Training Toolkit on Effective National to Local Public Governance for SDG Implementation

Effective, Accountable and Inclusive Institutions

Module 2.1

Defining effective institutions

I

Features of Effective, Accountable and Inclusive Institutions for the Achievement of the 2030 Agenda

II

Principles of Effective Governance to Build Effective, Accountable and Inclusive Institutions

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Key Takeaways

Learning Outcomes

Learn the concept of effective institutions

Identify the need of effective Institutions for SDGs implementation

Understanding why effective institutions is vital for SDG implementation

Identify approaches to effective institution building

Understanding institutional roles and responsibilities

I. Defining Effective Institutions

" *Institutions are **the rules of a society or of organizations** that facilitate coordination among people by helping them form expectations which each person can reasonably hold in dealing with each other.*
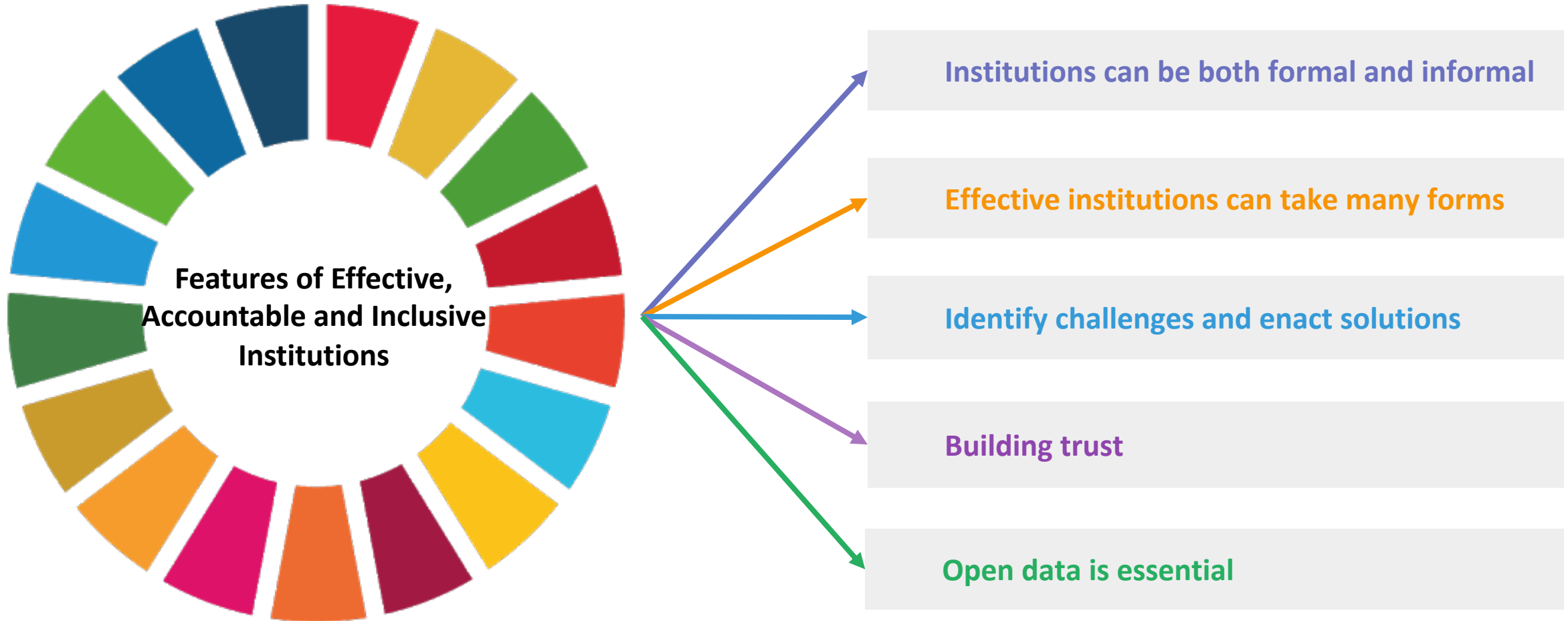
Ruttan and Hayami, 1984 "

