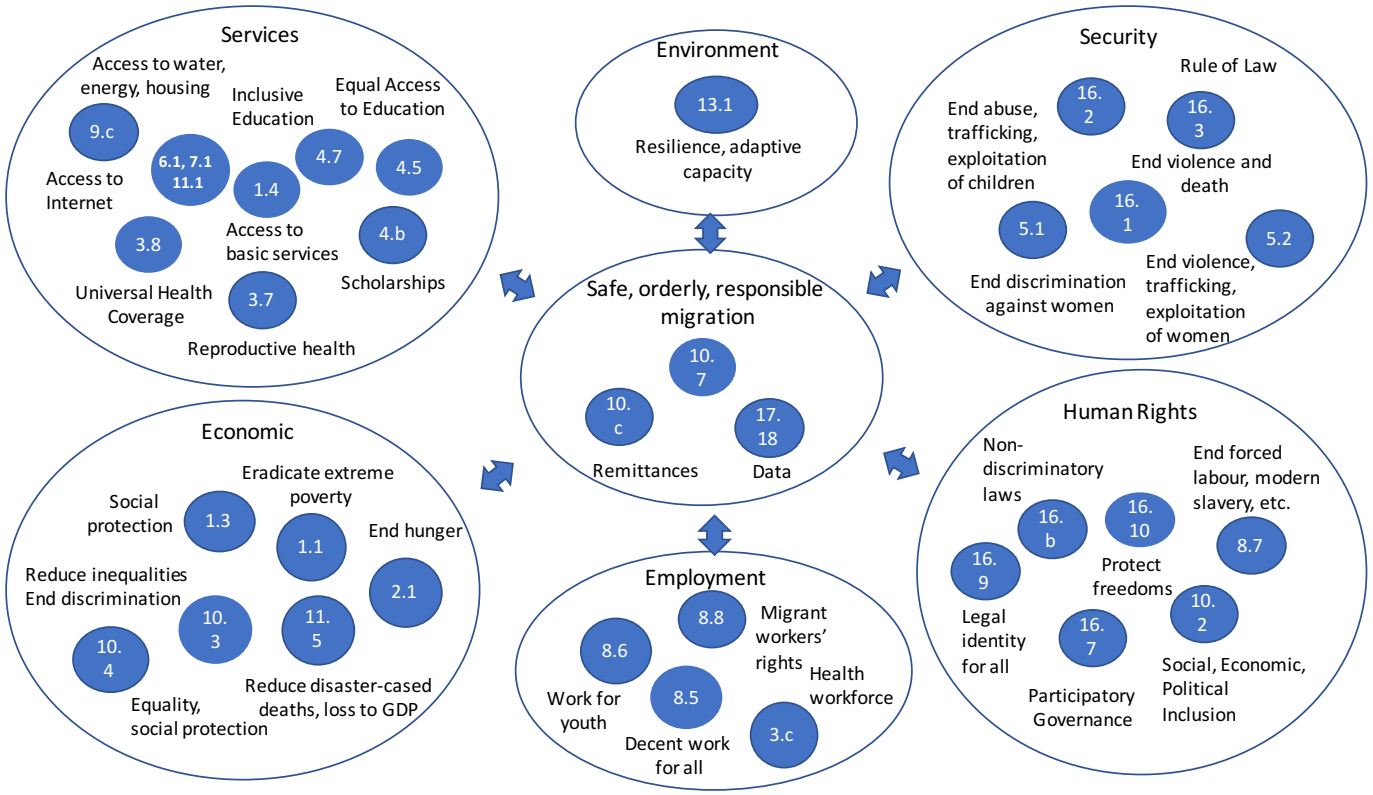
freedom from slavery, torture and degrading treatment.[17] Rise in multi-cultural and transnational activism is also an important aspect of international migration.[18] Policies and institutions addressing issues related to diaspora policies, multiculturalism, tolerance, diversity, inclusion and paths to residency and citizenship, including registration at birth and legal identity, are thus related to migration.[19]

From an *economic perspective*, migration relates to economic growth,[20] equity and poverty, development cooperation, brain circulation,[21] remittances and their transaction costs. The effects of remittances on socioeconomic development including on access to education, health and other basic services, and on the integration of migrants and refugees into their host societies[22] are also highly relevant for the economic dimension of migration.[23] From this perspective, tax, pension, welfare, banking and financial inclusion, macroeconomic, income distribution and pro-poor policies are connected with migration.

From *a labour perspective*, access to employment and migrant workers' rights are pivotal to the economic, social and human rights dimensions of migration. Migrants' labour rights are often regulated by international conventions such as the 1990 International Conventions on the Protection of the Rights of the Migrant Workers and the Members of their Families and several International Labour Organization Conventions and Recommendations on workers' right to decent employment.[24] Un- and under-employment of migrants, for instance, are conceived by many as a sign of failure of migrant and refugee integration policies.[25] Reciprocally, access to employment for migrants and refugees has been proposed as a path to human dignity and a cornerstone of initiatives that aim to respond to the protracted nature of the refugee crisis.[26] Policies of entrepreneurship, partnerships, job creation, access to employment and social mobility are thus linked to migration policies.

From *an environmental perspective*, migration is intrinsically related to the health of the planet. Research points to about 20-25 million displaced people annually due to natural disasters[27] and shows that disaster-related displacement has quadrupled since the 1970s.[28] Some countries have taken the first steps to link environmental displacements with humanitarian protection, protecting individuals from being sent back to places where their lives may be threatened due to environmental hazards or natural disasters.[29] Finland, Sweden, Denmark, United States, Italy, Cyprus, Canada,

Figure 5.1.
Linking migration, SDG targets and public administration



Source: Author's elaboration.

Note: *The figure is a visualization of the six dimensions of migration presented in the text-- showing examples of relevant SDG targets in each dimension.*

Australia and New Zealand are some of the pioneering countries that have enacted such protection mechanisms. In past years Maldives and Bangladesh have proposed amending the 1951 Refugee Convention to include 'climate refugees' within its mandate.[30,31]

From *a services perspective*, access to various public services is relevant to migration. Migration has important interfaces with issue areas such as health, education, housing, public order, culture and others.[32] Language, education and health are particularly important. Without linguistic skills, employment and social integration can become elusive. Similarly, adequate access to quality health services affects not only the health and well-being of migrants and refugees themselves, but may also have repercussions on the health of the local communities where they live. Equally important are issues such as access to adequate shelter, water and sanitation and waste management, to name a few.

The presence of multiple linkages and associated multiplicity of perspectives is bound to generate tensions (both within public administration and between government and non-governmental actors), which have to be managed. For example, many issues in relation to migration are subject to tension between perspectives focusing on human rights and approaches driven by security concerns. Table 5.1 illustrates this through examples that focus on specific linkages between migration and SDGs.

5.3. Legal and institutional approaches to migration: lessons from a sample of countries

This section examines the national and local institutions and policies on international migration in a sample of 29 countries representing different regional, economic, social and political backgrounds. Countries included in the analysis are shown on Figure 5.2. The sample was selected largely based on the availability of information. It is therefore not representative, and more countries could be added in the future to expand the analysis. Overall, 33% of international migrants originate from these countries, and 39 % of them live in them. 2.2% of refugees worldwide originate from these 29 countries, 40 % of them are hosted by them. The focus is on the national and local approaches to international migration and refugee movements, and engagement modalities with the relevant non-governmental actors.[34] The analysis puts

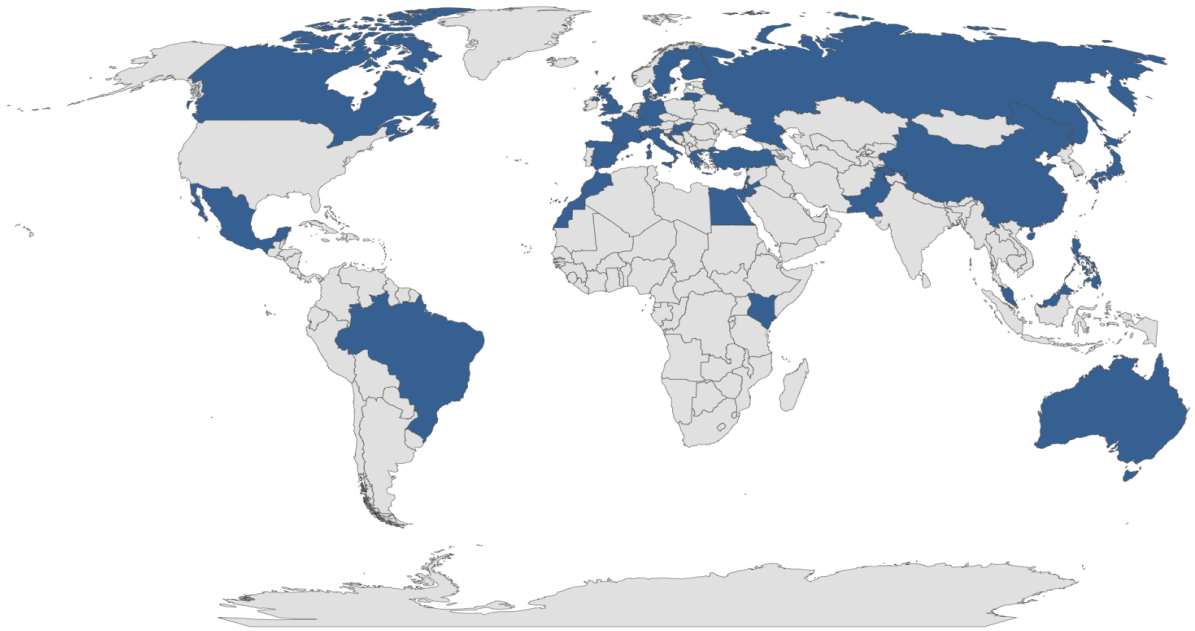
Table 5.1. Examples of public administration approaches to linkages between international migrations and sustainable development

Issue relevant to migrations	SDG linkage	Examples of public policies	Potential tensions
Remittances	Remittances sent by migrants to their origin country/ community	Policies that attract and reduce transaction cost of remittances; creation of financial instruments to channel remittances into national/local investment	Temptation to tax remittances may go against developmental objectives; overregulation of remittances
Labour	Migrants who cannot legally work are employed in the informal sector, often subject to under-employment, exploitation and discrimination	Formalization of the labor market; capacity development and training provided in specific sectors; regulation of employment conditions and recruitment practices; centralization of recruitment to eliminate intermediaries; protection of workers' rights in line with relevant ILO Conventions; introduction of redress and complaint mechanisms for labour right violations	Unfair competition from the informal sector employing migrants can negatively impact formal labour markets, generate unemployment and resentment in native populations
Human rights	Migrants, particularly those in irregular situation, are vulnerable to smuggling and trafficking	Interconnecting policies and institutions working on prevention, protection and prosecution; strengthening access to justice and rule of law; improving investigation and prosecution techniques, and introducing mechanisms to safeguard the rights and address the needs of smuggled migrants	Restrictive immigration policies may push migrants into illegal activities and exacerbate smuggling and trafficking; complexity of policing constantly shifting smuggling routes and methods; lack of data; financial and human costs of adopting a holistic approach interlinking all relevant governmental and non-governmental actors
Education	The goal of achieving universal children education implies that migrant children are able to access education	Many countries provide access to education to children regardless of their legal migration status	It may be difficult to enforce "sanctuary" schools; capacity of schools and personnel may be overstretched although access is legally provided; it may be economically difficult for migrant children to attend school due to high fees and transportation issues
Security	Access to justice for migrants and refugees involved in crime and their rights afterwards	Depending on the country, migrants found to have committed crimes can be subject to action regarding their right to stay in the host country, and their cases can be treated in different manners until a decision is made by the relevant public authorities	Tensions between local enforcement authorities and authorities responsible for homeland security and border control; different regulations and implementation of regulations between local and national levels of administration; lack of enforcement in some parts of the territory
Housing	Having access to adequate shelter and housing is a basic condition for migrants' integration	Some countries provide housing subsidies and assistance for asylum-seekers and refugees. Housing policies can be centrally designed and locally implemented; or fully decentralized	Measures are hard to enforce when the housing stock is largely informal; certain geographical areas may face a supply-demand mismatch with shortage of social housing; social integration issues in areas with large concentration of newcomers
Legal identity	Irregular migrants' lack of identification prevents them from accessing a range of basic services and opportunities.	Consular ID cards issued by several governments for nationals of countries living abroad; municipal ID cards for city residents regardless of their immigration status; community ID cards provided by non-profits (e.g. faith-based organisations) in cooperation with local law enforcement agencies	Potential tension between such initiatives and authorities responsible for homeland security and border control; complexities to determine identity and status for access to services and employment which is often regulated at the national level

Source: Expert inputs for the report.[33]

Figure 5.2.

Countries included in the sample used for comparative analysis



Source: Authors' elaboration.

specific emphasis on labour, education and health policies as they apply to migrants.

Following the analytical framework used in the report, three main dimensions of analysis are used. Horizontal integration examines if the countries have national migration policies and institutional arrangements carried out in a coordinated fashion. Vertical integration assesses whether local governments have their own migration and/or refugee policies or strategies, and whether they coordinate with central governments. The engagement dimension focuses on whether and how civil society and other non-governmental actors participate in national and local policy-making and service delivery in relation to migration. Most examples of policies here and in other parts of this chapter are based on the perspective of "destination" countries. Box 5.2 presents a snapshot of the main questions asked along these dimensions.[35]

Box 5.2. Main structuring questions in relation to horizontal integration, vertical integration and engagement

Horizontal integration: Do countries have national migration policies? Do national constitutions refer to migration, asylum and refugees? Do national development plans or strategy documents for SDG implementation make such references? Do countries have a national migration institution(s) coordinating policies across other relevant government agencies including the centre of government and line ministries? What are the national policies and institutional arrangements regarding labour rights, access to education and health? Do they seem to be interlinked—de jure and de facto?

Vertical integration: Are local governments involved in national migration policy-making including in the formulation, implementation, monitoring and evaluation of labour, education and health policies? Do they have their own migration policies, programmes and/or institutions? Do they have the capacities and resources to address migration? Do they coordinate and collaborate with the national government, including the national migration institutions and relevant line ministries? If so, what is the nature and extent of the interaction?

Engagement: How do civil society and non-governmental actors (including but not limited to the private sector, academia, faith-based groups and other major groups and stakeholders such as organisations funded and run by migrants and refugees) participate in national and local policy-making, service delivery and institutional arrangements related to migrants and refugees?

Source: Author's elaboration.

5.3.1. Horizontal integration

Analysis of the migration-related institutions and policies in the 29 countries[36] shows that more than half (17) mention migration or asylum in their constitutions. The constitutions of Egypt, Morocco, Mexico and France make verbatim references to refugees or migrants and their rights. Some countries have taken a step further to protect the rights of migrants in irregular situations in their constitutions. Ecuador, for instance, refers to migration as a human right in its constitution, which states that no one can be deemed illegal due to his or her migratory status.[37] Ecuador hosts Latin America's largest refugee population.[38]

Out of the 29 countries in the sample, 16 mention migration or refugees in their national development plans or their sustainable development implementation action plans and strategies. Seventeen of the sample countries presented Voluntary National Reviews (VNRs) of progress on the SDGs at the UN high-level political forum on sustainable development (HLPF) in 2016 or 2017.[39] Fourteen of those made references to migration or refugees in their statements. Three countries that are not parties to the 1951 Refugee Convention (Egypt, Jordan and Malaysia) included references to migrants or refugees in their VNRs. Several countries whose national development plans or SDG implementation strategies did not include references to migration or refugees stressed these concepts in their VNRs (Denmark, Egypt, Finland, France, Kenya). These findings seem to indicate the ubiquitous importance of migration and refugees on national policy agendas.

An analysis of the 29 countries' national institutions dealing with migration issues showed a variety of institutional settings. A multi-agency approach to migration was apparent in Brazil and the Philippines, and to a lesser extent in Italy and Mexico, with institutions in charge of migration accompanied by several inter-ministerial advisory commissions. Australia, Canada, Denmark, Egypt, Greece, Morocco and the United Kingdom had stand-alone ministries on migration. Other countries had separate units in charge of migration and refugee issues within the Ministry of the Interior or the Ministry of Home or Civil Affairs (Croatia, Finland, Germany, Israel, Spain, Sweden) or within the Ministry of Public Security or the Ministry of Justice (China, Turkey, France, Hungary, Japan, Lithuania, Kenya).

The involvement of ministries or departments of security and border management was found to be important across the board. Ministries, departments or units in charge of migration and refugee issues often cooperated with the ministries, departments or units in charge of public safety, public order, national security, border management and sometimes also the police. Australia's Ministry for Immigration and Border Protection is a case in point. Japan's Ministry of Justice oversees the implementation of its Immigration Control and Refugee Recognition Act together with the National Public Safety Commission. Hungary's Office of Immigration and Nationality in charge of implementing the national migration policy does so together with the police. The same holds for Lithuania and Denmark. Germany's 2016 Asylum Law, which intends to accelerate the asylum application process, established a new Federal Police Unit to help assist in the process. Egypt recently enacted a law on Combatting Illegal Migration and Smuggling of Migrants, drafted by its newly established National Coordinating Committee on Combatting and Preventing Illegal Migration in the Ministry of Social Solidarity. Egypt has a separate institution for addressing issues related to migration, the Ministry of State for Migration and Egyptian Affairs Abroad.

No single model appears intrinsically superior in terms of effective policy integration. Possible elements that might influence horizontal and vertical policy integration include the type of public administration system,[40] the degree of decentralization and local governance, institutional capacity, previous history and institutionalization of inter-agency cooperation, leadership, use of technology including the interoperability of communication platforms, and the numbers and types of actors involved in policy-making.

One important caveat in promoting successful horizontal policy integration is the role of politics. Often, policy integration (including cross-agency cooperation) is hampered by the polarized nature of the discourse on migration which can and lead to the deterioration of relations between host and migrant communities. Adequate communication policies and strategies have to be part of migration governance in order to prevent this. Rise in animosity and sometimes in violence between migrant and host communities has been reported in several parts of the world.[41] The performance of public institutions in managing migration can be important in this regard. If public institutions are perceived to fail, it becomes harder to frame migration as an opportunity for development, or to avoid its instrumentalisation in the political discourse.

Data is a key cross-cutting enabler of policy integration. For example, measuring human trafficking and smuggling is difficult and typically requires the use of multiple sources of information. To address this problem, the Dutch National Rapporteur on Trafficking in Human Beings and Sexual Violence against Children in the Netherlands and the United Nations Office on Drugs and Crime have developed an innovative methodology for estimating[42] the number of victims of human trafficking, which directly feeds into the successful implementation of SDG target 16.2 on ending abuse, exploitation, trafficking and all forms of violence and torture against children and target 10.7 on facilitating orderly, safe, and responsible migration and mobility of people, including through implementation of planned and well-managed migration policies. In comparison to other

policy areas, experts have drawn attention to the lack of systematic evaluation of migration-related initiatives, and seen to agree on the need for more attention to be paid to monitoring and evaluation across all policy areas and in the entire spectrum of public services in this regard.[43]

Digitalization and enhanced processes for exchanging information among administrations is an area where potential for enhanced efficiency exists. In Russia, the State Information System of Migration Control maintained by the Federal Migration Service in the Ministry of Internal Affairs includes all information related to migrants in the country, and is shared with other relevant government agencies. By contrast, in Brazil, each Ministry dealing with migration has its own registry and there is no one unified digital platform interlinking them.[44] At the same time, a delicate balance has to be struck with respect to sharing information among administrations in order to safeguard the rights of migrants. The creation of appropriate "firewalls" between government agencies, including in terms of data exchange (for example, between health and law enforcement, between education and law enforcement) is regarded as important by experts in the field.[45]

Policies adopted at the regional or global levels are another key factor affecting horizontal policy integration at the national level. For instance, the European Migration Network mandates the appointment of migration focal points in different ministries. Box 5.3 gives a quick overview of some regional and global developments and their implications for the national level of administration.

Labour, education and health policies for migrants and refugees

Migrants' and refugees' access to employment and to basic services such as education and health is often precarious. Analysis of the literature on labour rights of migrants and refugees reveals that the existence of a legal basis for providing access to employment is no guarantee for its actual implementation. This is the case for migrants and refugees with the necessary documentation authorized to legally reside in their host countries. Reasons may range from bureaucratic hurdles for acquiring work permits, high unemployment rates, employment quotas reserved for native workers or sectoral restrictions of employment for migrants.

Box 5.3. Regional organisations and policy integration of migration and development

Regional and international organizations influence the integration of migration into sustainable development policy at national and local levels.

At the regional level, ASEAN, MERCOSUR, the European Union and other regional organizations have implemented policies and directives on migration and refugees that impact the policy stand of their member countries. Some examples include:

- The 2016 *San Jose Joint Action Statement* facilitated by the Organization of American States (OAS), which led to the pledge of Central and North American States to protect refugees coming from Central America
- The Common European Asylum System, which seeks to harmonize the asylum policies of EU Member States
- ASEAN, which issued its Declaration on Migrant Workers' Rights in 2007, with focus on how to protect the labour rights of migrants in ASEAN countries

The European Union recently signed a Partnership Framework with sixteen partner countries and five priority countries (Niger, Mali, Nigeria, Senegal and Ethiopia) giving them aid towards improvements of their infrastructure and basic services (waste management, water, education and health) in exchange for efforts to stave off irregular migrant flows to Europe, to prevent human trafficking and smuggling, and to improve the living conditions of refugees and most vulnerable host communities. At the global level, the Mainstreaming Migration into National Development Strategies Programme of IOM and UNDP, introduced in 2011, has supported eight central governments, i.e., Bangladesh, Ecuador, Jamaica, Kyrgyzstan, Moldova, Morocco, Serbia and Tunisia, in linking their national migration and development policies.

UNDP's Joint Migration and Development Initiative (JDMI), with participation from several other agencies and organizations including IOM, ILO, UNFPA, UNHCR and UN Women, has built local capacities in the field of migration and development through support for policy coherence and vertical policy integration based on multi-stakeholder partnerships. While these initiatives are promising, more research is needed to assess their impact and effectiveness.

Source: Author's elaboration based on expert contributions to the report.

The array of labour rights accorded by States to regular and irregular migrants, refugees and asylum seekers varies widely across countries. Australia, for instance, gives access to employment to asylum seekers who are not in community detention, as it does to refugees. Croatia and the Russian Federation grant access to employment to refugees but not to asylum-seekers. Many other countries within the European Union do the same. In Hungary, refugees can work in mandatory camps and apply for a one-year work permit after nine months of stay in the camps. As seen in Box 5.4, Morocco recently revamped its national migration policy to give refugees and migrants access to employment, including those migrants in irregular situation.

For migrants in an irregular situation, employment opportunities were found to be either absent or precarious generally, although some countries provided some access to asylum-seekers. When employed, asylum-seekers, refugees and particularly migrants in an irregular situation often work in the informal sector with access to precarious jobs. In some contexts, no law or formal document exist to allow migrants and refugees to work. In others, exploitative practices such as confiscation of employment card and other identification documents are noted. Such practices are prone to push regular migrants into irregularity and may end up in their becoming stateless, particularly for migrant women and children.[46] They also act as precursors to migrant smuggling and human trafficking.[47] Taking this relation into account, United Kingdom's Modern Slavery Act of 2015 consolidates previous offences relating to trafficking and slavery.

Bottom-up integration initiatives are also visible and important. Research in OECD countries[48] and in Africa[49] has shown that many refugees have created their own businesses hiring other refugees and local populations. When employed securely, refugees have also increased remittances to their home countries, and have better integrated in their host societies. The reverse was found to be true in some studies: migrants and refugees without access to decent and secure jobs were less well integrated in their host societies, prompting secondary or multiple migration and sometimes pushing them into irregularity.[50]

Education is the gateway to decent employment, and linguistic abilities are the prerequisite to both. Yet, migrants' and refugees' access to education is often limited. Out of the 29 countries, only a handful provide education in local languages upon entry into the country (Australia, Canada, Croatia, France, Japan, Russia and Turkey). For many, such training is not mandatory, and is handled by either local governments or civil society organizations, with no systematic enforcement or monitoring mechanisms in place. Overall, the dominant trend is one where refugees have legal access to public education whereas asylum-seekers do not. Only in a handful of countries can asylum-seekers access public education. Migrants in an irregular situation are often

Box 5.4. Morocco's institutional approach to managing migration

Following its constitutional reform of 2011, its national migration policy of 2013, and national migration and asylum strategy (SNIA) in 2014, Morocco undertook several waves of regularization of migrants in an irregular situation, followed by the opening of its public services to all migrants and refugees. Migrants in an irregular situation can access public health services, including primary and emergency healthcare, and can send their children to public schools. Regular migrants can, in addition, access professional training and assistance with job search.

Horizontal integration--SNIA includes 11 sectoral action programmes spread across the relevant line ministries such as the Ministry of Education, Ministry of Solidarity, Women, Family and Social Development, Ministry of Social Welfare and Ministry of Health, Ministry of Finance, the Interior, Youth and Sports, and public institutions such as ANAPEC—Employment Agency, OFPTT--Office of Professional Training, ADS—Social Development Agency, CNDH—National Council of Human Rights, and DIDH—Inter-ministerial Delegation on Human Rights. SNIA is led by an inter-ministerial committee under the leadership of the Chief of Government, and acts in cooperation with the Council of Moroccan Community Overseas, and other non-governmental actors.

Vertical integration--Training was provided to municipalities, regional governments' ministries, branches of public agencies and local association representatives to reinforce local governance of migration, and to ensure uniform implementation of SNIA across regions and cities.

Engagement--Civil society, including migrant associations, local actors and universities was part of the design of SNIA. Foundation Hassan II takes part in the inter-ministerial committee overseeing it. Migrants were empowered to create cooperatives. Conferences, seminars, workshops were organized to consult the public.

Source: UNPSA, 2017.

excluded from education and formal employment unless they are minors. In Europe, five countries do not entitle undocumented children to attend school.[51] The remaining 23 EU Member States allow migrant and refugee children with no proper documentation access to education.

For refugees, shortages of adequate infrastructure, excess demand, lack of qualified teachers, high fees, lack of adequate transportation to schools and poverty are among the main causes for children and youth being out of school. Civil society, UNHCR and other humanitarian organizations provide training and education, often at the local level and sometimes in cooperation with local governments, including for pre-school education in some cases. In Greece, civil society organizations like ARSIS and PRAKSIS have provided mobile schools in the language of the expected country of destination.[52] An innovative initiative for access to education at the local level comes from Istanbul, Turkey (see Box 5.5), which has recently merged its dual Arabic-Turkish language education into one integrated program for all children regardless of national origin.[53]

In many countries, migrants' and refugees' access to healthcare is also limited. As shown in Chapter 6, Thailand is an exception, as it provides comprehensive healthcare services to all migrants and refugees, including those in an irregular situation.[54] A preliminary overview of health coverage offered by host governments to migrants and refugees shows that the main trend is to give access to emergency care for adults and children, while children may also benefit from primary care in certain countries. Mental healthcare services, psychosocial support and family counselling, which migrants and refugees need, are often scarce, inadequate or inexistent. Health services seem to be much more restricted than education, and often are provided by civil society and humanitarian organizations, sometimes even in developed countries. Their delivery at the local level is also subject to inter-agency coordination loopholes.

In the European Union, only a small number of countries provide asylum-seekers and migrants in an irregular situation with access to national health insurance; and when they do, important barriers exist against the actual use of these services. Minors, regardless of their legal situation, often have access to emergency care, and sometimes also to primary care. All but eight EU countries grant minors the same level of health care as they do to their citizens. For adult migrants and refugees, six countries restrict their entitlements to emergency care only, and twelve allow migrants in irregular situations limited access to specialist services like maternity care and treatment of HIV and infectious diseases.[55] In many cases, migrants and refugees' access to healthcare services depends on the local regulations, hospital management rules and the level of awareness and receptivity of skilled healthcare staff.[56] In many developed countries where there is no legal or actual healthcare access for migrants and refugees, the latter may benefit from public health safety-nets, which are community health clinics. These clinics charge nominal fees for providing basic health services to the indigent, sometimes employing doctors in training or medical students.[57]

Barriers to access to healthcare include linguistic challenges, low levels of information on access possibilities on the part of migrants and refugees and the difficulties implied by distinct cultural norms which may impact doctor-patient interactions.[58] As shown in Box 5.6, one innovative example in the health sector comes from South Africa, where several municipalities have increased migrants' and refugees' access to health services while also enhancing their access to employment.

Box 5.5. Republic of Turkey, Istanbul Metropolitan Municipality's Youth Council

Turkey hosts more refugees than any other country in the world. Local governments are starting to play a role in responding to the needs of migrants and refugees. One example comes from Istanbul, where the metropolitan municipality created online and offline platforms for bringing Turkish and Syrian youth together as members of the Youth Council. The Council offers courses in language, arts, music, mathematics, sports, extra-curricular activities like, entrepreneurship and leadership.

