



Institutional Capacities for Policy Coherence

Module 1



Agenda of the Module

10:00-10:15	Introduction	Existing understandings, objectives
10:15-10:45	Presentation	Key concepts: Principles for Effective Governance and policy coherence
10:45-11:10	Activity	Group work on policy synergies
11:10-11:30	Presentation	Key concepts: System Thinking, Case of Egypt
11:30-11:40		Break
11:40-11:55	Activity	Activity on systems-thinking and complexity
11:55-12:15	Presentation	Key concepts: Institutions and coordination
12:15-12:45	Activity	Case Study on institutions & policy coherence in the area of carnivore management
12:45-13:00	Round table	Wrap-up & Action Plan

Round table to check participants' existing understandings

Examples for lead questions

- Are you aware of an example from your own working background that represents a coherent policy?
- In your experience: What are core ingredients for well-working institutions?



Key objectives of the module

Why?

Concepts

- Understand the relevance of policy coherence and how the core dimensions of policy coherence and coordination are intrinsically linked to the implementation of multisector public policy challenges such as the SDGs as well as to building resilience for complex challenges and how to move from sector to issue based policy-making
- Understand the systematic enablers of and obstacles to achieving policy coherence and coordination in government
- Be aware of the systematic building blocks and indicators for policy coherence
- Understand the crucial role of institutions to make progress towards policy coherence.

What

Strategy

How

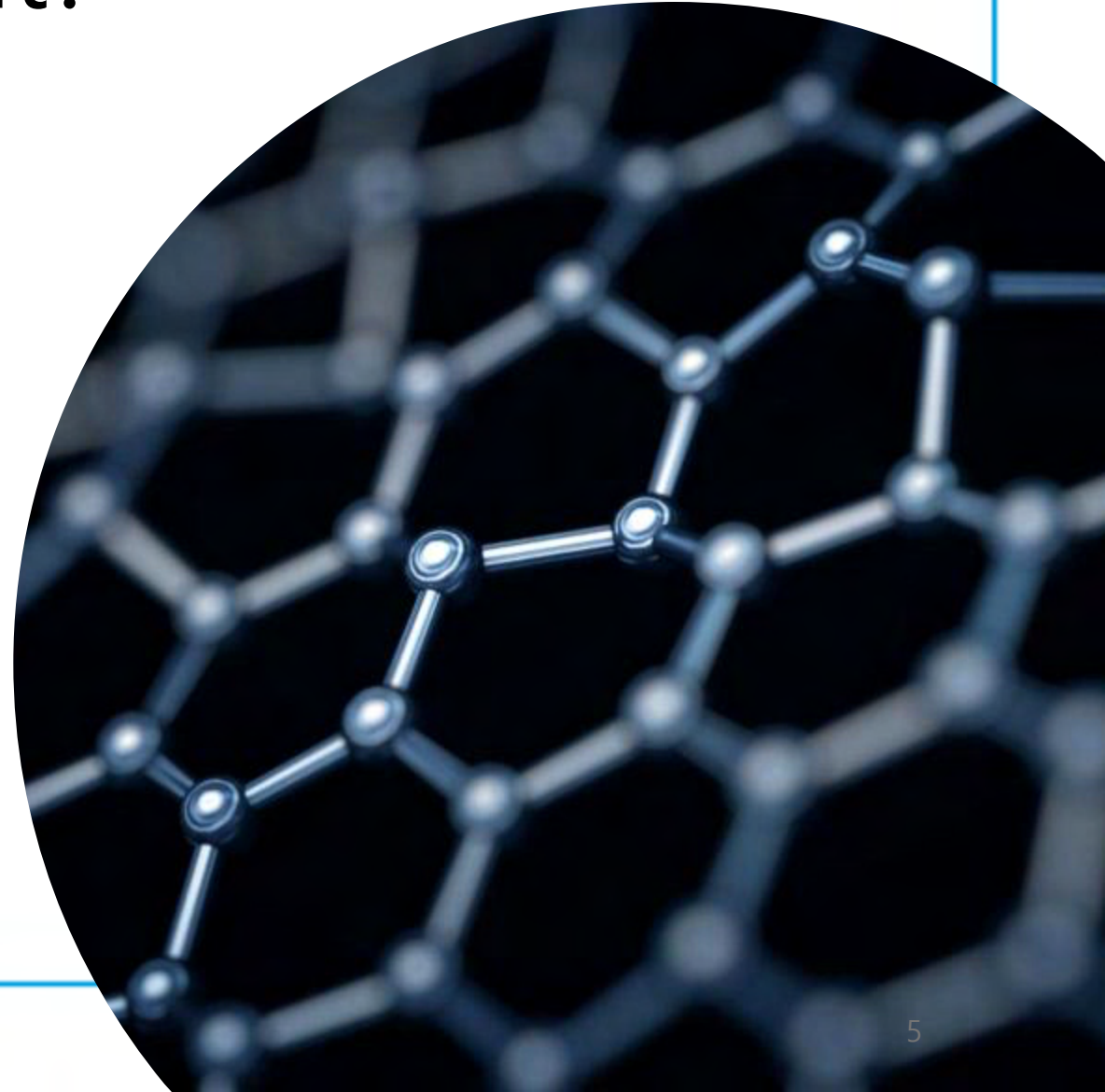
Organization

What is Module 1 about?

Institutional principles and pre-conditions for policy coherence

Coordination as a prerequisite for policy coherence

Policy coherence and SDG implementation



What will be achieved through Module 1?

Understand	Understand the concept and relevance of policy coherence
Discuss	Discuss how policy coherence links to SDGs
Understand	Understand how and why institutions affect policy coherence
Be familiar	Be familiar with key principles of institutions
Discuss	Discuss coordination to achieve policy coherence
Reflect on	Reflect on organizational factors that make coordination difficult
Be aware	Be aware of the significance of the institutional, organizational and political context for policy coherence

