



# Regional Progress of SDG Implementation: Challenges and Constraints in Governance Capacities

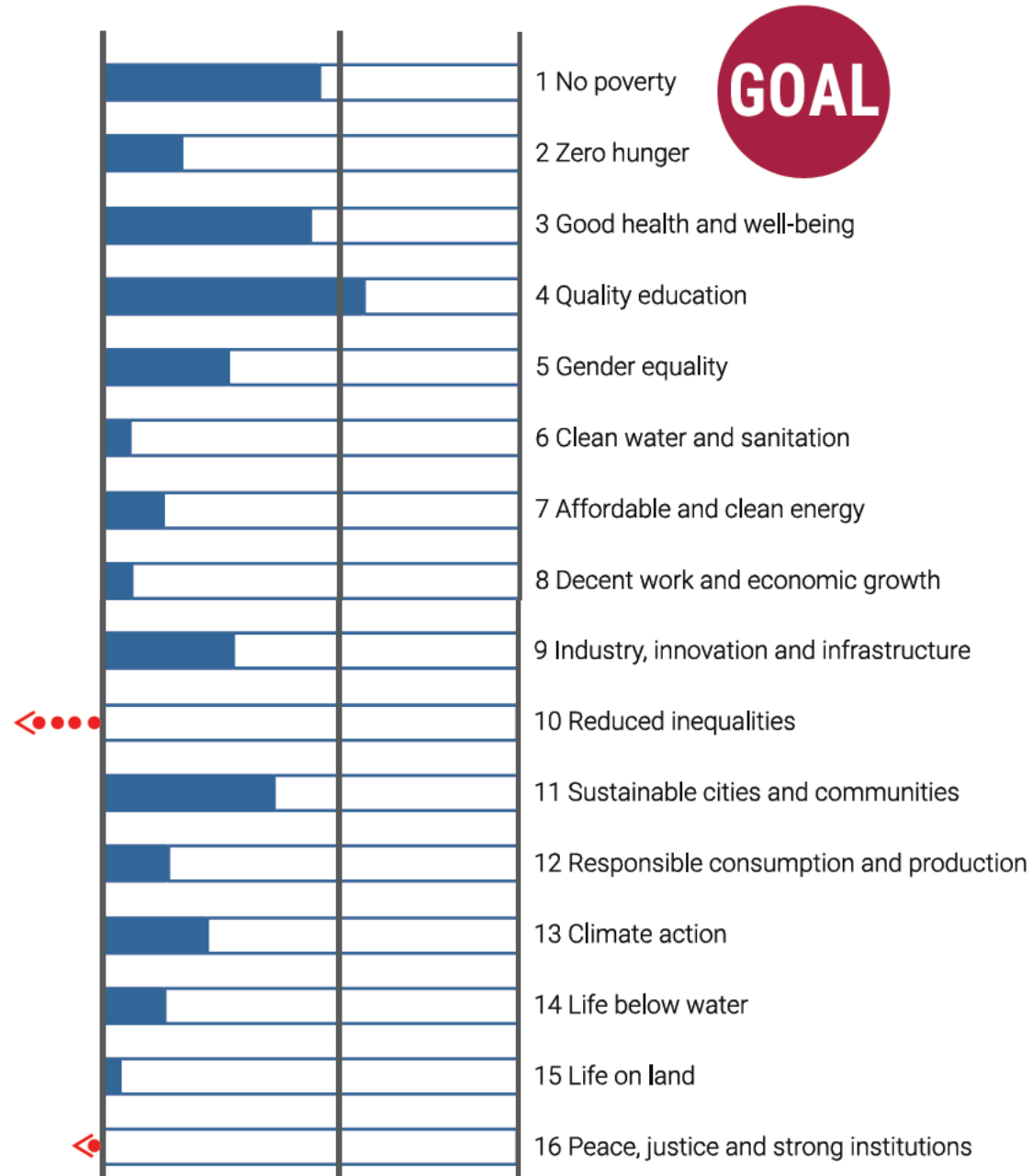
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**Symposium on**  
***“Strengthening the Capacities of Public Institutions & Developing Effective  
Partnerships to Realize the 2030 Agenda for Sustainable Development”***