Horizontal integration--Horizontal integration occurred at the local level as local government organizations and their foundations and affiliated non-governmental organizations participated and collaborated with each other. The Council cooperated with the network organizations of municipalities in Turkey to create projects of social inclusion and refugee integration.

Vertical integration--As a locally-grounded initiative, national government agencies were not involved.

Engagement--The metropolitan municipality has collaborated with the local food banks and the Turkish Red Crescent to deliver supplies and organize mobile kitchens around Turkey. The Council also organized the World Humanitarian Summit Youth Forum together with UN-habitat, the Union of Municipalities of Turkey, UCLG--United Cities and Local Governments, INGEV--Human Development Simulation and the Youth Council of Paris.

Source: UNPSA, 2017.

Box 5.6. South Africa, City of Johannesburg's Rosettenville and Yeoville Municipalities

South Africa, host for migrants and refugees from the rest of the continent, has been revamping its policy and institutions to strike a balance between the human rights and the security dimensions of migrations. One example from the local level comes from the Rosettenville and Yeoville municipalities, which have hired migrant nurses without legal work authorization to provide translation and interpretation services in local public hospitals and clinics. The initiative helped solve the problem of recurrent conflicts between the healthcare personnel and migrant patients. It also created employment for the migrant nurses.

Horizontal integration--Municipalities cooperated with each other and three other cities replicated the arrangement. Horizontal integration thus occurred at the local level without an explicit role of the national government.

Vertical integration--The City of Johannesburg has its own local migration policy. It has Migrant Help Desks spread across the city. It also has an Advisory Committee composed of relevant stakeholders.

Engagement--Municipalities cooperated with the African Migrants Solidarity and the Refugee Nurses Association as well as Ford Foundation's grantee, the Population Council, and some national foundations.

Source: UNPSA, 2012.

5.3.2. Vertical integration

Both successful SDG implementation and migration governance depend on effective local action and effective alignment between the national and sub-national levels. Cities and urban areas, where more than sixty percent of migrants and refugees reside, are prominent actors in migrant integration. This has led some scholars to talk about a "*local turn*," defined as the increasing activism and role of local governments and institutions in migration.[59] In Europe, for instance, while national migration and integration policies have become increasingly restrictive in the past few years, urban migrant integration policies have experimented with inclusive and intercultural forms of integration,[60] giving way to the ideas of "urban citizenship"[61] or "denizenship".[62] These concepts tend to redefine migrants and refugees as active developmental actors of their communities rather than passive aid recipients or security threats.[63] One illustration of the increasing role of the local level in responding to migration can be seen in the adoption by local authorities of migration policies seeking talent and promoting diversity such as in the United States,[64] Mexico[65] and Spain.[66] Local governments have provided sanctuaries to migrants and refugees --overall or with respect to specific sectoral policies. Others, like Chinese provincial governments and metropoles, have enacted talent attraction policies to compete in attracting high-skilled migrants.[67] Still others, like Brazil, have also followed similar approaches for both low- and high- skilled migrants and refugees.[68]

The opening of local governments to migrants and refugees has largely hinged upon their financial and human capacities and resources. In Turkey, Morocco and Jordan, for instance, legal, structural and financial needs of many municipalities have led them to ask for central governments' assistance to respond to the needs of migrants and refugees.[69] A study found that Tangiers, a main migratory transit and recipient city, had no reception, orientation or information services for migrants. Several municipalities in Turkey have also struggled with the lack of a legal mandate to offer services.[70] Other municipalities with sufficient financial means and know-how have offered a variety of services to migrants and refugees.[71]

The dynamics of local and national politics, including political affiliations and ideologies of the relevant actors, play a prominent role in whether and how municipalities and local governments strive to integrate migrants and refugees, with examples of local governments using the refugee crisis as a tool to obtain benefits and resources from the central governments and line ministries. Unwillingness of strong centres to cede power and resources to the local level also seems commonplace.[72]

Local governments' integration of migration into development policy-making has followed at least three different yet interrelated patterns: creation of separate offices within municipalities, local-national contracts and *ad hoc* outreach activities.

First, many local governments faced with the challenge of accommodating newly arrived migrants have created separate offices, units or commissions (Germany, Jordan, Brazil, Mexico, France, Philippines, Scandinavian countries). In the Philippines, for instance, several local government units have set up Migration Resource Centres. POEA–Philippine Overseas Employment Administration and OWWA–Overseas Workers Welfare Administration have forged partnerships with local governments to increase the reach of their services through these resource centres. In Pakistan, each region has a Commissionerate for Afghan Refugees (CAR),

which reports to the Chief Commissionerate in Islamabad at the Ministry of States and Frontier Regions (SAFRON). The Federal Republic of Germany has instituted the Office of Refugee Coordinator at the state level.[73]

Second, local-national-civil society contracts, coordination mechanisms or other institutional mechanisms are established based on the engagement of diverse partners from civil society, private sector as well as migrant and refugee organizations. Sometimes, these contracts and the key role of the local administration in migration were inserted into the national migration strategy (France, Russia, Turkey, United Kingdom). The United Kingdom's Home Office in charge of migration, for instance, launched the UK's Strategic Migration Partnership[74] to incite competition among local authorities in refugee resettlement.

Third, institutional migration governance at the local level has involved the launching of ad hoc task forces, working groups, outreach sessions and conferences on migration and development related issues (Croatia, Hungary, Israel).

Many countries have followed all or some combination of these three approaches. For instance, many municipalities and cities in the United States have used eclectic approaches to addressing migration.[75] The Welcoming America Initiative has started rating and certifying local governments in their efforts to integrate migrants and refugees. In September 2017, the city of Dayton in Ohio became the first certified inclusive city of migrants in the United States. In Greece, the city government of Athens recently cooperated with UNICEF, the European Union, the national government's Department for the Support and Social Integration of Migrants and Refugees as well as the non-governmental organization Solidarity Now to launch its own Blue Dot, i.e., Child and Family Support Hub for Migrants and Refugees.[76]

Local governments are also active in data collection and the provision of interlinked services to migrants and refugees. Germany's recent Data Exchange Enhancement Act takes steps towards the creation of a national central database for asylum applications and information relevant to refugees. Some state governments in North Rhine-Westphalia in Germany have already created one-stop-shops for migrants and refugees called Integration Points. Integration Points bring together municipalities, local job centres, welfare offices, the IQ Network (involved in qualification recognition) and representatives of employers' associations, to provide information, administrative acts and integration measures both for asylum seekers and refugees.[77] Philippine Overseas Employment Administration, POEA has also introduced one-stop-shops recently. These centres gather in one location the government agencies where applicants or overseas workers secure documents needed to process their papers.

These trends show that local governments are at the forefront of innovative migration institutionalization and policy-making. Local approaches and policies can contribute to the integration of issues related to migrants and refugees into sustainable development policies regardless of the government system in place (federal vs. unitary or other), economic development (developed vs. developing), legal framework (case vs. civil law or other), the dominant place of the country or of the city on the migration routes (sending, receiving, transit country or a combination of those) and their historical and cultural idiosyncrasies (legacy of colonialism). Decentralization and well-functioning relationships across levels of government seem to increase the level of vertical policy integration in migration.[78] Vertical policy integration is often stronger when it is formulated and implemented together with civil society, academia, grassroots, faith organisations, private sector, diaspora, migrant and refugee organisations, and other stakeholders.[79]

5.3.3. Engagement

Out of the 29 countries examined in this chapter, 13 had a national umbrella organization such as a National Refugee Council or National Migration Commission, assembling civil society organizations established to assist migrants and refugees. Kenya, Pakistan, the Philippines and Turkey had such umbrella organizations as did Australia, Denmark, Finland, Germany, the United Kingdom, Spain and Sweden. For some countries, no information was found. More studies are needed to ascertain the presence and types of civil society organizations in different countries. For instance, sectoral or local non-governmental organisations versus international civil society organisations might have a differential impact on policy integration.

Ten countries were found to have civil society organisations (CSOs) participating in policy-making on migration, either as constituent members of the relevant national and local migration institutions or as advisers. In France and Canada, CSOs are active partners of national migration agencies and are legally recognized service providers. In other countries like Germany, they are also integral parts of national and local policy-making, including in cultural areas.

In Mexico, civil society is engaged as service provider at the local level, as illustrated by the significant community outreach and local assistance activism by Casa Refugiados, the National Human Rights Commission and local chapters of the international non-governmental organisation Scalabrini International Migration Network.[80] Several NGOs were involved in the design and implementation of the programme "tarjeta huésped," of the government of Mexico City. Tarjeta huésped provides migrants and refugees with access to healthcare, education and legal counsel, which are expressed

in the City Constitution as basic rights.[81] Other examples come from the city government of Madrid,[82] which has put together a permanent list of stand-by refugee volunteers to assist migrants and refugees, and the government of California in the United States,[83] which has hired local CSOs to train civil servants on migrant and refugee integration and service delivery.

Diaspora and returnee organisations funded and run by former and current migrants are also very important actors of engagement. In Algeria, for instance, the ADEKA--Kabylie's Association for Development funded by returnees to Algeria supports local and national development projects in cooperation with local governments and other civil society actors on the ground. It also cooperates with AMSED--Association of Migrations, Solidarity and Exchanges for Development in France to support rural development in Kabylie, Algeria.[84] Haitian diaspora organisations have focused their interventions on gaps in health care delivery and education. The Ministry of Haitians Living Abroad (MHAVE) has made significant efforts to reach out to diaspora groups before and following the massive destruction caused by the 2008 earthquake there.[85]

In sum, in many countries, civil society often plays an active role in national migration governance, albeit in diverse ways and capacities. In fact, it has been argued that in Germany, volunteer action has largely substituted for (and not only supplemented) state activities, as public institutions have been at times overloaded in the face of demands from migrants.[86] At first glance, civil society engagement in migration does not seem to strictly correlate with either economic development or system of government. National level engagement of non-governmental actors seems to be stronger in open and transparent governance systems. Engagement at the local level seems to be high in such contexts, particularly when coupled with effective decentralization and inclusive local governance. Local level engagement also tends to climb when national migration policies and institutions are either absent or inadequate.

The role of the private sector in migration has not been extensively discussed in the literature. The International Chamber of Commerce (ICC has identified the global refugee crisis as one of its priority focus areas together with sustainable development, trade and digital economy.[87] Rotary International has galvanized an effort of charitable contributions worldwide through its *ShelterBox* project partner in emergency disaster relief. Several multinationals such as Chobani, Ikea, Starbucks, Airbnb, Uber, SpaceX, Google, Coursera, UPS and Turkcell have taken strong stands in relation to migrants, introducing innovative schemes for hiring, assisting and training refugees as well as sensitizing the public about the issue. Quite separate from this, small and medium enterprises (SMEs), social enterprises, and entrepreneurial initiatives by migrants and refugees themselves often play a critical role in livelihood generation for migrant populations and contribute to the offer of services for migrants and refugees, particularly at the local level. The impact of the private sector can also be a double-edged sword. For instance, many companies engage in exploitative work practices, and informal labour markets in relation to migration remain a concern in developing and developed countries alike. More research is needed on the role of the private sector and its various components and its partnerships with governmental and non-governmental organisations in relation to migration and its linkages to development.

5.4. Innovative public services for migrants and refugees: the case of housing

Public service delivery to migrants and refugees can be challenging. Public services targeting urban refugees versus those catered to those who reside in remote rural areas and others who live in refugee camps, often for protracted periods of time,[88] are often distinct and may require different approaches to service delivery. Likewise, different sub-groups of migrants and refugees will need different combinations of services.

Many countries have created or are contemplating one-stop-shops for providing unified and interlinked services to migrants and refugees. In Denmark, Newtodenmark.dk is a one-stop-shop immigration portal consolidating all relevant information and access points to services. While one-stop-shops have proved to be a useful institutional innovation, their effectiveness is said by experts to vary depending on the context.[89] One example of integrated service delivery for migrants comes from Portugal, as shown in Box 5.7.

Information and communication technology, such as the internet, smart and mobile phones, may help enhance access to services for migrants and refugees. The United Nations E-government Survey found that online public services for migrants and refugees were provided in 49 countries in 2014, which by 2016 had risen to 76 countries.[90] ICTs can give access to the necessary information on the regulations and conditions of eligibility to services. They can also help connect migrants with solidarity networks - social media groups, hometown associations and other non-governmental organisations assisting migrants and refugees, or with the private sector offering jobs, vocational and entrepreneurial opportunities. Additionally, access to information and communication technology such as social platforms and different applications can allow migrants and refugees to acquire linguistic and other training, thereby providing possibilities for them and their host communities to bridge the cultural, gender, educational and other gaps, by changing

Box 5.7. Portugal's National / Local Support Centers of Migrants, CNAIM/CLAIM

In Portugal , the High Commission for Migrations, the public institution that coordinates policy-making at the national level, has been actively promoting the integration of migrants and refugees into Portuguese society and public life based on mutual respect, dialogue, rule of law and social cohesion. Recently, the High Commission established national and local support centers, which offer migrants a comprehensive line of services. Specialized services comprise social integration income, family allowance, prenatal allowance, retirement and disability pension, and the introduction of the Office for Support of Indebted Migrants and the National Action Plan Against Female Genital Mutilation. The model has been replicated in Belgium, Germany, Czech Republic and Poland.

Horizontal integration--Three national hubs were created. A centralized phone hotline service in different languages was introduced. The national and local support centers are under the direct authority of the President of the Council of Ministers. They work in cooperation with the Immigration and Border Service, Ministry of Health, Justice, Education, and others, and are part of the National Strategic Plan on Migration (2015-2020).

Vertical integration--60 Local Support Centers were created. Municipalities handle mediation and are involved in the design and implementation of services. Mobile Field Teams were also introduced.

Engagement--70 intercultural mediators fluent in 14 languages were hired. Civil society, migrant associations and the private sector were involved in design and implementation.

Source: UNPSA, 2017.

the ways in which they communicate, interact and engage with each other.[91] Gherbtna, for instance, is a newly-launched app by a Syrian refugee living in Turkey. The app allows its users to search for nearby available job positions, and provides news on Turkish regulations regarding residence permits and registration requirements for Syrian students at Turkish universities.[92]

Among many services that are relevant, this chapter briefly examines the case of housing. Other types of services such as access to public transportation, social protection, access to banking, energy, technology, infrastructure and others are equally important but are not considered here for lack of space.

The United Nations Special Rapporteur on adequate housing[93] as well as the United Nations Special Rapporteur on the Human Rights of Migrants[94] have repeatedly expressed that a minimum level of housing assistance that ensures human dignity should be afforded to migrants and refugees, including to migrants in irregular situations. All the same, these groups often lack access to adequate housing. In some cases, the legal frameworks are in place but in practice the regulations are burdensome and the required documents are practically impossible to obtain.[95] At other times, migrants are subject to landlords' intimidation and cannot defend their rights, due to lack of adequate linguistic skills and knowledge of their rights or for fear of being deported.[96]

When migrants in irregular situations and others have access to public housing, they are often subject to eviction, often without notice or provision of alternative accommodation. Upon eviction, they may become homeless or live in less safe conditions such as dilapidated and overcrowded dwellings, abandoned buildings, shacks with no access to basic services.[97] They can also be sent to detention centres before being forcefully deported.[98]

Refugee camps or transitional camps also often leave refugees to the whims of inclement weather, physical hazards, and unsanitary and unsafe living conditions.[99] Recognizing these shortcomings, UNHCR has attempted to provide solutions by transforming refugee camps into "integrated communities," where refugees and local residents can trade with each other, live in harmony and access services.[100]

From the perspective of refugees, poor linguistic skills, lack of information about housing services and alternatives, discrimination, bureaucratic hurdles and lack of affordability may present barriers to their access to housing. From the perspective of public authorities, lack of financial capacity, dearth of adequate infrastructure, dispersal schemes on residency of refugees versus individual choice[101] are among the pressing challenges. From an integration perspective, national housing strategies rarely include migrants, and almost always exclude migrants in irregular situations.[102] Locally, there is often insufficient coordination among municipalities on housing policies and services as well as lack of collaboration between them and the central government. Even when policies entailing a division of labour in providing housing services exist, cooperation can be unsteady owing to budgetary and capacity-related issues.[103] Some local governments have taken measures, such as Catalonia, which developed a plan for the right to housing, including migrants as one of the vulnerable groups.[104]

Lack of integration of housing policies into national and local development plans and their limited coordination can exacerbate the difficulties faced by migrants and refugees trying to find adequate shelter. In many countries, access to social or community-based housing is unavailable for migrants and refugees, who have few choices but to rely on charitable institutions, NGOs and private citizens to find accommodation.[105] Innovations in housing services for migrants and refugees have included an expanded role of civil society, the use of technology to engage communities, and the rapid building of non-traditional housing facilities such as multi-family dwelling units, residential hotel units, containers transformed into homes, hosting of migrants and refugees by local families in their homes, and others.

One specific example of innovative housing policy with respect to refugees comes from Hamburg, Germany, which developed a City Science Lab where citizen volunteers help find homes for refugees. Drawing on data provided by the planning department of the Hamburg government, this exercise helps hone the local knowledge about the available land and potential building sites. It also helps connect locals with migrants and refugees. Hamburg has also challenged the national housing code to enable the city to place refugee centres in underutilized commercial buildings and on open sites in residential neighbourhoods.[106]

Innovative housing schemes have not only originated from local or national governments and civil society organizations. Refugees and migrants themselves have participated in the stream of creative housing solutions and services. One such example comes Tindouf, Algeria, where a Sahrawi refugee has been building homes out of plastic bottles for refugees in his camp.[107]

5.5. Conclusions

Policy-makers and policy communities[108] across the world are interested in learning about institutional and public management modalities, legal policy frameworks, institutional arrangements, and administrative measures to better link international migration with policies for sustainable development.[109] Taking stock of this need, this chapter asked what is the role of public institutions and public servants in facilitating effective and inclusive policy-making, and in making the relevant linkages between international migration and the SDGs and relevant targets.

The answer to this question is complex. Migration can be seen from a multiplicity of perspectives – economic, security-related, human rights-related, etc. This requires multi-disciplinary and multi-dimensional approaches. Some scholars have underlined the need for public institutions and public servants to play a greater role in integrating migration with sustainable development.[110]

In many countries national administrative capacity is already weak and unable to fulfil the needs of the citizens. Within countries, there is also often a difference of capacity between the central level of administration and the local level, as well as between large cities and small towns – the latter may more easily be overwhelmed by the overstretch of public services.

Given the complexity of horizontal and vertical coordination in relation to migration issues, it is important to clarify the responsibilities and accountability of the various parts of government, as well as to recognize the comparative advantages that the different levels and agencies of government may have. The local level is often an auspicious place to solve coordination issues –particularly in relation to migrants' access to housing, employment, education, health, and other services. Nationally, coordination is better handled on policy issues such as administrative clearance for admission in a country, a minimal list of things that the migrant may need initially, such as a work permit, school admission, housing, and the like. At the same time, it is important to recognize the differences that may exist across different jurisdictions in terms of capacity and resources to address the migration issue. Burden-sharing and appropriate allocation of resources is a critical aspect of both horizontal and vertical integration.

Regarding horizontal policy integration, the analysis shows that migration and refugee movements figure in countries' national development agendas, programmes, plans and legislative frameworks irrespective of their geographical location, level of economic development, and system of government. Regarding vertical policy integration, local governments, particularly cities, have played an increasing role in linking issues and concerns on migrants and refugees with sustainable development policies and approaches to public services.

This chapter also finds that engagement of non-governmental actors in migration is often strong, although understanding the role of civil society organizations, the private sector and migrant and refugee-run organisations in migration policy-making and institution-building would require further systematic analysis. Inclusive design, implementation, and participatory monitoring and evaluation of services are important.

Based on these conclusions and findings, the chapter makes the following five recommendations to policy-makers.

First, policy integration is as much bottom-up as it is top-down. While this chapter has chosen to look at the question of migration-development integration in the order of horizontal, vertical integration and engagement, engagement and non-governmental initiatives of integration are no less important than those undertaken by central or local governments.

Contributions by myriad refugee and migrant organizations to innovative service design and implementation attest to this fact. In this regard, creating national platforms for learning and sharing practices about integrative policies related to migration and development and innovative initiatives by communities could be relevant.

Second, the capacities, capabilities and resilience of migrants and refugees are key to linking migration with development. In practice, public sector innovations, particularly with respect to public services, often sprout from individual initiatives at the local level. In this regard, there is a need to undertake research on local initiatives that promote the capabilities of migrants and refugees and the steps they undertake to contribute to public innovation. Decentralization and local governance in this context can be important enabling factors for bottom-up integration.

Third, even though governments and non-governmental organisations are active in policy planning and implementation in relation to migration and development, these initiatives are only rarely evaluated. Particularly, evaluation of migration-related programmes in public administration is scarce. There is a need for taking stock of lessons learned. Monitoring and evaluation activities themselves should be integrated horizontally and vertically, with focus on proper data collection, disaggregation and analysis.

Fourth, "more integration" does not automatically result in enhanced well-being for migrants themselves, as in some cases, increased linkages across parts of the government (including at different geographical levels) can result in threats to the human rights of and opportunities for migrants. For instance, tensions may appear between the national and local levels regarding law enforcement in relation to the legal status of migrants. Public institutions must be ready to overcome such challenges, including by using effective policy integration strategies, some of which are outlined in this chapter.

Finally, integration of migration and development at all levels of public administration is not merely a technical or rational process but is also about cultural awareness, politics and perceptions. There is thus a need for putting in place appropriate awareness and communication strategies and accountability systems in public administration.

Migration and refugee issues are likely to remain high on policy-makers' agenda. Effective horizontal and vertical policy integration and engagement with non-governmental actors are all relevant to the efforts of public institutions and public administration to address them. In the end, countries' own circumstances and aspirations will determine how migration will be integrated with other sustainable development areas.

Endnotes

1 International migrants including refugees and asylum-seekers are often subject to smuggling and trafficking. This is a prime example of a policy area requiring cross-sectoral coordination. Addressing the needs of victims of human trafficking requires multidisciplinary approaches ranging from the use of law enforcement to awareness-raising and education, access to healthcare, providing protection and assistance to victims, and addressing the factors that lead to trafficking in the first place. Early detection and coordination requires the involvement of many actors, including national and local government agencies, the police, courts, social workers, healthcare personnel, educators and non-governmental organisations.

2 See page 12 for more information on the sample of countries.

3 About 2,932 applications dating back to 2002 were vetted to find about 130 relevant cases. For more on UNPSA, see https://publicadministration.un.org/en/UNPSA

4 Innovative services can be defined as those that make use of new tools, or employing the previously available ones in new and creative ways to provide solutions to specific problems, ideally in such ways that they create value for significant numbers of people, and can be rolled out and replicated in a relatively easy and cost-effective manner. On this, see Wharton. *Why Innovation Is Tough to Define — and Even Tougher to Cultivate*. University of Pennsylvania: 30 April 2013. Available at http://knowledge.wharton.upenn.edu/article/why-innovation-is-tough-to-define-and-even-tougher-to-cultivate/

5 On the causes and consequences of migration, see e.g. OECD. *Interrelations between Public Policies, Migration and Development*. Paris: OECD, 2017.

6 United Nations Department of Economic and Social Affairs, Statistics Division. Recommendations on Statistics of International Migration Revision 1. New York, 1998. ST/ESA/STAT.SER.M/58/rev.1

7 Most experts agree that an international migrant is someone who changes his or her country of usual residence, irrespective of the reason for migration or legal status. Refugees are persons who are outside their country of origin for reasons of feared persecution, conflict, generalized violence, or other circumstances that have seriously disturbed public order and, as a result, require international protection. The corresponding definition can be found in the 1951 Convention. An asylum-seeker is someone whose request for sanctuary has yet to be processed. For more on definitions, see United Nations. Refugees and Migrants. 2018. Available at https://refugeesmigrants.un.org/definitions and United Nations Refugee Agency (UNHCR). Asylum-seekers. 2018. Available at http://www.unhcr.org/en-us/asylum-seekers.html. International migration does not include internally displaced people (IDPs), who move within national borders.

8 United Nations Department of Economic and Social Affairs, Population Division. International Migration report 2017. New York.

9 For more on statistics, see the United Nations Department of Economic and Social Affairs, Population Division at http://www.un.org/en/development/desa/population/migration/data/estimates2/estimates15.shtml and the Pew Research Center. *Global Attitudes and Trends*. May 2016. Available at http://www.pewglobal.org/2016/05/17/global-migrant-stocks/?country=US&date=2015

10 United Nations High Commissioner for Human Rights (OHCHR). *The Economic, Social and Cultural Rights of Migrants in an Irregular Situation*. New York and Geneva: 2014.

11 Walker, R. et al. "Negotiating the City: Exploring the Intersecting Vulnerabilities of Non-national Migrant Mothers Who Sell Sex in Johannesburg, South Africa," in *Empowering Women for Gender Equity* (July 2017): 1-13. Available at http://www.tandfonline.com/doi/full/10.1080/10130950.2017.1338858

12 See Papademetriou, D. G. and P. L. Martin, eds. 1991. The Unsettled Relationship. Labor Migration and Economic Development. New York: Greenwood Press; De Haas, M. "Migration and Development: A Theoretical Perspective," in *International Migration Review* 44, 1 (Spring 2010): 227-264. Available at http://onlinelibrary.wiley.com/doi/10.1111/j.1747-7379.2009.00804.x/full; Ibid. "The Migration and Development Pendulum: A Critical View on Research and Policy," in *International Migration* 50, 3 (June 2012). Available at http://onlinelibrary.wiley.com/doi/10.1111/j.1468-2435.2012.00755.x/abstract

13 Journals reviewed (2015-17): *International Migration, Refuge, Journal of Identity and Migration Studies, Journal on Migration and Human Security, Revue européenne des migrations internationales, Hommes et Migration, Population, Autrepart*.

14 Journals reviewed: *Public Administration Review, International Review of Administrative Sciences, Policy Sciences, Public Administration Quarterly, Journal of Public Management and Social Policy, Public Integrity, The American Review of Public Administration, Chinese Public Administration Review, CPAR, Revue française d'administration publique, Revue canadienne des sciences de l'administration*.

15 On security perspectives, see Lavenex, S. and R. Kunz. "The Migration-Development Nexus in EU External Relations," in *Journal of European Integration* 30, 3 (July 2008): 439-457; and Perin, R. C. and M. Consito. "Addressing Public Security and Administrative Protection of Human Rights in the Reception of Asylum Seekers: The Italian Paradigm." *IIAS Conference Paper*. Aix-en-Provence: France, May 2017.

16 Box 1 is for illustrative purposes only. The box does not imply that stakeholders agree on the number of migration-related targets. Also, some of the cited indices and processes outlining these linkages may have changed over time and enumerated other linkages. UN DESA. Population Facts. Population Division. (December 2015) available at http://www.un.org/en/development/desa/population/migration/publications/populationfacts/docs/MigrationPopFacts20155.pdf. The *Index of Human Mobility Governance* is available at http://indicators.ens-dictionary.info/indicator:10-7-1. GFMD is available at https://gfmd.org/files/documents/gfmd_recommendations_to_the_2017_hlpf.pdf. *Former Migration Governance Index* is available at https://gmdac.iom.int/migration-governance-index-mg. The current and renamed version, Migration Governance Indicators do not appear in the 2016 publication (see p.10). Available at https://publications.iom.int/system/files/pdf/migration_governance_index_2016.pdf. GMPA: see http://www.un.org/en/development/desa/population/migration/events/coordination/14/documents/backgrounddocs/GMPA_14CM.pdf. The 2035 Agenda for Facilitating Human Mobility (A/HRC/35/25) is available at https://www.iom.int/sites/default/files/our_work/ODG/GCM/A_HRC_35_25_EN.pdf. Additional indexes or sources attempting to measure migration include: *Labor Migration Policy Index* by Oxford University--http://files.shareholder.com/downloads/MAN/0x0x267291/1ab18a07-99d7-4b47-89d8-ebc56e54d4aa/Oxford; *Global Migration Barometer* by the Economist Intelligence Unit --https://www.eiuperspectives.economist.com/sites/default/files/TheWealthyMigrant.pdf, *DEMIG Database* by International Migration Institute --https://www.imi.ox.ac.uk/data/demig-data/demig-policy-1; MIPEX Database by the European Union --http://www.mipex.eu/; *IMPIC (Immigration Policies in Comparison) Project* by Marc Helbling of the University of Bamberg --http://www.marc-helbling.ch/?page_id=6; *IMPALA (International Migration Policy and Law Analysis)* by a consortium of universities --http://www.impaladatabase.org/; *Refugee Burden Index* by Mathias Czaika of the University of Oxford--https://papers.ssrn.com/sol3/papers.cfm?abstract_id=839233, *Refugee Welcome Index* by Amnesty International--https://www.amnesty.org/en/latest/news/2016/05/refugees-welcome-survey-results-2016/; and *Government Views of Migration and World Population Prospects* by

UNDESA/Population Division --http://www.un.org/en/development/desa/population/migration/publications/wallchart/index.shtml. OECD has a comprehensive migration database disaggregated by several developmental variables available at https://stats.oecd.org/Index.aspx?DataSetCode=MIG. The European Commission targets migrant integration in its Zaragoza Indicators available at https://bluehub.jr.ec.europa.eu/catalogue/dataset0031. The World Bank's KNOMAD is working on a dashboard of indicators of Policy Coherence for Migration and Development (PCMD) for originating and sending countries with five policy dimensions available at http://workspace.unpan.org/sites/Internet/Documents/Nov1%20Plaza%202017.pptx.pdf. Qualitative databases include, i*nter alia, Country Profiles of Migration* by BPB (The Federal Center for Civic Education, Germany) available at http://www.bpb.de/gesellschaft/migration/laenderprofile/; *Migration Profiles Repository* by GFMD available at https://gfmd.org/pfp/policy-tools/migration-profiles/repository?shs_term_node_tid_depth=176&field_year_tid=All&field_language_tid=All&field_partner_organization_tid=All&page=1; and the *Global Migration Data Portal* by IOM, available at https://gmdac.iom.int/global-migration-data-portal.