" *Institutions are **a set of rules, compliance procedures, and moral and ethical behavioral norms designed** to constrain the behavior of individuals.*
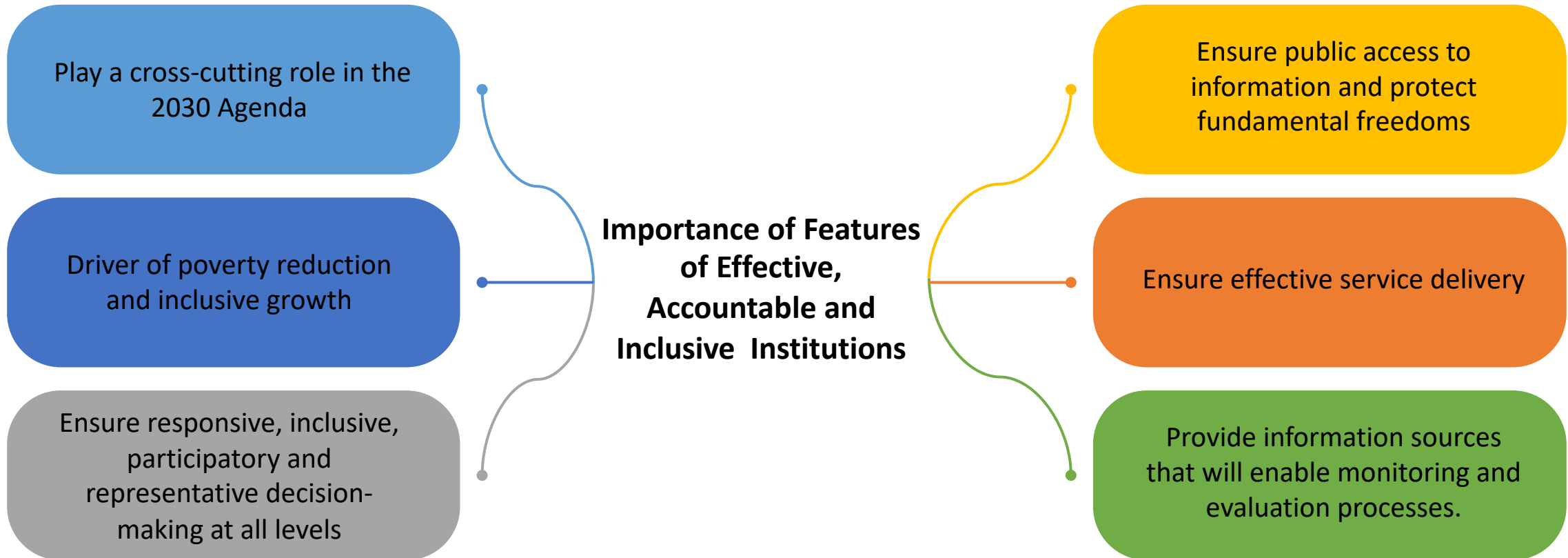
Douglas North, 1981 "

I. Defining Effective Institutions (Cont.)

Features of Effective, Accountable and Inclusive Institutions

Institutions can be both formal and informal

Effective institutions can take many forms

Identify challenges and enact solutions

Building trust

Open data is essential

I. Defining Effective Institutions (Cont.)

Play a cross-cutting role in the 2030 Agenda

Driver of poverty reduction and inclusive growth

Ensure responsive, inclusive, participatory and representative decision-making at all levels

Importance of Features of Effective, Accountable and Inclusive Institutions

Ensure public access to information and protect fundamental freedoms

Ensure effective service delivery

Provide information sources that will enable monitoring and evaluation processes.

II. Features of Effective, Accountable and Inclusive Institutions for the Achievement of the 2030 Agenda

Weak institutions

can undermine countries' prospects for growth SDG implementation

Features of Effective, Accountable and Inclusive Institutions
play a cross-cutting role in the 2030 Agenda as the Agenda and the SDGs prominently feature institutions, both as a cross-cutting issue in many of the goals (namely SDGs 8, 9,10, 13, 14 and 17) and as a standalone goal (SDG 16).

The targets under SDG 16 highlight several concepts that may be viewed as overarching **institutional principles**: *effectiveness, transparency, accountability, anti-corruption, inclusiveness of decision-making processes, access to information, non-discrimination of laws and policies*.

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II. Features of Effective, Accountable and Inclusive Institutions for the Achievement of the 2030 Agenda

"Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels"

16 PEACE, JUSTICE AND STRONG INSTITUTIONS

Institutional principles encapsulated in SDG 16 targets

TARGET 16·5	TARGET 16·6	TARGET 16·7	TARGET 16·10	TARGET 16·B
SUBSTANTIALLY REDUCE CORRUPTION AND BRIBERY	DEVELOP EFFECTIVE, ACCOUNTABLE AND TRANSPARENT INSTITUTIONS	ENSURE RESPONSIVE, INCLUSIVE AND REPRESENTATIVE DECISION-MAKING	ENSURE PUBLIC ACCESS TO INFORMATION AND PROTECT FUNDAMENTAL FREEDOMS	PROMOTE AND ENFORCE NON-DISCRIMINATORY LAWS AND POLICIES