24-26 October 2018, Incheon



# Baseline of SDG performance - Asia-Pacific



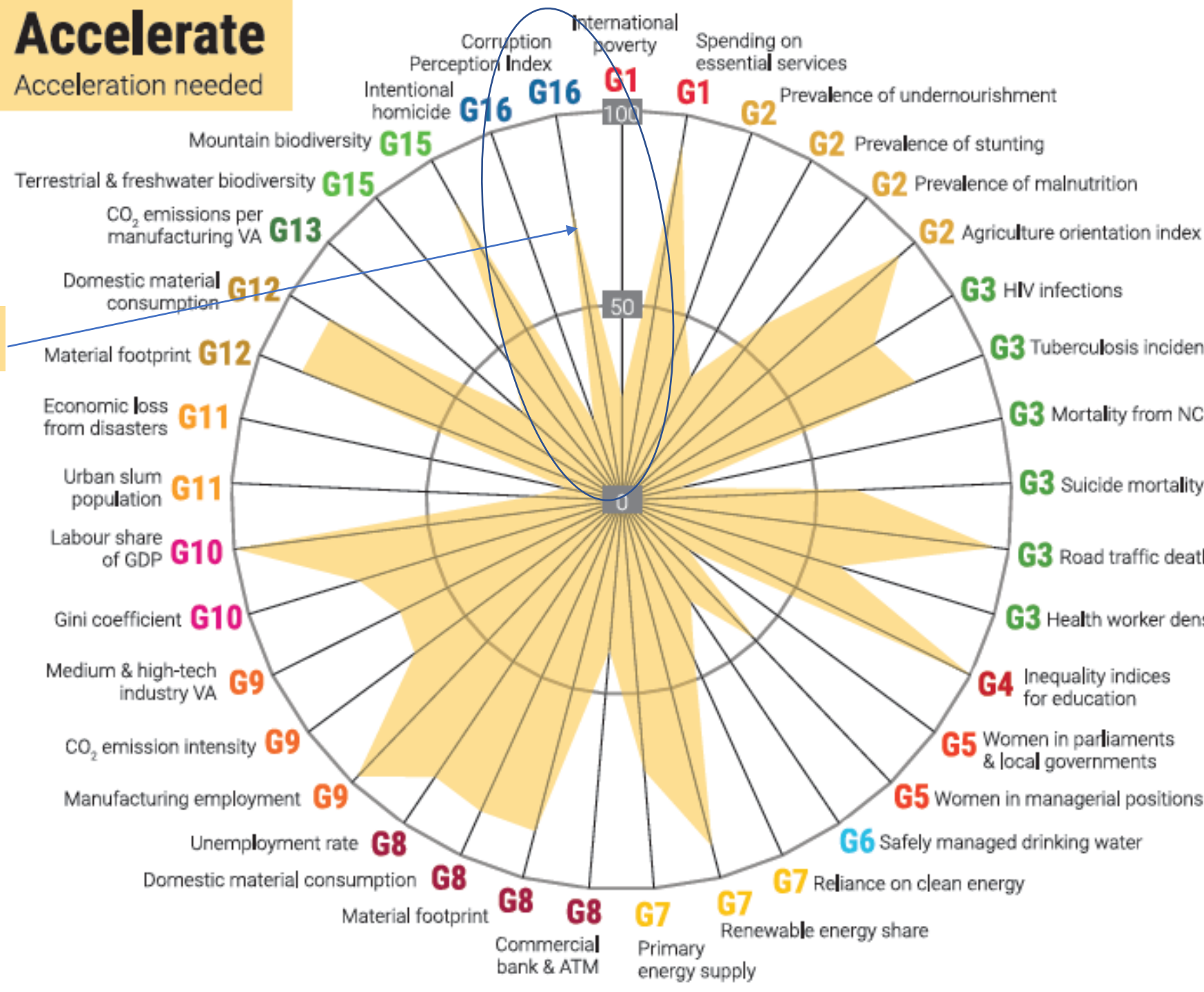
# Accelerate

Acceleration needed

GOAL 16

Intentional homicide

Corruption Perception Index



# Challenges & constraints in governance capacities > strengthening accountability

- Effective policy: Integration & policy coherence
- Effective service delivery & resource use (development effectiveness)
- Follow up and review (monitoring and evaluation)
- Strengthening inclusion and leaving no one behind
  - Voice and participation
  - Harmful norms and practices
  - Rights & justice
  - Access to resources (equity, coverage)

