

# UNITED NATIONS

## SELF-ASSESSMENT SURVEY


Capacity needs assessment of government institutions to implement the principles of effective governance for sustainable development and identification of priority areas for capacity development



United Nations Department of Economic and Social Affairs (UNDESA)  
Division for Public Institutions and Digital Government (DPIDG)

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# 11 PRINCIPLES—62 STRATEGIES OF EFFECTIVE GOVERNANCE FOR SUSTAINABLE DEVELOPMENT

EFFECTIVENESS			ACCOUNTABILITY		
<p><b>COMPETENCE</b></p> <p>1–Promotion of a professional public sector workforce 2–Strategic human resources management 3–Leadership development, training of civil servants 4–Performance management 5–Results-based management 6–Financial management and control 7–Efficient and fair revenue administration 8–Investment in e-government</p>	<p><b>SOUND POLICY-MAKING</b></p> <p>9–Strategic planning and foresight 10–Regulatory impact analysis 11–Promotion of coherent policymaking 12–Strengthening national statistical systems 13–Monitoring &amp; evaluation systems 14–Science-policy interface 15–Risk management frameworks 16–Data sharing</p>	<p><b>COLLABORATION</b></p> <p>17–Centre of government coordination under Head of State / Government 18–Collaboration, coordination, integration, dialogue across levels of government, functional areas 19–Raising awareness on SDGs 20–Network-based governance 21–Multi-stakeholder partnerships</p>	<p><b>INTEGRITY</b></p> <p>22–Promotion of anti-corruption policies, practices and bodies 23–Codes of conduct for public officials 24–Competitive public procurement 25–Elimination of bribery, influence trading 26–Conflict of interest policies 27–Whistle-blower protection 28–Provision of adequate remuneration and equitable pay scales for public servants</p>	<p><b>TRANSPARENCY</b></p> <p>29–Proactive disclosure of information 30–Budget transparency 31–Open government data 32–Registries of beneficial ownership 33–Lobby registries</p>	<p><b>INDEPENDENT OVERSIGHT</b></p> <p>34–Promotion of the independence of regulatory agencies 35–Arrangements for review of administrative decisions by courts or other bodies 36–Independent audit 37–Respect for legality</p>
INCLUSIVENESS					
<p><b>LEAVING NO ONE BEHIND</b></p> <p>38–Promotion of equitable fiscal and monetary policy 39–Promotion of social equity 40–Data disaggregation 41–Systematic follow-up and review</p>	<p><b>NON-DISCRIMINATION</b></p> <p>42–Promotion of public sector workforce diversity 43–Prohibition of discrimination in public service delivery 44–Multilingual service delivery 45–Accessibility standards 46–Cultural audit of institutions 47–Universal birth registration 48–Gender-responsive budgeting</p>	<p><b>PARTICIPATION</b></p> <p>49–Free and fair elections 50–Regulatory process of public consultation 51–Multi-stakeholder forums 52–Participatory budgeting 53–Community-driven development</p>	<p><b>SUBSIDIARITY</b></p> <p>54–Fiscal federalism 55–Strengthening urban governance 56–Strengthening municipal finance and local finance systems 57–Enhancement of local capacity for prevention, adaptation and mitigation of external shocks</p>	<p><b>INTERGENERATIONAL EQUITY</b></p> <p>58–Multilevel governance 59–Sustainable development impact assessment 60–Long-term public debt management 61–Long-term territorial planning and spatial development 62–Ecosystem management</p>	

**Introduction:**

The 2030 Agenda for Sustainable Development was adopted by all Heads of State and Government at the United Nations in September 2015 (<https://sustainabledevelopment.un.org/post2015/transformingourworld>), with 17 ambitious Sustainable Development Goals (SDGs) at its core.

The Committee of Experts on Public Administration (CEPA) has developed a set of principles of effective governance for sustainable development. The essential purpose of these voluntary principles is to provide practical, expert guidance to interested countries in a broad range of governance challenges associated with the implementation of the 2030 Agenda. The principles, endorsed by the United Nations Economic and Social Council on 2 July 2018, highlight the need for pragmatic and ongoing improvements in national and local governance capabilities to reach the SDGs. To this end, the principles are linked to a variety of commonly used strategies for operationalizing responsive and effective governance, many of which have been recognized and endorsed over the years in various United Nations forums, resolutions and treaties<sup>1</sup>.