Agenda 2030 as a (re-)starting point

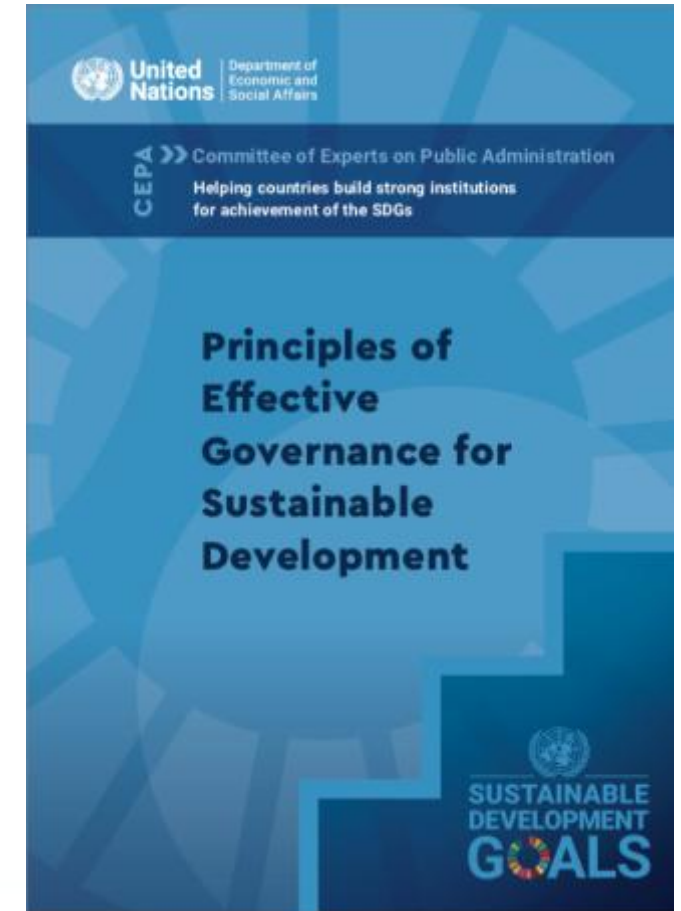


- Earth Summit 1992
 - Commitment to the need for policy coherence, lack of implementation
 - Lack of political attention
 - Institutional and organizational disincentives
 - Coordination across ministries is difficult
- Agenda 2030
 - Sustainable Development as the single paradigm, explicit commitment to institutional principles and coherence through goals and targets

Governance for Sustainable Development

- 11 principles for effective governance for sustainable development
- Developed by the UN Committee of Experts on Public Administration (CEPA)
- Endorsed by the by the Economic and Social (ECOSOC) Council on 2 July 2018

<https://publicadministration.un.org/en/cepa>



Principles of Effective Governance for Sustainable Development (ECOSOC)

Effectiveness

Competence

Sound policymaking

Collaboration

Accountability

Integrity

Transparency

Independent Oversight

Inclusiveness

Leaving no one behind

Non-discrimination

Participation

Subsidiarity

Intergenerational Equity

Effectiveness as a governance principle (ECOSOC)

Competence

To perform their functions effectively, institutions are to have sufficient expertise, resources and tools to deal adequately with the mandates under their authority

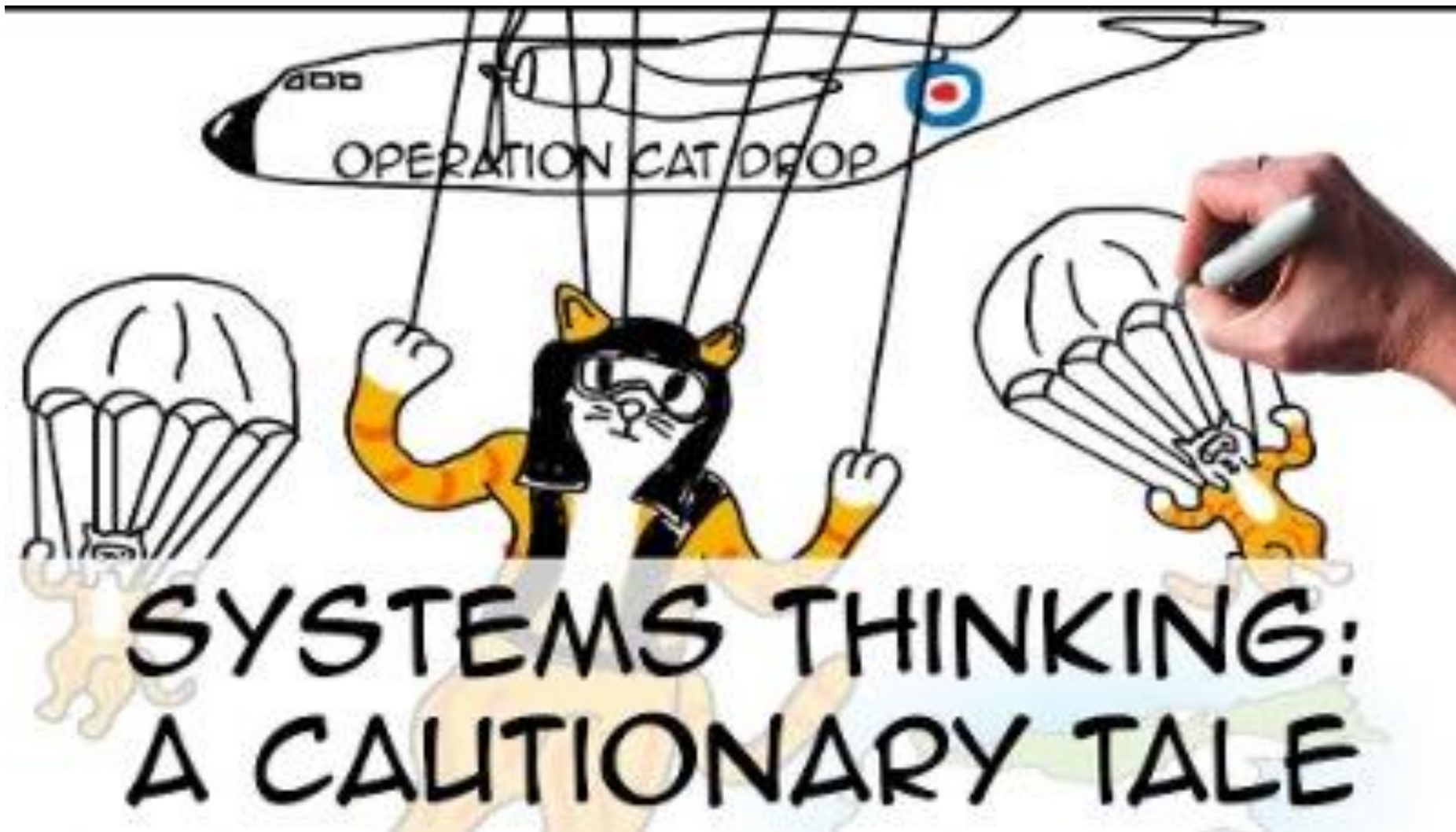
Sound policymaking

To achieve their intended results, **public policies are to be coherent with one another** and founded on true or well-established grounds, in full accordance with fact, reason and good sense.