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II. Features of Effective, Accountable and Inclusive Institutions for the Achievement of the 2030 Agenda

**1** Collaborate on implementation of policies coherently

Remain agile and responsive to dramatic changes **2**

3 Give primacy to human rights including equality and non-discrimination

Base reform processes on inclusive political dialogue **4**

5 Participation in decision-making

Make parliaments an integral part of national efforts **6**

7 Target access to effective, fair, responsive, independent, transparent and accountable justice institutions

Maintain action on preventing corruption **8**

9 Have open data platforms

Have effective budget process (such as Participatory Budgeting) **10**

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II. Features of Effective, Accountable and Inclusive Institutions for the Achievement of the 2030 Agenda

Case on effective institution

Developed social accountability and citizen oversight initiatives to increase transparency

Burkina Faso

Created platforms for citizen engagement

Participatory governance
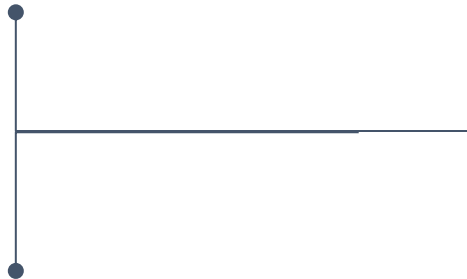
Strengthen the capacity of local officials to monitor budgets

Encouraged citizens' interest in government accountability

Source: UNCT Burkina Faso

III. Principles of Effective Governance to Build Effective, Accountable and Inclusive Institutions

Challenges for Building Effective, Inclusive and Accountable Institutions

A lack of government leadership and ownership of reform initiatives

Complex political-economy challenges

Application of technocratic, "one-size-fits-all" approaches

Poor sequencing and frequent changes in management strategies

III. Principles of Effective Governance to Build Effective, Accountable and Inclusive Institutions

Effective institution covers not only effectiveness but also accountability and inclusiveness

Effectiveness

- **Competence**
- **Sound policy making**
- **Collaboration**

Accountability

- **Integrity**
- **Transparency**
- **Independent oversight**

Inclusiveness

- **Leaving no one behind**
- **Non-discrimination**
- **Participation**
- **Subsidiarity**
- **Intergenerational Equity**

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III. Principles of Effective Governance to Build Effective, Accountable and Inclusive Institutions

Effectiveness

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 institutions need to have coherent public policies that is 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

III. Principles of Effective Governance to Build Effective, Accountable and Inclusive Institutions

Accountability

Integrity

To serve in the public interest, civil servants are to discharge their official duties honestly, fairly and in a manner consistent with soundness of moral principle

Transparency

To ensure accountability and enable public scrutiny, institutions are to be open and candid in the execution of their functions and promote access to information, subject only to the specific and limited exceptions as are provided by law

Independent oversight

To retain trust in government, oversight agencies (e.g. court, Supreme Audit Institution) are to act according to strictly professional considerations and apart from and unaffected by others

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III. Principles of Effective Governance to Build Effective, Accountable and Inclusive Institutions

Inclusiveness

Leaving no one behind

To ensure that all human beings can fulfil their potential in dignity and equality, institutions need to be reoriented so that policy is driven from the bottom up by the needs of those who are deprived and disadvantaged, including the poorest and most vulnerable and those subject to discrimination

Non-discrimination

To respect, protect and promote human rights and fundamental freedoms for all, access to public service is to be provided on general terms of equality, without distinction of any kind

Participation

To have an effective State, all significant political groups should be actively involved in matters that directly affect them and have a chance to influence policy

Subsidiarity

To promote government that is responsive to the needs and aspirations of all people, central authorities should perform only those tasks which cannot be performed effectively at a more intermediate or local level

Intergenerational equity

To promote prosperity and quality of life for all, institutions should construct administrative acts that balance the short-term needs of today's generation with the longer-term needs of future generations

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IV. Approaches to Building Effective, Inclusive and Accountable Institutions

Strengthening competencies

Promoting sound policymaking and policy coherence

Improving public-private partnerships

Fostering a culture of accountability

Enhancing transparency

Strengthening oversight institutions

Complement what exists

Innovate to identify institutions that work

Connect communities through information flows

Promote competition among jurisdictions, firms and individuals

Group Activity

Reviewing 'Principles of Effective Governance for Sustainable Development'