The present Survey aims to provide a self-assessment on public institutions' approaches, priorities and needs in implementing the SDGs in line with the ECOSOC Principles of Effective Governance. Please note that this is not an evaluation and will not in any way be used by the United Nations publicly. The Survey will help gather information on steps taken by countries to adapt the SDGs to national contexts, develop policies and action plans, mobilize and adapt their institutions, engage civil society, private sector, scientific community and people, as well as establish the framework for reviewing progress in the implementation of the SDGs. Pending further discussions with your government, it could be used for capacity development cooperation.

The questionnaire was prepared by the Division for Public Institutions and Digital Government, Department of Economic and Social Affairs (DPIDG/DESA). The mission of DPIDG/UNDESA is to assist the Member States in fostering effective, efficient, transparent, accountable, innovative and people-centred public governance, administration and services for sustainable development.

*The survey may need the feedback of several institutions. Please feel free to provide answers from multiple sources and provide answers only to the questions that are relevant to your country at this moment. For any questions, please contact Mr. Juwang Zhu, Director, DPIDG, UN DESA at [zhu@un.org](mailto:zhu@un.org).*

## PART I - EFFECTIVENESS

### 1. Competence

Please identify the top three areas most relevant for capacity building?

- 1--Promotion of a professional public sector workforce
- 2--Strategic human resources management
- 3--Leadership development, training of civil servants
- 4--Performance management
- 5--Results-based management
- 6--Financial management and control
- 7--Efficient and fair revenue administration
- 8--Investment in e-government

1. (a) Have you mainstreamed the SDGs in your civil service training programmes? (b) In general, is the civil service aware of the sustainable development goals? (c) Is there awareness of the main challenges in promoting strategic human resources management?

(a)
(b)
(c)

2. What changes (if any) have been made in the budgeting process and in resource allocations to reflect the implementation of SDGs at national level?

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3. (a) Has your government put in place an integrated national financing framework in order to support the implementation of the SDGs<sup>1</sup>? (b) Have new financial resources for SDGs implementation been mobilized and if so, how? (c) For what parts of SDGs implementation is it most difficult to mobilize funding?

(a)

(b)

(c)

4. (a) Is your government using information and communication technologies (ICT) for supporting implementation of the SDGs? (b) Does your country have a strategy for Digital Government? Is it integrated or aligned with your national development strategy? (c) If yes, what measures has your government taken to promote digital government for effective, inclusive and accountable delivery of services?

(a)

(b)

(c)

## 2. Sound Policy-Making

Please identify the top three areas most relevant for capacity building?

- 9--Strategic planning and foresight
- 10--Regulatory impact analysis
- 11--Promotion of coherent policymaking
- 12--Strengthening national statistical systems
- 13--Monitoring & evaluation systems
- 14--Science-policy interface
- 15--Risk management frameworks
- 16--Data sharing

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<sup>1</sup> In line with the Addis Ababa Action Agenda of the Third International Conference on Financing for Development approved by UN member States in July 2015.

1. (a) Did your government adopt new or updated legislation to implement the 2030 Agenda and the Sustainable Development Goals (SDGs)? (b) If so, what was done and when were such texts adopted/amended?

(a)
(b)

2. (a) What measures has the government taken to ensure that its national plan, policies and strategies take into account the interrelations amongst the sectors or areas addressed by the 17 SDGs (such as poverty eradication, health, education, water, energy, employment, cities etc), including trade-offs and synergies between them? (b) Do you think your country is sufficiently equipped to ensure an integrated and coordinated decision-making process for SDGs implementation and for strategic planning?

(a)
(b)

3. Has your government taken any measure or policy to improve public services in key sectors, such as health, education, job creation and the environment, as well as reaching out to the poorest and most vulnerable people, in particular since the adoption of the SDGs? Please provide details on measures and policies concerned.

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4. Does your government have in place risk management frameworks (e.g., taking into account the challenges and risks of climate change or natural disasters, and the related international agreements, in its national development plans or policies? How has this been done?)