Collaboration

To address problems of common interest, institutions at all levels of government and in all sectors should work together and jointly with non-State actors towards the same end, purpose and effect

Systems thinking: a cautionary tale (cats in Borneo)



You could also please watch the video via the link: <https://www.youtube.com/watch?v=17BP9n6g1F0>

Key concepts: SDGs and policy coherence

- Goal 17
Strengthen the means of implementation and revitalize the global partnership for sustainable development
- Target 17.4
Enhance policy coherence for sustainable development





- SDG Summit adopted the Political Declaration „Gearing up for a decade of Action“
- Endorsed by General Assembly, October 2019
 - Commitment to policy coherence
 - Strong political support for policy coherence

Seventy-fourth session

Agenda item 19 (a)
Sustainable development: implementation of Agenda 21, the Programme for the Further Implementation of Agenda 21 and the outcomes of the World Summit on Sustainable Development and of the United Nations Conference on Sustainable Development

**Resolution adopted by the General Assembly
on 15 October 2019**

[without reference to a Main Committee (A/74/L.2)]

74/4. Political declaration of the high-level political forum on sustainable development convened under the auspices of the General Assembly

The General Assembly

Endorses the political declaration adopted by the high-level political forum on sustainable development convened under the auspices of the General Assembly, which is contained in the annex to the present resolution.

*15th plenary meeting
15 October 2019*

Annex

Gearing up for a decade of action and delivery for sustainable development: political declaration of the Sustainable Development Goals Summit

**I
Our commitment**

1. We, the Heads of State and Government and high representatives, have met at United Nations Headquarters in New York on 24 and 25 September 2019 at the

“We will strive to equip domestic institutions to better address interlinkages, synergies and trade-offs between the Goals and targets through a whole-of-government approach that can bring about transformative change in governance and public policy and ensure policy coherence for sustainable development.” (para 27 (d) of the Political Declaration)

Key concepts: SDGs and policy coherence

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: United Nations (2018, p. 4)

Key concepts: Policy coherence

- *“systematically reduces conflicts and promotes synergies between and within different policy areas to achieve the outcomes associated with jointly agreed policy objectives”* (Nilsson et al., 2012, p. 396)
- Aims
 - To identify trade-offs between policies
 - To reduce negative impacts between policies
 - To foster synergies between policies
 - To make policies that mutually reinforce each other

Scope and Dimension of Policy Coherence

- To achieve sustainable development (economic, social and environmental)
- To ensure coherence between levels of government
 - multi-level coherence
- To ensure that policies across sectors are mutually supportive
 - sectoral coherence
- To ensure coherence between national and international policies
 - transnational coherence

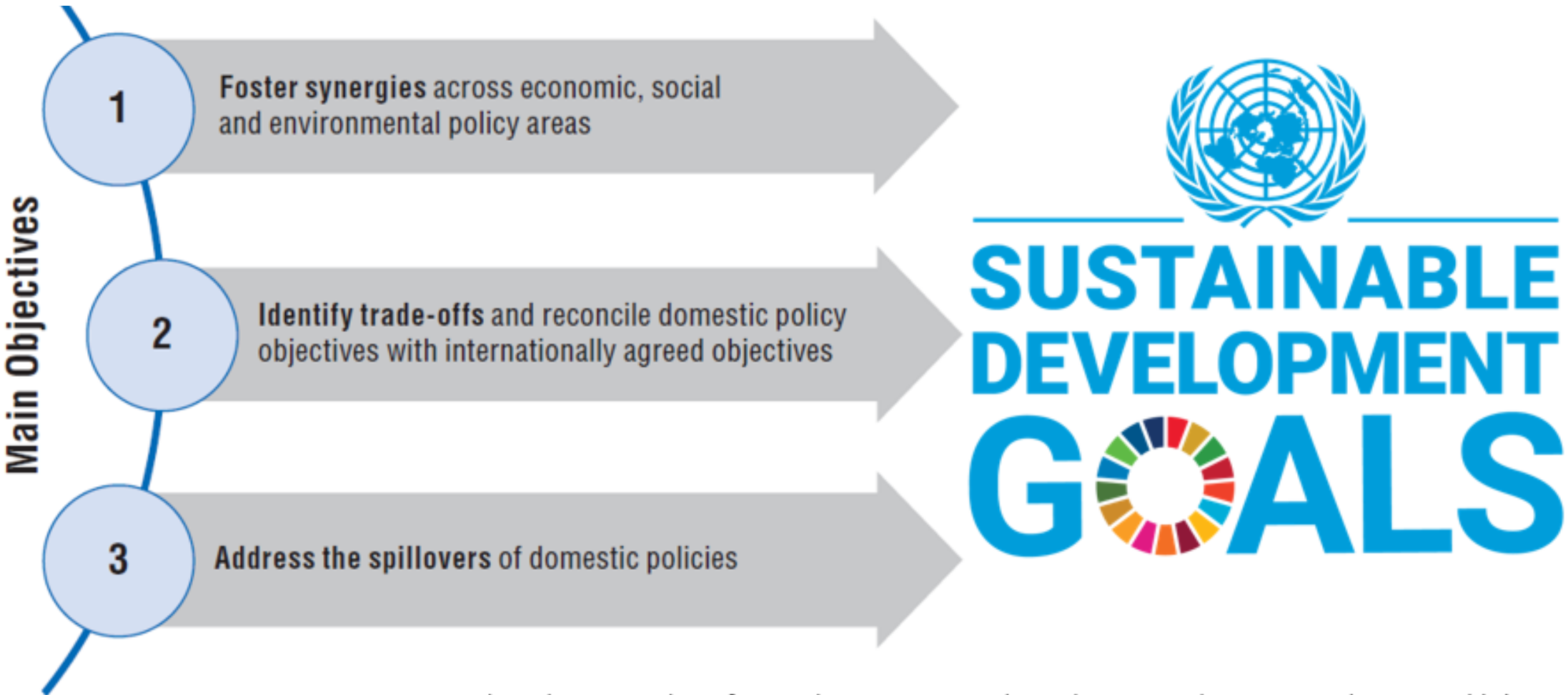
HORIZONTAL AND VERTICAL INTERACTIONS AND COHERENCE RELATIONSHIPS				
SECTORAL COHERENCE	TRANSNATIONAL COHERENCE	GOVERNANCE COHERENCE	MULTILEVEL COHERENCE	IMPLEMENTATION COHERENCE
from one policy sector to another	from one jurisdiction to another (PCD)	from one set of interventions to another	from global/international agreements to national and local policy	from policy objective through instrument design to practice

Source: ICSU (2017, p. 28)

Ever “more” policy coherence?