17 The 1948 United Nations Universal Declaration of Human Rights, the 1966 International Covenant on Civil and Political Rights, the 1966 International Covenant on Economic, Social and Cultural Rights, the 1984 United Nations Convention Against Torture, the 1989 United Nations Convention on the Rights of the Child and other related rights-based conventions and agreements are all important in addition to the 1951 Refugee Convention and its 1967 Protocol, and several regional variants and extensions of the latter two, such as the 1969 Refugee Convention of the Organization of African Unity and the 1984 Cartagena Declaration by the Organization of American States.

18 See Levitt, P. and B.N. Jaworsky. "Transnational Migration Studies: Past Developments and Future Trends," in *Annual Review of Sociology* 33, 1 (April 2007): 129-156; Meer et al. eds. *Interculturalism and Multiculturalism. Debating the Dividing Lines*. Edinburgh: Edinburgh University Press, 2016.

19 An important illustration in the case of refugees is UNHCR's 10-Point Plan of Action on Refugee Protection and Mixed Migration, which aims to assist governments and others with incorporating protection considerations into migration policies. As for migrants, a significant initiative is the Migrants in Countries in Crisis (MICIC) Initiative, a government-led effort co-chaired by the United States and the Philippines, which aims to improve the protection of migrants when the countries in which they live, work, study, transit, or travel experience a conflict or natural disaster.

20 On economic perspectives, see Ellerman, D. "Labour Migration: Developmental Path or a Low-level Trap?" in *Development in Practice* 15, 5 (August 2005): 617-63. Available at http://www.ellerman.org/Davids-Stuff/Dev-Theory/Migration-Path-or-Trap.pdf; Czaika, M. and C. Vargas-Silva (eds.) *Migration and Economic Growth*. London: Edward Elgar Publishing, 2012; Angenend, S. and N. Harild. "Tapping into the Economic Potential of Refugees." *SWP Comments 14*. Berlin, Germany: May 2017: 1-4; H. Ersek. "Beyond the Headlines: Quantifying the Economic Contributions of Migrants." *World Economic Forum Annual Meeting*. Davos, Switzerland: 13 January 2017. Available at https://www.weforum.org/agenda/2017/01/beyond-the-headlines-quantifying-the-economic-contributions-of-migrants/

21 Brain drain has long been thought of as a major developmental barrier. Whereas it remains a serious concern in developing countries, as reflected by the presence of this issue in numerous UN documents, its beneficial effects have also been increasingly highlighted, including in the form of remittances, enhanced trade links between the sending and receiving countries, and reinvigorated return programmes.Several countries such as Serbia, Ghana and India took initiatives to attract back their nationals living abroad. See Vezzoli, S. et al. "Building Bonds for Migration and Development: Diaspora Engagement Policies of Ghana, India and Serbia." *GTZ Discussion Paper*. Bonn: Germany, 2008. On the case of Algeria, see Madoui, M. "Migration hautement qualifiés et retour des compétences expatriées : Enjeux et réalités," in *Sociologie pratiques* 1, 34 (9-19 May 2017) : 153-154. Although brain drain See Bhalla, J. *Skills Migration: From Drain to Gain*. London: Africa Research Institute, 30 September 2020. Available at https://www.africaresearchinstitute.org/newsite/blog/skills-migration-from-drain-to-gain/.

22 GFMD. *Migration, Mainstreaming, Education and Health*. New York: UNICEF. 20 May 2013. Available at file:///C:/Users/peride.blind/Downloads/Migration_Mainstreaming_Education_and_Health-Draft2c-UNICEF-DPS_20May2013%20(2).pdf

23 On economic remittances, see World Bank. "Migration and Remittances. "*Migration and Development Brief 26*. Washington DC, April 2016. Available at http://pubdocs.worldbank.org/en/661301460400427908/MigrationandDevelopmentBrief26.pdf. On social remittances and transnationalism, see Lacroix, T. "Social Remittances and the Changing Transnational Political Landscape," in *Comparative Migration Studies* 4, 16 (December 2016). Available at https://link.springer.com/article/10.1186/s40878-016-0032-0.

24 Conventions Nos. 97 and 143 on *Migration in Abusive Conditions and the Promotion of Equality of Opportunity and Treatment of Migrant Workers*; Recommendations No. 86 and 151; ILO's *Multilateral Framework on Labor Migration*; ILO *Convention on Decent Work for Domestic Workers* 2011 (No.189); Convention No.111 on *Discrimination in Occupation*; and No. 158 are on *Equality of Treatment*.

25 Cervan-Gil, D. "Host Society Integration as a Development Vector: A Literature Review." *KNOMAD Working Paper 9*. Washington DC: World Bank, March 2016: p.8. http://www.knomad.org/sites/default/files/2017-04/KNOMAD%20Working%20Paper%209%20Integration%20and%20Development_final%20Formatted.pdf

26 Collier, P. and A. Betts. *Refuge: Transforming a Broken Refugee System*. United Kingdom: Penguin Books, 2017.

27 McLeman, R. cited in "In Search of a Cleaner Way of Life" by Keung, N. in Toronto Star published on March 11, 2016. Available at https://www.thestar.com/news/immigration/2016/03/11/environmental-migrants-breathing-easier-in-canada.html; and Mixed Migration Platform. "Migration, Displacement and the Environment." *Briefing Paper #3*. April 2017. Available at http://www.blog.mixedmigrationplatform.org/wp-content/uploads/2017/05/MMP_Briefingpaper_Migration-displacement-environment.pdf

28 IDMC (Internal Displacement Monitoring Centre) and Norwegian Refugee Council. *Key Findings*. Geneva: March 2013. Available at http://www.internal-displacement.org/assets/library/Media/201503-SendaiReport/Meta-Analysis-Key-findings-English2.pdf

29 Bruch, C. « A Toolbox for Environmentally Displaced Persons, » in the *Environmental Forum*. Washington DC: Environmental Law Institute, Nov/Dec 2016.

30 McAdam, J, 2011, Swimming against the Tide: Why a Climate Change Displacement Treaty is Not the Answer, *International Journal of Refugee Law*, 23, 1, 2–27.

31 Maldives, constituted by 1,200 islands and coral atolls has interlinked its environment, economic and migration policies, nowhere better symbolically illustrated than in a 2009 cabinet meeting held under water and the establishment of a sovereign wealth fund to buy a new homeland elsewhere in case the entire nation were to leave and become stateless. See Kothari, U. "Political discourses of climate change and migration: resettlement policies in the Maldives," in *The Geographical Journal,* 180, 2 (June 2014): 130-140.

[32] For such a comprehensive overview, see IOM. *Essentials of Migration Management- A Guide for Policy Makers and Practitioners" (EMM)*. Geneva, Switzerland: 2004.

[33] Report of the Expert Group Meeting on Integrated Approaches to International Migrations: the Perspectives of Public Institutions and Public Administration, organized by the UN Division for Public Administration and Development Management, New York, 1 November 2017. Available at: http://workspace.unpan.org/sites/Internet/Documents/UNPAN97754.pdf.

[34] Country selection was made based on regional representation, government systems, economic and human development levels, legal traditions, historical backgrounds, ethnic and cultural population mixes, regime types, the dominant migrant-emitting, -transit, and -receiving country trends, etc. The selection was also largely based on the availability of information.

[35] The outputs are descriptive and the goal is not to evaluate or rank countries in terms of the degree of horizontal and vertical integration or engagement.

[36] The analysis was undertaken through five different means: keyword search and meaning analysis of migration and refugees found in their constitutions; keyword analysis of countries' national development programs or sustainable development plans and strategies; content analysis of countries' Voluntary National Reviews (VNRs) presented at the UN high-level political forum on sustainable development (HLPF analysis of countries' migration institutions or institutional arrangements; sectoral analysis of countries' labour, education and health policies covering migrants and refugees.

[37] OHCHR. "Committee on the rights of migrant workers considers the report of Ecuador." News. Geneva, Switzerland: 5 September 2017. Available at http://www.ohchr.org/EN/NewsEvents/Pages/DisplayNews.aspx?NewsID=22027&LangID=E

[38] UN High Commissioner for Refugees (UNHCR). *UNHCR welcomes Ecuador's new Human Mobility Law, 13 January 2017*. Available at: http://www.refworld.org/docid/5878cf164.html

[39] VNRs are the "regular and inclusive reviews of progress at the national and sub-national levels, which are country-led and country-driven", as stipulated in paragraph 79 of the 2030 Agenda for Sustainable Development. These national reviews are expected to serve as a basis for the review of progress conducted yearly by the high-level political forum (HLPF) when it meets under the auspices of auspices of ECOSOC. For more on VNRs and HLPF, see United Nations Sustainable Development Knowledge Platform. Available at https://sustainabledevelopment.un.org/vnrs/

[40] Ugyel, L. "Ideal Types in Public Administration," in *Paradigms and Public Sector Reform*. Palgrave Macmillan, Cham: 2016.

[41] See Human Rights Watch. The Dangerous Rise of Populism. *World Report 2017*. New York: HRW. Available at https://www.hrw.org/world-report/2017/country-chapters/dangerous-rise-of-populism; and Norris, P. "'Us and Them': Immigration, Multiculturalism, and Xenophobia" in *The Rise of the Radical Right*. Boston, Mass.: Harvard University Press, 2004. Available at https://sites.hks.harvard.edu/fs/pnorris/Acrobat/Radical_Right/Chapter%208.pdf

[42] For more on the methodology, see UNODC and Dutch National Rapporteur on Trafficking in Human Beings and Sexual Violence. Research Brief: Monitoring Target 16.2 of the United Nations Sustainable Development Goals: A multiple systems estimation of the numbers of presumed human trafficking victims in the Netherlands in 2010-2015 by year, age, gender, form of exploitation and nationality. 28 September 2017. Available at https://www.unodc.org/documents/research/UNODC-DNR_research_brief_web.pdf

[43] Report of the Expert Group Meeting on Integrated Approaches to International Migrations: the Perspectives of Public Institutions and Public Administration, organized by the UN Division for Public Administration and Development Management, New York, 1 November 2017.

[44] The Guardian. Brazil's refugee policy needs a radical overhaul in response to Venezuela's crisis. 15 June 2017. Available at https://www.theguardian.com/global-development-professionals-network/2017/jun/15/brazil-refugee-policy-needs-a-radical-overhaul-in-response-to-venezuela-crisis

[45] Report of the Expert Group Meeting on Integrated Approaches to International Migrations: the Perspectives of Public Institutions and Public Administration, organized by the UN Division for Public Administration and Development Management, New York, 1 November 2017.

[46] See Elemia, C. *The Bleak Future of Undocumented Migrant Workers in ASEAN. Part I and Part II*. February 15, 2017. Available at https://www.rappler.com/world/regions/asia-pacific/161127-plight-undocumented-migrant-workers-asean and at https://www.rappler.com/world/regions/asia-pacific/161179-bleak-future-undocumented-workers-asean-2017

[47] Expert Group Meeting. Integrated Approaches to International Migration. New York: UNDESA, 1 November 2017. Available at https://publicadministration.un.org/en/news-and-events/calendar/ModuleID/1146/ItemID/2949/mctl/EventDetails

[48] For more, see OECD. *Indicators of Immigrant Integration*. Vienna: OECD, July 2015; and OECD. *Making Integration Work: Refugees and Others in Need of Protection*. Paris: OECD, January 2016.

[49] See Hungwe, C. "Motivations for Remitting Behaviour of Zimbabwean Migrants in Johannesburg," in *Journal of Identity and Migration Studies* 11, 1 (2017): 47-64. Available at file:///C:/Users/peride.blind/Downloads/JIMS_HUNGWE.pdf

[50] For more, see Sorana, T. and E. Castagnone. "Quels sont les facteurs de migration multiple en Europe? Les migration sénégalaises entre la France, l'Italie et l'Espagne, » in *Population* 70, 1 (2015): 69-101.

[51] Spencer, S. "Postcode Lottery for Europe's Undocumented Children: Unravelling an Uneven Geography of Entitlements in the European Union," in *American Behavioral Scientist* 60, 13 (November 2016): 1613-1628.

[52] Save the Children. *Multi-sector Needs Assessment of Migrants and Refugees in Greece: Athens, Lesvos, Chios, Kos*. 2015. Available at https://resourcecentre.savethechildren.net/sites/default/files/documents/greece_assessment_report.pdf

[53] Hürriyet. "Syrian and Turkish children go to school together in Turkey's southeast." 2 November 2017. Available at http://www.hurriyetdailynews.com/syrian-and-turkish-children-go-to-school-together-in-turkeys-southeast-121796

[54] NPR. *Only One Country Offers Universal Health Care to All Migrants*. Washington DC: March 2016. Available at www.npr.org/sections/goatsandsoda/2016/03/31/469608931/only-one-country-offers-universal-health-care-to-undocumented-migrants

[55] Byrne, K. "Migrant, Refugee or Minor? It Matters for Children in Europe," *Forced Migration Review* 54 (2017): 1-4.

[56] Often healthcare staff have received training on issues related to human trafficking, sexual and other exploitation, trauma and various other types of human rights abuses that migrants in irregular situation and refugees may have undergone.

[57] Modern Healthcare. *Safety Net Systems Step Up Care for Immigrants Barred from ACA Coverage*. 15 October 2016.

58 McMichael, C. and J. Healy. "Health Equity and Migrants in the Greater Mekong Subregion," *Global Health Action* 10, 1 (2017)" 1-10.

59 Zapata-Barrero, R. et al. "Theorizing the 'Local Turn' in a Multi-Level Governance Framework of Analysis: A Case Study in Immigrant Policies," in *International Review of Administrative Sciences* 83, 2 (2017): 241-246.

60 Faist, T. "Diversity—A new mode of incorporation?" in *Ethnic and Racial Studies* 32 (2009): 171-190.

61 Baubock, B. "Reinventing Urban Citizenship," in *Citizenship Studies* 72, 2 (2003): 139-160.

62 The legal dictionary defines a denizen as someone with an intermediate status between a natural born individual and an alien. For more on citizenship versus denizenship, see Turner, B.S. "We Are All Denizens Now: On the Erosion of Citizenship," in *Citizenship Studies* 20, 6-7 (February 2016): 679-692.

63 Szczepanik, M. "The 'Good' and 'Bad' Refugees? Imagined Refugehood(s) in the Media Coverage of the Migration Crisis," in *Journal of Identity and Migration Studies* 10, 2 (2016): 23-33.

64 For more, see Rodriguez-Acosta, C. "Managing Immigration in the United States: The Challenges of Intergovernmental Coordination." *IIAS Conference Paper*. Aix-en-Provence, France: May 2017.

65 The Guardian. *Mexico City's Deportee Work Program Helps the Ousted Migrants Resettle*. 2 March 2017. Available at https://www.theguardian.com/world/2017/mar/02/mexico-city-deportation-work-program-undocumented-immigrants.

66 For more on Barcelona's Refuge City Plan, see the website of the city government available at http://ciutatrefugi.barcelona/en/plan.

67 Zhao, H. "The Integration of Immigrants in Urban China: A Case Study of Three Big Cities." I*IAS Conference Paper*. Aix-en-Provence, France: May 2017; and Zhao, S. "International Migrant Policy in Mainland China: Status and Trends." *idem*.; Liu, Y. "Talents' Policy Integration: A Case Study of China's Typical Cities." *Idem*.

68 Ruediger, M.A. "Analysis and Evaluation of Brazilian Work-led Immigration Policy." *Idem*., p.18.

69 See Ucar, A. Y. and G.B. Coskun. "The Impact of the Syrian Refugees' Crisis on the Municipalities of the District of Istanbul, Turkey." I*IAS Conference Paper*. Aix-en-Province, France: May 2017.

70 *Ibid*.

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CHAPTER

6

INTEGRATED APPROACHES TO HEALTH AND WELL-BEING

6.1. Introduction

Health is a human right and a core aspiration of every human being. Not only is health itself a dedicated goal of the 2030 Agenda for Sustainable Development Goals (SDGs), it is also recognised as a prerequisite, contributor and indicator for all other Goals. Conversely, health outcomes are influenced by a multitude of factors that correspond to policy areas located outside the health sector.

Health is defined as a state of complete physical, mental and social well-being, and not merely the absence of disease or infirmity.[1] Compared to the Millennium Development Goals (MDGs), the SDGs adopted a broader notion of health and well-being, and acknowledged today's burden of diseases. While maternal deaths (SDG Target 3.1), neonatal and under-five deaths (Target 3.2) and communicable diseases (Target 3.3) are still serious threats, there is increasing concern of non-communicable diseases and mental health issues (Target 3.4), substance abuse (Target 3.5) and traffic road accidents (Target 3.6). Ensuring universal health coverage (Target 3.8), universal access to sexual and reproductive health-care services (Target 3.7) and reducing mortality rates attributed to pollution and contamination (Target 3.9) remain far-reaching and ambitious targets in many countries.

Multi-disciplinary work by the science community has highlighted the many linkages between SDG 3 and other SDGs.[2] The existence of strong linkages between health and other policy areas makes integrated approaches a necessity for improving health outcomes across the board. On one hand, most of the targets under SDG3 are unachievable through actions in the health sector alone. On the other hand, achieving health targets will contribute to the effective implementations of other goals and targets. The 2016 Shanghai Declaration on Health Promotion in the 2030 Agenda for Sustainable Development highlighted that "healthy lives and increased well-being for people at all ages can be only achieved by promoting health through all the SDGs and by engaging the whole of society in the health development process".[3] Recognising the cross-cutting nature and deep interlinkages of health with other sectors, the 2017 High Level Political Forum emphasized that investment in health will contribute to reduced inequality and to sustainable and inclusive economic growth, social development, environmental protection, and to the eradication of poverty. It also called for strengthening inclusive and resilient health systems, addressing the social, economic and environmental determinants of health and investing in scientific research and innovation to meet the health challenges.[4] Effective policies for the health sector also need to consider different perspectives, starting with those of users and beneficiaries of health services and those of service providers. And because health service provision is inherently local, integration and coordination across actors operating at different geographical levels is also a critical element of effective health policies. This highlights the value of integrated approaches to health.

The recognition of interlinkages and interdependency of health with other sectors and the call for integrated action are not new. Already four decades ago in the Alma-Ata Declaration, governments highlighted that the right to health "requires the action of many other social and economic sectors in addition to the health sector", and called for "the coordinated efforts of all related sectors and aspects of national and community development, in particular in agriculture, animal husbandry, food, industry, education, housing, public works, communications and other sectors".[5] In fact, many gains in health-related MDGs were recognised as being driven by progress in other sectors.[6,7] Global monitoring of health exhibits strong integration features, as exemplified by studies on the global burden of disease, which span data well beyond the health sector itself.[8] The framing of the 2030 Agenda has further and strongly reinforced this interdependency concept, highlighting that health, like other Goals, is indivisible from and integrated to the whole of Agenda 2030, although national circumstances and contexts are different.

Accordingly, as this chapter will highlight, a vast array of policies and institutional settings have been developed at the national level to address the various linkages between health and other SDG areas, with the aim of supporting integrated approaches. Research reveals, however, that the focus of many past and current attempts at integrated health initiatives has largely remained within the health care sector itself. In some cases, integration was seen in a siloed fashion, examining it through the lens of one specific health condition or illness.[9] It has been said that in other cases, attempts at integration have been focused on finding ways to make non-health sectors and actors serve the goals of the health sector, without necessarily considering the impact of health on those sectors and their overarching objectives.[10] Thus, the potential of integrated approaches to achieve synergies and minimise trade-offs, across sectors and government levels as well as across communities and other stakeholder groups, may remain relatively untapped in many countries.[11]

This chapter considers integrated approaches to health through the SDGs lens, based on peer-reviewed literature and limited scoping of grey literature in the field of public administration and public health. Examples of interlinkages of health with other sectors are presented through multisectoral determinants of health and a few selected nexuses. To look at integration, the chapter uses the three structuring dimensions introduced in chapter 1: horizontal or cross-sectoral integration, vertical integration across various levels of governments, as well as engagement of non-State actors.

6.2. Addressing interlinkages between health and non-health sectors

6.2.1. Multisectoral determinants of health

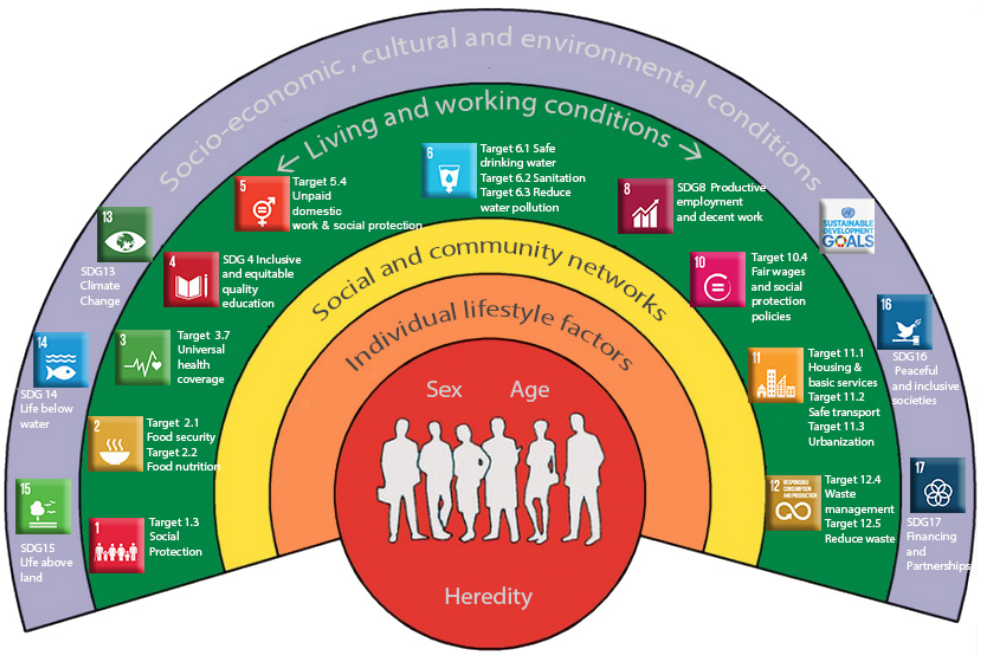
Evidence has shown that many of the enormous improvements in health experienced over the past two centuries owe as much to changes in broad economic and social conditions as to medical advances.[12,13] Such conditions can be seen as a complex web of determinants beyond the health sector, collectively referred to here as the multisectoral determinants of health and comprising of: (i) the social determinants of health; (ii) the commercial determinants of health; and (iii) the political determinants of health.

The well-established concept of "social determinants of health" highlights the influence of social, economic, cultural and environmental conditions as well as individual lifestyle factors on individual health and well-being.[14,15,16] The integrated nature of health is also articulated as "social medicine," given the strong relationships between health and the income level, housing circumstances, water and sanitation, nutrition, working environment that people encounter, among other factors.[17] About 12·6 million deaths annually, representing 23% of all deaths worldwide, are attributable to environmental factors.[18] On the one hand, the social determinants of health can influence the prevention, treatment and trajectory of illness of both physical and mental health. On the other hand, many health conditions and diseases are prevented, mitigated or precipitated by the conditions under which people are born, grow, learn, work, play, worship and age.[19] Figure 6.1 shows a mapping of social determinants of health as set out by Dahlgren and Whitehead in 1991, superimposed with relevant SDGs and targets.

The group of factors known as the commercial determinants of health stem from commercial and profit motives.[22,23] Highlighted in the 2017 Adelaide Statement on Health in All Policies,[24] these refer to commercial and related interests which stand to gain from the sale and marketing of unhealthy products, such as sugary drinks, unhealthy processed foods, tobacco, alcohol and drugs. One piece of research shows that national trade and investment policy is a plausible causal driver of adverse diet-related health outcomes as a result of high-sugar, high-fat and high-sodium food products, which relates directly to Target 3.4 on non-communicable diseases.[25] In some situations, the private sector, at times though a few large corporations, has the power to shape the national health discourse.[26] The marketing of unhealthy food as lifestyle choice has also been extensively critiqued, especially in relation to food for children and infants.[27] Although this issue has gained renewed attention from policymakers and other actors, some experts and practitioners view this policy area as insufficiently explored and highlight the need to understand the potential of regulations and sanctions in addressing the drivers and channels through which corporations propagate "profit-driven diseases".[28,29,30]

Figure 6.1.

Mapping of "Social determinants of health" as set out by Dahlgren and Whitehead (1991)[20], superimposed with SDGs



Source: Author's adaptation from Dahlgren and Whitehead, 1991.

Third is the role of political economy and governments. Differences in health outcomes are not just a matter of social conditions and health behaviours but are also a result of the interplay of political economy factors -- some of which are affected by government policies and government action or inaction at both national and local levels.[31] From health education and health promotion to urban planning to workplace health and safety to providing universal health coverage and combating epidemics, government policies and public institutions have always influenced and impacted on national health and well-being.[32]

The evidence base for the impact of multisectoral determinants of health has been strengthened considerably in the last decade. Such determinants, separately or collectively, are increasingly seen as a rationale for actions to achieve not just the health Goal but also other related SDG targets, for example, on education, labour and social protection policies.

For integrated approaches to be effective, an intricate and contextual understanding of the multisectoral determinants is required, including the historical context and how these determinants impact people's needs and influence different stakeholders' interests. This includes, among others, how an issue is framed–whether it be in terms of development, equity, economy in general or specific health target–and the extent to which this resonates with political agendas in both health and non-health sectors.[33]

One of the key challenges is how to effect change with understanding of the complex relationships of these multisectoral determinants and avoid a siloed approach to problem identification and solution.[34,35] Because of the complex interplay of macro-, meso- and micro- determinants of health, a persistent problem for public administrators in developing and evaluating health policies is identifying the causal link between a specific policy intervention and an improvement in a specific health outcome.[36]

Many determinants of health are perpetuated across generations -- not everyone starts on equal grounds, depending on birthplace, socioeconomic circumstances and other factors.[37] Implementation of integrated health approaches thus requires policymakers to be aware of these differences and seek to mitigate the risks of inequality through prioritization, inclusivity and social justice.

6.2.2. Health-SDGs nexuses

With the multiplicity of determinants of health, it is not surprising that relatively strong policy evidence and scientific agreement exist on the multiple interactions between health targets and other SDGs and targets in the 2030 Agenda.[38] A comprehensive assessment of the interlinkages and interconnectedness of health (SDG3) and other SDGs is beyond the scope of this chapter. For illustrative purpose, the following section briefly presents some of these relationships and interactions through: (i) the health-nutrition-food system nexus; (ii) the health-electricity-pollution nexus; and (iii) the health-poverty-inequality nexus.

The health-nutrition-food system nexus

Whereas hunger affects 870,000 people worldwide, malnutrition, or nutrient deficiencies, affects much larger populations, especially in Africa.[39] What we eat is more often than not limited by choice, but also depends on several drivers, as highlighted earlier. There is also a clear relationship between malnutrition and poverty.