Instructions

Participants will review the United Nations Committee of Experts on Public Administration's 'Principles of Effective Governance for Sustainable Development' and discuss how these relate to their institutional effectiveness.
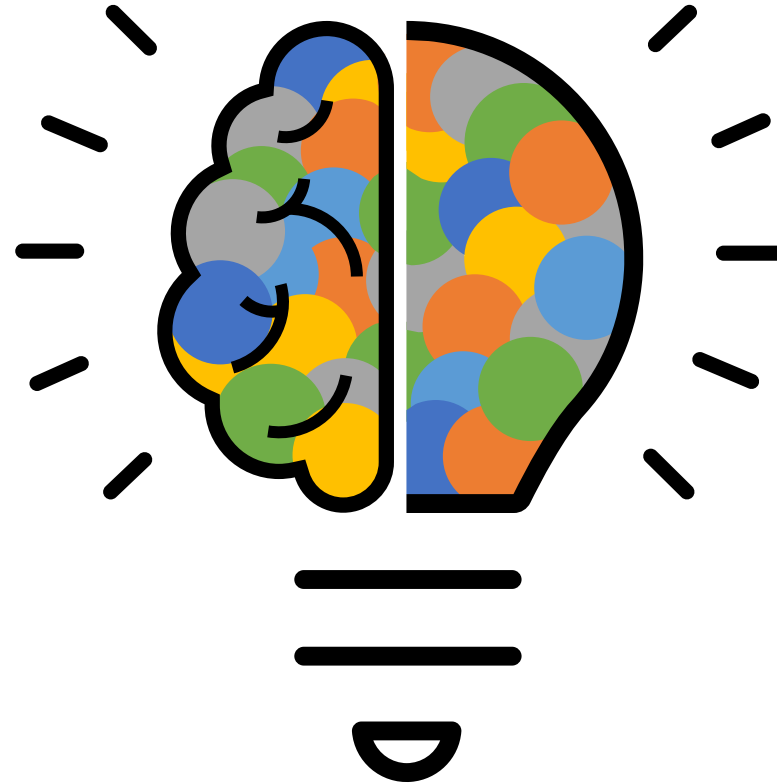
Participants

Please review each principle and its definition thinking critically about how the commonly used strategies are applied in an institutional context, or if alternate strategies and methods are used. The principles are categorized according to effectiveness, accountability and inclusiveness.

V. Digital Government for Effective, Inclusive and Accountable Institutions

Strengthen the digital and data analytic skills of public servants

Public institutions need to undergo a systemic transformative institutional change

Digital government can play a role in building effective, inclusive and accountable institutions