- Calls for ‘more policy coherence’ are wide-spread
- Yet:
 - not all conflicts can be (fully) solved
 - political preferences or priorities change over time
- Policy coherence is not about searching an optimal end-state, but about “good enough” (CEPA 2021, p. 7) policy-making
 - Flexible, inclusive, open to change, context-specific

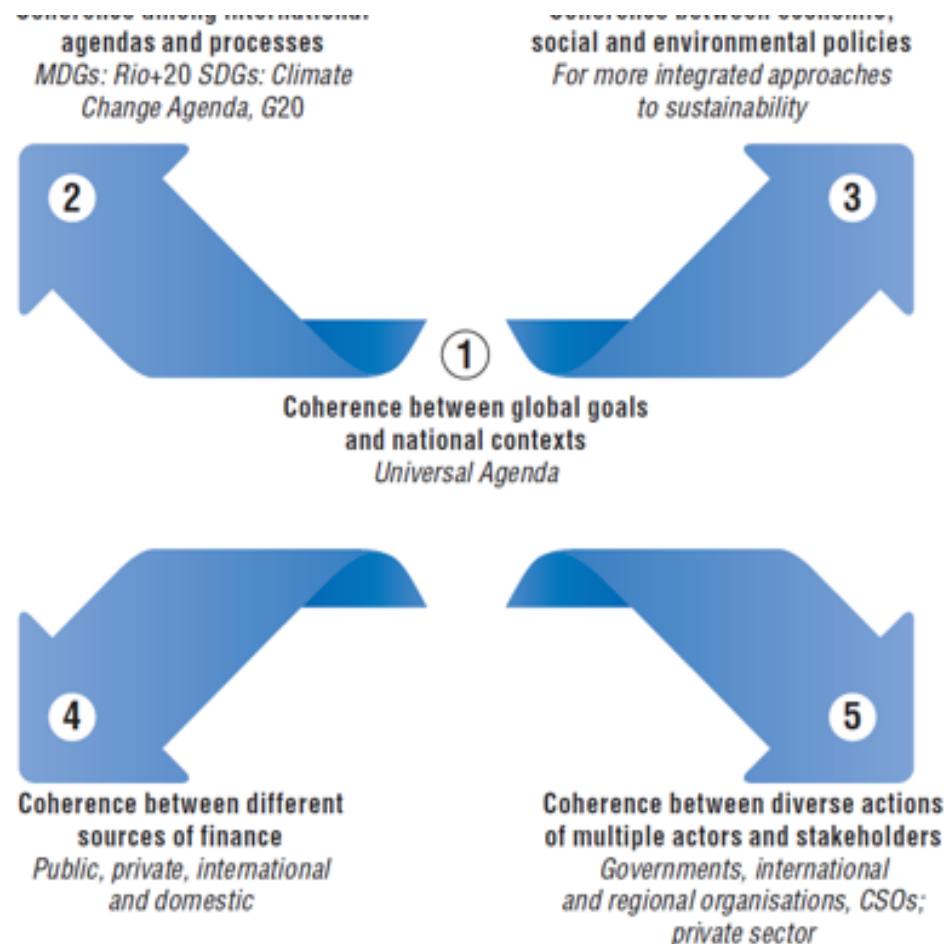
Policy Coherence for sustainable development (PCSD)



Source: OECD (2015), *Better Policies for Development 2015: Policy Coherence and Green Growth*, OECD Publishing, Paris.

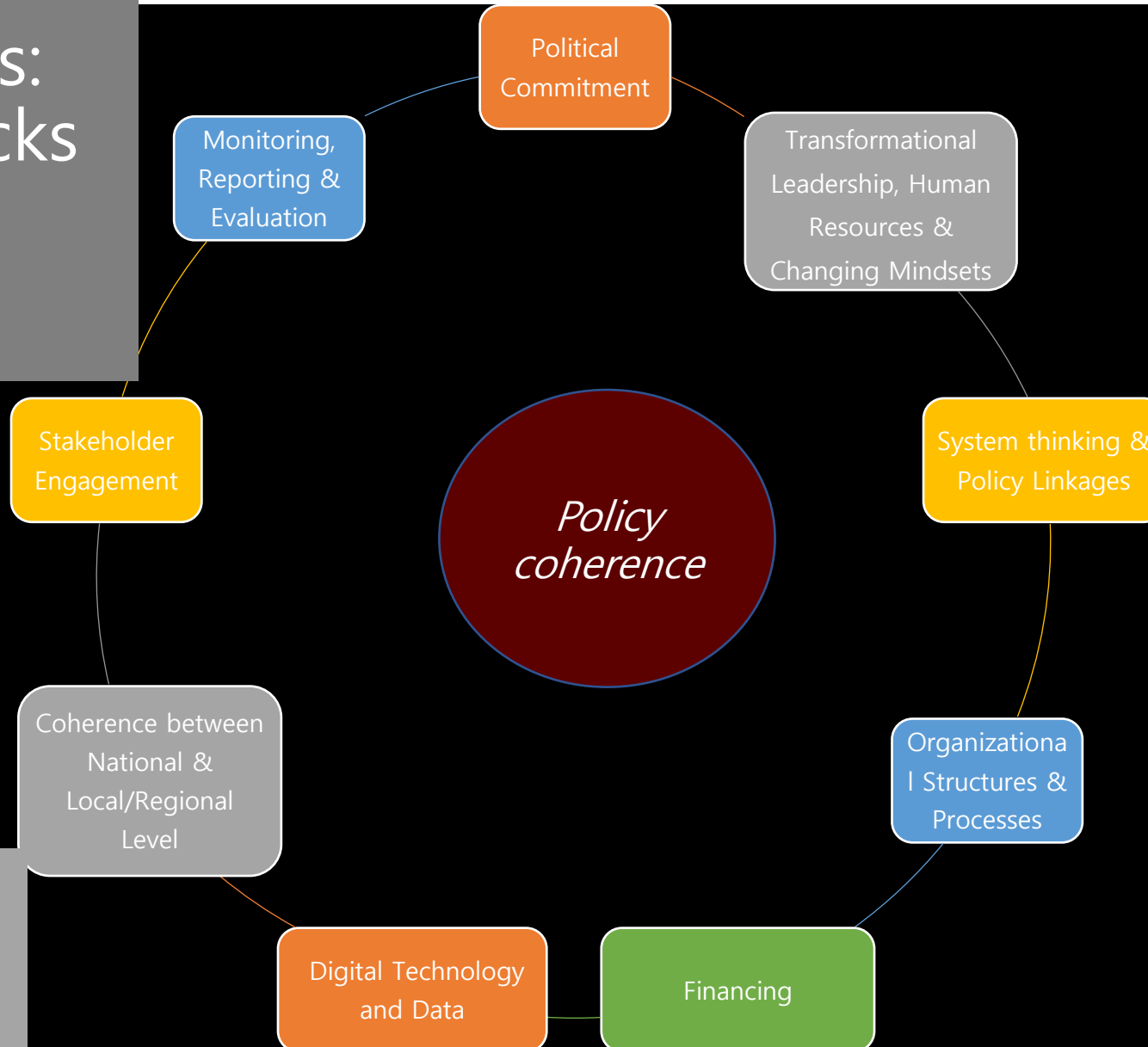
Policy Coherence for sustainable development (PCSD)