# Social accountability

- ❖ Relies on civic participation
- ❖ Strengthens **vertical & horizontal** accountability
  - ❖ Between government & people
  - ❖ among and between different groups in society – private sector, academia, civil society
- Has both **developmental & protective** impacts

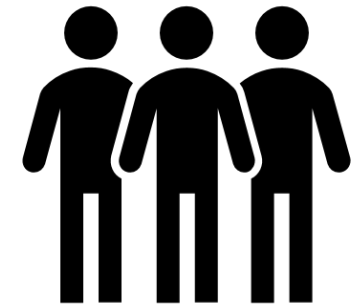


## Development


- Allocation & use of resources (budgetary & other)
- Service delivery > more equitable outcomes
- Transparency & trust building
- Institutional responsiveness, adaptive capacity
- Evidence-based policy & decision making
- Balancing/aligning private interests & public good

## Protection

- Marginalized, vulnerable groups
- Harmful practices
- Human rights, rights to development
- Non-economic social & environmental “goods”





Mechanisms	Supportive “tools”	Institutionalized stakeholder/ community engagement & public participation
Parliament, justice systems, free and fair elections	<ul style="list-style-type: none"><li>• Legislation</li></ul>	<ul style="list-style-type: none"><li>• Legislation</li><li>• Institutional policy &amp; standards on engagement; draft Guidelines on the right to publicly participate (<a href="#">A/HRC/39/28</a>).</li><li>• Public interface: Ombudsman, complaints register</li><li>• Free, prior and informed consent</li></ul> 
Ensuring public access to information	<ul style="list-style-type: none"><li>• Reporting &amp; reporting standards (mandatory, voluntary)</li><li>• Online &amp; public provision of data and information</li><li>• Legislation (access to information)</li></ul>	
Monitoring & review/evaluation	<ul style="list-style-type: none"><li>• Citizen score cards</li><li>• Multi-stakeholder bodies, expert panels</li><li>• Ombudsman; codes of conduct/standards/principles (e.g. Principle 9 of the Forum Principles of Good Leadership)</li></ul>	
Influencing action & decision-making (including for redress, action) <ul style="list-style-type: none"><li>• policy feedback loop</li></ul>	<ul style="list-style-type: none"><li>• Special commissions/committees</li><li>• Legislation - legislated parliamentary follow up</li></ul>	



# We observe . . .

## *Strong points . . .*

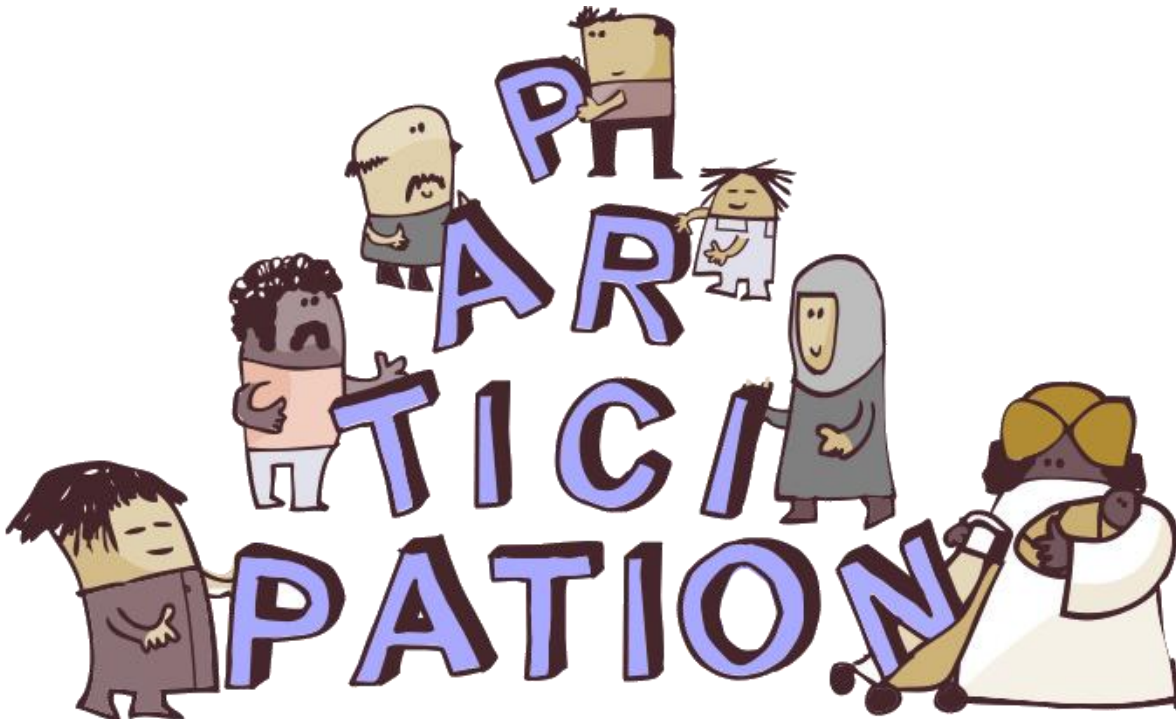
- Recognition of the need to engage more meaningfully and live up to the commitments of the 2030 Agenda.
- Processes for the Voluntary National Review Reports galvanize action & engagement and can lay the foundation for further steps.
- Multi-stakeholder bodies for coordination and technical support are quite common.