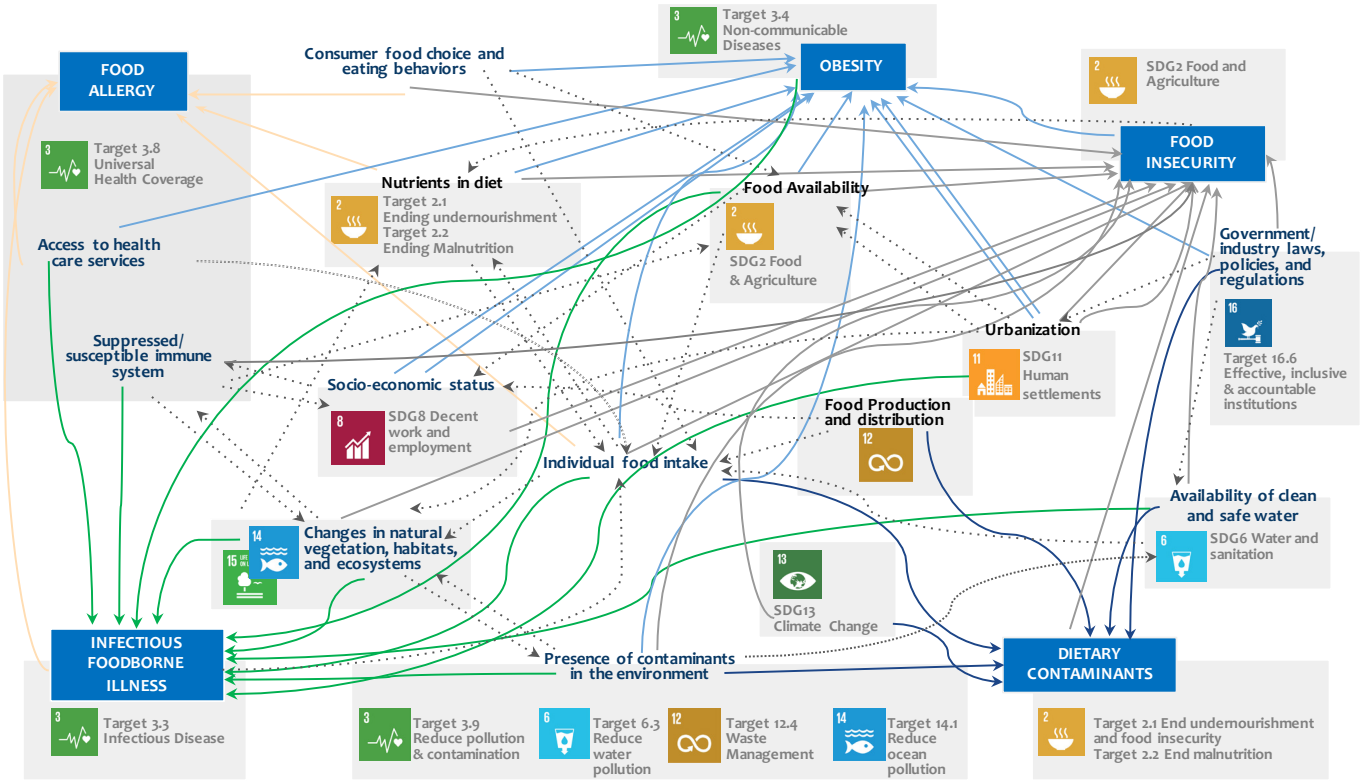
Food systems play a central role in generating and exacerbating health disparities.[40] Many epidemiological studies and government reports reveal drastic changes in recent decades in the way food is produced, distributed, advertised and consumed across all geographical regions.[41] Production patterns have changed, but the very strategies that promote efficient production of food, such as concentrated farming systems, monoculture cropping, and use of chemical inputs such as fertilizer, pesticides, and herbicides, have unintended consequences that threaten health and well-being.[42] Health disparities related to food consumption are also driven by the social, commercial and environmental impacts of food production and processing. It is estimated that one-third of all food produced for human consumption globally is lost or wasted every year.[43] There are obvious synergies between efforts to reduce food loss and manage waste (SDG target 12.3) and those promoting public health.[44]

In many countries, obesity and other diseases related to low-nutrient diets are growing rapidly.[45] Such diets usually contain either highly-processed food or high-calorie food, or both, that contribute to obesity and chronic diseases including heart disease, high blood pressure and cancer.[46] The growing availability of high-calorie, nutrient-poor foods is generating a new type of malnutrition, in which a growing number of people are both overweight and undernourished.[47] One study claimed that more people are obese than underweight in general, with problematic developments affecting people across income levels, but particularly acute for those living in low-income communities.[48] Strong evidence ties socioeconomic disparities to diet quality or diet healthfulness and to obesity and diet-related diseases.[49] Food insecurity has been found to be highly correlated with obesity.[50]

One illustration on health-nutrition-food-system nexus is shown in Figure 6.2, based on research conducted through screening over 5,000 references from relevant literature.[51] A conceptual model was developed to show the relationships among five food-related population health issues: (i) obesity; (ii) food allergy; (iii) infectious foodborne illness; (iv) food insecurity; (v) dietary contaminants; and how they are connected via shared drivers. Figure 6.2 shows the top 11 drivers and 227 interconnections identified that are common

Figure 6.2.

Causal map of top drivers of food-related health issues, superimposed with goals and targets of the 2030 Agenda



Source: Majowicz, S. E. et al. (2016) , with author's adaptation (superimposed with SDGs and targets).

Note: The map was drawn in a 2016 study based on 5,145 academic references, which found as food-related health issues (in increasing order): (i) obesity; (ii) food allergy; (iii) infectious foodborne illness; (iv) food insecurity; and (v) dietary contaminants. See footnote[52] for reference.

to two or more of the five main food-related health issues. This model highlights the importance of considering the impacts of multisectoral determinants in addressing nexus issues.[53]

The health-electricity-pollution nexus

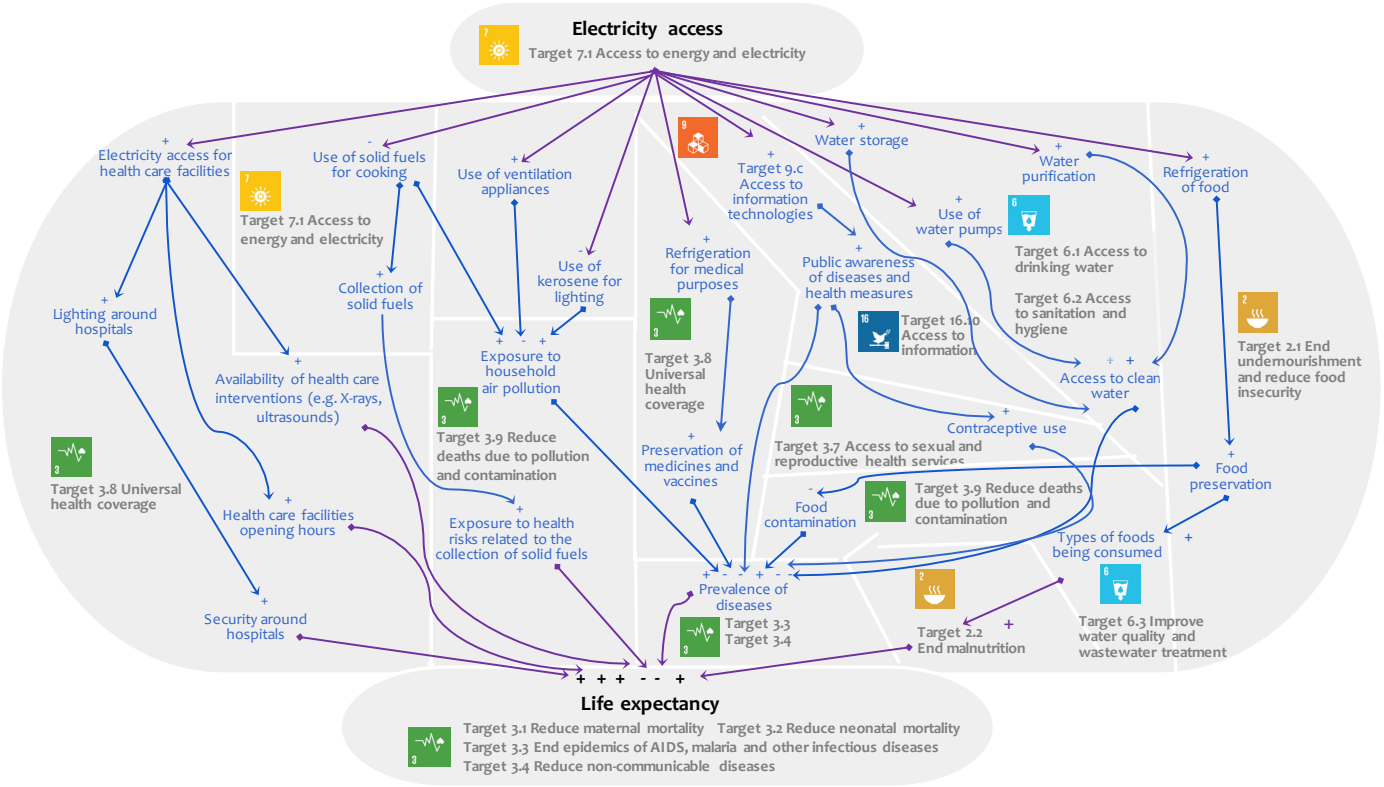
Reduction of ambient air pollution in cities is directly linked to improved health and reducing non-communicable diseases. Outdoor and indoor air pollution is responsible for 7 million deaths annually.[54] Household air pollution due to cooking with inefficient fuels and technologies led to an estimated 4.3 million deaths in 2012 worldwide, while ambient air pollution was responsible for 3 million deaths.[55] Large urban settlements in low and middle-income countries are the most exposed to this burden. Air pollution, whether indoor (household) or outdoor (ambient), increases the risk of cardiovascular disease, stroke, chronic obstructive pulmonary disease, lung cancer and acute respiratory infections. Exposure to household pollution is particularly high among women and young children, who tend to spend more time indoors and near the stove.[56]

Improved access to electricity has proved positive impacts on several multisectoral determinants of health. Not only does electricity access reduce the use of solid fuels and kerosene for cooking and lighting, which is still prevalent in many low-income settings, it also enables the use of alternative sources for heating and lighting such as electric kettles and light bulbs, and the use of ventilation appliances.[57] There are also reduced health risks related to fuel collection. In households, the availability of electric appliances improves food preservation, which both reduces contamination and enables an increase in the variety of foods that are being consumed. Electricity also enables the use of electric water pumps and water purification techniques.

Electricity also has positive impacts on health systems in communities. Electricity access enables refrigeration for medical purposes and improves health care infrastructure.[58] For example, refrigerated medicines and vaccines may be stored longer; health care facilities with electric lighting can be open after dark, and electricity enables the use of many health services and interventions such as x-rays and ultrasounds. With electricity access, information technologies

Figure 6.3.

Causal map of relationships of the health-electricity-life-expectancy nexus, superimposed with SDGs targets



Source: Collste, D., Pedercini, M. and Cornell, S. E. (2017),[59] with author's adaptation (superimposed with SDGs and targets).

Note: A '+' sign represents a *ceteris paribus* positive causal relationships (an increase in A causes B to increase, all things equal) and a '-' sign represents a ceteris paribus negative causal relationship (an increase in A causes B to decrease, all things equal).

including radios or televisions as well as short message service (SMS) or mobile applications, can be used to spread public awareness and knowledge related to, for example, specific diseases and health practices. Figure 6.3 shows a casual map of relationships of the health-electricity-life-expectancy nexus.

The health-poverty-inequality nexus

Over 400 million people still do not have access to essential health services and a further 6% of people in low- and middle-income countries are tipped into or pushed further into extreme poverty because of health spending.[60] As evidenced by recent reports of the World Health Organisation, health inequalities within and between countries remain substantial.[61] It is, however, difficult to assess trends in within-country health inequality due to a lack of comparable and relevant data across health indicators in a large number of countries.

The SDGs include a specific target (3.8) focused on achieving universal health coverage (UHC). Beyond being a target, UHC is widely seen as an instrument for achieving integrated health outcomes. The 2030 Agenda's principle of leaving no one behind also provides a framework for dealing with issues of discrimination, exclusion, and power asymmetries in priority setting in health policies.[62] With the aim of reaching the furthest behind first, countries could prioritize the health and well-being of the most vulnerable and marginalized within their own national contexts. This consideration is pertinent not only in developing countries but also in advanced countries that have largely achieved UHC but where parts of the poorest and most vulnerable people are still left out.[63]

Not only has UHC gained momentum in many countries, integrated efforts are also seen in implementing UHC with other targets such as through social protection policies. Many countries have introduced conditional cash transfer programmes that give money or vouchers to increase access to health services on condition of, for example, children attending schools.[64] For example, Mexico's Oportunidades programme provides income support to vulnerable families on condition that parents send their children to school.[65] Under the programme, children receive health check-ups, nutrition support and health services.

UHC as a concept encompasses a broad variety of interpretations in terms of population coverage, service coverage, and financial protection.[66] Regarding the latter, people may be insured or entitled to health services but still face high medical out-of-pocket payments.[67] In addition, financial risk of individuals may change over time with rising healthcare costs but no change in entitlement to health coverage. At the same time, UHC policies do not automatically or fully address the needs of the poorest and most vulnerable groups, including the "missing" or "hidden" populations and other vulnerable groups. There are data gaps, in particular on who currently does not have access and who is being impoverished because of health care costs and other reasons.[68] Example of demographic groups that are often overlooked and unable to access health and related services are adolescents, migrants and refugees (see chapter 5). Another hidden population is made up of uncounted births and stillbirths.[69] Delivering on health equity therefore implies using many tools as well as actions outside the health sector to include populations being currently or at risk of being left behind.

One vulnerable group with respect to health inequalities is migrants (see chapter 5 in this report). In understanding, framing and addressing the multifaceted challenges of migrant health, different integrated approaches have been used, such as: (i) monitoring migrant health, e.g. in Finland;[70] (ii) developing and implementing migrant-sensitive policies and legal frameworks, e.g. Sri Lanka's whole-of-government approach to migrant health;[71] (iii) building migrant-sensitive health systems, e.g. providing interpretation services for immigrants in health services;[72] (iv) collective actions through partnerships, networks and multi-country frameworks, e.g. the Canadian Collaboration for Immigrant and Refugee Health.[73] Box 6.1 illustrates how UHC is implemented for all migrants in Thailand.

Box 6.1. Universal healthcare for all migrants in Thailand

In Thailand, migrants account for more than 6 percent of the country's 67.1 million population. At the time of this writing, it is the only country in the world where illegal migrants have the same health care rights as nationals. This means that all migrants, like Thai nationals, can access the country's universal health care. This policy was introduced in 2013 by the government through multisectoral action, coordinated across the interior, labour, public health and immigration ministries. This includes health insurance schemes for both documented and undocumented migrants, and covers medicine to manage chronic illnesses such as HIV, which is critical for patients who need constant and consistent treatment with antiretroviral drugs. While the 28 countries of the European Union provide universal health coverage for nationals, few offer migrants equal coverage.

Source: Tangcharoensathien, V., Thwin, A. A. and Patcharanarumol, W. (2017);[74] Wudan Yan (2016).[75]

In conflict and post-conflict situations, there is a critical need for enhanced cooperation between health officials, communities and stakeholders in other sectors including education, sanitation and water, to address the underlying causes of infection and transmission of infectious diseases. Poor access to conflict zones allows infection rates to rise and then spread as people flee. To illustrate, the Ebola epidemics introduced pressures on health systems in post-conflict countries (see chapter 7 in this report). Resilient health services are therefore vital for risk reduction as part of integrated reconstruction strategies.[76]

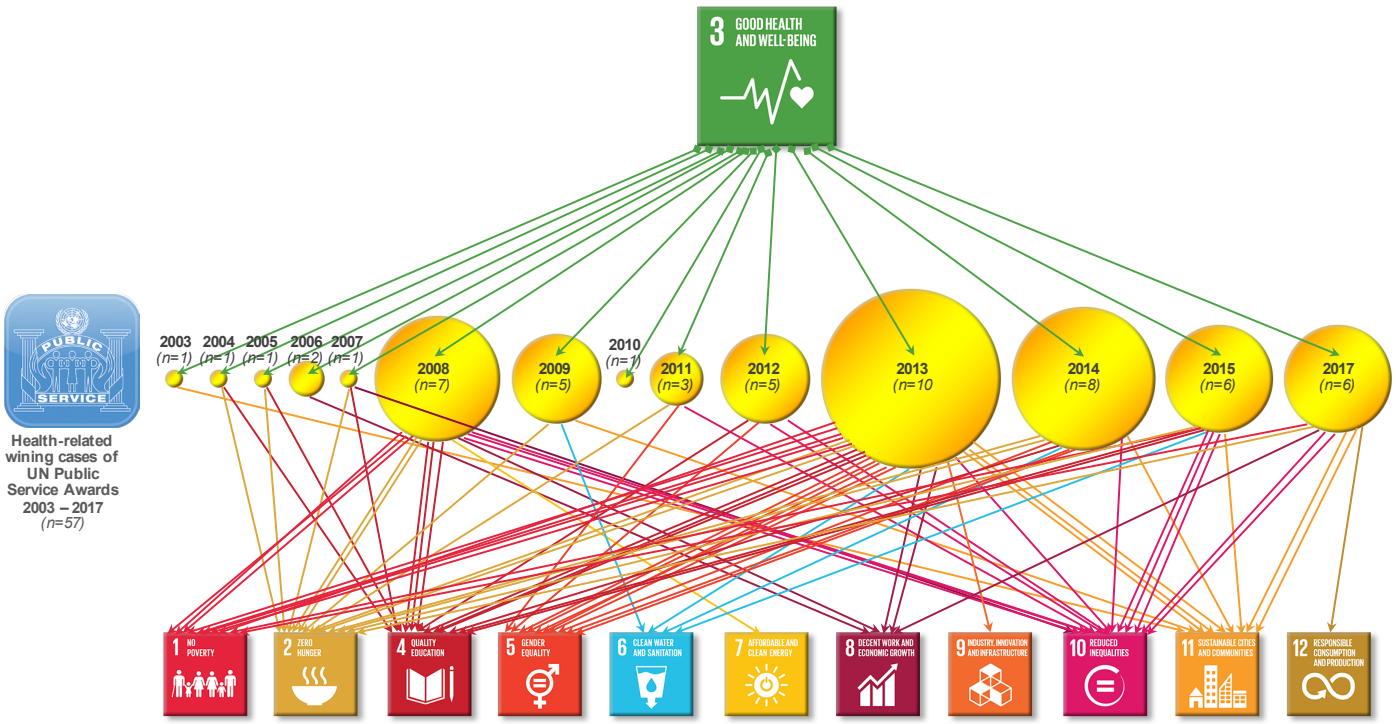
6.2.3. Examples of institutional initiatives addressing specific health-SDG linkages

Beyond the examples provided above, governments across the world have put institutional and administrative initiatives in place that address specific linkages between health and other SDGs. As mentioned earlier, multisectoral approaches in health are not new, but more dynamic and effective policies and strategies are being sought after in various domains of sustainable development to achieve overall health and well-being. Even though there are some documented examples of such initiatives, the reasons for their successful implementation -- and for implementation failures -- have not been systematically studied.

For illustration purposes, an empirical review of the past winning cases of the UN Public Service Awards (UNPSA) was conducted for this chapter. The database contains public initiatives put forward by government themselves, which received an award for being outstanding in their regional and sectoral context, based on information submitted by the public institutions.[77] In 2017, a specific category on health was added to the Award, with the aim to encourage public institutions to share successful innovations in this area. Out of the 292 winning cases for the period 2003-2017, 57 cases were related to the SDG on health. In observing interlinkages between health and other Goals, it is found that these health cases were linked to SDG2 on food and nutrition (*n=14*), SDG10 on inequality (*n=14*), followed by SDG4 on education (*n=13*), SDG10 on gender (*n=10*) and SDG11 on cities (*n=9*). More than half of the cases exhibit at least one interlinkage with other sectoral Goals (excluding Goal 16 and 17); 19 cases show at least two linkages and 8 cases have at least three linkages. Figure 6.3 shows the illustration of the UNPSA winning cases in relation with SDGs and their linkages. While clearly not representative of government actions in health, this sample of initiatives illustrate the broad range of health-SDG linkages that governments have sought to address for a long time.

Figure 6.4.

Winning cases (*n*=57) of the United Nations Public Service Awards for the period 2003-2017 that were related to health, with observed linkages to the 17 Goals of the 2030 Agenda for Sustainable Development



Source: Author's elaboration.

6.2.4. Trade-offs in resource allocation in the health sector and implication for integrated approaches

Various "false dichotomies" or dimensions of tension in relation to where to focus efforts and resources have been observed through research and practice in health in past decades[78,79] While some of these refer to arbitrages within the health sector itself, other clearly impact choices and allocation of resources between health and other sectors, and as such are relevant to integrated approaches.[80,81] Table 6.1 presents a list of such dimensions. One of them is the consideration of disease-specific or vertical programmes, versus horizontal health programme or primary care in competing for resources and attention. Such approaches, while important, may fail to produce long-term insights and impacts, given the various determinants of health.[82] Another tension is between universal health coverage and disease outbreak preparedness, which should be viewed as two sides of the same coin, as epidemics and disease outbreaks like Ebola are not fully predictable.[83] Yet another tension exists between investing in health systems versus investing in health determinants that are usually in non-health sectors, even though the relevance of non-health conditions as determinants of health has been observed for centuries. In order to navigate such false dichotomies, when considering policy coherence and integration policymakers should be aware of the multiple dimensions involved.

6.3. Horizontal integration in health

As argued earlier in this chapter, achieving any of health-related goals is likely to require approaches that involve non-health sectors and actors, as well as transformative policies and political commitment.[88] The value of intersectoral approaches in health has long been recognised. "Every minister is a health minister and every sector is a health sector. If we put fairness at the heart of all policies, health would improve"[89]-- a quote from Sir Michael Marmot, the chair of the Commission on Social Determinants of Health in 2005, illustrates the need for horizontal integration in health.

Table 6.1. False dichotomies of health and related policies with an impact on integrated policies

False dichotomies	Brief description
Horizontal (primary care) versus vertical (disease-specific) programmes	Horizontal health resources include health systems that covers a broad spectrum, while vertical care programmes are disease-specific with precise services and equipment
Universal health coverage versus disease outbreak	While UHC covers health by population reach, service reach and financial inclusion, there is also a need to include emergency needs during disease outbreak. It is therefore important to integrate emergency measures in health systems as part of UHC strategy, as a defence to prevent disease outbreaks from becoming epidemics or pandemics
Investing in health systems versus investing in health determinants	Some views hold that investment in health determinants and in health systems are opposing choices; but they should be integrated in practical terms to achieve overall health and well-being for society
Infectious diseases versus non-communicable diseases (NCD)	Both are specific targets in the SDGs (Target 3.3 and 3.4). Although NCDs are fast emerging, in most countries there have not been sufficient attention and efforts to combat NCDs
Treatment versus prevention	Investing in resources for cure and treatment resources, versus search for preventive measures such as through vaccines and antibiotics, or behavioural change in term of diet, physical activity or life style

Source: Author's adaptation from varied sources: Frenk, J. and Gómez-Dantés, O. (2017);[84] Michael Porter (2009);[85] Sepúlveda J. et. al. (2006);[86] Murray et. Al (2000).

Box 6.2. Ireland's Sustainability Strategy for Health 2017-2019

The Sustainability Strategy for Health of Ireland was identified as "the first step on the pathway to achieving a more sustainable health system". The strategy is part of and aligned to Ireland's "Our Sustainable Future" -- a framework for sustainable development for Ireland, which sets the overarching national policy framework for sustainable development. Not only does it embrace the entire health sector, it also identifies integrated policy actions for successful implementation of the strategy, including:

(i) Water conservation, such as through minimising water consumption in healthcare facilities, promoting awareness of applicable water management legislation and environmental stewardship

(ii) Energy efficiency, meeting the National Energy Efficiency Action Plan (NEEAP) and the National Renewable Energy Action Plan (NREAP) targets and obligations

(iii) Waste management, such as through increased recycling, reuse and recovery in healthcare facilities, providing waste management education to healthcare staff

(iv) Sustainable transport, promoting health and well-being through improved opportunities for active and sustainable transport

(v) Green procurement, e.g. to promote sustainability in procurement processes to reduce waste, operating costs and environmental footprint

(vi) Designing the built environment, e.g. promoting green building legislation and sustainability audits of healthcare facilities

Source: National Health Sustainability Office, Ireland (2016).[90]

In the United Kingdom, the 1980 Black Report was launched as a landmark review of health inequalities, recommending the Cabinet Office machinery to lead efforts across departments for reducing health inequalities.[91] China's response to health and the SDGs -- the "Health China 2030 Development Plan" was drafted by over 20 Departments in areas of transportation, education, sports, food and drug inspection, environmental governance, media, legislature, customs and others, recognising the significance of intersectoral collaboration.[92,93] Another example is the "Sustainability Strategy for Health 2017-2019" in Ireland, based on integrated priorities of 33 key actions under seven pillars across different sectors (see Box 6.2). Table 6.2 shows some examples of policies in non-health sectors with potential for integrated approaches to health and well-being.

Table 6.2. Examples of policies in non-health sectors with potential for integrated approaches to health and well-being

Social policies	(i) Conditional cash transfer programmes and microloans (ii) Collective health insurance for people on low incomes (iii) Reducing social isolation (e.g. older people, the disabled, indigenous people) (iv) Community or self-help organisations for the vulnerable populations (elderly, disabled, women and girls, indigenous people, migrants and refugees, etc.) (v) Promoting overall well-being of people (for example, happiness programmes) (vi) Improving socio-cultural integration of all ethnic groups including minorities and indigenous people
Education policies	(i) School meals/breakfasts programmes (ii) Health education (on healthy foods, healthy lifestyle, violence prevention, drugs, safe sex, and overweight) (iii) Sports and extra-curricular facilities at schools (iv) School accommodation (hostels, school boarding with meals provided)
Youth policies	(i) Community centres; youth and family centres (promoting health and social education) (ii) Reducing alcohol and drug use amongst teenagers and young adults young people (iii) Availability of baby clinics for extra consultations in deprived neighbourhoods
Labour policies	(i) Ensuring decent work for all (ii) Promoting healthy work environments (e.g. workplace health; work-life balance) (iii) Workplace safety (e.g. unsafe equipment, exposure to toxic chemicals) (iv) Promoting employment participation amongst ethnic minorities, migrant workers etc.
Urban/spatial/ infrastructure planning and housing policies	(i) Sustainability and liveability policies (ii) Maintaining clean and healthy public spaces (iii) Availability of community sports facilities and playgrounds (iv) Smart cities (v) Greening (urban forests, parks, trees for shades, etc.) and open public space (vi) Smoke-free public places and alcohol control (regulating sales and merchandising display, etc.) (vii) Improved clean water access and sanitation especially in urban slums, rural and remote areas (viii) Eliminate or rebuild hazardous housing sites (e.g. hazardous wetlands, garbage dumps) (ix) Regulating the use of unsafe building materials and passing building codes, laws and regulations
Transport/Mobility policies	(i) Active mobility (e.g. promoting active lifestyle, walking/riding bicycles as complementary modes to public buses, railways, etc.) (ii) Road safety and pedestrian safety (iii) Effective, clean and sustainable public transport (iv) Vehicle safety and emissions
Environmental policies	(i) Noise abatement (ii) Air and water quality, pollution control policies (iii) Waste management (iv) Protection of natural environments, marine coastal areas, etc.
Sport policies	(i) Sport promotion (e.g. community/regional sport activities/facilities/competitions) (ii) Encouraging ethnic minorities to participate in sport (iii) Regional and local sports clubs
Security/safety policies	i) Increased neighbourhood safety, especially for lower-income areas/districts/slums (ii) Improving the health/living conditions of ex-drug offenders (iii) Food inspection and food safety policies

Source: Authors' adaptation from various sources, including Storm, I. et al. (2016),[94] Rudolph, L. et al. (2013).[95]

6.3.1. Policy Instruments

The World Health Assembly recently elaborated various considerations for effective policy instruments in integrated health approaches, including but not limited to (i) building the knowledge and evidence base for policy options; (ii) ensuring sustainable and adequate resources, agency support and skilled and dedicated staff; (iii) assessing health and health-related gender impacts of different policy options; (iv) understanding the political agendas of other sectors and creating intersectoral platforms for dialogue and addressing challenges, including with social participation; and (v) evaluating the effectiveness of intersectoral work and integrated policy-making and working with other sectors of government to advance health and well-being.[96]

Some countries have adopted Health in All Policies (HiAP) as a specific integrated approach to deliver policies across sectors, systematically taking into account the health implications of policy decisions, seeking synergies and avoiding harmful impacts with an aim to achieve common goals.[97,98,99] Such approach encourages the development of policies for improving health across all sectors of society and advocates health as a priority for all sectors.[100,101] This provides opportunities to identify strategies that address multiple SDGs and targets at the same time. In essence, HiAP is in itself making health a whole-of-government priority and ensuring intersectoral cooperation and integration through a range of mechanisms and institutions.[102,103]

Identifying co-benefits across sectors is one of the essential strategies for HiAP in building a shared vision, shared goals, and synergistic outcomes. Finding so-called "win-win" intersectoral strategies that benefit multiple partners is key to establish buy-in, allow partners to leverage resources, and increase efficiency by simultaneously pursuing health and other goals. This can be seen as a reasonable response to resource scarcity for health especially in low and middle countries, as well as the limited flexibility of funding and mandates.[104]

In addition, three other HiAP approaches are[105,106]: (i) health at the core, where health objectives are at the centre of the activity. Examples include obesity measures, tobacco reduction policies or mandatory seat belt legislation to prevent road accidents; (ii) co-operation: emphasis is on systematic cooperation between health and other sectors that benefits the government as a whole, e.g. improving workplace health and safety, which also affects work productivity; (iii) damage limitation: efforts are made to limit negative health impacts of policy proposals, such as restricting the sale of alcohol near schools. Some countries that have introduced specific HiAP approaches at the national or sub-national level include: Australia (2007),[107] Brazil (2009), Cuba (2000), Finland (2002), Iran (2006), Malaysia (1988), New Zealand (2009), Norway (2005), Sri Lanka (1980), Sweden (2003),[108] Thailand (2007), United Kingdom (2003).[109] The Pan American Health Organization (PAHO) has begun to incorporate the Health in All Policies framework, putting it into practice across the region of the Americas, acknowledging HiAP as an important mechanism to identify synergies between health and other SDGs.[110] Box 6.3 illustrates some details of selected national HiAP approaches.

Box 6.3. Examples of national Health-in-All-Policies (HiAP)

While some countries have put in place an integrated policy, for health as part of their National Sustainable Development Strategy, others have defined a separate HiAP strategy, such as the Health Master Plan in Iran.[111] Other countries have adopted new bills and legislation which include health-impact assessment as part of the adoption and review of HiAP policies.

The Mae Coruja Program in Brazil is a winning initiative in UNPSA 2016. The initiative was implemented at the local level on a limited scale to provide comprehensive care to women and children through integrated articulation of the Health, Education and Social Development sectors, with the main objective of reducing infant and maternal mortality rates (Target 3.1, 3.2) and associated social indicators.

In Namibia, in implementing a national response to combat HIV and AIDS, an AIDS policy was developed as a guide for a national multisectoral response.[112] A National Strategic Framework (NSF for HIV and AIDS for FY2010/11 to 2015/16) was established and developed through a participatory and consultative process,[113] with clear roles spelled out of various ministries and agencies, including the National AIDS Council, Office of the Prime Minister, HIV and AIDS Unit, Ministry of Health and Social Services, Ministry of Regional and Local Government, Housing and Rural Development, Ministry of Gender Equality and Child Welfare, National Planning Commission and the Central Bureau of Statistics, Ministry of Education, the National Business Coalition on AIDS (an umbrella body that mobilises the private sector) and the Council of Churches in Namibia (NGO for faith-based organisations).

In Switzerland, in the implementation of the Health 2020 Strategy, the Government has focused on the main action in the implementation of "Health in all Policies" -- to define and realise specific procedures together with other federal offices in the domains of environment and energy, economy and social policy, and thus contributing to all three dimensions of sustainable development and several SDGs.[114]

Source: Author's elaboration.

Human intrusion into animal habitats has contributed to the spread of infectious diseases, with more than half of emerging infectious diseases spread by animals. The recent Zika infection, Ebola virus and Severe Acute Respiratory Syndrome (SARS), among others, are salient reminders of how human and non-human health are inextricably linked.[116] Against this backdrop, some countries have adopted a holistic "One Health" policy approach, supported by multidisciplinary research, working at the human, animal and environmental interfaces to mitigate the risks of emerging and re-emerging infectious diseases.[117] In Switzerland, three out of seven ministries are responsible for One-Health policy implementation, including Home Affairs, Economic Affairs, and the Environment, Transport, Energy and Communications. Similarly, at the regional level, the European One Health Action Plan Against Antimicrobial Resistance was adopted in 2017.[118]

6.3.2. Institutional arrangements

The implementation of integrated health policies needs to be supported by adequate institutional arrangements. Some forms of institutional set-ups are needed to establish rules of engagement and set the stage for ongoing interactions and strategy development across ministries and agencies for integrated approaches in health. In practice, different forms of institutional arrangements are found to support intersectoral health approaches in public administration (see Table 6.3). They range from informal to formal networks, from light-touch coordination mechanisms across sectors to collaborative problem solving for deeply rooted health-social problems, from inter-ministerial bodies to parliamentary deliberation. Across these mechanisms, different actors may be involved. Contexts in terms of history, institutional capabilities, and accountabilities vary enormously. Navigating formal and informal institutional hierarchies, such as deciding the role of health ministry vis-à-vis that of other ministries, may be key to successful mechanisms.[119]

Table 6.3. Examples of institutional arrangements that support intersectoral approaches to health

Institutional Instruments	Examples in countries
Parliamentary bodies	1. Parliamentary Public Health Commission in Sweden[120] 2. Labour, Welfare and Health Parliamentary Committee in Israel, with sub-committees considering mental health reform, handicapped law, etc.[121,122] 3. The United Kingdom House of Commons Health Select Committee – role of inquiry into health inequalities;[123] Beyond All-Party Parliamentary Health Group (APHG) is dedicated to disseminating knowledge, generating debate and facilitating engagement with health issues amongst Members of both Houses of Parliament[124]
Inter-ministerial or interdepartmental taskforce/working group	1. Initiated by the Ministry of Agriculture, the Estonian Food development plan is a broad-based council established to coordinate the preparation and implementation of the development plan, which focuses on increasing consumer awareness of the safety and quality of food, the components of a healthy diet and traditional food products. 2. The Supreme Council of Health and Food Security (SCHFS) in Iran was founded at the national level in 2006, followed by provincial district Councils of Health and Food Security (CHFSs), to ensure political commitment to inter-sectoral collaboration for health and Health in All Policies (HiAP). In 2009, the SCHFS mandated all provincial CHFSs across the country to develop provincial Health Master Plans to operationalize the HiAP approach.[125]
Multistakeholder/ participatory National Health Commission/Councils	1. In Brazil, National Health Councils and Conferences are convened at the national, provincial and municipal levels with strong social participation.[126] These bodies meet every four years to assess the health situation and propose policy directives. They are not informal consultative platforms but permanent bodies institutionalised in the country's constitution and legislature. As a rule, half of the council membership are users of health-care services, and the other half are health workers, managers and providers. 2. National Collaborating Centres (NCCs) for Public Health, Determinants of Health, Aboriginal Health, in Canada[127] 3. For the period 2007–2015, a multistakeholder National Health Programme had been developed to define Poland's national strategies and policies regarding public health. The programme involved more than 30 organisations from different sectors, including governmental agencies and civil society.[128] 4. Thailand's National Health Commission (NHC), established in 2007 under the National Health Act, is responsible for ensuring that public policies, including health policies, are participatory and engage all actors, including through convening an annual National Health Assembly and other related Local Assemblies. The health impact assessment conducted to evaluate the outcomes was positive and showed that the institutional arrangement contributed to participatory evidence based policy formulations.[129]

Source: Author's elaboration from various sources.

The decision on the type of institutional arrangement to be pursued needs to consider the profiles, interests, incentives, and relationships of key individuals and institutions operating in health and other sectors.

One common approach chosen by countries is to identify an inter-ministerial or inter-departmental body comprising relevant sectors to drive integrated health approaches. This can allow for joint programme design, common risk analysis, comprehensive solutions, joint targets, joint accountability, and eventually aiming for joint success.[130] In some cases, however, interdepartmental groups charged with leading integrated health strategies might have no formal authority on other departments and therefore would be able to generate limited or no change.[131] In other words, developing interdepartmental committees can end up with new teams and administrative structures that are not well integrated with existing departments. While some departments continue to carry the burden of accountability and implementation, they may lack the implementation capacity to get things done. As the effects and consequences of some health policies may only become visible a long time after introduction, it is important that institutional arrangements to support integrated approaches be introduced with a mid- to long-term horizon. This may in turn conflict with the agendas of different stakeholders for various reasons such as changing politics or public views and sentiments.

6.4. Vertical integration, engagement and partnerships

Integrating the actions of actors operating at different geographical and administrative levels is important. Local authorities and communities have unique ground knowledge and opportunity to address the multisectoral determinants of health.[132] In some cases, however, the inadequacy of resources has forced them to prioritise activities in ways which may not be focused on synergistic actions or may undermine opportunities for integrated approaches.

6.4.1. Cities, slum and urban health

The majority of the world's population has been living in urban centres since 2007. It is estimated that by 2030, about 60 % of the population will be living in urban settlements, rising to about 66 % by 2050.[133] Health inequalities in urban areas and slums are a continuing concern.[134] For example, in a study of urban areas in 46 countries, children in the poorest quintile were more than twice as likely to not survive till their fifth birthday (Target 3.2) than children in the richest quintile.[135] Urban living conditions, infrastructure and utilities have a critical influence on physical and mental health. Health disparities can occur due to inadequate or unsustainable urban planning, lack of decent work and employment, lack of affordable housing, or lack of access to basic services.

In urban slums and other informal settlements, it is not uncommon that pockets of marginalized, vulnerable populations have major health needs that are not being met. There is also a phenomenon of violence, including physical, sexual, gender-based and psychological violence in these areas.[136] As a result of the combination of these factors, slum dwellers increasingly face the multiple threats of burden of diseases, including infectious diseases, non-communicable diseases, as well as mental illness and injuries due to violence or road traffic accidents. The provision of health services for the urban poor is therefore a critical part of action to health targets, including universal health coverage. Conversely, slum upgrading as called for by SDG target 11.1 will directly contribute to reduce health inequalities experienced by the urban poor. Research suggests, however, that more work is needed to integrate multisectoral determinants of health as criteria into slum upgrading projects' design and evaluations.[137]

Some major cities have put in place transformative strategies to address rapid urbanization and to also improve health outcomes. The co-benefits of joint investment in urban planning and health measures have been shown to be significant. Moreover, mayors around the world are increasingly becoming an important global voice for integrated action for health.[138] Mayors, especially those of large cities, may leverage on their visibility and managerial authority to cross interagency boundaries.[139] For instance, the Metropolitan Area Projects in Oklahoma City of the United States was made possible when voters agreed upon a one-cent sales tax to help revitalize the city's downtown, providing funds for a downtown park, biking and walking trails, senior health and wellness centres, as well as other city infrastructure and amenities. This is also an example of innovative financing that cuts across multiple sectors and ultimately supports the urban residents' health and well-being.[140]

6.4.2. Engagement, inclusion and community health

The SDG's principles of inclusion and engagement apply to all goals including health. Already in 1978, the Alma-Ata Declaration established that community participation is a core principle of health, emphasizing that "people have a right and duty to participate individually and collectively in the planning and implementation of their health care".[141] This set the impetus for engaging people and communities inclusively, in a whole-of-society approach towards health and well-being.

Evidence shows that communities are usually keen to contribute directly to the development of local strategies through which they can improve their own health and well-being.[142] Such an approach can strengthen the sense of ownership of local problems, as opposed to the perception that problems can only be solved by external professionals or other stakeholders. The structure of community participation and leadership in health should include marginalised groups including women, youth and older people, as social exclusion is a contributor to health inequalities in itself.[143] The inclusion of women

and the most vulnerable groups in these processes as key stakeholders and agents of change is crucial in solving health inequities and creating sustainable changes.[144] As in other sectors, tokenistic participation, i.e. participation where community members are only informed or consulted to seek their consent, offers reduced opportunities for enhancing community members' sense of engagement and ownership.[145] See Box 6.4 on community-based health planning and services in Ghana.

There is well-documented success of community mobilization for fighting communicable diseases such as dengue in Nicaragua and Mexico.[150] Despite barriers stalling their initial engagement, when policy spaces are created and opportunities are available, communities can mobilise to bring about transformative change. For example, preventative health care through efforts of the community is often a foundation for addressing non-communicable diseases, which requires people-centred, multisectoral approaches involving education, food security, nutrition, and other cultural and social drivers.

The recent years, however, have seen divergent trends in participation and engagement in health, for example, the increasing demand for participation in health policy making from opinion groups and individual citizens, and the rapid growth in the amount of health information to which people can have access, accompanied at times by a questioning of the reliability and truthfulness of health policies.[151] Such trends show that genuine engagement is essential to ensure that integrated policies in health are responsive to community needs and gain public trust. Building and strengthening communities' public health capacities can lead to increased trust between authorities and communities, which in turn can be seen as social investment measures to contribute to prevention, preparedness and response in combating health crisis such as epidemics.[152] See Box 6.5 on Liberia's experience in Ebola.

Box 6.4. Community-based health planning and services in Ghana, highlighting gaps of community leadership and needs assessment

Many countries have taken active steps to involve community members in addressing health problems at the community level. In Ghana, this was carried out through the Community-based Health Planning and Services (CHPS) Programme that advocates the systematic planning and implementation of primary health care facilities and activities as part of integrated community development. CHPS facilities are health care delivery centres, managed and run by the communities they serve. In practice, this is achieved through the mobilization of community leadership, decision-making systems and resources within defined catchment zones.[146] CHPS is integral in national policy agendas including the current National Health Policy.[147] While resource mobilisation and organization are areas that had excelled in this programme, more reflection is needed in areas of needs assessment, i.e. empowering the beneficiaries in identifying their health needs and in designing the intervention; and of leadership - the inclusiveness and representativeness of all community interests groups. One key success factor was that CHPS are well integrated with other community (non-health) units in a collaborative manner.

As in other low-income countries in Africa and Asia, Ghana's most deprived communities are also affected by neglected tropical diseases (NTDs), also known as "diseases of the poor". Effective treatments exist for many NTDs but may not be available in low-income areas. Ghana has demonstrated some success in combating the guinea worm, largely because local communities were "in charge".[148]

Source: Baatiema, L. et al. (2013).[149]

Box 6.5. Relationship between trust in government and public health: Liberia's experience in combating Ebola

The 2014 Ebola epidemic killed more than 4,800 people in Liberia. The epidemic affected many Liberians in one way or other, and directly or indirectly. Three-quarters of respondents in a large-N research survey reported experienced at least one of four hardships: (i) nearly one-quarter (24%) reported seeing dead bodies awaiting retrieval in the streets; (ii) over one-quarter (28%) knew at least one Ebola victim; (iii) nearly one-third (32%) reported foregoing health care. Nearly half (47%) reported losing their job in the six months during which the epidemic took place, and most attributed their job loss to Ebola specifically.

In the survey, it was found that Liberians who expressed trust in government were much more likely to support and comply with policy restrictions designed to contain the spread of the virus, and were much more likely to take precautions to prevent transmission in the home. Conversely, respondents who expressed low trust in government were much less likely to take precautions against Ebola in their homes, or to abide by government-mandated social distancing mechanisms designed to contain the spread of the virus. It was suggested that respondents who refused to comply may have done so not because they failed to understand how Ebola is transmitted, but rather because they did not trust the capacity or integrity of government institutions to recommend precautions and implement policies to slow Ebola's spread. It was observed that respondents who experienced hardships during the epidemic expressed less trust in government than those who did not, suggesting the possibility of a vicious cycle between distrust, non-compliance, hardships and further distrust.

Source: Blair, R. A., Morse, B. S. and Tsai, L.L. (2017).[153]

Engagement and inclusion are particularly important to deliver on the "well-being" component of SDG3 that goes beyond mental health. Even though the empirical evidence for most countries is limited, available studies show that people living with mental health illness have a life expectancy at least 10 to 20 years lower than the general population, and this life expectancy gap is mostly due to undiagnosed and untreated co-existing physical health conditions.[154,155] While addressing physical health has demonstrated a positive effect on mental health, likewise, addressing mental health issues has a proven positive effect on physical health.[156]

Community participation will not only lead to empowerment of the marginalised group but also foster policy integration in health.[157] The value of community-based knowledge is often overlooked in understanding multisectoral determinants of health or identifying possible health interventions. Regular dialogue and relationship building between health providers and service users are central to addressing tensions, changing mind-sets and fostering respectful and culturally appropriate health care practices.[158] Table 6.3 shows some examples of participatory or multistakeholder institutional arrangements, such as National Health Commissions or National Health Councils in supporting integrated approaches in health.

Active engagement can thus help policymakers to manage the complexity arising from multiple determinants of health. The approach may also support more effective negotiations, by enabling stakeholders to see more clearly where their interests coincide, where they diverge, and how they might reconcile their differences. Public support is more likely if people understand the issues at stake and if policy implementation reflects community values and preferences. To this end, citizen journalists and citizens' juries have been employed in some countries such as Australia, Bangladesh, and the United Kingdom, to explore issues and identify communities' needs and preferences in health. It has been argued that such arrangements often represent informed public opinion better than other social research methods (e.g. surveys or focus groups) because the process of providing participants with factual information and establishing trust results into structured and constructive dialogue with experts.[159] Engagement efforts are also more likely to succeed if they are institutionalized in existing structures and not championed by a single group or individual. In general, the challenges related to health are persistent and require sustained efforts, which is more likely if they are not dependent on a single personality or group or driven by ad-hoc structures outside of formal institutional arrangements.[160]

6.4.3. Partnerships in health

Goal 17 underpins the importance of partnerships between governments, the private sector and civil society in achieving sustainable development. "Working with markets" captures the fine balance of successful public-private collaboration and it continues to shape the health development landscape. In some countries, the private sector is gradually taking on a more meaningful role in public health and partnerships provide an opportunity for the public sector to access cutting-edge products and services.

The European Union Platform on Diet, Physical Activity and Health is an example of health-focused public-private partnership, facilitating joint action between the European Commission, the industry and many non-governmental organisations.[161] Some countries have mirrored these EU-based activities with similar focused national public private partnerships. However, these partnerships are under critical scrutiny, as they are evidently attractive to industry partners, especially in the food, alcohol, and entertainment sectors, with potentially undesired outcomes associated with the promotion of unhealthy products (see section 6.2.1).

Multistakeholder partnerships are gaining prominence and importance. To effectively implement health innovations, there is a call for a shift of the traditional concept of public-private partnerships, from the traditional bilateral and transactional models to an ecosystem of partnerships, where the type of cooperation changes over time and sustainability and accountability are key objectives.[162] Not only is there a need

Box 6.6. Brazil's national school feeding programme

Brazil has had a national school feeding programme for decades, which has evolved significantly over time. The programme was hailed as a good example of how public services with direct impact on health are delivered through the collective engagement of a wide range of actors through partnerships. The programme links schools with local farmers to provide quality meals for students. The programme emphasized the participation of actors at different levels — in having a say in what children should eat at school; in providing feedback on school food quality; in contributing to the transparent selection of contractors; etc. Linking loosely organized local farmers to a school feeding system presented challenges, including in relation to identifying the kind of institutions and capacities that had to be built and addressing multiple objectives and constraints through public procurement. Interestingly, even in a single country, it appeared that the best way to implement the programme differed across regions according to the level of infrastructure development, the degree of organisation and capacity of local farmers' cooperatives and other factors. This case shows that the success of an integrated health public programme, as judged by its recipients, depended on often overlooked factors such as public participation, government support and genuine partnership mechanisms that helped small farmers reach a level of organisation and capacity where they were able to compete for public contracts.

Source: Kei Otsuki (2011).[163]

for different stakeholder groups to work together, it is also important that different stakeholder groups collaborate to pool resources and work in an integrated manner, and not create competing efforts. Box 6.6 shows a case study of the Brazilian national school feeding programme that focuses on enhancing the quality of public services through inclusive engagement of various actors.

6.5. Key enablers of integrated approaches to health

6.5.1. Health financing

Countries are confronted by challenges related to health on several fronts: (i) the increasing incidence of non-communicable diseases; (ii) the way healthcare is delivered is changing or going to change; and (iii) the ageing population in many middle and high-income countries. These trends have in turn led to, among others, increasing costs and risks in delivering public health services. The emergence of non-communicable diseases has further taxed national health finance, in both developed and developing countries. It is estimated that the annual cost of obesity to the Canadian economy is $7 billion, which is driven partly by increasing availability of relatively cheap ultra-processed sugar and food products.[164] That increases annual healthcare costs for taxpayers and for those who pay private health insurance, also results in costs of lost productivity.

In nearly all European countries, the public sector remains the main source of financing in health, as seen in data sources of public and private (out-of-pocket) expenditure on public health. The proportion of private expenditure, however, varies widely across counties, ranging from less than one per cent in some to over 50 per cent in others. A global average of 45 per cent of expenditure on health was out-of-pocket in 2014.[165] Increasing the role of private sources of funding has been a deliberate policy in some countries, including some in Europe and Central Asia, to ensure sustainability. European countries differ in whether they mediate their publicly-funded health systems through social health insurance agencies (funded through a combination of social insurance contributions and general tax transfers) or rely strictly on general tax revenues, and for the latter, in which administrative level pays for public health activities. Joint budgets from different public sources of financing are an intersectoral structure that can facilitate the funding of health-related activities. Joint budgets are used, for example, in England and in Sweden. The challenge of agreeing and establishing joint accountability has been a hurdle for ministries in many countries from developing joint budgets.[166,167]

Cross-sectoral financial allocation systems can help to promote the integration of policies.[168] For example, in the Netherlands there is a joint budget for research and policy activities in connection with the national action programme on environment and health.[169] In Sweden, the government sets objectives that cut across ministerial and budget boundaries and the budget system, at least initially, allocates money according to policy areas, rather than to departments.[170] One example of integrated approaches to financing in health is the allocation of a percentage of taxation on tobacco and alcohol for the creation of health promotion agency.[171] Box 6.7 illustrates an example of enacting and implementing "sin taxes" in the Philippines.

Box 6.7. Example of enacting and implementing "sin taxes" in the Philippines

In 2012, the Philippines enacted and implemented legislation for "sin taxes" for alcohol and tobacco consumption through an elaborate process. The health benefits, strongly supported by evidence from other countries, were not sufficient to win political support to pass the legislation. Instead, the turning point came when the reform was framed as a health measure with additional revenues from higher sin taxes earmarked to finance the universal health care programme. The Ministries of Health and Finance worked together with a civil society coalition to enlist the support of Congress and other political leaders. This example of a successful multisectoral effort between finance and health sectors for "sin taxes" has since been replicated in other jurisdictions. It is unclear, however, whether this experience will lead to sustained improvements in collaboration between these two sectors towards improved health outcomes.

Source: Kaiser K, Bredenkamp C, Iglesias R. (2016),[172] Rasanathan, K. et al. (2017).[173]

6.5.2. Capacity development

Capacity building for multisectoral health work is essential for all levels of governments across ministries and at the community level. Capacity building involves information, resources and communication, and particularly education, training, research, administration and the provision of infrastructure related to health. The need for building capacity for integrated health actions at both national and local levels requires institutionalizing it. Integrated or joint work requires effective communication via a shared lingo that is understood across different sectors, and between national and local governments. It is also important to encourage openness and exchange in data collection and analysis, research and innovation. Without the capacity and competence, institutions

might also hesitate to enter partnerships with other key agencies or actors who may fill the gaps to develop and implement integrated health policies.

It has been argued that in order to support an integrated health agenda, public health professionals should have a broader mind-set and enhanced knowledge of various SDG areas, including in economics, social and environment aspects, and beyond their own sectoral expertise in health.[174] New skills are required to negotiate the interface between varied groups with different interests, legitimacy, and power. In addition to classical technical skills and knowledge in health, public health professions need new skills such as critical thinking and creativity, understanding of related sectors such as education, transport, climate change, and among other goals; as well as soft skills such as diplomatic communication and political competences, and good general knowledge of economics and health economy.[175]

Moreover, the health sector is a leading source of skilled migrant workforce and the international migration of health workers is increasing. Over the past decade, the number of migrant doctors and nurses working in OECD countries increased by 60%.[176] While migration of health personnel can bring mutual benefits to both source and destination countries such as through increased remittance flow to developing countries, it can raise various concerns for countries already experiencing various challenges in developing their health workforce as it may further weaken already fragile health systems. Given the acuteness of this challenge, the 2010 World Health Assembly adopted a Code of Practice on the international recruitment of health personnel, providing ethical principles for international recruitment in a manner that will strengthen health systems of developing countries.[177]

See Box 6.8 on building capacity of health workers and improving health facilities in developing countries.

6.5.3. Data, information and science-policy interface

The collection and use of timely high-quality health data remains a challenge in many countries, especially in lower income countries where resources are scarce. At the same time, health sectoral data is often disconnected from other non-health data.

Health information systems can be defined as integrated efforts to collect, analyse, report and use health information and other knowledge to influence policymaking, programme action and research.[184] Such systems include a wide range of population-based and facility-based sources, both health and non-health, including census, households' surveys, service-generated data derived from health facilities and patient-provider interactions covering aspects such as quality of care. Such database could include geographic data. One example is a multisectoral reporting system for nutrition data in Madagascar, carried out through five levels of decentralized structures and sent via the Regional Nutrition Offices to the national level.[185]

Effective monitoring of indicators requires well-functioning national health information systems that integrate data from sources including civil registration and vital statistics, household and other population-based surveys, routine health-facility reporting systems and health-facility surveys, administrative data systems and surveillance systems.[186] Figure 6.7 shows a snapshot of a real-time health information dashboard of Bangladesh at the national level, with data from multiple sectors in addition to the health sector (such child malnutrition, water and sanitation, clean energy, death

Box 6.8. Building capacity of health workers and improving health facilities in developing countries

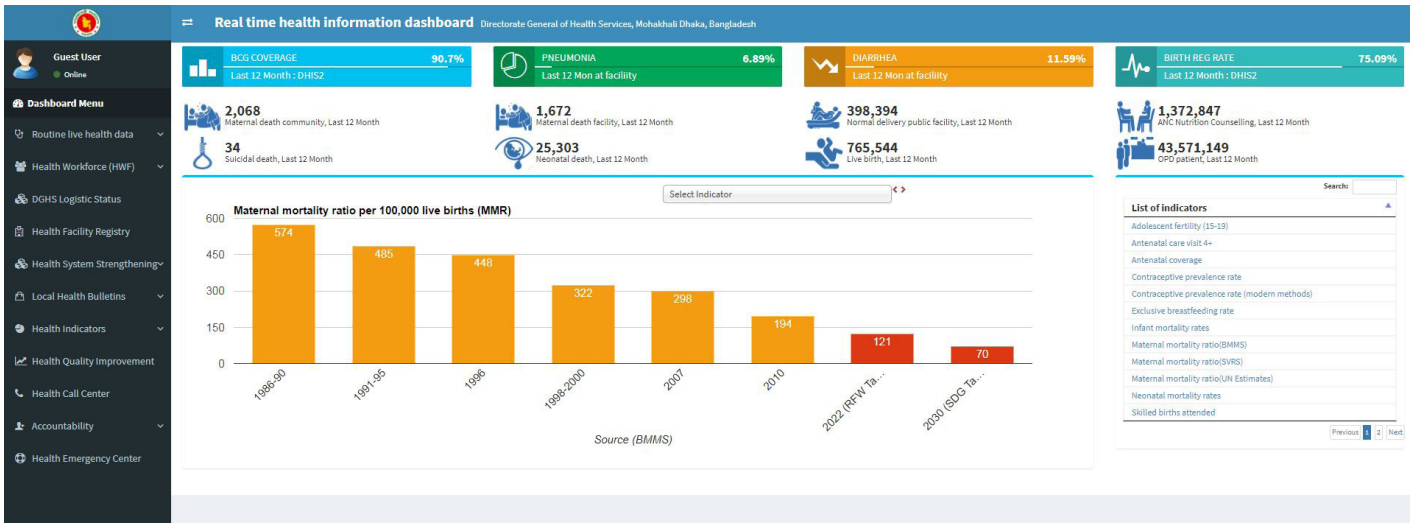
Health systems in many countries are facing human resource constraints. Many local communities, especially in sub-Saharan Africa, there are severe shortfalls in health systems as well as health workers, partly because of migration.[178,179] The World Health Organisation (WHO) gives a basic threshold of 23 skilled health professionals per 10,000 people, but there are still 83 countries that fail to meet this bar.[180] The issue is important and widespread enough to have generated a (voluntary) Global Code of Practice, produced by WHO in 2010.

Coping with the personnel resource challenge in the health sector requires a multi-pronged integrated strategy.[181] One key policy is through long-term education, as well as short-term, broad-based training programmes for existing health-care professionals. Motivating and retaining health workers is key to addressing the shortage to prevent emigration of trained health-care personnel from countries which severely lack them. An example of positive intervention is Malawi's Emergency Human Resources Programme, which employed measures such as a 52% salary top-up for top candidates and an expansion of postgraduate medical training.[182] This, however, required substantial help from outside donors and organisations.[183] The structural difficulties associated with not only training a health workforce, but maintaining that workforce despite the strong pull of other countries with a better integrated health infrastructure, working conditions and wages, require a deep overhaul of the health system of origin countries and the cooperation of destination countries.

Source: Author's illustration from various sources.

Figure 6.5.

Snapshot of the real-time health information dashboard of Bangladesh



Source: Government of Bangladesh (2017). Real-time health information dashboard.[187]

registration, etc), as well as disaggregated data at the local levels (divisions and districts).

Countries may want to create mechanisms for easy sharing of health-related data to maximise data utilization in integrated policy-making, for example through establishing multisectoral health data dashboards and portals. At the same time, there is a need to exercise caution in exchanging of personal health data with other sectors, as it poses ethical problems in relation to, for example, employment screening, genetic therapy, and potential discrimination in some areas.[188] To safeguard the exchange of health data, there is a need for legal and regulatory frameworks, for example regarding the provision of appropriate firewalls between different sectors for safeguarding individual privacy and rights.

Information exchange should go beyond the technical linking of databases. To support integrated approaches in health, it is also necessary to integrate health data and analysis across sectors, including through clustering of health, socioeconomic, and environmental indicators across sectors to produce a composite profile of progress towards health and well-being. Data and analytical integration tools relevant to integrated health approaches include the following: (i) health lens analysis;[189] (ii) foresight mechanism,[190] e.g. the Finnish foresight mechanism[191] Foresight 2030 Report which traverses election cycles and includes mechanisms for cross-party collaboration in health and other sectors; (iii) scenario planning; (iv) system thinking and long term analysis; (v) health equity impact assessments;[192] (vi) health technology assessment;[193] (vii) health analytics and learning analytics;[194] and (viii) health decision support systems.[195]

Integrated policies in health require scientific studies that integrate social sciences, epidemiology, ecology, microbiology, economics and other disciplines.[196] Total health and well-being involves complex interactions of multisectoral determinants, and systems thinking can improve understanding of the interplay between various health determinants and suggest practical approaches.

Academic institutions can act as trusted conveners and brokers, to not only bring evidence, data and analysis to bear on health policy issues, but also to provide spaces and platforms where different societal actors can engage in these debates in an informed and inclusive way.[197]

The achievement of health goals is also dependent on reliable multidisciplinary scientific research and innovation levers in the areas of social science, health science and information communication technologies. The motivation and capacity within government to process and apply policy advice developed by regional or national health policy analysis institutes, such as the European Institute of Health, National Institutes of Health (for example, in Finland, Peru, Republic of Korea, United States), Canadian Institutes of Health Research,[198] were found to contribute to success of intersectoral policies in health. Enabling factors for such institutions have included a supportive policy environment, some degree of independence in governance and financing, and strong links to policy makers that facilitate trust and influence. Such institutions may become even more important in the future due to rising health-care costs and increased demands from the population for transparency and accountability on how policy decisions are planned and implemented.[199]

Beyond the national level, effective science-policy interfaces are also relevant at the sub-national level to tackle contextualised local health issues. Capable national think

tanks and academic institutions are instrumental in the process. However, as seen in most literature, including peer-review and grey literature, the majority of health-focussed think tanks and academic institutions are from Northern America and Europe. While think tanks tend to be seen as contributing to accountability and pluralistic debate in society, it is important to keep in mind potential conflicts of interest, especially where industry funding is supporting research.[200] For example, research on alcohol regulation has revealed the extent to which the alcohol industry has used think tanks to influence policy debates.[201] This underlines the importance of an independent funding base and credible processes for identifying conflict of interests for think tanks to safeguard their impartiality.

6.5.4. Health technologies and innovation

The health sector is one where new paradigms on science, technology and innovation (STI) in areas such as microelectronics, nanotechnology, biotechnology, and information technology, are developed or intensively applied.[202] In recognising STI as a fundamental cross-cutting issue to achieve the SDGs, the 2030 Agenda proposed the global Technology Facilitating Mechanism (TFM) to advance knowledge exchange and collaboration, and to realise the potential of health-related and other STI initiatives for the SDGs.[203] The Brazilian experience of linking academic research with innovation and implementation policies for the "Health Care Economico-Industrial Complex" showcases the potential of STI in innovative health approaches.[204]

Appropriate technologies in health, or digital health in general, should no longer be identified with high income luxuries but be readily explored in all relevant contexts when pursuing integrated health approaches especially in low income countries for leapfrogging technical hurdles. Disruptive innovations and the use of technologies could be seen as levers to counter challenges such as reconceptualising how universal health coverage can work in resource limited settings; and exploring how to best create intersectoral policies to tackle the causes of non-communicable diseases. From providing services to remote populations and underserved communities through telehealth or mobile health, or virtual medicine, there are untapped opportunities for innovations that could help nations accelerate implementation of health goals and targets.

Given the right enabling conditions, the strategic use of innovation and technologies also has the potential to drastically improve the operations and financial efficiency of multisectoral health care systems.[205] Sensors, mobile apps and data analytics allow healthcare to be delivered online through virtual services, delivering health to the poorest and vulnerable groups. Cost-saving innovation also can put downward pressure on healthcare spending and digital health can also help prevent medical errors, initiate rapid responses and better track health events through multisectoral approaches.[206] Box 6.9 describes features of initiatives aiming to enable "aging in place", where older people's health can be monitored in their own homes rather than in care homes.

Box 6.9. Using technology to support "ageing in place"

While conventional models of institutionalised care such as nursing homes have been imperative in providing long-term care for elderly who require such services, there is a shortage of facilities due to the ageing population in some countries. Not only are there costly and undesirable outcomes for the elderly and their family members, there is often a disconnect of those who stay in nursing homes with the rest of the society.

Through digital health, the point of care for older people could be moved from costly health facilities to the home and the community, or "aging in place", i.e. integrating enabling health factors with the urban environment. Recent years have witnessed the proliferation of home and community care to support ageing-in-place whereby the elderly can stay within the comfort of their homes and familiarity of their neighbourhoods, and have minimal disruptions to their lives and activities. This allows them to age gracefully, safely and comfortably in the community that they live in, and have access to a range of aged care facilities and partake in other societal activities through active ageing. In Singapore, a national vision is in place for enabling holistic and personalised ageing through technology, together with its exemplification in the form of responsive and pre-emptive care and intervention models.[207] The efficiency, effectiveness and responsiveness of this model is dependent on the integration of care across social and health services, collective effort of the whole-of-society, as well as availability of admissible technological solutions. To support the needs and wants of the elderly and to enable them to age in place, several government-initiated schemes are currently underway, with focus on the individual, community and city levels. These include the roll-out of initiatives to ensure that the elderly can receive better services from healthcare providers, live in elderly-friendly homes, travel about more easily, and enjoy public spaces such as aged-friendly public walkways and other public spaces and facilities.

Box 6.9. *(continued)*

Likewise, in Australia, a digital assisted living solution using Artificial Intelligence and sensor technology is on trial to support seniors to live independently.[208] This non-intrusive solution monitors residents' behavior and engages them with family members or health providers whenever there is a need. The primary interface for a resident with the technology is via low-cost sensors, a home-based computing device and a multi-modal end-user interface with voice and speaker, with no new wiring or complicated installation. The goal of this system is to provide reminders (hydration, medication), issue alerts such as weather forecasts, identify potential security risks (back door has been left open), identify anomalous situations, and automate the physical environment (heating, cooling).

The UNPSA winning initiative on "Excellent Happy Home Ward" in Khaoprangram Municipality, Thailand, is an example of provision of integrated health and social services to senior citizens with chronic illnesses.[209] As a result, there was improved understanding of the needs of elders and increased involvement of communities, families and patients themselves in a network of support and social care.

Source: Author's illustration from various sources.

6.6. Conclusions

The recognition of the multiple linkages between health and other SDGs makes a compelling case for public institutions to adopt integrated approaches. This chapter illustrates how multiple determinants of health, various nexuses of issues and associated challenges and opportunities can be addressed in practice through policies and institutional arrangements. The chapter focuses on three dimensions of integration – horizontal integration across sectors, vertical integration across levels of governments, and engagement of people and communities in planning and implementing policies that are related their own health and well-being.

This chapter has shown that there already exist many examples of practical approaches to integration for health, which cover different linkages with the SDGs, both horizontally and vertically. This is valid both in terms of policies and in terms of institutions. In comparison with other sectors, integrated approaches seem rather common and well developed. Lessons learned in terms of how various institutional and administrative approaches have worked could prove useful in other areas of the SDGs that also have strong connections with other SDGs.

However, the path to integrated approaches to health, though compelling, is not easy. Adopting and implementing integrated approaches has proven to be difficult, partly because of the complexity and the dynamics of the multisectoral determinants of health and the involvement of multiple actors. Many questions remain regarding how best to kickstart integrated approaches: on how to define priorities in specific national contexts in order to best address multisectoral issues; how to jar the inertia that surrounds health inequities; and how to sustainably promote whole-of-government efforts to tackle the root causes of ill health.

There is insufficient systematic evidence to reveal the most effective policy processes and institutional arrangements that allow for successful integrated approaches to SDG implementation, for example, in elaborating integrated policy for health and urbanisation. Further work of combing the available evidence about policy experimentation and framing appropriate policy research is required and will help to develop the necessary metrics and evidence base for integrated approaches to health problems.

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CHAPTER

7

REALIZING THE SDGS IN POST-CONFLICT SITUATIONS: CHALLENGES FOR THE STATE

7.1. Introduction

This chapter explores the challenges to realizing the Sustainable Development Goals (SDGs) in post-conflict situations and their implications for integrated approaches that advance both sustainable development and peace. Globally, between one and a half and two billion people[1] live in countries that are affected by conflict, violence and fragility. These countries face the greatest share of the global development deficit. Conflicts, in fact, reduce a country's gross domestic product (GDP) growth by two percentage points per year, on average.[2] People in these contexts are more likely to be impoverished, to miss out on schooling, and to lack access to basic health services and means for decent livelihood.[3]

Alarmingly, trends show that the gap between conflict affected/fragile states and other developing countries is widening.[4] It is estimated that countries emerging from conflict are the ones where the SDGs may not be reached in the absence of radical approaches and innovation.[5] For instance, the ten worst performing countries for maternal mortality globally are all conflict-affected or in post-conflict situations, while gender-based exclusion and violence are a persistent residual effect of conflict.[6]

The United Nations Security Council emphasized the concept of "sustaining peace" as "a goal and a process to build a common vision of a society, ensuring that the needs of all segments of the population are considered."[7] The 2030 Agenda for Sustainable Development, particularly SDGs 5, 10, and 16, encompass the spirit of the resolution and recognize sustaining peace as an inherent sustainable development challenge.[8] The 2030 Agenda brought a renewed emphasis on the need to confront post-conflict interlinked challenges in a coherent manner. An integrated framework for SDG implementation entails ensuring that interventions aimed at sustaining peace (including protecting human rights) and development are mutually reinforcing. The Agenda also underscores that strengthening public administration and governance institutions[9] is critical for securing peace and attaining sustainable development and an inclusive society as key elements for preventing relapse into conflict.[10]

Because countries in post-conflict situations face many urgent problems, the realisation of long-term development goals is all the more difficult for them. In the face of multiple, long term as well as short term priorities, integrated approaches become even more important than in peaceful contexts. National public institutions and public administration, which typically emerge shattered from conflict, must be rebuilt with this purpose in mind. This chapter explores how this can be done, based on recent examples.

The World Public Sector Report 2010 explored in depth the matter of reconstructing public administration after conflict.[11] Most of the content of the report and its conclusions are as valid today as they were then, and the purpose of this chapter is not to re-examine this question in its entirety. As the rest of the report, this chapter focuses on the dimension of integration, from the perspective of public administration. The questions examined are how integration differs in post-conflict contexts, compared to others; and how it can be practically fostered and supported.

The remainder of the chapter is constructed as follows. Section two provides an overview of the challenges facing post-conflict countries to implement the SDGs. Section three examines governance and institutional approaches that allow post-conflict countries to advance sustainable development and peace. Section four analyses the dimensions of horizontal integration, vertical integration and engagement in post-conflict settings. The chapter concludes with a summary of key areas of concern regarding SDG implementation in post-conflict situations.

7.2. The challenge of achieving the SDG in post-conflict settings

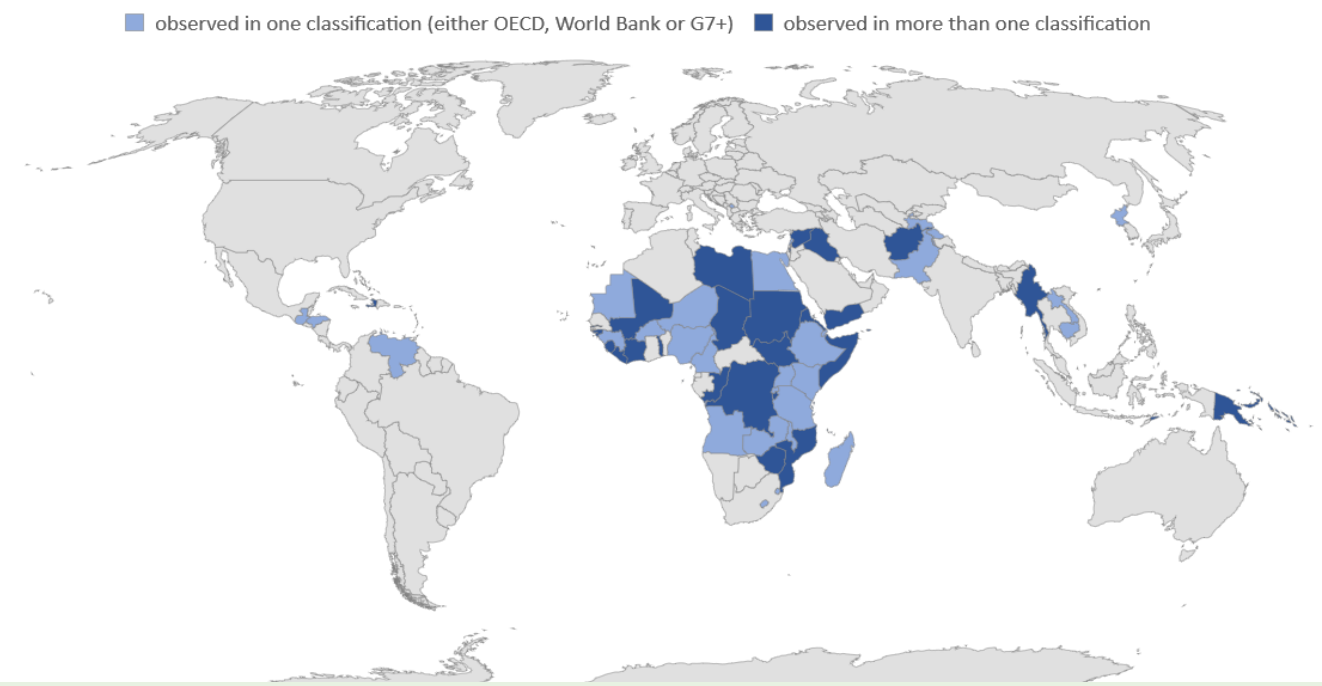
Post-conflict governance presents several challenges that directly affect countries' efforts to implement the sustainable development goals (SDGs). In a nutshell, delivering the SDGs is more complicated in post-conflict contexts than in countries not affected by conflict. Most strikingly, conflict and its aftermath make the realisation of each of the targets of

Box 7.1. Defining post-conflict

Despite the often-common challenges faced by countries in the aftermath of conflict, the term "post-conflict"continues to lack a precise definition, due to difficulties around defining conditions for the presence of conflict, when conflict starts or ends, as well as to the changing nature of conflicts.[12] Recently, the essential links between institutional weakness, governance, and violence have been captured in the concept of "fragility" (see figure 7.1). Weak capacity, accountability, and legitimacy of institutions are the basis of many definitions of fragility.[13] Despite the definitional challenges, this chapter uses the term "post-conflict situation" to refer to a context where at the end of violent conflict, the assets, skills and systems (physical, financial, economic, technical, organizational, political, social) that allowed a country to function as state have been destroyed to some degree.[14]

Box 7.1. *continued*

Figure 7.1.
Fragile and post-conflict situations according to different classifications



Source: Author's elaboration based on OECD, World Bank and the Group of Seven Plus (G7+).

Box 7.2. Thinking of specific SDG areas is different in post-conflict contexts

Education is a key tool to promote peace, and provides a powerful tool to link peace-building and sustainable development objectives. Integration of curricula (i.e. having curricular reflect the perspectives of multiple sections of society) and schools (i.e. having schools that are not segregated) are concrete examples of how a specific SDG must be thought of in a different way because of conflict in the past of a society. It also exemplifies the role of public institutions (schools) and public administration in contributing to sustain peace after conflict. The way such approaches can be implemented is likely to vary widely across countries, depending on how the education system is managed.

The case of the Ebola crisis in Liberia is also an example of the need to think differently in post-conflict contexts. Even though the country had built its health system and infrastructure prior to the crisis, low levels of trust in government post conflict resulted in the population being suspicious of instructions given by government health workers, which contributed to worsening the crisis. Thus, in this case, institutional approaches that may have been adequate to address the outbreak of the disease in other situations were insufficient under social conditions created by prior conflict.[15]

Yet another sectoral example is that of the Solomon Islands, which built conflict resolution mechanisms in natural resources management frameworks, in order to prevent the recurrence of conflict around natural resources.

Source: Expert inputs for the report.[16]

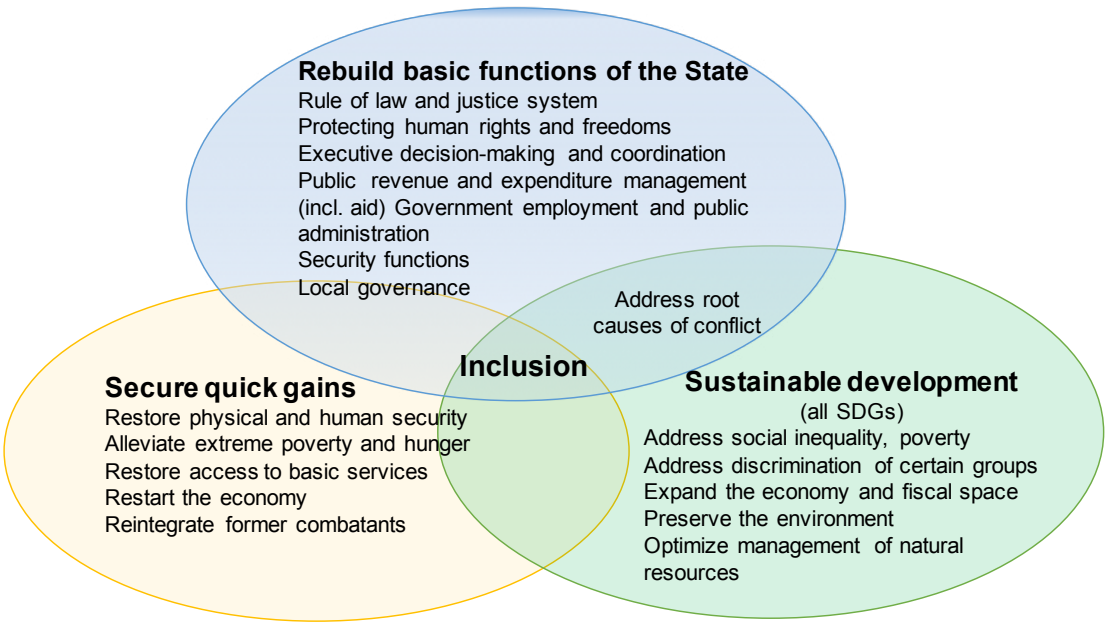
SDG 16 on peaceful societies more difficult. For example, corruption tends to be high in post-conflict contexts (target 16.5). Providing legal identity for all (target 16.9) is harder to achieve in post-conflict situations. As importantly, countries in post-conflict situations also have to think about specific SDG areas such as health, education and many others in a different way (see Box 7.2).

This is compounded by the fact that in post-conflict contexts, long-term sustainable development objectives have to be addressed while addressing urgent and medium-term priorities that are specific to them. In general, post-conflict countries have to deal simultaneously with three categories of issues: securing quick gains; rebuilding basic functions of the State; and progressing toward sustainable development (Figure 7.2).

Attaining demonstrable progress is critical to restore trust in government and avoid the risk of sliding back into conflict,[17] particularly when grievances related to lack of access to services, jobs and other opportunities have fuelled conflict in the first place.[18] It is therefore important to achieve quick, demonstrable progress and secure visible gains on poverty alleviation while, at the same time, ensuring basic security and stability. Actions may include a quick stabilization of the economy which creates the bases for the development of a diversified economy in the longer term,[19] provision of basic public services and improvement of livelihoods.

Although post-conflict situations vary in the nature and degree of devastation, in most cases a violent conflict causes substantial physical, institutional and organizational destruction, including loss of financial and human resources, which may paralyze governance institutions. Depending on the context, public institutions present in stable contexts (e.g. central bank, civil service organization, etc.) may no longer exist after conflict and may need to be completely rebuilt or restored.[20] Thus, the second challenge is to build or rebuild the basic functions of the State and its public administration. "Core government functions", as defined by the World Bank and UNDP, encompass six key responsibilities: (i) executive decision-making and coordination at the centre of government; (ii) public revenue and expenditure management; (iii) government employment and public administration; (iv) the security sector (mitigating and containing internal security threats); (v) local governance; and (vi) aid management.[21] In addition, functions such as enforcing the rule of law, re-establishing the justice system, and protecting human rights and freedoms are necessary to foster development after conflict. Institutional capacity requirements are greater in post-conflict contexts due to their complexity, volatility and high vulnerability to relapse into conflict.[22] Importantly, public administration may be part of the root causes of violent conflict. In such cases, restoring state capacity requires avoiding recreating the same circumstances that caused conflict in the first place.

Figure 7.2.
Multiple governance challenges in post-conflict situations



Source: Authors' elaboration.

The third set of challenges is that of sustainable development. As other countries, countries emerging from conflict have to devise and implement long-term strategies for development that fit their particular context and circumstances. Compared to stable countries, post-conflict countries face the additional imperative to address the root causes of violence and instability, as failing to do so puts the country at high risk of relapse into conflict.

The three sets of priorities are interrelated, and have to be considered simultaneously. Only resilient national institutions can tackle root causes of conflict while simultaneously addressing short-term and longer-term sustainable development needs. Given the length of time needed to establish functioning institutions[23], the scope and speed of reform can be risk factors - attempting to do too much too soon may also actually increase the risk of resumed conflict.[24] Progress on the SDGs, in turn, can only be achieved through strategic coherence of various governance and recovery actions. For example, in Nigeria, it became clear in 2016 that recovery and peace building efforts needed to be carried out in tandem with humanitarian assistance being delivered in the country. Subsequently, the Recovery and Peace Building Strategy was closely coordinated with the Humanitarian Response Plan to build on its achievements and avoid overlaps.[25]

Box 7.3. Combining long-term vision and reconstruction in the Kyrgyz Republic

In the Kyrgyz Republic, after the ethnic-based conflict in June 2010 a donor-funded food-for-work activity (short-term food shortage relief) brought together multi-ethnic local communities to rehabilitate a canal used for irrigating crops. The restoration of the canal produced long-term benefits in terms of increased small-farm production and employment opportunities. It also contributed to the alleviation of the root causes of conflict through social impact and inter-ethnic cooperation. This example shows that actions aimed at providing humanitarian assistance and promoting recovery in the post-conflict environment are most effective when they generate a positive impact on people development and societies and prevent conflict relapse.[26] This evidences the importance of combining forward-looking sustainable development vision and strategies with the imperatives of resilience, reconstruction and sustaining peace.

Source: Authors' elaboration.

Box 7.4. Multiple trade-offs for development in post-conflict situations

Examples of trade-off and tensions that are specific to post-conflict countries trying to balance expectations under stiff constraints include:

- Aiming at fast, visible results through "importing" solutions versus devoting time and resources to build up national capacity;
- Spending on rebuilding state functions versus restoring public services;
- Spending resources and time on enhancing participation versus quickly restoring public services in a centralized way;
- Rebuilding and restoring pre-existing institutions versus creating new ones;
- Increasing participation and legitimacy versus rebuilding government authority;
- Strengthening local governments versus supporting the central government.

All options have their pros and cons. The opportunity to choose one versus the other depends on the country context – there are no cookie-cutter solutions.

Source: Expert inputs to the report.

However, adopting integrated strategies and policies in post-conflict settings is more complicated than in other contexts. The task of prioritizing and allocating resources among SDG areas faces competition from the two other sets of priorities. This happens in contexts of low national budgets, linked with narrow fiscal space, lower fiscal base due to destroyed assets and low revenue mobilization capacity in public administration, often coupled with extensive debt, all of which limit the ability to address multiple priorities.

Limited resources may be compounded by corruption and illicit financial and capital flows, which themselves may fuel further conflict. In addition, in the initial years after conflict, a significant part of the budget may be provided by external actors. When those leave, countries typically face a "fiscal cliff", with sharp drops in the national budget, while public expectations are still high. Therefore, it is clear that post-conflict countries cannot be expected to achieve immediate progress on all fronts, and in particular with respect to building effective, accountable and inclusive institutions.

7.3. Post-conflict governance transformation to advance sustainable development and peace

Post-conflict transitions represent a window of opportunity for important transformation of the terms of State-society relations,[27] and for reform of governance. The aim of this transformation is attaining sustainable peace and development for all. To this end, global sustainable development aspirations can serve as inspiration for a common vision for the future.[28] The vision needs to be translated into coherent and integrated national policies that are forward-looking, inclusive and promote partnership between the government and society and support by national and international partners.

7.3.1. The primacy of politics and the critical importance of inclusion

Experts underline that inclusion, in a political sense, is at the center of all efforts to build sustainable peace and development.[29] The state itself can be exclusionary or inclusive. If exclusion generated conflict in the first place, not addressing it is likely to lead to recurrence of conflict. A critical test of the sustainability of post-conflict settlements is whether the terms of peace agreements are effectively translated in the national legal framework. When this is not the case, there is a high likelihood that the conditions that fuelled conflict in the first place are still prevailing.

Promoting inclusion may require transforming previous patterns of divisive oppositional politics,[30] which in turn requires conflict-management capacity, knowledge of the different actors as well as identifying the right incentives to redress trust deficits and meaningfully engage each stakeholder group. Some experts believe that, in some cases, it may not be desirable or possible to engage all stakeholders in decision-making without undermining engagement processes, for instance, when the population believes that, due to past abuses, a particular group "may legitimately be excluded".[31] Other experts warn about the risk of excluding stakeholders on political grounds to the legitimacy of engagement and institutions.[32] Beyond the "deal-making" aspect of political settlements to end conflict, in the long run the most important is to transform the national political culture. If the political culture remains unchanged, or if political institutions are captured by elites, new institutions are not by themselves going to change political outcomes.

National ownership of the post-conflict development path needs to be inclusive and involve a broad set of stakeholders to create a sense of belonging and inclusion, regardless of political differences. Building trust through processes that meaningfully engage different voices in conflict management, monitoring and accountability helps enhancing the legitimacy of institutions and their credibility. Thus, inclusion stands out both as a goal and an outcome-driven "strategy" for achieving development and sustaining peace. Rwanda has conducted visioning workshops as a useful tool for training top leadership to promote inclusion. These workshops brought together leaders from different sectors and at all levels of government to allow them to "appreciate the value of collaboration, partnerships and collective impact"[33] while devising recovery strategies.

Post-conflict reconstruction is often approached focussing on structural and institutional reconstruction, and in such contexts it is easy to forget about the people dimension. Reliable grievance mechanisms are central to increasing trust in government in post-conflict settings. Yet, most reconstruction programmes do not consider compensation or reparation of what individuals lost during violence.[34] Uganda, on the contrary, implemented a programme for restocking cattle in rural areas. Rwanda and South Africa implemented programmes intended to address housing problems. Such programmes, accompanied by social services as well as inclusion and equity measures, can help ensure that people victimized by violence are not left behind.

Moreover, promoting institutionalized capacities and collaboration to identify, analyse and tackle possible causes of people grievance[35] can help to consolidate the foundations for peace and create a synergic mechanism to avoid the risk of relapse into conflict. The principle of inclusiveness, which is at the intersection of the three categories of challenges faced in post-conflict situations (see figure 7.2), also requires ensuring a balanced composition of the public service as a microcosm of the society is serves. This is an even stronger imperative in post-conflict settings compared to stable development contexts.[36]

7.3.2. Using the SDGs to align strategies and actions

There are reasons to think that the adoption of the 2030 Agenda may facilitate integrated approaches to post-conflict situations. This is because of the broad scope of the SDGs, which encompasses areas that are critical to all the components of post-conflict interventions, from humanitarian action to rebuilding the basic capacity of the State to longer-term development strategies. The SDGs therefore provide a convenient common framework where strategies at different levels can be anchored.

Developing integrated policies that build on the synergies among the SDGs is daunting in post-conflict contexts. While the SDGs are considered indivisible and UN Member States are encouraged to preserve the integrity of the framework, some countries may prioritize and sequence SDG adoption in their respective national and local development plans based on 'suitability'.[37] However, neglecting some development priorities may have negative impacts on the overall coherence of the SDG framework. For example, environmental aspects may be considered as lower priority despite their long-term impacts. Negative effects could also surface if the 'suitability'

picking is driven by political economy imperatives and is not decided in an inclusive manner.[38]

Compared to countries not affected by conflict, identifying elements of national sustainable development strategies in post-conflict contexts requires additional elements. Those include an understanding of key contextual elements and drivers of the conflict, in order to address root causes; an assessment of the degree of institutional development needed;[39] as well as a mapping of recovery requirements. This is normally done through an assessment[40] of all governance institutions to ensure that they are fit to promote development, peace and social cohesion, deliver public services effectively and maintain stability. The assessment also helps to analyse whether there is a need to redefine the role of public administration and how it relates to civil society, the private sector and other national and international stakeholders. An important element of institutional resilience is linked to setting up an "infrastructure for peace", that is to say, embedding mechanisms that promote dialogue, mediate disputes and avoid risks of conflict relapse.[41]

To address the problem of competition among international actors that intervene in post-conflict situations, the United Nations calls for a "comprehensive joint and multidisciplinary mapping and assessments, including of the humanitarian, security, rule of law, human rights, social, economic sectors".[42] Joint multi-actor frameworks and the adoption of compacts binding governments, donors and civil society to implement a single plan are solutions promoted by G7+ countries to encourage country-led,[43] coherent, predictable, and timely assistance from the international community. In Yemen, for example, under the country's Peacebuilding Priority Plan approved in May 2014, United Nations entities partnered in a joint programme on sustainable livelihoods and employment generation for people living in conflict-affected communities.

Several countries have used the SDGs as a framework to align their long-term development strategies and plans, as well as other instruments such as budget processes (see chapter 2 in this report). Among countries having suffered from conflict, Chad, Colombia, Sierra Leone, the Solomon Islands and Somalia offer examples of how linkages with the SDGs were made in national plans and strategies (see Tables 7.1 to 7.5). It is difficult to compare the results of such mappings across countries, as the methodology used to produce them is not uniform.

Table 7.1. Linkage between Chad's pillars of the National Development Plan and the SDGs

Priorities/SDGs	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17
Reinforce and consolidate national unity/ peace/justice/equity and social cohesion																•	
Promote governance/ consolidation of peace and reinforcement of interior and exterior security																•	•
Promote strong, diverse, inclusive and sustainable economic growth	•	•			•		•	•	•	•							
Create the conditions for a better life and sustainable development			•	•		•					•	•	•	•	•		

Source: République Du Tchad Présidence de la République Primature Ministère de l'Economie et de la Planification du Développement, 2017. Plan National de Développement PND 2017-2021, Available at: http://pnd.td/wp-content/uploads/2017/08/PND-2017-2021.pdf

Table 7.2. Linkage between Colombia's National Development Plan and the SDGs

Priorities/SDGs	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17
Infrastructure and competitiveness for economic growth								•	•								
Social mobility through better education and health systems			•	•													
Transformation of the countryside and green growth aimed at reducing the gap between urban and rural areas										•	•		•				
Consolidation of the welfare state			•	•		•				•							
Goog governance for a more odern, transparent, efficient and effective state.																•	

Source: Departamento Nacional de Planeación Colombia, 2014, "Plan Nacional de Desarrollo: Todos por un nuevo país Tomos 1 y 2", Imprenta Nacional de Colombia.

Table 7.3. Linkage between Sierra Leone's Agenda for Prosperity and the SDGs

Priorities/SDGs	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17
Diversified economic growth							•	•	•								
Managing natural resources												•	•	•	•		
Accelerating human development			•	•		•											
International competitiveness							•	•	•								
Labour and employment							•	•	•								
Social protection	•	•								•							
Governance and public sector reform																•	
Gender and women's empowerment				•	•												

Source: Government of Sierra Leone, Ministry of Finance and Economic Development, Advanced draft report on adaptation of the Goals in Sierra Leone, July 2016.

Table 7.4. Linkage between Solomon Islands' National Development Strategy and the SDGs

Priorities/SDGs	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17
Sustained and inclusive economic growth						•	•	•	•		•			•	•		
Poverty alleviation across the country, basic needs addressed and food security improved; benefits of development more equitably distributed.	•	•		•	•		•	•		•	•						
All Solomon Islanders have access to quality social services including education and health			•	•											•		
Resilient and environmentally sustainable development with effective disaster risk management													•	•	•		
Unified nation with stable and effective governance and public order				•	•			•								•	•

Source: Solomon Islands Government, 2016. Solomon Islands National Development Strategy 2016 to 2035, Honiara: Ministry of Development Planning and Coordination. Available at: https://www.adb.org/sites/default/files/linked-documents/cobp-sol-2017-2019-ld-01.pdf.

Table 7.5. Linkage between Somalia's National Development Plan and the SDGs

Priorities/SDGs	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17
Peace, inclusive politics, security and rule of law																•	
Macroeconomics and poverty	•							•									•
Building effective and efficient institutions	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
Economic development - private sector								•	•								•
Productive sector	•	•						•						•			
Social human development		•	•	•		•		•								•	
Infrastructure							•	•	•								•
Building resilience capacity	•	•						•			•				•		
Aid management and cooperation																	•
Gender mainstreaming					•												

Source: Federal Government of Somalia, 2016. The Somalia National Development Plan (SNDP) - Towards Recovery, Democracy and Prosperity 2017 - 2019, Available at: http://mopic.gov.so/wp-content/uploads/2016/12/somalia-national-development-plan-2017-2019final14dec.pdf

7.3.3. Rebuilding public administration after conflict

As documented in the World Public Sector Report 2010, capable, effective and inclusive institutions and public administration, in addition to being consubstantial to a fully functioning State, are also instrumental to addressing both short-term and long-term development challenges. They help to shape an integrated national vision for sustainable development and peace, ensure responsive public service delivery (including justice and security) and look beyond post-conflict peacebuilding.

Building or reforming institutions can affect existing power structures, which makes it de facto a political process. In peace-making processes as well as post conflict, significant power lies in the hands of the actors that control state institutions. Elites often have a vested interest in keeping economic and political power – this can be offset by building coalitions to get a critical mass of agents of change. Restoring old institutions instead of transforming them may produce fragility, lower levels of trust and may contribute to increased poverty even several decades after the cessation of conflict, as seen in some countries.[44]

Reconstructing public administration by implanting institutions based on experience of developed countries risks creating empty structures without corresponding functions.[45] Practitioners call for options adapted to countries' political realities, institutional capacity, and levels of insecurity.[46] Norms, values and behaviours championed by leadership and public servants and their professional capacities –particularly that of front-line providers[47] (so called "soft" skills as opposed to "hard" factors such as forms or functions) - are fundamental components of institutional strength. Yet most institutional development programmes do not pay attention to these elements. In Liberia, after the departure of the United Nations Mission in the country (UNMIL), there was little institutional capacity and limited fiscal space to continue maintaining security in the entirety of the country. The solution found was to create small well-trained and well-equipped police units and place them at the service of local communities as hubs in regions known to be prone to conflicts. The country also established platforms for dialogue, particularly at the local level, including civil society organizations and the private sector.[48]

Linked with this, a key challenge is to ensure transition strategies in government and public service that preserve existing capacity, while also renewing personnel. How to benefit from the knowledge of an "old guard" that may have had a role in the conflict phase, while supporting the emergence of a new generation of public servants who fully support the post-conflict process is a difficult problem. Youth can bring generational renewal in public administration to make it more attuned with the needs of the community it serves (see section 7.4 in this chapter).

Departing from past approaches that encouraged focusing efforts on institutional capacity before addressing institutional challenges, countries in post-conflict contexts have addressed effectiveness and accountability alongside other key recovery efforts.[49]

Burundi, for instance, established the Office of Revenue in 2009 to address transparency of the public administration, fight against corruption and tax evasion and safeguard resources for development. This action has contributed to restoring fairness and fiscal justice, which enhances people's perception of social justice.[50] Nepal has institutionalized an anti-corruption focus in its post-conflict reconstruction by creating a Commission for Investigation of Abuse of Authority with the power of investigating wrongdoing among persons holding any public office and their associates. Liberia has adopted a comprehensive four-prong national anti-corruption strategy, which includes: (i) identifying the causes of and attitudes towards corruption in the country; (ii) measures to reduce opportunities for corruption; (iii) mapping the country's state of corruption; and (iv) formulating ways to break with corrupt practices.[51] In addition, countries like Uganda have set up specialized institutions dealing with sectors particularly susceptible to corruption,[52] such as the governance of natural resources, which can fuel conflict. Independent supreme audit institutions (SAIs) operating in post-conflict contexts can make significant contributions toward state building. By producing audits as well as promoting awareness of their findings and recommendations, SAIs serve as an intermediary between government and people to understand key sources of fragility[53] and promote a culture of inclusiveness, transparency and accountability.[54]

In Nepal, the National Administrative College, the Ministry of Peace and Reconstruction and Nepal police and army participated in mandatory training to help them incorporate conflict sensitivity in public affairs. Conflict sensitivity was also included in the curriculums of Nepal Administrative Staff College (NASC) and the Local Development Training Academy (LDTA). The National Planning Commission (NPC) has also incorporated conflict sensitive elements into its planning guidelines. Similar approaches were adopted in Myanmar and Timor-Leste.[55]

Even more than in countries not affected by conflict, public institutions and public administration in post-conflict countries must be committed to inclusion and to the imperative of the 2030 Agenda to leave no one behind. Public institutions need to unwrap the full meaning and implications of this principle by transforming their systems, structures and practices and core beliefs. Public servants have to be open to the idea of co-production with civil society, the private sector and other stakeholders. In doing so, they need to leverage on champions within society who may be ready to take risks while promoting dialogue and inclusion.

Sustaining public service reforms after violent conflict requires strengthened performance capacities of public administration and management development institutes and relevant university faculties. These institutions are normally tasked with strengthening and sustaining the capacities of public servants to foster national ownership and coordination capacity. Uganda and Ghana, for instance, which have successfully implemented peace and development sensitive reforms, managed to raise the profile and capacity of their public administration institutes. The latter underwent fundamental transformation as capacity building institutes in the public sector and accompanied the reform process.[56]

7.3.4. The critical importance of budget processes

Particularly in post conflict settings, effective management of the national budget is critical to ensure policy implementation, as well as to enhance state legitimacy and accountability. A coherent, country-owned national programme that promotes integrated financial management approaches and directs investments to typically underserved areas of the administrative backbones of ministries (such as human resources, administration, procurement, operations, etc.) was found to be key in bolstering national capacity, for instance, in Timor-Leste and Afghanistan.[57] In Liberia, to address the problem of "fiscal cliff" (see section 2 above), the international community intervened to increase fiscal space to generate resources for reconstruction. The national budget was increased from 80 million to 600 million.[58] However, a massive injection of external resources requires careful control by the State to prevent corruption.

As other countries have done, some countries in post-conflict situation have taken steps to secure funding for SDG implementation by adjusting the budget process and its cycle in line with the SDG framework.[59] In Sierra Leone, for example, the SDGs have been integrated into the 2016 National Budget.[60] A certain level of predictability in local government financial resources is essential to support local initiative-taking and create incentives as well for greater accountability. Colombia, Mozambique or Afghanistan, among other countries affected by conflict, have gradually increased fiscal resources available to local governments.[61]

External actors all have different agendas, which may not match the government's or other stakeholders' priorities. Because of their systemic importance in post-conflict settings, this often creates an additional challenge to integration. Despite the existence of development effectiveness principles calling for complementarities among agencies with different mandates, coherence and integration are often elusive. A coherent country vision, national sustainable development strategy and implementation plan can help aligning external interventions with country priorities (see Box 7.5).

7.3.5. Preventing relapse into conflict

Experts agree that sustaining peace is more difficult than attaining peace, and stress that the most successful prevention strategies are endogenous and local - undertaken by local and national actors through internal political processes.

In particular, to promote conflict prevention, it is critical to foster collective approaches to risk assessment and management and build local capacities and commitment to collectively understand and closely monitor the conditions that could contribute to fragility. It is also important to clarify responsibilities for managing risks (among donors, government, stakeholders).[62] This prevention-based approach includes assessing how risks could affect the implementation of sustainable development programmes, the protection of sustainable development gains and the promotion of resilience.[63]

Monitoring may require establishing early warning systems[64] supported by data and analysis.[65] Collaboration within government and with non-State actors can help identify multidimensional risks related to conflict, climate change, disaster, health, among others.[66] In 2002 for instance, Nigeria conducted an inclusive strategic conflict assessment led by the Institute for Peace and Conflict Resolution, which operates under the Ministry of Foreign Affairs. One year later, further discussions among stakeholders and interest groups across the country analysed early warning and conflict prevention elements. The process culminated in a national action plan outlining a strategy for mainstreaming conflict sensitivity within government institutions.[67] Also, Afghanistan promoted inclusive stakeholder analysis under the leadership of the Aid Management Directorate of the Ministry of Finance in 2014. The analysis fed into a fragility assessment and identification of progress indicators.[68]

Box 7.5. The challenge of aligning external actors' intervention with national priorities

Experts seem to agree that international assistance in post-conflict contexts should be driven by the principle of country ownership, be it in terms of financial support, technical assistance and capacity building. They also agree that there is a long way to go to achieve this goal. In the Solomon Islands, one of the g7+ countries, the 2016-2035 national development programme (NDP) is used as a tool to align support from all multilateral partners. One of the five NDP objectives is effective governance in alignment with SDG 16, and the government places great importance on public institutions' forging connections, collaborations and partnerships with national, regional and international bodies in order to acquire the needed support and professionalism to advance peacebuilding.

Source: Expert inputs to the report.

7.4. Horizontal integration, vertical integration and engagement in post-conflict contexts

7.4.1. Horizontal integration

Adopting policy integration strategies is critical in post-conflict contexts. Rwanda, the Democratic Republic of Congo, Timor-Leste and Nepal, for example, have promoted institutional coordination across sectors for implementing more integrated national sustainable development strategies.[69] The Colombian Government has created a high-level inter-ministerial commission for developing the SDG implementation strategy and action plan at national and regional levels. The commission - chaired by the head of the National Planning Department with ministerial level representation across the government under the guidance of the office of the president - also monitors, follows up and evaluates the achievement of the SDG targets assessing reciprocal impact and progress. In the Solomon Islands, the Ministry of National Unity Reconciliation and Peace was specifically created to emphasize the importance of peacebuilding for the country's social and economic development. This ministry facilitates horizontal integration among different ministries and government agencies (e.g. with mandates on security or economic development) to ensure alignment around peacebuilding actions.[70]

Box 7.6. Policy integration and inclusion in Colombia

The National Development Plan adopted by the Colombian Government in 2014 laid down the government strategies and public policies based on three pillars, peace (SDG 16), equality (SDGs 10), and education (SDG 4).

In addition to policy integration mechanisms at the national level, the Colombian Government made efforts to provide an inclusive platform for local policy-making, giving a voice to previously marginalized groups, and supporting their participation to local elections as candidates. The Government took steps to establish the legal and institutional architecture for territorial peacebuilding under the leadership of the Minister Counsellor on Post-Conflict Human Rights and Security. Rapid Response Plans were prepared and a pre-selection of high priority departments and municipalities made. The coordination between central and local levels of government was ensured through the Inter-institutional Post-conflict Council.

Regional development plans, with a peacebuilding focus and ranging from reintegration and reconciliation activities to economic development, were replicated at the municipal level. These plans also established investment parameters for the post-conflict period. Multi-year binding agreements were signed between the central government and departments as a key instrument for facilitating interaction between national and subnational entities and help deliver regional development policy.

Deepening democracy and people participation in decisions that affect them and rebuilding of trust between people and the State for reconciliation are two of the four foci of the Colombia National Development Plan. The Plan states that peacebuilding is a participatory process, which must develop from a dialogue including the Government, state institutions, social organizations, communities, private sector and businesses. Through National and Regional Forums on Victims, survivors of the conflict contributed their perspectives to peace talks between the Government and rebel groups. Women and girls, who have been armed combatants, conflict victims and local peacebuilders, are key actors of the peace and development nexus in Colombia. Young women's networks were engaged in supporting and facilitating the country's peace negotiation process.

The agreements drafted as part of the peace process reflected victims' inputs on access to basic services and proposals including on return of land to indigenous communities. This was a critical peacebuilding action considering that one of the drivers of conflict (other drivers included economic and income disparities, weak governance and lack of security in more remote areas) in the country was access to land and natural resources for rural people, particularly for women. Addressing this grievance was identified as one of the priorities to prevent Colombia from slipping back into conflict. Reducing the gap between urban and rural environments was consequently included among the five priority areas of the National Development Plan (see table 7.2)

The Development and Peace Programmes (PDPs) promoted multi-stakeholder engagement in the country (23 such programmes were developed in 2015, covering close to 50 per cent of Colombia's municipalities. Led by grass-roots and religious organizations, PDPs brought together various actors to develop regional agendas dealing with humanitarian protection, economic development and governance. Some PDPs have also managed to integrate a significant number of institutions, including private and public entities, at the local, national and international levels. Nonetheless, in some cases, these civil society-led initiatives lacked the necessary power, authority and legitimacy to alter local policy-making. Some communities complained about the lack of implementation of peace and development agendas developed collectively through dialogue. Learning from this experience, the Office of the High Commissioner for Peace drummed up support for the peace process and involved local communities in discussing the items on the peace agenda.

Sources: see footnote.[71]

7.4.2. Vertical integration

Promoting vertical integration and coherence requires balancing political and technical requirements as well as reconciling political decisions at the central level with realities on the ground. Ensuring coherence and integration between national and sub-national levels of government is more challenging in post-conflict contexts, where local interests and powers may resist central authority. Local populations may perceive national power structures as "distant and often irrelevant"[72] to their concerns and expectations. In the case of Yemen, for instance, centre-periphery integration was found to be extremely complicated because of local interests around the management of water resources, among other things.[73] Challenges also include the difficulty for the State to reach and provide basic services to remote areas of the territory, which negatively affects legitimacy.[74]

Building coalitions at the local level where the State works with community leaders[75] may help prevent further violence.[76] Several countries have invested in the local government workforce and trained community members as municipal officers or community assistants aimed at strengthening the interface between state authorities and the local population.[77] Liberia's Governance Reform Commission, for example, in its strategic action to advance political, social and economic decentralization, has defined appropriate structures to promote grassroots representation and participation.[78]

One of the key trade-offs facing donors is how different levels of governments should be supported. The answer is likely to depend on the priorities that are put on different objectives such as restoring access to public services for most of the population, particularly groups that were most affected by conflict, versus rebuilding core government functions. In some cases, local governments may in the short run have more capacity to deliver on the services front, and there is always the temptation to "push" service delivery as low as possible in the government structure. In many cases, national programmes implemented country-wide need to be managed in a decentralized fashion.

Devolving power to local governments - decentralization - is not always a solution to vertical integration. Supporting local governments at the expense of strengthening the central government may in the long run lead to negative outcomes. In some places, there is a fine line between decentralization and disintegration of the country. Decentralization may also be seen as a threat by elites whose buy-in is crucial to political stability after conflict.[79] To ensure systemic coherence and integration, decentralization can occur together with other reforms in relevant sectors including education, health, agriculture, etc.[80] and through careful sequencing of actions. If decentralization is implemented, it should be well managed (impeding local elites capture among others) to support improved linkages between central and local authorities and cohesion. To this end, for example, Guatemala has set up a system of local, regional and national social councils allowing for issues to be discussed by local communities and brought into the national budget processes through a bottom-up process.

Experts underline that the issue is not decentralization versus centralization, but finding what works best in each context.[81] In Somalia, for instance, the unequal power and resource-sharing among different clans and sub-clans was considered one of the key root causes of conflict. A top-down approach, forming a centralized administration starting from top-level leadership was initially adopted but faced resistance given the suspicion among Somali clans. A bottom-up process was later proposed, which included the development of institutions from the grassroots level, free from clan affiliations and the interference of warlords, with local capacity for self-government supported by enhanced public awareness.[82]

To ensure coherence and balance between the needs of the centre and those of the periphery, capacity and resources allocated to federal, provincial and municipal levels need to be harmonized.[83] In particular, capacity strengthening at the national and sub-national levels should be done in parallel and in a consistent manner.[84] The Government of Mozambique, for instance, took steps to establish the legal and institutional architecture for territorial peacebuilding in 2003 by establishing district governments as legal entities with a duty to prepare strategic and operational development plans in a participative way. Coordination between central and local levels of government is ensured through the National Decentralized Planning and Finance Programme. Launched in 2010 and managed by the Government, this national programme supports local governments to propagate inclusive development in all 128 districts (see box 7.7).

The integration of action at the national and sub-national levels may be enhanced through compacts or other accountability frameworks between the central government and local authorities (such compacts may also involve key national and international partners). Local compacts, agreements, understandings can be pursued at the regional and local levels.[85] These agreements also allow departments and municipalities to coordinate different sources of revenues from different levels of government.

7.4.3. Engagement

Stakeholder engagement is a key factor for successful post-conflict governance. Engaging all social groups not only is in line with the 2030 Agenda commitment to leave no one behind, but also allows shaping a common vision for a country's future that reflects people's aspirations and needs. Stakeholder participation in post-conflict assessment, consultations about citizens' needs and priorities, as well as

Box 7.7. Re-establishing local government legitimacy in Mozambique

Mozambique has undergone a remarkable transition since the end of conflict in 1992, enjoying peace, stability and economic growth for over 20 years. During this period, the gradual introduction of key legislative and governance reforms by central government institutions has re-established the legitimacy and authority of local governments and contributed to the maintenance of peace and security.

From 1998 on, the Government sought to improve local service delivery and stimulate local development through the participatory elaboration of local development plans. Consultative councils were established as the conduit for articulating local priorities and the means through which local communities would interact with local governments. Legislation introduced in 2003 established district governments as legal entities with a duty to prepare strategic and operational development plans in a participative way. District governments were made budgetary units that would receive fiscal transfers. In 2005, districts were allocated an investment budget for the first time.

Government then introduced measures to strengthen local revenue collection, to improve financial management and to increase public accountability. An approach to local economic development was devised that used community-based businesses to construct public infrastructure financed via district government investment budgets. In 2007, the Government invited development partners to support the establishment of a National Decentralized Planning and Finance Programme. Launched in 2010 and managed by the Government, this national programme supports local governments to propagate inclusive development in all 128 districts. Finally, in 2013 the government approved a policy and strategy for decentralization. Main lessons learned from Mozambique's transition to decentralized governance after conflict included:

i. Piloting elements of sensitive decentralization reforms in a post-conflict context is an effective means of building confidence between national and local institutions, and between government and development partners.
ii. Adopting a bottom-up approach for re-establishing the legitimacy of the State through local governments is a manageable and effective entry point for local governance intervention.
iii. Participatory planning is an important tool for mobilizing consensus around development priorities, facilitating dialogue between stakeholders, promoting inclusive development and reducing the risk of a return to conflict.
iv. Local development funds are critical for strengthening local government planning and financial management capacity; they give incentives to prepare development plans in a participatory way and also help legitimize the planning process. However, it is important that these funds are ultimately absorbed into the State budget to guarantee sustainability.
v. Even where recovery appears consolidated, underlying fragility in local government institutions may remain and be quickly exposed by natural disasters or renewed outbreaks of conflict. Permanent and robust mechanisms for dialogue and participation are required to overcome this.
vi. Successful decentralization processes take time, up to 20 years in the case of Mozambique. Rapid decentralization in post-conflict situations is rarely the right solution as it infers transferring mandates and responsibilities onto a fragile foundation of poorly trained and resourced local governments.

Source: UNDP-BPPS input to the world public sector report, 2017.

design, implementation, review and evaluation of SDG-related actions can help address the determinants of conflict and promote transformation towards sustainable development.

Engaging people in decision-making regarding SDG implementation in post-conflict situations is critical but very challenging. Disruption of infrastructure, logistical inadequacies and security threats can challenge engagement. Communities are often traumatized, socially divided, and mistrust is often pervasive. Identifying vulnerable groups that may be marginalized in the absence of targeted action is also more challenging in post-conflict settings. Engaging previously marginalized groups in decision-making may threaten the existing power-holders.[86] Social groups may also be divided by competition for resources. Lack of trust between people and the State is more acute when the lack of legitimacy was one of the root causes of conflict.[87]

The experience of countries like Colombia (see box 7.5) shows the importance of allowing people to take part in post-conflict recovery and transformation processes and shape inclusive policies and strategies. Some countries set up legal and constitutional frameworks based on a process of inclusive participation to lay out the vision and foundation for peaceful development. For instance, in South Africa, the White Paper containing proposals for the county's transformation was disseminated to the public and received extensive comment. This process ensured public

engagement and was an effective tool to achieve greater unity in the country.

The development by countries in post-conflict environments of SDG national action plans or strategies provides an opportunity for non-State actors to be involved in formulating these plans, and to hold governments answerable for implementing them. Participatory budgeting has been promoted in some post-conflict contexts to empower local communities to engage with local governments to enhance service delivery and ensure that expenditures reach those that have the greatest needs. Nepal, for instance, began implementing participatory budgeting in 1999 through its Local Self Governance Act, and since then has been successfully training local communities and strengthening local institutions to become more involved in local decision-making processes.[88]

The United Nations has been emphasizing the important role of local governance to give voice to the minority groups, enhance their participation in reconstruction and peacebuilding efforts and become invested in post-conflict public administration.[89] Public administrations, at all levels, have a key role to establish institutional arrangements that, based on the respect for human rights, engage minority groups, indigenous communities and other vulnerable groups in decisions that affect their lives.

SDG implementation provides an opportunity to disrupt entrenched inequalities. Specific groups - particularly individuals and communities who are marginalized by processes of economic development - can be proactively engaged through well-designed incentives. Nepal, for instance, has fostered multi-stakeholder dialogues on mutual concerns in conflict-prone regions by offering capacity development on conflict prevention to religious leaders to reduce tension among different communities. The engagement of local communities, mostly women and members of excluded groups, prevented the escalation of conflicts during phases of national political deadlocks. It also allowed to conduct an inclusive dialogue on land reform, a critical element of both stability and poverty reduction, as well as addressing social issues including gender-based violence.[90]

In 2012 the Government of Timor-Leste adopted a national village development programme, through basic infrastructure development managed by communities, to improve people social and economic conditions. This programme gave an opportunity to communities to decide (and hold full responsibility) for the development priorities of their village. Community understanding of financial issues was enhanced through training.[91]

Some governments strive to create an inclusive vision for post-conflict reconstruction by engaging traditional institutions and their leaders. Traditional institutions, like chieftainships, have a key role in engaging with local communities and they often exercise a profound influence on them. In some contexts, they may be more able to operate than formal institutions. It is thus critical to engage them in post-conflict governance, even though these institutions may not always perform to standards that external actors would like to see upheld. In the Solomon Islands, recognizing the vital importance of traditional structures and systems in stifling small conflicts at the village level, legislation is being introduced to empower and institutionalize these traditional structures.

Gender equality and the engagement of diverse stakeholders (youth, elderly, persons with disabilities, among others) in decision-making are also critical for building community resilience, preventing armed conflict and violent extremism.[92] The experience of Rwanda, for instance, shows that institutionalized participation fosters dialogue, joint focus in addressing common needs and collaborative efforts in finding solutions to attain jointly agreed development goals. This also helps building durable inter-ethnic trust, accelerating the reconstruction of the social fabric and ultimately enhancing community ownership over development processes.[93] Post-conflict challenges to women's engagement in decision-making include: (i) lack of security; (ii) gender-based violence; (iii) resurfacing of stereotypical attitudes about women's role in society; (iv) challenges deriving from women's simultaneous involvement in income-generating and care activities; and (v) lack of inclusive policies.