These five levels emphasize **vertical coherence** across multiple levels of governance (from local to global); and **horizontal coherence** across sectors; actors including governments, private sector and civil society; and between diverse sources of finance, including public, private, domestic and international.



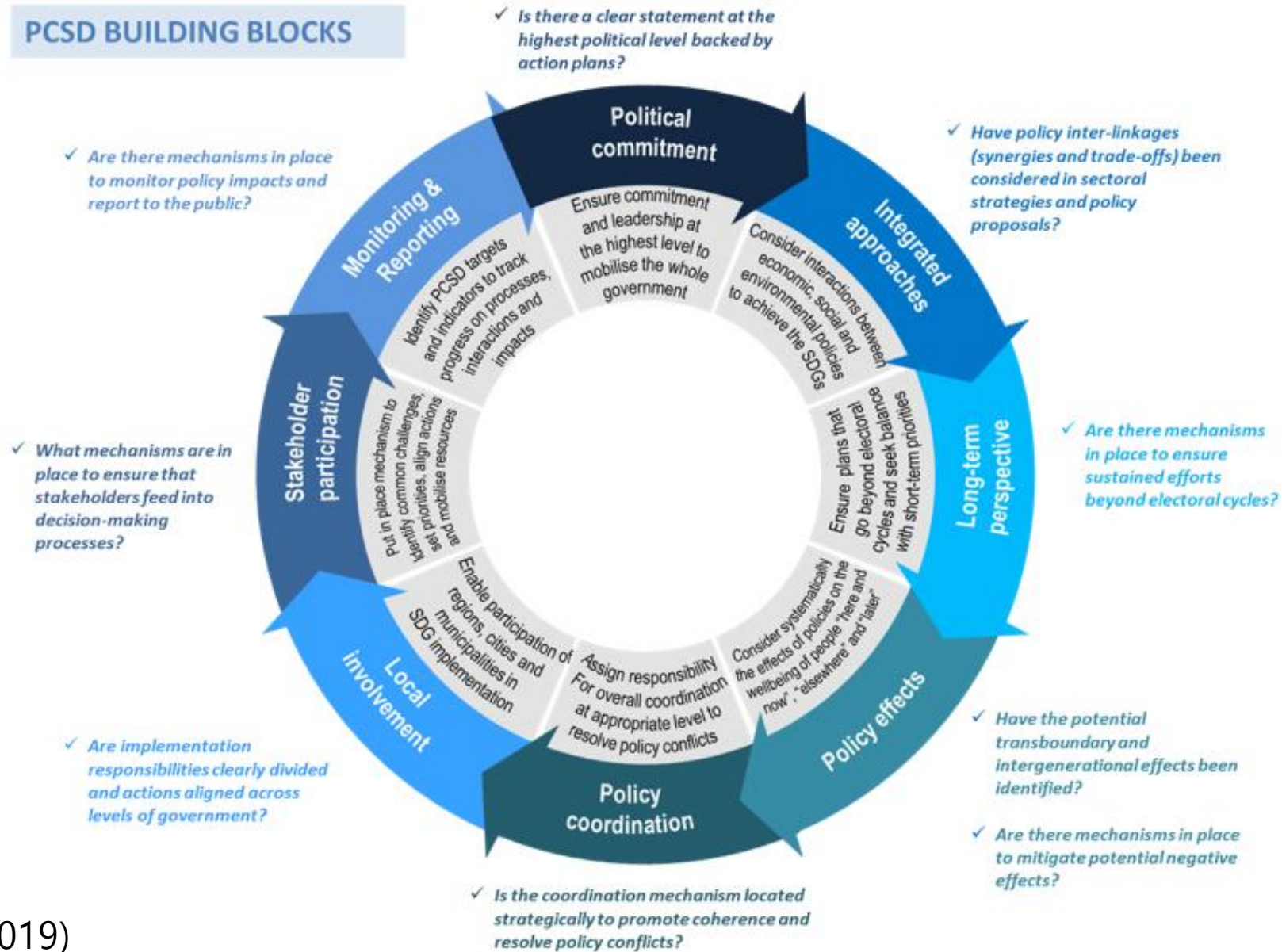
Source: OECD (2015), *Better Policies for Development 2015: Policy Coherence and Green Growth*, OECD Publishing, Paris.

Key Concepts: Building Blocks for Policy Coherence



See also: Readiness Assessment on Governance Capacities and Institutional Arrangements for Policy Coherence *in Module 2*

PCSD BUILDING BLOCKS



Source: OECD (2019)

Key concepts: Systems Thinking

- framework allowing for managing the complexity of integrating
 - stakeholder perspectives
 - sustainability dimensions
 - geographical levels (global, regional, national, local)
- identifies the interactions between different parts of a system
 - Linkages, synergies, trade-offs

Sustainable Development Goals Principles

Universality

all countries are concerned by and responsible for, sustainability;

Inclusiveness

of all people as stakeholders and actors with interests and roles in sustainable prosperity

Integration

marking the indivisible bonds of the three dimensions of sustainability (social, economic and environmental)

Activity on policy synergies: Mitigating the COVID-19 pandemic



- Universal health care (including testing, sick leave etc.) is discussed as an effective policy measure to make people comply with quarantine measures to contain the spread of COVID-19.
- Discuss at your table potential synergies with other policy goals, such as
 - Social inclusion
 - Female empowerment
 - Poverty
 - Economic growth

CASE: Systems Thinking to support SDG implementation in Egypt - Sustainable Development Goals Report: Egypt 2030

- This report explores Egypt's current development trajectory to 2030 across areas of human and economic development.
- By using the International Futures (Ifs) modeling platform, 5 alternative scenarios to the current path have been designed .
- These scenarios were evaluated in terms of their ability to accelerate progress towards achieving many of the targets set in the SDGs and Egypt's Vision 2030.