## *Room for improvement . . .*

- Meaningful partnership and engagement
- Capacity gaps re: meaningful engagement – government & stakeholder
- Resources (human, financial, time) needed often underestimated (no/limited planning).
- ***Institutionalization is extremely critical, but often forgotten.***

# Institutionalizing engagement

- A critical and foundational challenge for strengthening governance



Institutionalized engagement, at the societal level, and even within organizations, does not happen overnight . . .

It can take many years to achieve and requires political will



## ***Institutionalized engagement requires:***

- **Organizational and political leadership**, support, and commitment to meaningfully engage;
- **Specific mechanisms and channels for communication with stakeholders**
- **Institutional responsibility and resources** to be allocated;
- Staff of the institution should share a **common understanding of (policy/regulations/guidelines)**:
  - How engaging stakeholders contributes to the institution's/government's mandate;
  - The standards or quality of engagement
  - The kinds of kinds of decisions require stakeholder input
  - Who are the relevant stakeholders are and, their expectations..



# An example.. Indonesia – legislative steps to strengthen decentralization & governance at the village level

- Law 6/2014 on villages provides villages with increased budget allocations and improved governance arrangements – including greater participation and democracy, a support system for villagers to exercise accountability, including strong facilitation as one of the most important foundations
- Built on previous decentralization reforms - +ve & -ve (e.g. in 1979, 1999, 2004)
- Increased responsibility hand-in-hand with increased social accountability
- +ve impacts noted over time: reduced space for dynastic leadership; more responsiveness; leadership working in the interests of people; lower levels of discontent; enhanced local problem-solving through mutually reinforcing effort

Source: Village Governance, Community Life, and the 2014 Village Law in Indonesia. Hans Antlöv & others - <https://openknowledge.worldbank.org/bitstream/handle/10986/25015/10.108000074918.2015.1129047.pdf?sequence=1>

# ESCAP support on stakeholder engagement to date

- Developing planning and assessment tool
- Training material, facilitators oriented to the 2030 Agenda
- Intensive professional development workshop on stakeholder engagement, tailored to the 2030 Agenda
- Technical assistance to voluntary national review report countries
- Orientation/planning workshop for the VNR including stakeholder engagement & integration (for policy coherence)

# Planning and Assessment Tool – Four Dimensions of Quality Engagement



## PURPOSEFUL ENGAGEMENT

- Clear objective, a plan, resources, responsibility & follow up



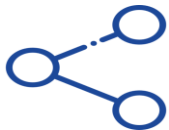
## INCLUSIVE ENGAGEMENT

- Barriers to participation (cultural, ability, geographic, other) removed/recognized, stakeholders mapped and analyzed, ensuring “no one left behind”



## TRANSFORMATIVE ENGAGEMENT

- Facilitates collaboration, empowerment, partnership, cross-sectoral, multi-perspective dialogue to develop shared understanding and build trust



## PROACTIVE ENGAGEMENT

- Outreach, involve stakeholders in designing participation, provide information and feedback needed

- Based on ESCAP & IAP2  
preliminary framework

# Planning and Assessment Tool

*Developed by ESCAP with the International Association for Public Participation*  
*4 dimensions of quality engagement, 24 indicators*

***Organizations can use it to:***

- Identify gaps
- To agree on “quality” standards for engagement
- Plan engagement processes

***Stakeholders can use it to:***

- Articulate (to governments) their expectations of the way they would like to be engaged
- Plan & assess their own engagement processes

# Takeaways

- Institutionalization of engagement is foundational for strengthening governance
- Requires specific mechanisms and tools
- Institutionalizing engagement and participation requires leadership commitment and is supported by agreement on standards re: quality engagement



Thank you !

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**[sdghelpdesk.unescap.org](https://sdghelpdesk.unescap.org)**

Additional slides

# Purposeful Engagement

## PURPOSEFUL ENGAGEMENT



**1.1 Statement of engagement objectives** [Engagement objectives are widely understood and linked to objectives of interventions]

**1.2 Engagement planning** [The detail of engagement planning is consistent with the level of the intervention/risks and recognizes participation as a right]

**1.3 Commitment to improvement** [Previous lessons learnt and history of intervention are considered during engagement planning, evaluation process is defined]

**1.4 The time and budget allocation** [Adequate/appropriate to the objectives of interventions and secured for the duration of the intervention]

**1.5 Coordination, with clear roles and responsibilities** [Well-defined roles are agreed to early in the engagement, both within and outside the organization and coordination between engagement efforts]

**1.6 Engagement & follow-through** [Consultation outputs, recommendations or decisions are given the promised level of consideration]

# Inclusive Engagement

## INCLUSIVE ENGAGEMENT



**3.1 Stakeholder Analysis** [Stakeholder analysis ensures representativeness and understanding of the UN major groups, other stakeholders and respects participation as a right]

**3.2 Diversity of perspectives shared** [The engagement process provides equitable opportunities for a diverse range of perspectives to be shared, including assenting and dissenting views, scientific perspectives, human rights perspectives and others, as appropriate]

**3.3 Dealing with barriers to participation** [Barriers to participation for specific groups are clearly identified and active steps have been taken to reduce them (eg: Accessibility, Technology, Social prejudice, Cultural, "safe space", Language, etc)]

**3.4 Inclusion of disadvantaged groups** ["Leave no one behind" – Disadvantaged groups are clearly identified and specific measures are put in place for engaging them]

**3.5 Appropriateness from cultural and other perspectives** [Engagement method and process demonstrates cultural sensitivity and awareness, seeking to balance power relationships within society]

**3.6 Provision of safe spaces** [Methods, institution, facilitation and physical spaces encourage open participation and provide adequate protection for people from reprisals]

# Transformative Engagement

## TRANSFORMATIVE ENGAGEMENT



**4.1 Building understanding between stakeholders** [Chosen methods foster constructive interactions and dialogue to build understanding and strengthen shared action]

**4.2 Highly Collaborative** [Levels of engagement and influence are clearly defined and seek to move beyond information and consultation, as appropriate and in line with the 2030 Agenda intentions]

**4.3 Integrate economic, social and environmental perspectives** [The methods and process give balanced attention to and integrates the economic, social and environmental perspectives]

**4.4 Stakeholder acceptance, support and involvement** [The engagement process and methods are considered appropriate by participants]

**4.5 Synergize actions across SDGs** [The methods and process bring stakeholders together across SDGs where there are interactions between them (for example between food security and poverty)]

**4.6 Participation used to make meaningful change** [Sustained engagement enables the delivery of substantive changes to complex issues (eg: systems, beliefs, behaviours etc)]

# Proactive Engagement

## PROACTIVE ENGAGEMENT



**2.1 Communicating process and scope of influence** [Scope and process are clearly explained in accessible formats, providing enough time for mutual understanding to develop, including educating stakeholder where appropriate]

**2.2 Communicating engagement content** [Sufficient, accessible information is provided with enough time for people to engage in a meaningful way]

**2.3 Outreach to right people** [The process and methods explicitly raise awareness, encourage and invite participation and actions by relevant stakeholders and the public]

**2.4 Documenting and responding to stakeholder contributions** [Questions, commitments and outcomes are recorded and followed through in a timely way]

**2.5 Openness and adaptable to feedback** [Mechanisms to receive and respond to complaints and feedback with the positive attitude]

**2.6 Ongoing Follow Through** [Attention is paid to ensuring there is consistent follow through and monitoring of the outcomes/output of the consultation process]