The importance of engaging women in peacebuilding and post-conflict reforms (e.g. disarmament, security, judicial, constitutional and electoral processes) was recognized by the United Nations Security Council in 2000.[94] Women's participation in post-conflict decision-making is critical for broadening coalitions and ensuring that they serve wider population groups.[95] For example, the vital political role women played in efforts to rebuild Libya is widely known.[96] During national elections in Senegal in 2012, women led the formation and implementation of an "early-warning-and-response" centre, when the country faced prospects of election-related violence.[97] The Roundtable on Peace and Development in Fiji, conducted between 2010 and 2013, also saw prominent roles played by women leaders in building an agreement between civic leaders and their antagonists in the military-backed interim Government.[98]

Effective engagement strategies ensure equality of rights[99] and power relations and opportunities between men and women. This includes addressing socio-cultural barriers and barriers posed by lack of education,[100] access to land and other productive sources, disproportionate care burdens women face in the aftermath of conflict, and promoting women's empowerment.[101] To ensure long-term impact of engagement, it is crucial to enhance women's engagement in budgeting processes (this was done in Afghanistan to promote gender responsive budgeting) as well as women's

leadership capacity[102] through their engagement in local governments and community units responsible for overseeing post-conflict needs as well as civil society organizations.[103]

Women' associations can create a collective voice and engage in different decision-making processes to sustain peace. This is the case of the Mano River Women's Peace Network in South Sudan[104] which has engaged youth and women from various African neighbouring nations to sustain peace in the Mano River sub-region. The Association of Female Lawyers in Liberia has helped sensitizing post-conflict societies to enhance gender responsiveness.[105]

The employment of women as decision-makers in public administration and institutions is one of the strategies used to attain greater gender sensitive planning and budgeting processes[106] and responsiveness to women's needs.[107] Burundi, Kosovo, Rwanda, Timor-Leste and Uganda have adopted strategies aimed at enhancing women's representation in post-conflict governance by setting quotas for their participation as decision-makers in public institutions. Experience also shows that women's participation in the security and justice sectors has a positive influence on the inclusion of women's issues in local governance, expanding public confidence in women as holders of public authority and fighting crimes against women (in particular sexual and gender-based violence).[108] In Afghanistan,[109] Liberia and Uganda, for instance, efforts were made to increase women's representation among police officers.

Strategies that address the resurgence of stereotypical and cultural barriers in post-conflict situations have paired up leadership capacity development measures with actions that foster women's engagement in the media, social mobilization, networking and advocacy campaigns aimed at addressing stereotypes.[110] For instance, women and youth in Pakistan are widely engaged in campaigns aimed at changing narratives about women in society and portraying them as important peace actors and agents of change in their communities. In sum, promoting gender equality and women's empowerment after conflict needs to be done through systematic mainstreaming of gender equality goals in development planning by local and national authorities.[111]

In post-conflict countries, a large section of the population is constituted by young girls and boys that have suffered the scourge of war.[112] Some may have taken part into violence as child or youth soldiers. Both development and peace experts widely agree that allowing youth to express their needs and aspirations and engage in decision-making is key to successful peace and development efforts.[113]

Two years ago, Security Council resolution 2250[114] called for a greater voice of youth in decision-making at the local, national, regional and international levels and encouraged governments to set up mechanisms that would enable young people to participate meaningfully in peace processes. The important role youth can play in the prevention and resolution of conflicts is further emphasized by Security Council resolution 2282 of 2016.[115] This resolution also underscores the role of youth organizations as partners in sustaining peace efforts.

Engaging youth presents challenges and requires addressing stereotypical attitudes within post-conflict societies. On the one hand, youth may be perceived as "potentially dangerous and violent," on the other as "apathetic, vulnerable, powerless and in need of protection".[116] While youth often yearn for reconciliation and for participating in decision-making and peace-building efforts, public institutions and administrations are often unable to effectively engage them. Practitioners emphasize that reversing this trend requires strong national leadership "with a firm sense of equity and philosophy of social justice".[117] Thus, after identifying and addressing factors causing the social exclusion of young people,[118] public institutions can empower them to take an active role as contributors to society and reconstruction efforts.[119]

Experience shows that in post conflict settings, youth can be engaged as champions for SDG implementation[120] and positive agents of change[121] and have a strong potential to build bridges between communities.[122] At the local level, where State authority may wane after violent conflict, country experiences[123] show the contributions youth-focused and youth-led campaigns, networks, movements and organizations have made to sustaining peace and development. For example, a network of young ex-combatants led advocacy efforts to promote peace in Libya. Some governments have implemented measures to address the limited participation of youth in decision-making through targeted policy and institutional reform. The Iraqi Government, for instance, has established a youth advisory council to the governorate council of Ninewa. Also, the Rwandan Government has provided targeted vocational training and psychosocial support to street youth, among other vulnerable groups, to enhance their engagement in post-conflict recovery.[124]

Youth can also be engaged in efforts aimed at promoting entrepreneurship, using their propensity towards innovation and technology to enhance sustainable development efforts. Transforming innovative solutions that solve people's problems or build new skills around SDG priorities into marketable services would promote youth employment and productive engagement, lowering the risk of radicalization.

Public institutions and administration have a key role in designing and implementing policies that address gaps in education and promote job creation to allow youth to fully participate in post-conflict contexts. In the Balkans, for example, youth education was considered critical not only to prepare youth for the labour market but also to contribute

to long-term social reconstruction and understanding of divisions in society that led to violence. South Africa involved NGOs to support the government to address post-conflict divisions through youth education.

Youth leadership promotion initiatives can build the leadership of the next generation of public servants. For instance, in Afghanistan (where 70 percent of people are under the age of 30), there has been an effort to appoint 500 young people in leadership positions (at deputy minister and some ministerial positions) in government.

7.5. Conclusions

This chapter explores the challenges to realizing the SDGs in post-conflict situations and their implications for integrated approaches that advance both sustainable development and peace.

In general, post-conflict countries have to deal with and prioritize among three sets of interrelated concerns simultaneously: securing quick gains; restoring basic functions of the State; and progressing toward sustainable development. This happens in contexts of low national budgets, linked with narrow fiscal space, lower fiscal base due to destroyed assets and low revenue mobilization capacity in public administration, often coupled with extensive debt. Limited resources may be compounded by corruption and illicit financial and capital flows, which themselves may fuel further conflict.

The Sustainable Development Goals, and in particular SDG 16 on peaceful and inclusive societies in particular, are made more difficult to attain because public institutions and public administration have usually suffered heavily from conflict. Importantly, SDG areas such as education, infrastructure, health, social protection, and basic services can provide critical tools for addressing grievances from different groups and help re-start economic and social development on a sustainable path.

Adopting policy integration strategies is critical in post-conflict contexts. Many countries have adopted cross-ministry coordination structures specifically for the implementation of broad strategies that combine recovery from conflict with long-term sustainable development objectives. The adoption of the 2030 Agenda may facilitate integrated approaches to post-conflict situations. This is because of the broad scope of the SDGs, which encompasses areas that are critical to all the components of post-conflict interventions, from humanitarian action to rebuilding of the basic capacity of the State to longer-term development. Several countries have used the SDGs as a framework to align their long-term development strategies and plans, as well as other instruments such as budget processes. Yet, developing integrated policies that build on the synergies among the SDGs, although critical, is daunting in post-conflict contexts. Countries may prioritize and sequence SDG adoption in their national and local development plans based on 'suitability', with potentially negative effects if the 'suitability' picking is driven by political economy imperatives and is not decided in an inclusive manner.

National ownership of the post-conflict development path needs to be inclusive and involve a broad set of stakeholders. In the long run, the national political culture needs to be transformed to put inclusion at the center. Even more than in countries not affected by conflict, public institutions and public administration in post-conflict countries must be committed to inclusion and to the imperative of the 2030 Agenda to leave no one behind. The development by countries of SDG national action plans provides an opportunity for non-State actors to be involved in formulating these plans, and to hold governments answerable for implementing them. Of particular importance in post-conflict contexts is the engagement of minority groups in reconstruction and peacebuilding efforts.

Capable, effective and inclusive institutions and public administration, in addition to being consubstantial to a fully functioning State, are also instrumental to addressing both short-term and long-term development challenges. They help to shape an integrated national vision for sustainable development and peace, ensure responsive public service delivery (including justice and security) and look beyond post-conflict peacebuilding.

Public servants have to be open to the idea of working with civil society, the private sector and other stakeholders to deliver public services. To promote stakeholder engagement, a key factor in successful post-conflict governance, they need to leverage on champions within society who may be ready to take risks while promoting dialogue and inclusion.

Moreover, promoting institutionalized capacities and collaboration to identify and address grievance can help avoid relapse into conflict, particularly when exclusion generated conflict in the first place. Building or reforming institutions can affect existing power structures, which makes it de facto a political process. Elites often have a vested interest in keeping economic and political power – this can be offset by building coalitions to get a critical mass of agents of change.

Particularly in post conflict settings, effective management of the national budget is critical to ensure policy implementation, as well as for enhanced state legitimacy and accountability. A coherent, country-owned national programme that promotes integrated financial management approaches and directs investments to typically underserved areas of the administrative backbones of ministries (such as human

resources, administration, procurement, operations, etc.) was found to be key in bolstering national capacity, as described in this chapter.

External actors all have different agendas, which may not match the government's or other stakeholders' priorities. Because of their systemic importance in post-conflict settings, this often creates an additional challenge to integration. A coherent country vision, national sustainable development strategy and implementation plan can help aligning external intervention to country priorities.

Ensuring coherence and integration between national and sub-national levels of government is challenging in post-conflict contexts, where local interests and powers may resist central authority. Devolving power to local governments - decentralization - is not always a solution to vertical integration issues, as supporting local governments at the expense of strengthening the central government may in the long run lead to negative outcomes. If decentralization is implemented, it should be well managed (impeding local elites capture among others) to support improved linkages between central and local authorities and cohesion. The integration of action at the national and sub-national levels may be enhanced through compacts or other accountability frameworks between the central government and local authorities.

Endnotes

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7 Sustaining peace is defined as "activities aimed at preventing the outbreak, escalation, continuation and recurrence of conflict, addressing root causes, assisting parties to conflict to end hostilities, ensuring national reconciliation, and moving towards recovery, reconstruction and development.".

8 UNDP-BPPS inputs to the World Public Sector Report 2018.

9 United Nations General Assembly, Transforming our world: the 2030 Agenda for Sustainable Development, A/RES/70/1, October 2015.

10 The 2030 Agenda recognizes the need to build peaceful, just and inclusive societies that provide equal access to justice and that are based on respect for human rights, on effective rule of law and good governance at all levels. SDG 16, in particular, emphasizes the importance of an effective public sector, and thus strengthening institutional capacity for development and peaceful outcomes (targets 16.6 and 16.a, in particular). It is therefore a formal recognition of the peace and development nexus. However, already in 1992, the Rio Declaration on Environment and Development emphasized that "peace, development and environmental protection are interdependent and indivisible" (Principle 25). Also, DESA's World Public Sector Report emphasized in 2010 that "most of the violent conflicts that have rocked the world and hindered development are a consequence of failures in governance and public administration systems".

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22 Studies show that 90 per cent of civil wars initiated in the 21st century are in countries that had already experienced conflicts. World Bank, 2011, *Conflict Security, and Development*, World Development Report 2011, Washington DC, page 2.

23 The World Bank estimated that rebuilding public administration after conflict requires between 20 to 40 years. See World Bank, 2011, *Conflict Security*, and Development, World Development Report 2011, Washington DC.

24 World Bank, 2011, *Conflict Security, and Development*, World Development Report 2011, Washington DC.

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27 UNDP-BPPS inputs to the World Public Sector Report 2018.

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30 United Nations, 2010, *Reconstructing public administration after conflict: challenges, practices and lessons learned*, World Public Sector Report, ST/ESA/PAD/SER.E/135, New York.

31 World Bank, 2011, *Conflict Security*, and Development, World Development Report 2011, Washington DC.

32 Fatiha Serour, intervention during the Expert Group Meeting on Integrating Sustainable Development and Peace in Post-conflict Situations: the Role of Public Institutions and Public Administration, United Nations Headquarters, New York, 25 October 2017.

33 John-Mary Kauzya, presentation at the Roundtable on Rebuilding Public Administration in Post-Conflict States, 2016.

34 Report of the Expert Group Meeting on Integrating Sustainable Development and Peace in Post-conflict Situations: the Role of Public Institutions and Public Administration, United Nations Headquarters, New York, 25 October 2017.

35 Causes of people grievance (and risk factors) can be linked to socio-economic, political or environmental issues (e.g. unemployment, poverty,

socioeconomic gaps, political imbalances, unequal access to extractive and non-extractive resources, etc.). Tensions among different groups within a society or tensions between state and non-state actors can deteriorate into violent conflict through a variety of circumstances including competition over access and control of resources, irresponsive or unaccountable leadership, corruption, etc.

36 For instance, UNDP recommends to "promote the inclusion within the public administration of women and hitherto excluded groups, often on an ethnic and/or religious basis, for its impact on sustaining the political settlement but also for its potential to make service delivery more responsive to the needs of different groups" to maintain peace dividends. UNDP-BPPS inputs to the World Public Sector Report, 2017.

37 United Nations Development Programme, 2017, *UNDP Offer on SDG Implementation in Fragile Situations*. Some believe that it may be advisable to "avoid 'Whole of government' approaches in fragile contexts, as they often fall foul of political rivalries and work primarily with individual ministries, but rather focus on the core government functions. Without tangible progress in terms of effectiveness and accountability in fulfilling these functions, progress in sector-based service delivery, economic development and environmental management will be slowed and at risk of set-backs, in particular when exposed anew to shocks and conflict. UNDP-BPPS inputs to the World Public Sector Report 2018.

38 United Nations Development Programme, 2017, *UNDP Offer on SDG Implementation in Fragile Situations*.

39 United Nations, 2010, *Reconstructing public administration after conflict: challenges, practices and lessons learned*, World Public Sector Report, ST/ESA/PAD/SER.E/135, New York.

40 The purpose of the assessment is to understand the fragility context created by the conflict and other factors. Fragility is multidimensional and requires the integration of several analytical tools to fully understand its dimensions. This includes understanding the power relations and the drivers of fragility, and identifying and analysing the drivers of conflict, institutions and institutional context, natural hazards, and disaster exposure and vulnerability. UNDP-BPPS inputs to the World Public Sector Report, 2017.

41 United Nations, 2010, Reconstructing public administration after conflict: challenges, practices and lessons learned, World Public Sector Report, ST/ESA/PAD/SER.E/135, New York. More recently, the Security Council highlighted eight elements of the sustaining peace infrastructure: (i) inclusive dialogue and mediation; (ii) access to justice and transitional justice; (iii) accountability; (iv) good governance: (v) democracy; (vi) accountable institutions; (vii) gender equality; and (viii) respect for, and protection of, human rights and fundamental freedoms. This new perspective takes 'peacebuilding' out of the time horizon constraints it has been subject to since the 1990s, when it was considered a 'post-conflict' exercise to be implemented by outsiders. The concept of 'sustaining peace' also calls for breaking out of existing sectoral approaches to peace-building and conflict resolution, and for better integrating the United Nation's three foundational pillars (peace and security, development and human rights) and their respective governance structures.

42 United Nations, DPKO/OROLSI-Stabilization, early peacebuilding and sustaining peace in United Nations peace operations: principles, elements and options.

43 United Nations Security Council Resolution 2282 of 2016, S/RES/2282 states that national governments and authorities have a key responsibility in "identifying, driving and directing priorities, strategies and activities" although this task is shared with "all other national stakeholders".

44 Report of the Expert Group Meeting on Integrating Sustainable Development and Peace in Post-conflict Situations: the Role of Public Institutions and Public Administration, United Nations Headquarters, New York, 25 October 2017.

45 United Nations Development Programme, 2014, Restore or Reform. UNDP-BPPS inputs into the World Public Sector Report 2018 also states that "Reforms need not be based on imported norms and models; reforms in post-conflict contexts sustain better the test of time and future potential shocks and tensions when they are based on practice, including trial and error, and follow an incremental process."

46 World Bank, 2011, *Conflict Security*, and Development, World Development Report 2011, Washington DC.

47 Marika Theros, intervention during the Expert Group Meeting on Integrating Sustainable Development and Peace in Post-conflict Situations: the Role of Public Institutions and Public Administration, United Nations Headquarters, New York 25 October 2017.

48 Amara Koneh, intervention during the Expert Group Meeting on Integrating Sustainable Development and Peace in Post-conflict Situations: the Role of Public Institutions and Public Administration, United Nations Headquarters, New York 25 October 2017.

49 According to UNDP-BPPS inputs to the World Public Sector Report 2018, "The 5 Peacebuilding and Statebuilding Goals (PSGs) adopted by the New Deal combine political stabilization, institutional strengthening and service delivery objectives, showing that the goal of making public institutions more accountable and effective cannot be done in isolation from progress on the broader political and security agendas"

50 United Nations Public Service Awards, Division for Public Administration and Development Management, available at https://publicadministration.un.org/en/Research/Case-Studies/unpsacases/ctl/NominationProfilev2014/mid/1170/id/2304.

51 United Nations, 2010, *Reconstructing public administration after conflict: challenges, practices and lessons learned*, World Public Sector Report, ST/ESA/PAD/SER.E/135, New York.

52 Idem.

53 UNDESA, 2009, Report on Sustainable Development Strategies of Countries Emerging from Conflict in Africa, (unpublished), p.121 highlights the example of Rwanda's Ombudsman's office that conducts sensitization exercises and trains local level officials and other stakeholders to curb corruption.

54 Goldsworthy, D. & Stefanoni, S., *State building in fragile situations: The role of Supreme Audit Institutions and their international partners*, page 5.

55 UNDP-BPPS inputs to the World Public Sector Report 2018.

56 John-Mary Kauzya, presentation at the Roundtable on Rebuilding Public Administration in Post-Conflict States, 2016.

57 Ashcroft, Laing, Lockhart, 2016, State Building in conflict affected and fragile states: a comparative study. Institute for State effectiveness (ISE), and g7+ Foundation, *Public Finance and National Accountability in Timor Leste and Afghanistan*.

58 Amara Konneh, World Bank, intervention during the Expert Group Meeting on Integrating Sustainable Development and Peace in Post-conflict Situations: the Role of Public Institutions and Public Administration, United Nations Headquarters, New York 25 October 2017.

59 UNDP-BPPS inputs to the World Public Sector Report 2018.

60 Government of Sierra Leone, 2016, Ministry of Finance and Economic Development, *Advanced draft report on adaptation of the Goals in Sierra Leone*, July, Freetown.

61 UNDP-BPPS inputs to the World Public Sector Report, 2017.

62 OECD-Overview of the Links Between the Environment, Conflict and Peace: Developing Methodologies.

63 UNDP-BPPS inputs to the World Public Sector Report 2018.

64 UNDP emphasizes the importance of building early warning and early action infrastructure at all levels of society, with particular focus on supporting women's groups as primary early warning actors for conflicts and disasters. UNDP-BPPS inputs to the World Public Sector Report 2018.

65 Joint data management platforms help to share early warning information among government agencies.

66 United Nations Development Programme, 2017, *UNDP Offer on SDG Implementation in Fragile Situations*.

67 OECD- Conflict-sensitive approaches to development, humanitarian assistance and peace building: tools for peace and conflict impact assessment.

68 United Nations Development Programme, 2015, *Crisis Prevention and Recovery Thematic Trust Fund: 2014 Annual Report*.

69 United Nations, 2009, *Analysis of the challenges and capacity gaps in the area of comprehensive development planning in post-conflict context*.

70 Peter Mae, 2017, Implications for Sustaining Peace, Solomon Islands, Discussion Paper, Ministry of National Unity, Reconciliation and Peace.

71 Departamento Nacional de Planeación Colombia; United Nations Development Programme, 2015, *Crisis Prevention and Recovery Thematic Trust Fund: 2014 Annual Report*. UNDP-BPPS inputs to the World Public Sector Report 2017. OECD, 2015, Colombia policy priorities for inclusive development.

72 United Nations Peacebuilding Support Office, 2012, Peace Dividends and Beyond: Contributions of Administrative and Social Services to Peacebuilding.

73 United Nations, 2009, Analysis of the challenges and capacity gaps in the area of comprehensive development planning in post-conflict context.

74 The local level is where the unmet needs of vulnerable and conflict-affected populations and the institutional weakness of the state interact in the most explosive manner. See UNDP-BPPS inputs to the World Public Sector Report, 2017.

75 World Bank, 2011, *Conflict Security, and Development*, World Development Report 2011, Washington DC.

76 Idem.

77 United Nations, DPKO/OROLSI-Stabilization, early peacebuilding and sustaining peace in United Nations peace operations: principles, elements and options.

78 UNDESA, 2009, Report on Sustainable Development Strategies of Countries Emerging from Conflict in Africa (unpublished), p.142.

79 UNDESA, Report of the Expert Group Meeting on Integrating Sustainable Development and Peace in Post-conflict Situations: the Role of Public Institutions and Public Administration, United Nations Headquarters, New York, 25 October 2017.

80 United Nations Peacebuilding Support Office, 2012, Peace Dividends and Beyond: Contributions of Administrative and Social Services to Peacebuilding.

81 UNDESA, Report of the Expert Group Meeting on Integrating Sustainable Development and Peace in Post-conflict Situations: the Role of Public Institutions and Public Administration, United Nations Headquarters, New York, 25 October 2017.

82 Nuredin Netabay, Bottom-Up Approach: A Viable Strategy in Solving the Somali Conflict, 2007 available at: http://www.beyondintractability.org/casestudy/netabay-bottom

83 Iberoamerican Forum on Public Administration for the Sustainable Development Goals, organized by the Latin American Center for Development (CLAD) and Colombia (National Department for Public Administration National Department for Planning), 27 July 2017.

84 United Nations, 2016, Informal Summary of the Joint Meeting of the Economic and Social Council (ECOSOC) and the Peacebuilding Commission (PBC) on the 2030 Agenda for Sustainable Development and Sustaining Peace, June.

85 United Nations, DPKO/OROLSI, 2017, "Think Global, Act Local" Peace Operations – local and community impact for security, stabilization and prevention, January.

86 World Bank, 2011, *Conflict Security, and Development*, World Development Report 2011, Washington DC.

87 UNDP-Capacity Development in Post-Conflict Countries: Impact of conflict and fragility on governance capacity.

88 United Nations Capital Development Fund, 2017, *Financing Sustainable Urban Development in the Least Developed Countries*, United Nations, page 41.

89 United Nations, 2010, *Reconstructing public administration after conflict: challenges, practices and lessons learned*, World Public Sector Report, ST/ESA/PAD/SER.E/135, New York.

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91 Ministry of State Administration, Timor-Leste, United Nations Public Service Awards candidate, 2014 available at: https://publicadministration.un.org/en/Research/Case-Studies/unpsacases/ctl/NominationProfilev2014/mid/1170/id/2987

92 United Nations, Antonio Guterres (S-G speech at Central Asia summit, 9 June 2017).

93 United Nations, Seminar on Challenges and Opportunities of Participatory Governance in North African Countries: Engaging Citizens and their Organizations in Public Development Affairs through Adequate Institutions, October 2011.

94 United Nations Security Council, "Resolution 1325 Women Peace and Security", 2000.

95 World Bank, 2011, *Conflict Security, and Development*, World Development Report 2011, Washington DC.

96 High-Level Dialogue on 'Building Sustainable Peace for All: Synergies between the 2030 Agenda for Sustainable Development and Sustaining Peace' in January 2017.

97 UNDP-BPPS inputs to the World Public Sector Report 2018.

98 UNDP-BPPS inputs to the World Public Sector Report 2018.

99 Structural gender inequalities (SDGs 5 and 10), contribute to undermining the achievement of the SDGs in post-conflict contexts.

100 While war-torn countries may face steep difficulties providing educational services, education plays a key role in economic recovery in post-conflict countries. Skewed investments in human capital could perpetuate conflict, increase inequalities across groups and cause grievances. See also: Economic and Social Commission for Western Asia (ESCWA), *The Impact of Conflict Over the Life Cycle Evidence for the Arab Region: Trends and Impacts, forthcoming*.

[101] Gender analysis is critical for responsive policy development and effective engagement. See also Myrttinen, H., Naujoks, J. & El-Bushra, J., Rethinking Gender & Peace-building, *International Alert*, available at http://www.international-alert.org/sites/default/files/Gender_RethinkingGenderPeacebuilding_EN_2014.pdf.

[102] This is in line with SDG target 5.5: "Ensure women's full and effective participation and equal opportunities for leadership at all levels of decision making in political, economic and public life."

[103] Women usually have an easier time influencing decision-making, in particular at the local level, in post-conflict contexts through civic engagement in advocacy, participatory and social accountability processes, which provide channels for their engagement on public issues outside of traditionally male-dominated channels. Women's civic activism can have a great influence on social attitudes, such as sexual and gender-based violence and domestic violence, or for obtaining better services and the ability to enter the job market, or to vote in local elections. However, local women's organizations face more difficulty in accessing technical and funding assistance compared to national (elite) organizations and may remain cut from the broader peacebuilding and state building agendas as a consequence. UNDP-BPPS inputs to the World Public Sector Report 2018.

[104] Global Network of Women Peacebuilders (GNWP), Mano River Women's Peace Network (MARWOPNET). Global Network of Women Peacebuilders (GNWP). Available at: http://gnwp.peacegeeks.org/incident-report/mano-river-women%E2%80%99s-peace-network-marwopnet [Accessed November 13, 2017]

[105] The Association of Female Lawyers of Liberia (AFELL). Association of Female Lawyers of Liberia. Available at: http://afell.org/ [Accessed November 13, 2017].

[106] United Nations Development Programme, 2014, Restore or Reform: UN Support to Core Government Functions in the Aftermath of Conflict, United Nations Department of Public Information.

[107] However, even with women elected in local offices, the gender-responsiveness of local policy agendas is not guaranteed, as women's representatives will face during policy-making the same structural barriers to their voice and participation that they faced when running for office. Also, women officials sometimes fail to prioritize women's issues on their own agenda or adopt the same conservative positions on women's rights and needs than their fellow men officials. UNDP-BPPS inputs to the World Public Sector Report 2018.

[108] UNDP-BPPS inputs into the World Public Sector Report 2018.

[109] United Nations Development Programme, 2015, *Crisis Prevention and Recovery Thematic Trust Fund: 2014 Annual Report*.

[110] Since institutional hybridity and a weak state presence across the national territory is often a prevalent feature in post-conflict settings, gender-responsive approaches cannot just focus on formal state institutions or civil society. Working with informal institutions and community-level gender norms can provide the most effective entry points for addressing gender inequalities and discrimination, as well as renegotiating women's role in governance. UNDP-BPPS inputs to the World Public Sector Report 2018.

[111] UNDP-BPPS inputs into the World Public Sector Report 2018.

[112] According to UNDP Youth Strategy, 2014 - 2017, more than 600 million youth (15-24) live in fragile and crisis-affected settings.

[113] United Nations, Inter-Agency Network on Youth Development, Working Group on Youth and Peacebuilding & Peace. Nexus Foundation, 2016. Young People's Participation in Peace Building: A Practice Note available at http://www.un.org/en/peacebuilding/pbso/pdf/Practice%20Note%20Youth%20&%20Peacebuilding%20-%20January%202016.pdf.

[114] United Nations Security Council Resolution 2250 of 9 December 2015, S/RES/2250 (2015), reissued on 5 January 2016.

[115] United Nations Security Council Resolution 2282 of 2016, S/RES/2282.

[116] The Role of Youth in Peacebuilding: Challenges and Opportunities | Sustainable Security.

[117] Sarah Freedman, Professor of the Graduate School, Berkley, response to the call for inputs for this report.

[118] For instance, countries like Central African Republic, Sierra Leone and Kyrgyzstan require minimum levels of education and/or literacy to run in legislative elections, as well as upfront deposits upon registering as a political party. These policies disproportionately disenfranchise youth in rural and underserved communities. Youth in fragile and conflict-affected settings are also more vulnerable to HIV transmission and sexual violence. UNDP-BPPS inputs to the World Public Sector Report 2018.

[119] United nations, International Youth Day, Youth Building Peace, August 2017 available at https://www.un.org/development/desa/youth/international-youth-day-2017.html.

[120] For instance, through supporting gender and youth-sensitive violence reduction strategies (SDG 16.1) in conflict-affected settings, in particular against sexual and gender-based violence (SDG 5.2) and the violent assertion of masculinities. UNDP-BPPS inputs to the World Public Sector Report 2018.

[121] United Nations Development Programme, UNDP Offer on SDG Implementation in Fragile Situations, 2017.

[122] UNDP-BPPS inputs to the World Public Sector Report 2018.

[123] The World Bank Group, 2014, Tunisia: Breaking the Barriers to Youth Inclusion, available at: http://www.worldbank.org/en/country/tunisia/publication/tunisia-breaking-the-barriers-to-youth-inclusion.

[124] This targeted support was included in the United Nations Development Assistance Framework (UNDAF) in the period 2002-2008.

The World Public Sector Report 2018 (WPSR 2018) examines how governments, public institutions and public administration can foster integrated approaches to the implementation of the 2030 Agenda and the Sustainable Development Goals. The report examines key challenges and opportunities for integrated approaches from the perspective of public administration, highlighting experiences from past decades both at the systemic and sectoral levels. It also examines how governments across the world have chosen to address existing interlinkages among the SDGs, and the implications of this for public administration and public institutions. The report thus aims to produce a comprehensive empirical analysis of policy integration for the SDGs at the national level, with a view to drawing lessons on how emerging initiatives aiming to enhance policy and institutional integration might lead to long-term success in achieving the SDGs, in different developmental and governance contexts. The report is built around two structuring dimensions: the 2030 Agenda for Sustainable Development and the Sustainable Development Goals as an integrated and indivisible set of goals and targets; and the role of government, public institutions and the public service in fostering sustainable development.

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