### 3. Collaboration

Please identify the top three areas most relevant for capacity building?

- 17--Centre of government coordination under Head of State / Government
- 18--Collaboration, coordination, Integration, dialogue across levels of government, functional areas
- 19--Raising awareness on SDGs
- 20--Network-based governance
- 21--Multi-stakeholder partnerships

1. Are there Inter-Ministerial coordination mechanisms for planning, monitoring and evaluation of the SDGs?

2. (a) What are the roles/functions that the lead government agency for coordinating the SDG implementation plays and (b) how have these roles/functions been institutionalized?

(a)

(b)

3. (a) What steps has your government taken so far to update or review its institutional set up (beyond the SDGs lead agency) in order to support the SDGs implementation? (b) How have the SDGs been mainstreamed across government institutions, including sectoral and other Ministries?

(a)
(b)

4. Did your government take steps to engage sub-national level authorities, including provincial, district and community level authorities, in the design and implementation of policies and measures related to SDGs realization (for example by encouraging the localization of the SDGs or the design of local strategies)? If so, what initiatives have been taken in this respect and what have been results and challenges so far?

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5. What institutional arrangements or mechanisms are in place to engage civil society organizations, scientific community and private sector in the monitoring, review and follow-up of the SDGs?

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**PART II**  
**ACCOUNTABILITY**

**4. Integrity**

Please identify the top three areas most relevant for capacity building?

- 22--Promotion of anti-corruption policies, practices and bodies
- 23--Codes of conduct for public officials
- 24--Competitive public procurement
- 25--Elimination of bribery, influence trading
- 26--Conflict of interest policies
- 27--Whistle-blower protection
- 28--Provision of adequate remuneration and equitable pay scales for public servants

1. Has your country put in place anti-corruption policies, practices and bodies to ensure SDG implementation?

2. (a) Does your country have a code of conduct for civil servants and has it mainstreamed the SDGs? (b) Does your country have conflict of interest policies?

(a)

(b)

3. What steps have you taken to improve your public procurement system, including e-procurement system?

**5. Transparency**

Please identify the top three areas most relevant for capacity building?

- 29--Proactive disclosure of information
- 30--Budget transparency
- 31--Open government data
- 32--Registries of beneficial ownership
- 33--Lobby registries

1. What are the mechanisms to enhance Open Government, access and disclosure of information?

10. (a) Are there mechanisms to enhance the preparation, discussion and approval of the budgetary process? If yes, please elaborate. (b) How do ICTs support open budgets?

(a)
(b)

### 6. Independent Oversight

What is the most important area for capacity building?

- 34--Promotion of the independence of regulatory agencies
- 35--Arrangements for review of administrative decisions by courts or other bodies
- 36--Independent audit
- 37--Respect for legality

1. Considering your institutional structure to implement the SDGs, please elaborate on how responsibilities are assigned and who is accountable for what?

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2. How does your government plan to review progress in implementing the SDGs? Please provide details concerned.

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3. (a) Has your government conducted any data mapping exercise for identifying data availability and gaps in terms of SDGs monitoring and review? (b) Please provide details concerned. (c) What critical gaps were identified in terms of data availability?

(a)

(b)

(c)

4. Does your government have any programme to enhance the capacity of statistical institutions and line ministries for monitoring, review and follow-up? Please provide details concerned.

5. (a) Which agency is leading monitoring, review and follow-up of the SDGs? Please provide details on roles and responsibilities concerned. (b) What institutional arrangements have been put into place to gather monitoring data from across Ministries and other stakeholders concerned?

(a)

(b)

6. (a) Is your supreme audit institution engaged in auditing the SDGs. Please provide details. (b) If yes, please provide details. (c) What arrangements have been made to ensure follow up on recommendations provided through review/audit?

(a)

(b)

(c)

**PART III  
INCLUSIVENESS**

**7. Leaving no one behind**

What is the most important area for capacity building?

- 38--Promotion of equitable fiscal and monetary policy
- 39--Promotion of social equity
- 40--Data disaggregation
- 41--Systematic follow-up and review

1. What are your current policies to promote social equity and how are they being implemented?

2. Do you have any measures in place to collect, manage, and use data in disaggregated formats in order to properly identify and address the needs of the furthest left behind?