Digital government has become a public sector innovation driver and accelerator

Data is a key resource for deploying digital government in implementing the SDGs

V. Digital Government for Effective, Inclusive and Accountable Institutions

A holistic approach to digital government transformation and capacity development
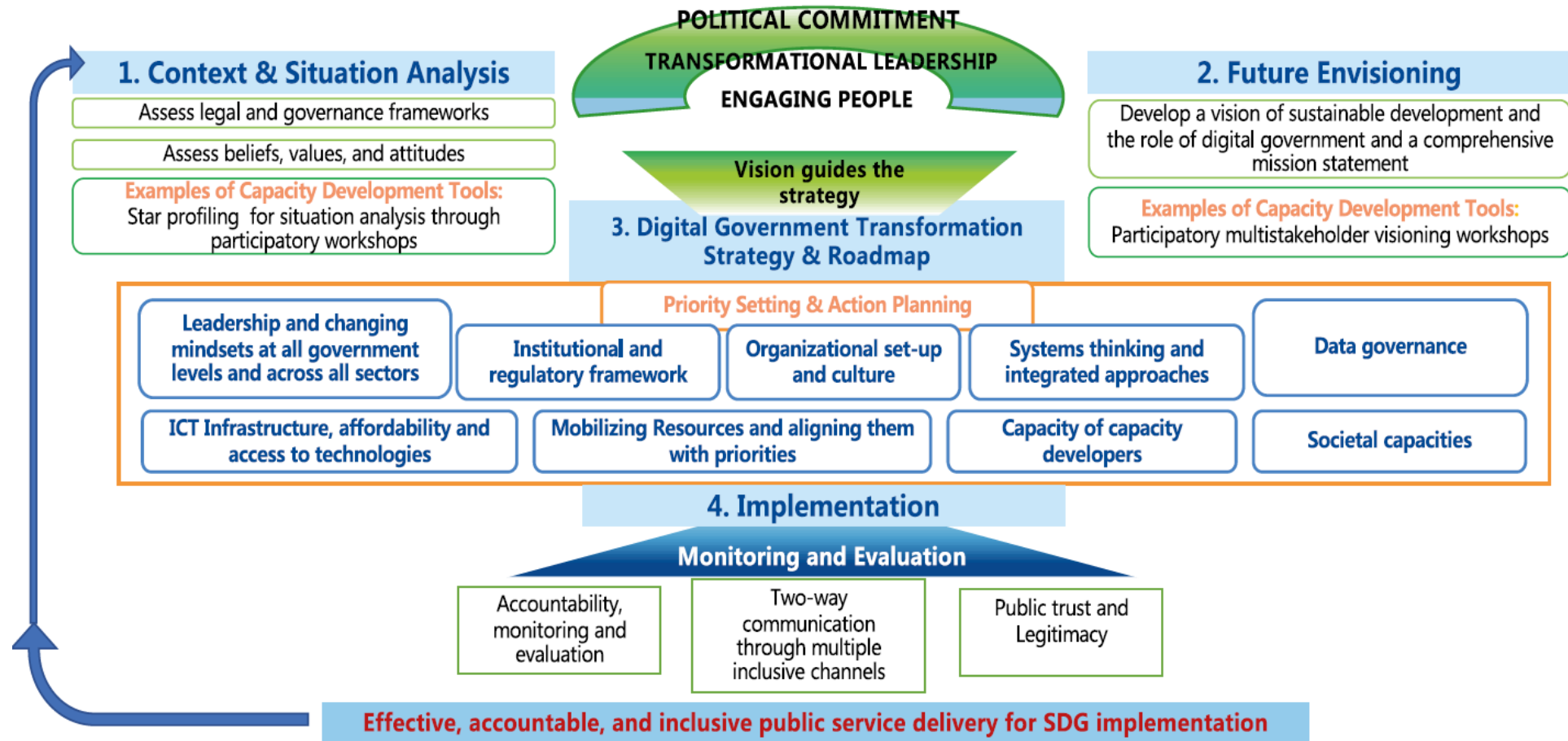
Source: UN E-Government Survey 2020

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VI. Readying Institutions for Implementation of the 2030 Agenda

Promoting policy and institutional coherence in implementing the SDGs

Building capacities and effectively mobilizing, allocating and managing budgetary resources

Participation and multi-stakeholder engagement

Open Data and Data Sharing

Capacity in monitoring, review and follow up to communicating progress

Improving public sector financing

Enhancing human resource capacity, including technical skills

Building the awareness, competencies and skills

New digitally enabled approaches

Group Discussion

What are the challenges of institutions and how you could go about it to improve it?

What measures can be taken to build and/or improve the effectiveness and accountability of institutions and to ensure active participation in policy-making, implementation and monitoring, including through access to information, and encourage greater openness in the functioning of all institutions?
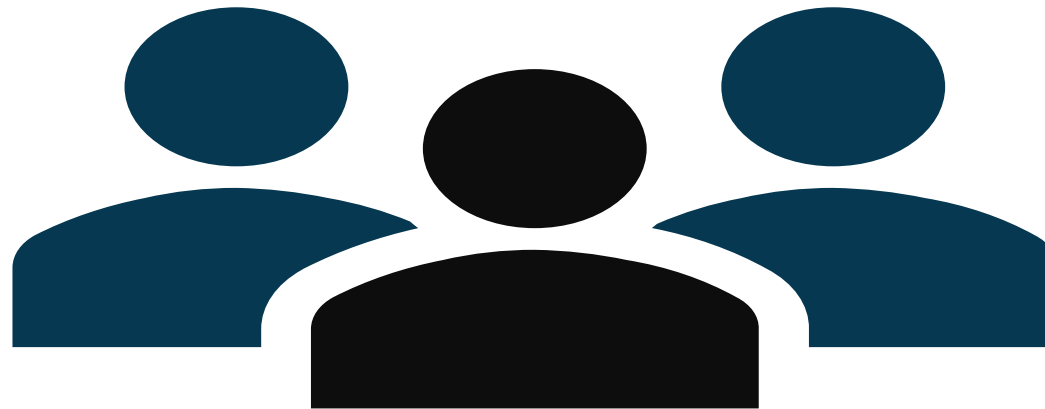
VII. Key takeaway

01
Ensuring that institutions are equipped with sufficient expertise, resources and tools

02
Pursuing evidence-based policymaking

03
Enabling and sustaining cooperation among diverse constituencies

04
Strengthening transparency, accountability and corruption prevention efforts

05
Leveraging digital government

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