The report considered the following alternative scenarios:

1. **Economic Development** (pursuing economic growth)
2. **Social Justice** (equal rights and opportunities among all Egyptians)
3. **Female Empowerment** (a more equitable environment for women)
4. **Governance** (promoting its security, transparency, and effectiveness)
5. **Integrated Push** (combination of all interventions)

CASE: Systems Thinking to support SDG implementation in Egypt - Sustainable Development Goals Report: Egypt 2030

Key results

- Increasing women's participation has the largest impact on poverty and income per capita.
- Improving greater access to social justice will have the largest impact on HDI, including longevity, health and education.
- Improving governance has high long-rung impacts
- The impact of making balanced progress across all pillars of sustainable development enables Egypt to move the farthest across all SDGs

Example: How can Systems Thinking support SDG implementation in Egypt? SDG interaction by the International Council for Science



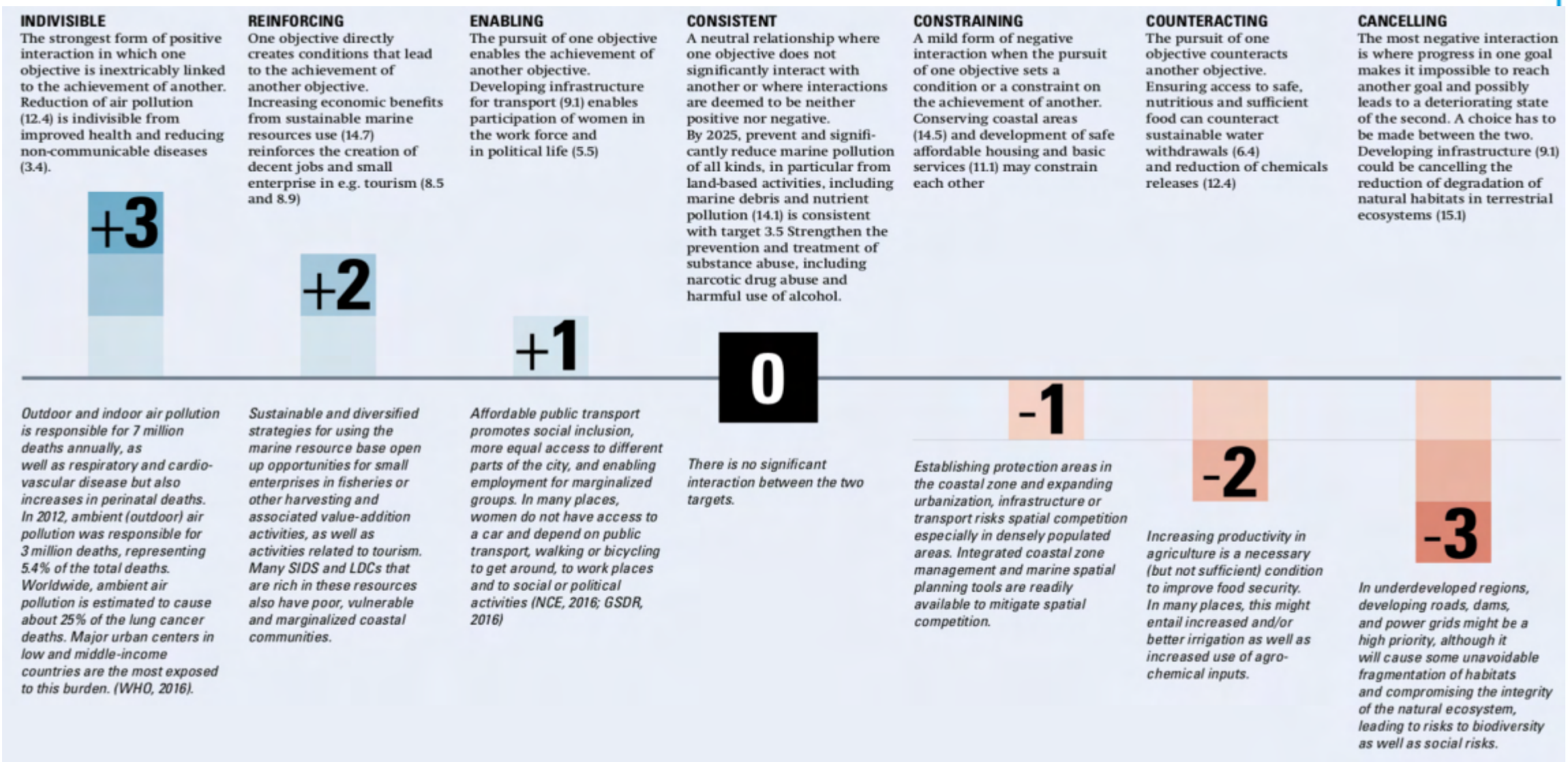
- Access to food and quality nutrition for all will enable women's empowerment.
- Enhancing women's rights can help achieving the targets of increased food production and nutrition and can enhance the role of women in agriculture.

synergy



- Food production is strongly dependent on water and affects its quality and availability.
- Boosting agricultural production can increase water withdrawals and worsen land and water degradation.
- Achieving nutrition targets requires access to clean water and sanitation.

synergy/
trade-off

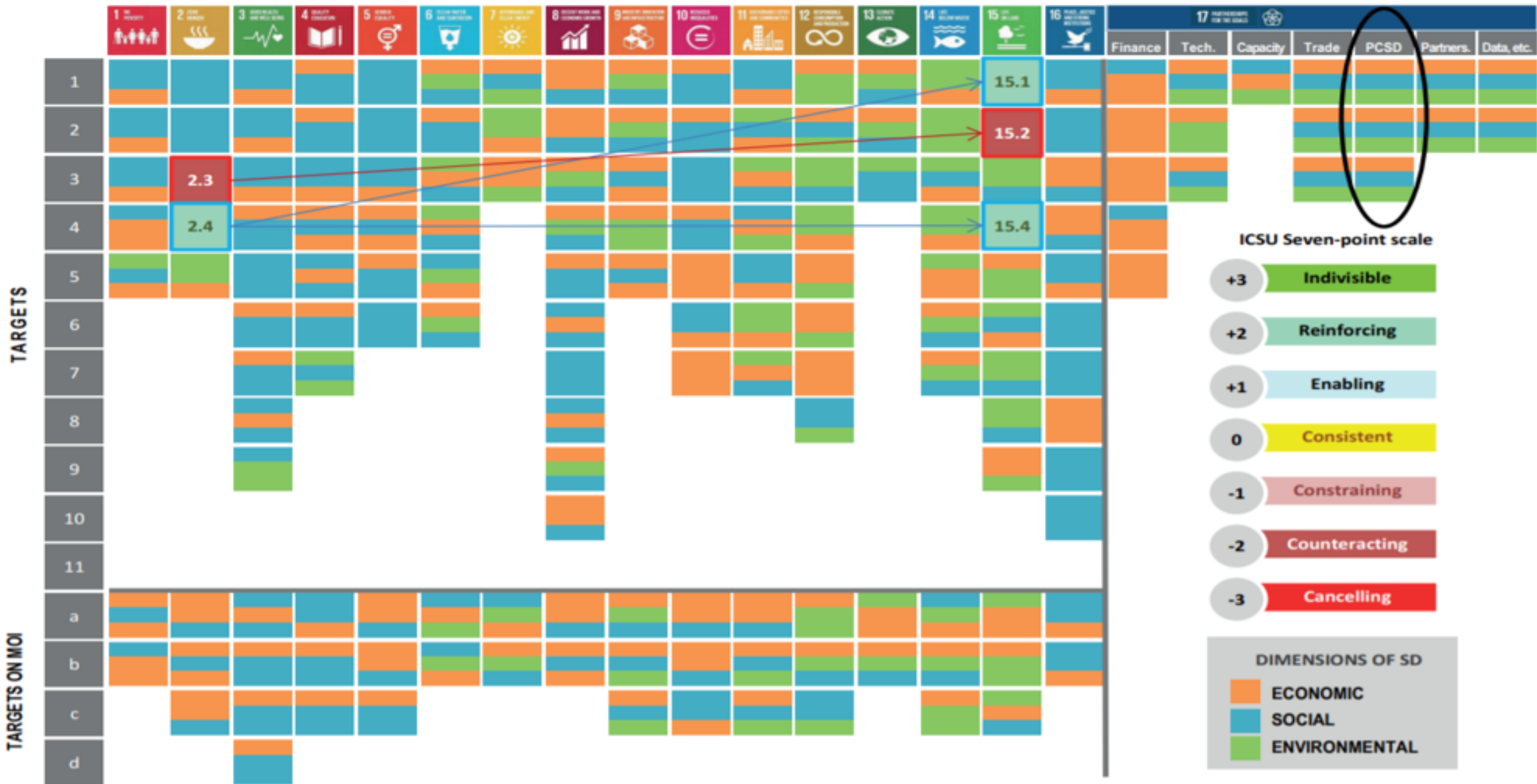


How to assess synergies and trade-offs:
The 7-grade scale by the International Science Council (2017)

Example of policy coherence: Identifying interactions among SDGs and targets

SUSTAINABLE DEVELOPMENT GOALS (SDGs)

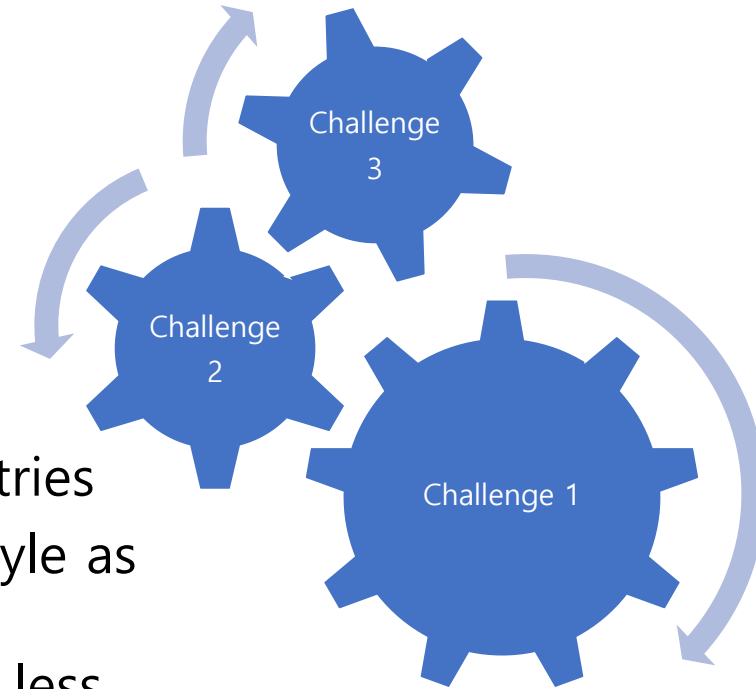
GOAL ON MEANS OF IMPLEMENTATION (MOI)



Source: adapted from the presentation by Amb. Csaba Kőrösi, PR of Hungary to UN: "From SDGs to Post-2015 Agenda" at the OECD in Paris on October 7th, 2014.

Multi-sectoral policy challenges

- Policy challenges that transcend sectoral boundaries and the competences of single ministries
- Difficult to address in a sectoral policy-making style as they are interrelated
- Government organization in sectoral ministries is less complex than real-world interdependencies of problems
- Policy coherence as a solution to multi-sectoral challenges
 - Systems thinking to understand linkages
 - Coordination to make inter-ministerial decisions



Versus





Activity: Systems thinking & complexity

Key concepts: SDGs and Institutions

- Target 16.6: Develop effective, accountable and transparent institutions at all levels
- Target 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels



Key concepts: Institution

- “Institution” is widely used concept with many different definitions
- In the past, institutions were often synonyms for organizations
- More recently, institutions is a term broader than organizations including
 - Structures, rules, norms and value that guide social life
- Institutions are rather stable and deeply embedded in history and culture
- Example
 - Marriage is an institution, but no organization

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: United Nations (2018, p. 3)

Key concepts: Institutions

*How and why do
institutions matter for
policy
coherence?*

- Institutions...
 - Impact how policy-makers conceive problems and hence: *political commitment*
 - *Example: National Sustainable Development Strategies*
 - Shape the decision-making procedures and thus: *coordination*
 - *Example: rule-book on coordination prescribing how ministries interact*
 - Affect the resource allocation and capacity and hence: *budgets, digital and HR*
 - *Example: rules on budget allocation*
 - Shape styles of interaction with non-governmental actors and thus: *stakeholder engagement*
 - *Example: National Sustainable Development Councils*



Key concepts: Institutions & policy coherence - needs for adaptation

- Institutions differ across countries and policy coherence depends on the institutional system in which policy-making takes place
- In turn: How to change institutions to achieve policy coherence depends on the case specific institutional system
- Instruments to move towards coherence: institutional arrangements, integrated strategies, budgeting, HR, IT & data, stakeholder engagement, monitoring & evaluation, multi-level governance arrangements



planning
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Key concepts:

Coordination as a pre-requisite for policy coherence

- Adjustment of actions and decisions across ministries to achieve a consistent policy output involving all relevant considerations and actors



Why is inter-ministerial coordination difficult?

- Organizational reasons I – ministries as silos
 - Incongruence of division of competences and the interdependence of policy problems
 - Ministries differ in how they perceive the world
 - Ministries have diverging priorities, goals, preferences
 - Organizational affiliation shapes what actors find important and which goals they have



Why is inter-ministerial coordination difficult?

Organizational reasons II – ministries protect their turfs

- Ministries tend to protect their area of responsibility from the interference of others as they compete for political attention and scarce resources



Organizational reasons III – information is power

- Information is distributed unevenly and not widely shared in government



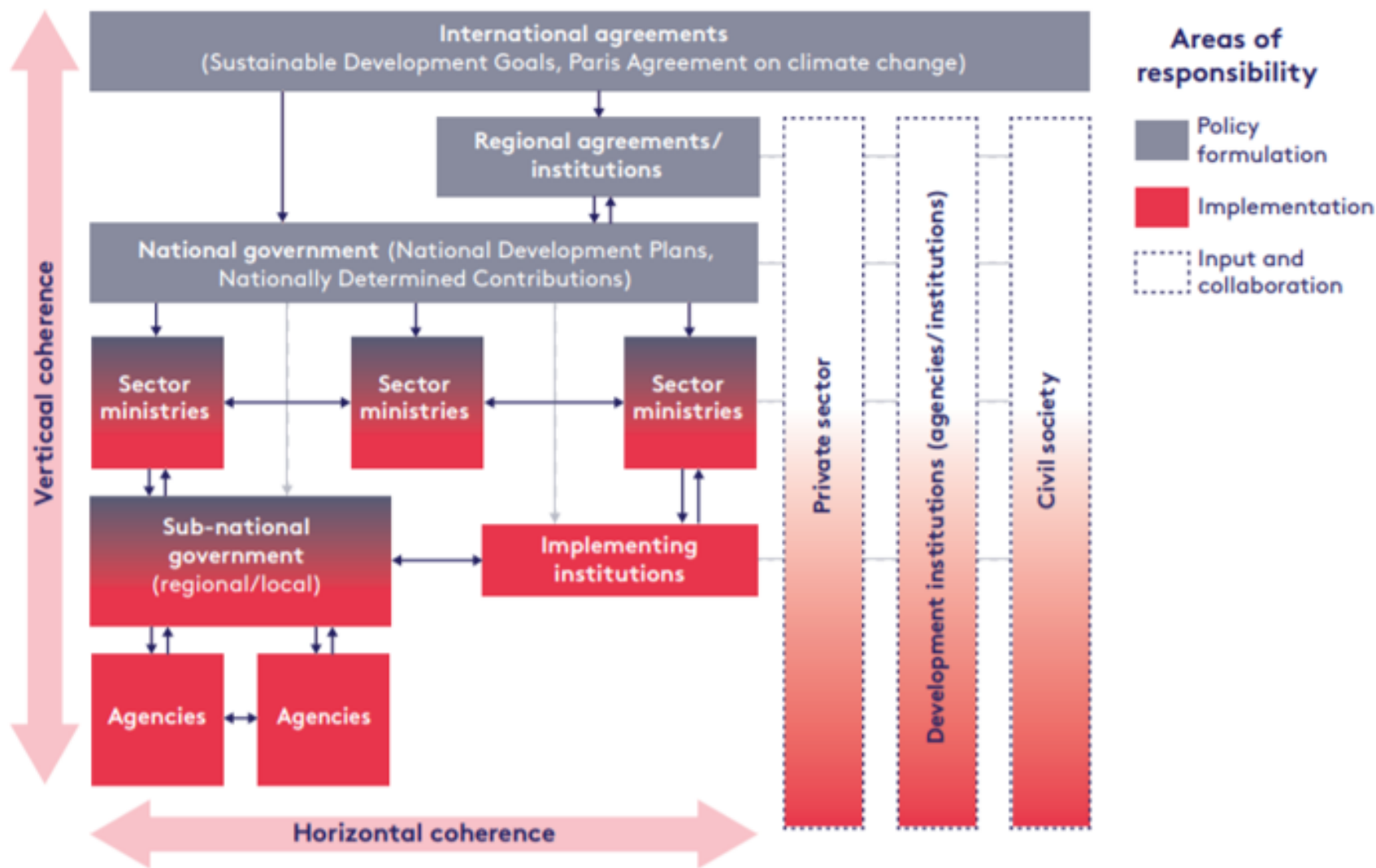
- *Coordination problems as obstacles for policy coherence*
- *Yet, coordination across ministries is crucial for coherent policies*

How to coordinate then?

- Hierarchy and networks as typical coordination mechanisms
- Hierarchy: superior instructs subordinate level
 - Disadvantage: Loss of information about the policy when decision-making assigned to high level
- Networks: negotiations between involved actors
 - Disadvantage: organizational incentives (see: turf, information asymmetries and diverging views)
 - *Structural trade-off between organizational specialization and coherence*
 - *Coordination as a decision-making mechanism for cross-sectoral policy-making*
 - *Organizational structures favoring coordination are crucial*



Elements of policy coherence



ACTIVITY:

Institutions and policy coherence

- ***Case scenario:***

The government of country x is confronted with complaints by the citizens in its rural areas of an increasing carnivore population that the citizens perceive as a threat to life and their live-stocks.

Citizens request permission to shoot the carnivores at large scale. Yet, animal welfare activists claim to protect the carnivores to preserve biodiversity.

The government wants to set-up a carnivore management policy, and the Prime Minister asks the Ministry of Agriculture and the Ministry of Environment to prepare a draft strategy.

- *In your groups discuss*
 - *To which SDGs this scenario is linked and identify linkages between these SDGs;*
 - *policy options for a draft strategy to which both ministries could agree, identify the positions of both ministries and discuss potential solutions*



Concluding Roundtable: Needs for Action



ROUND TABLE WITH PARTICIPANTS:

DISCUSS THE INSTITUTIONAL SYSTEM IN PLACE, POLITICAL STRUCTURES AND DECISION-MAKING REALITIES, AND HOW THEY SHAPE THE STARTING POINT TO MOVE TOWARDS POLICY COHERENCE!

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