3. What are the inter-institutional mechanisms for systemic follow-up and review of the implementation of social development policies?

### 8. Non-discrimination

Please identify the top three areas most relevant for capacity building?

- 42--Promotion of public sector workforce diversity
- 43--Prohibition of discrimination in public service delivery
- 44--Multilingual service delivery
- 45--Accessibility standards
- 46--Cultural audit of institutions
- 47--Universal birth registration
- 48--Gender-responsive budgeting

1. What are the existing policies to promote public service workforce diversity?

2. What are the existing policies to deliver services equitably and to take into account the needs of vulnerable groups?

3. What measures have you put in place to ensure access to public services, including through universal birth registration? Please provide details, including the use of digital technologies.

4. Have you implemented gender-responsive budgeting? If yes, please elaborate.

### 9. Participation

Please identify the top three areas most relevant for capacity building?

- 49--Free and fair elections
- 50--Regulatory process of public consultation
- 51--Multi-stakeholder forums
- 52--Participatory budgeting
- 53--Community-driven development

1. What measures (if any) has your government taken (a) to increase awareness of Agenda 2030 among civil society organizations, scientific community, the private sector and citizens – (b) to enhance awareness on the Paris Climate Change Agreement amongst the same stakeholders?

(a)
(b)

2. In response to the SDGs, did your government adopt any new policies, regulations or take any new measures (including budget allocation) to improve the well-being of the poorest and most vulnerable people (people living in extreme poverty, older persons, youth, persons with disabilities, indigenous people, migrants and refugees, among others) in order to “leave no one behind”? Please provide details on policies and measures concerned.

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3. What are the current challenges to promote multi-stakeholder engagement for consultation? And for decision-making?

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## 10. Subsidiarity

Please identify the top three areas most relevant for capacity building?

54--Fiscal federalism

55--Strengthening urban governance

56--Strengthening municipal finance and local finance systems

57--Enhancement of local capacity for prevention, adaptation and mitigation of external shocks

1. What are the existing policies for strengthening municipal finance?

2. What measures have been put in place to enhance the capacity of local authorities to implement the SDGs, including revenue generation, and engage all stakeholders?

3. What mechanisms are in place to enhance local capacity for addressing external shocks?

### 11. Intergenerational equity

Please identify the top three areas most relevant for capacity building?

- 58--Multilevel governance
- 59--Sustainable development impact assessment
- 60--Long-term public debt management
- 61--Long-term territorial planning and spatial development
- 62--Ecosystem management

1. Are there existing mechanisms at all levels of government to plan and evaluate longer-term sustainable development impact, including through forecasting methodologies?

2. How do your current policies and plans address longer term territorial planning?

3. Are there national policies to promote the overall management of your natural ecosystem and to preserve the environment for future generations (in line with the Paris Agreement)? If yes, what measures have been considered and/or taken and what measures do you plan to implement?

## PART VI

### UN DESA Expected Role in Supporting Capacity Development Efforts

1. Out of the 11 ECOSOC Principles of Effective Governance for Sustainable Development, which are the 3 top priorities for capacity building for your government at this moment?

2. Are you interested in learning about other countries' experiences, training, tools, partnership arrangements, peer-to-peer learning, curricula on SDGs implementation, etc.)

3. What are the expectations and needs of your government regarding the role of the United Nations in capacity development in the area of **governance** and **public administration** in support of the SDGs implementation? Please provide details concerned.

Possible areas of support include:

- Institutional arrangements for policy coherence
- Transparency and accountability
- Engaging people in decision making and implementation
- Supporting innovative public service delivery and ICTs for development, including through digital government
- Other (please specify)

**Details on who participated in responses provided**

Please provide details on the Ministries, Government agencies, other agencies and designations of the persons concerned who were involved in providing (parts of) responses to the present questionnaire.

**Details of contact person**

Please provide details of your contact person who could be reached if any follow up to the responses in the questionnaire would be requested.

- Name :
- Title :
- Organization :
- Country :
- Telephone :
- E-mail: