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

National to Local Planning

Module 3.5

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Learning Outcomes

Shaping strategies, policies and plans for sustainable territorial development

Provide action-oriented recommendations on planning, policies and strategies

Tailoring SDGs to National, Sub-national and Local Contexts

Understanding of the key concepts of development planning processes, including its stages and key elements

Learn about integration of the SDGs into the local policy plan

I. National - Local Linkage

Locally Grounded Interventions

Integrated Governance

Functional And Spatial Systems-based Approaches

Financially Inclusive

Balanced Partnership

Human Rights-based

Do Not Harm And Provide Social Protection

Environmentally Sensitive

Participatory Engagement

Data Driven And Evidence-based

Guiding Principles

I. National - Local Linkage (Cont.)

Institute mechanisms for localization of national planning via strengthened local planning institutions

Institute mechanisms to bring together government planning authorities

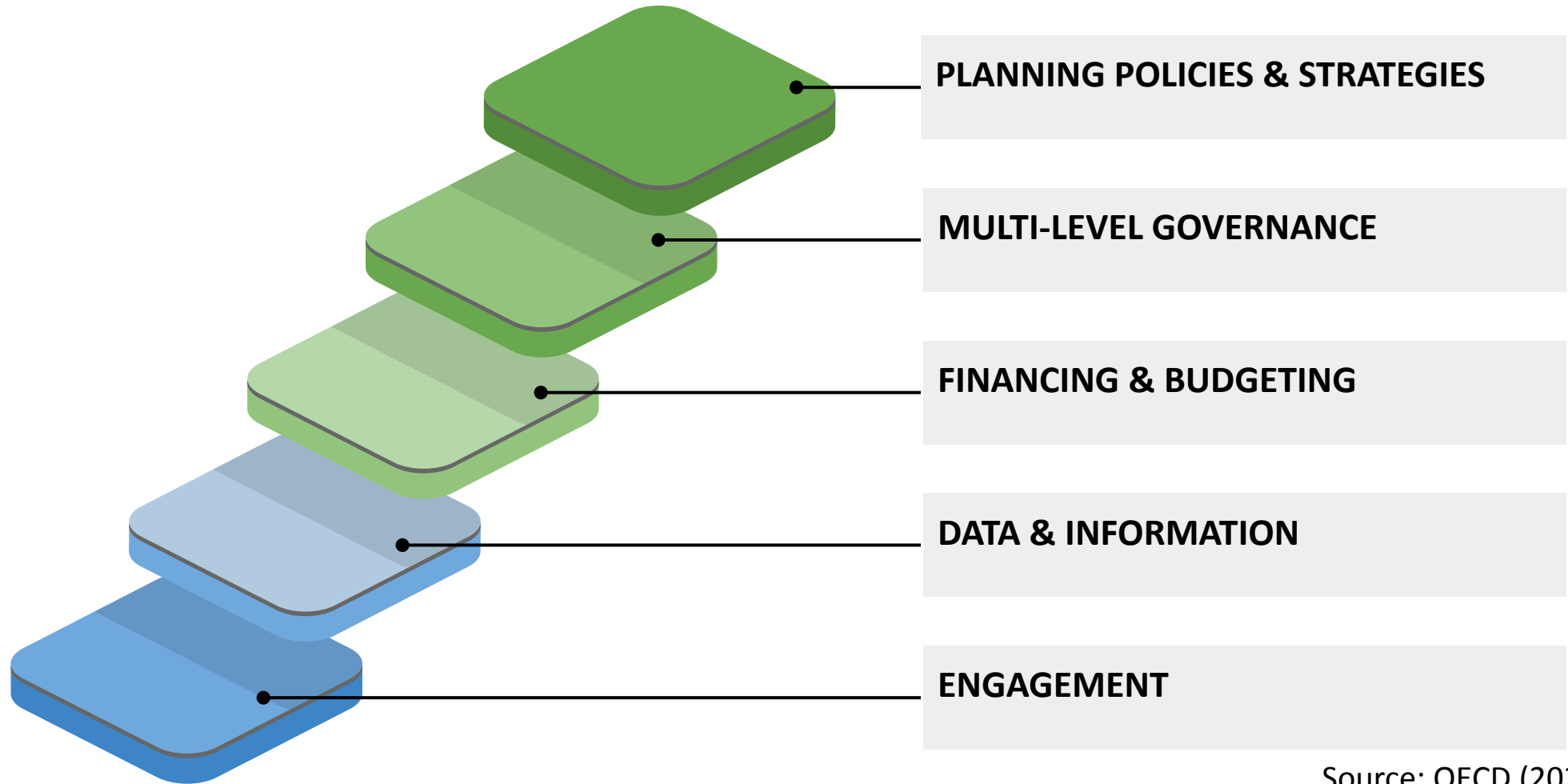**Adapt and apply multi-level, multi-sector and multi-stakeholder approaches to integrated planning**

Make and implement integrated planning goals to reduce urban-rural economic, social and environmental gaps

Integrated planning across the national-local continuum

Formalize networks of jurisdictions and systems of cities and towns at territorial and regional levels

Develop criteria and approaches for land-use planning, management and regulation

Source: UN-HABITAT (2019)

II. Public Action To Localize The SDGs

- PLANNING POLICIES & STRATEGIES
- MULTI-LEVEL GOVERNANCE
- FINANCING & BUDGETING
- DATA & INFORMATION
- ENGAGEMENT

Source: OECD (2020)

III. Adapting SDGs to National, Sub-national and Local Contexts

Bringing SDGs to the national and local context is a multistage approach.

1 Reviewing existing strategies and plans and identifying areas for change

2 Making initial recommendations to the leadership of the national government

3 Setting nationally-relevant targets

4 Formulating strategy and plans using systems thinking

III. Adapting SDGs to National, Sub-national and Local Contexts (Cont.)

1. Reviewing existing strategies and plans and identifying areas for change
- It is done at different levels – national, sub-national and local
- The countries already have national strategies and plans for their implementation at the national, subnational and local levels

National level

- Long- and medium-term development plans
- National strategies for sustainable development
- Green economy/green growth plans
- Poverty reduction strategies
- Annual budget plan
- Expenditure and financing framework
- Sectoral strategies
- International and regional commitments

Subnational level

- Development plan/strategy
- Sustainable development strategy
- Economic plan
- Green economy plan

Local level

- Municipal plan
- Local agenda 21
- Indicators at the community level

III. Adapting SDGs to National, Sub-national and Local Contexts (Cont.)

1. Reviewing existing strategies and plans and identifying areas for change

Steps
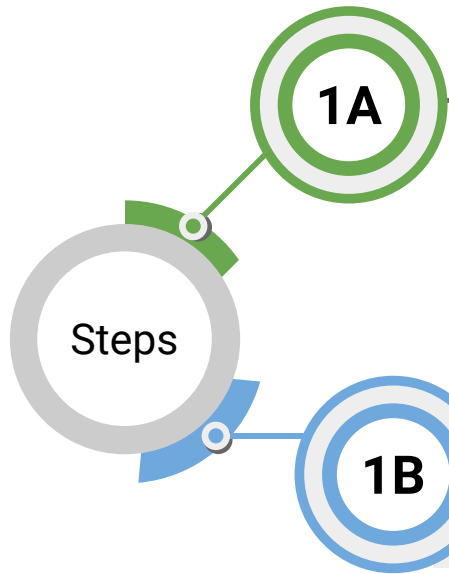
1A | **To scan and detail the landscape of existing strategies and plans at the national, sub-national and local levels and**

- At your group tables, describe the landscape of national plans and strategies in your countries.
- How many countries have a comprehensive national development vision, plan or strategy?
- Be prepared to share your insights

1B | **Compare against the global SDGs and targets to identify gaps and provide the basis for recommending areas for change**

- Using multi-stakeholder approaches, governments can undertake an analysis comparing existing national/local goals to the 17 SDGs
- A comparative analysis can also be undertaken at the target level
- A computer spreadsheet and workbook is well suited for such an analysis
- Other Tools: SDG Scorecard (Stakeholder Forum); Sustainability Analysis Grid Tool

III. Adapting SDGs to National, Sub-national and Local Contexts (Cont.)

Case Example

Belize

- In the process of considering future SDG implementation in Belize, the country's **Growth and Poverty Reduction Strategy** was merged with the **National Sustainable Development Strategy** into one coherent strategy and planning process now called the **Growth and Sustainable Development Strategy**
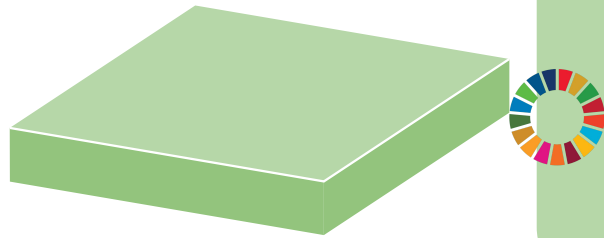

GOVERNMENT OF BELIZE
MINISTRY OF ECONOMIC DEVELOPMENT

# III. Adapting SDGs to National, Sub-national and Local Contexts (Cont.)

2. Making Initial Recommendations to the Leadership of the National Government

**With a goal assessment completed from Step 1…**
Government officials and stakeholders can explore initial recommendations to be delivered to the leadership of their national government relating to
- how the comprehensive scope of the **SDGs can help reach long-term national development objectives** and
- how **existing national plans could be augmented to support the SDGs and targets**
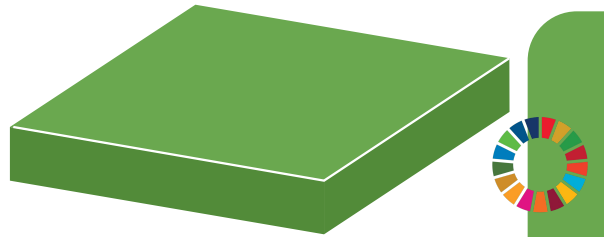
Maintaining Integrity of the 2030 Agenda
- Recommendations should aim at **providing a foundation for both medium and long-term plans** that are dedicated to unlocking the synergies of progress across all three dimensions of sustainable development,
- …with a particular eye to **leaving no one behind**
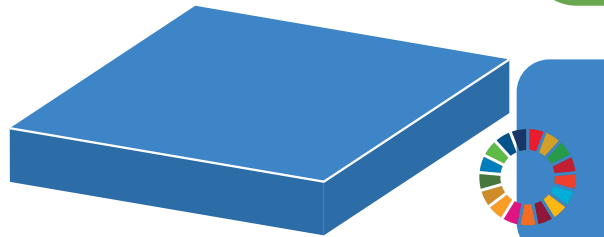
and…Means of Implementation
- Recommendations to leadership should address not only the need for new or revised goals and targets, but **also issues related to the means of implementation**

III. Adapting SDGs to National, Sub-national and Local Contexts (Cont.)

Mainstreaming the SDGs into Ugandan NDPII

Consultative and iterative

- Identification of opportunities and fundamentals
- Prioritization of opportunities and fundamentals — Inputs from multiple stakeholders, incl. non-state stakeholders
- Inclusion of SDGs in Context Chapter of NDPII
- Design of national targets for NDPII results framework based on the SDG targets — Consultations with key stakeholders: national, sectoral and LGs
- Sharpening the NDPII results framework based on the SDG structure
- NDPII

Germany

In 2015 the German Council for Sustainable Development (RNE) submitted its statement on 'Germany's Sustainability Architecture and the SDGs' to the federal government.

- **General:** 2 recommendations dealing with the publishing of the recommendations and broadening the public debate on sustainable development
- **Sustainability as a principle of action:** 3 recommendations
- **Global partnerships:** 4 recommendations
- **Germany's responsibility:** 12 recommendations
- **Redefinition of Germany's sustainability architecture:** 8 recommendations
- **Structure of the 2016 German Sustainability Strategy:** 8 recommendations
- **Germany's 2016 goals for sustainable development:** 4 recommendations
- **Detailed proposals:** Recommendations providing more in-depth discussion across 29 sustainable development issue areas.

III. Adapting SDGs to National, Sub-national and Local Contexts (Cont.)

3. Setting Nationally Relevant Targets (with Consideration of Local Conditions)

Tailoring the SDGs to national contexts inherently involves Member States setting their own targets

Types of Targets

- Benchmarks
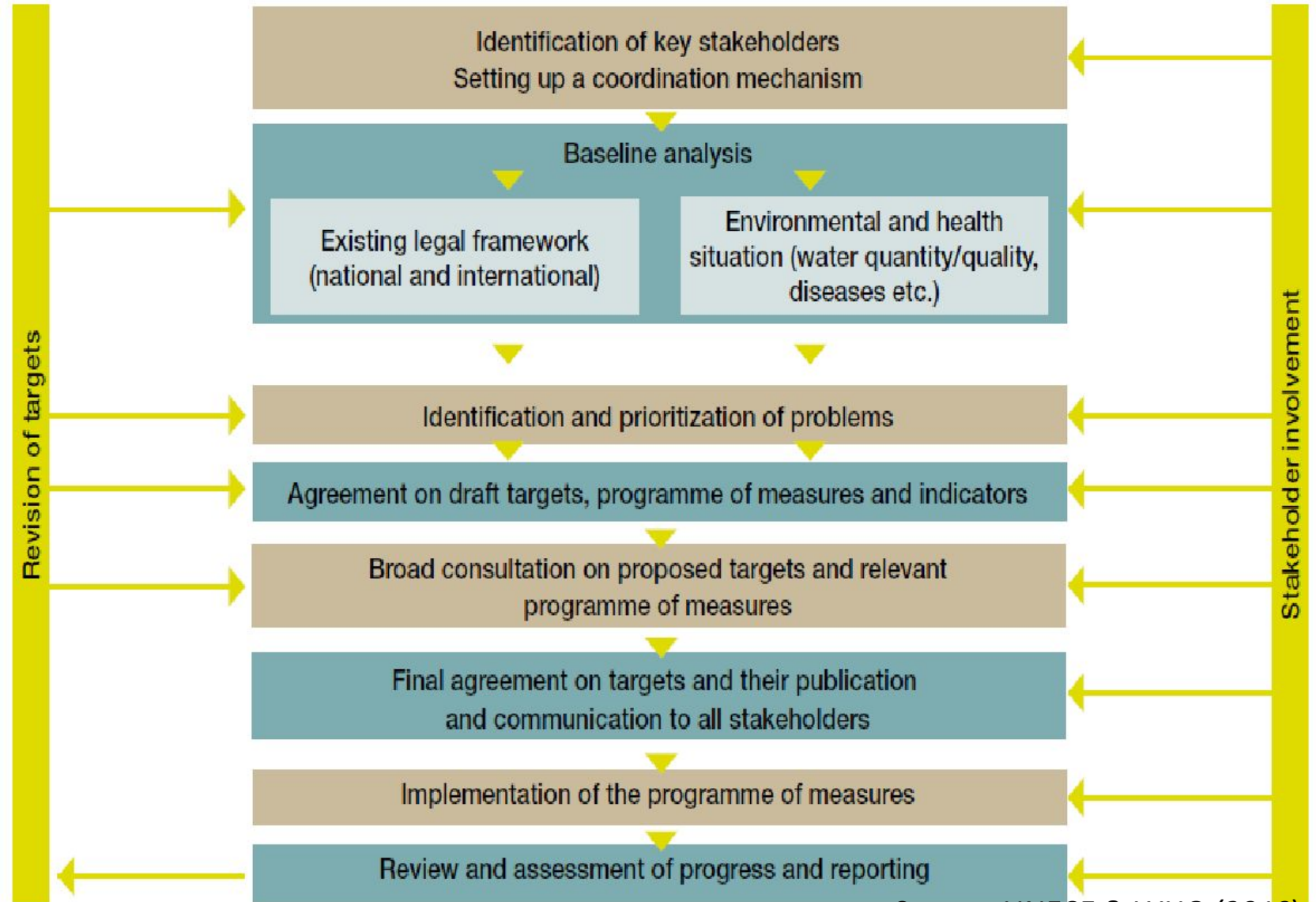- Thresholds
- Principles
- Standards
- Policy-specified

Setting time-bound targets requires the identification of specific indicators

National level data can overlook specific local circumstances

- human security approach, e.g. as applied in the case of Benin, can provide such tools to understand people's needs, vulnerabilities, capabilities according to race, gender, age, ethnicity.

Logical Framework for the Process of Setting Targets

Identification of key stakeholders
Setting up a coordination mechanism

Baseline analysis

Existing legal framework (national and international)

Environmental and health situation (water quantity/quality, diseases etc.)

Identification and prioritization of problems

Agreement on draft targets, programme of measures and indicators

Broad consultation on proposed targets and relevant programme of measures

Final agreement on targets and their publication and communication to all stakeholders

Implementation of the programme of measures

Review and assessment of progress and reporting

Revision of targets

Stakeholder involvement

Source: UNECE & WHO (2010)

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III. Adapting SDGs to National, Sub-national and Local Contexts (Cont.)

4. Formulating strategy and plans using systems thinking

This step involves the obvious, yet challenging task of incorporating the relevant SDG gap recommendations into the national development plan and supporting sector plans.

Every Member State has in place their own procedures for creating a national strategy or plan, and these should be the focus for implementing SDG recommendations.

Incorporate systems thinking and foresight approaches and tools to help prioritize key policies, programmes and projects that have the greatest potential for systems-level change and realizing co-benefits across multiple issue areas
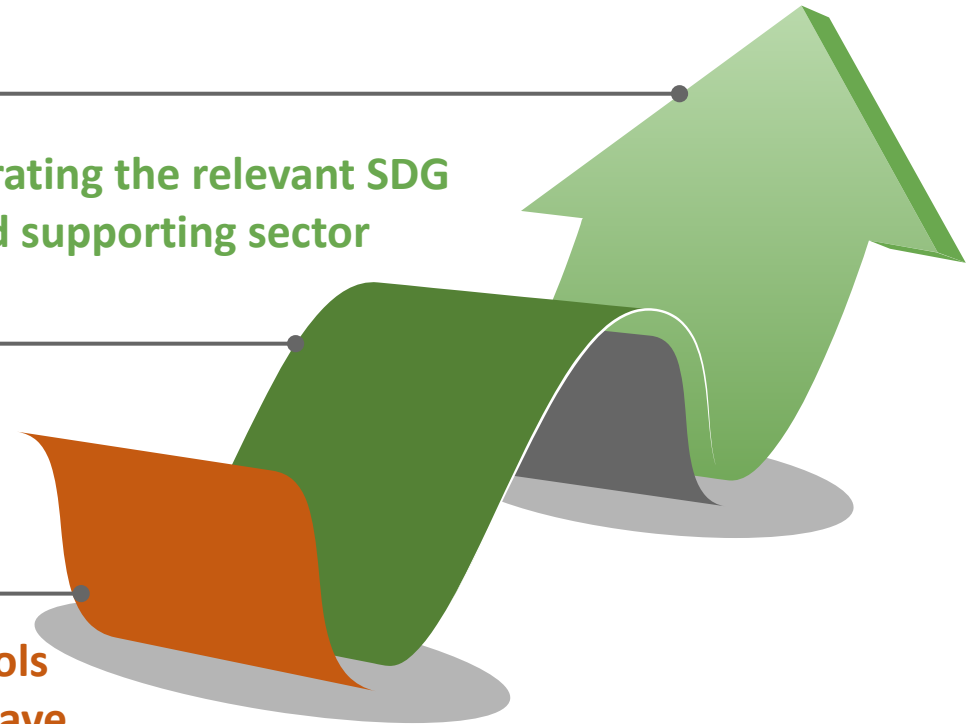
III. Adapting SDGs to National, Sub-national and Local Contexts (Cont.)

System Thinking

ource: Alan AtKisson, 1990

THE VISIS METHOD: A PLANNING MATRIX FOR SUSTAINABILITY

	General Description	*Beginner Level / Simple*	*Intermediate Level*	*Advanced Level / Complex*
Vision (V)	**Set goals or describe a future situation, based on the group's understanding of sustainability**	One-sentence descriptive vision statement capturing the essence of a desired future	More detailed goal statements based on an understanding of sustainability principles	Highly detailed description of future sustainable state, based on scientifically defined conditions and group consensus
Indicators (I)	**Assemble and analyze information about what is happening**	Look for important issues and trends, and evaluate them as improving, worsening, or staying the same	Develop measurements with data, look for trends and patterns, analyze causes and effects, assess against sustainability criteria	Build comprehensive indicator systems with performance indices scaled to reflect sustainable conditions, optimal states, and collapse thresholds
System (S)	**Explore key linkages among elements and find the most effective leverage points for change**	Simple sketching and mapping to link issues and indicators in cause-and-effect relationships, identify patterns (understand chains of cause-and-effect)	Feedback mechanisms, causal loops, and overall dynamics (understand system structures, and change behavior over time)	Quantitative modeling, usually computer-assisted, using real or simulated data inputs to explore past system behavior and future scenarios
Innovation (I)	**Identify specific interventions, changes, techniques and new ideas to be introduced at the leverage points**	Brainstorming of new projects, or adopting and adapting existing initiatives, that can improve a key issue and have beneficial side effects throughout the system	Inventory new initiatives, policies, technologies etc. relevant to a prioritized problem set, and feasible to implement at the identified points of leverage	Comprehensive reviews of best practice, research new options, test implementation in a dynamic systems model and/or scenario exercise
Strategy S()	**Plan for implementation, transition, and long-term success**	Identify needed resources, generate sequenced to-do lists, assign tasks to people	Use of "strategy mapping," "SWOT" analyses, "backcasting," "Amoeba mapping" and other techniques to determine best paths forward	Develop a "theory of change" or "logic model," derive goals and objectives, create comprehensive strategic plan with performance metrics, monitor progress
Agreement	**Commit to action**	Create inter-personal commitments promises, plans for follow-up engagement, future scheduled events, etc.	Create formal institutional and organizational commitments: task teams, work assignments, budget allocations, timelines	Create binding commitments: regulations, official policies, funded departments and programs, etc.

III. Adapting SDGs to National, Sub-national and Local Contexts (Cont.)

Foresight approach *"a systematic, participatory, future-intelligence-gathering and medium-to-long-term vision-building process aimed at enabling present-day decisions and mobilizing joint actions (EC 2007)."*
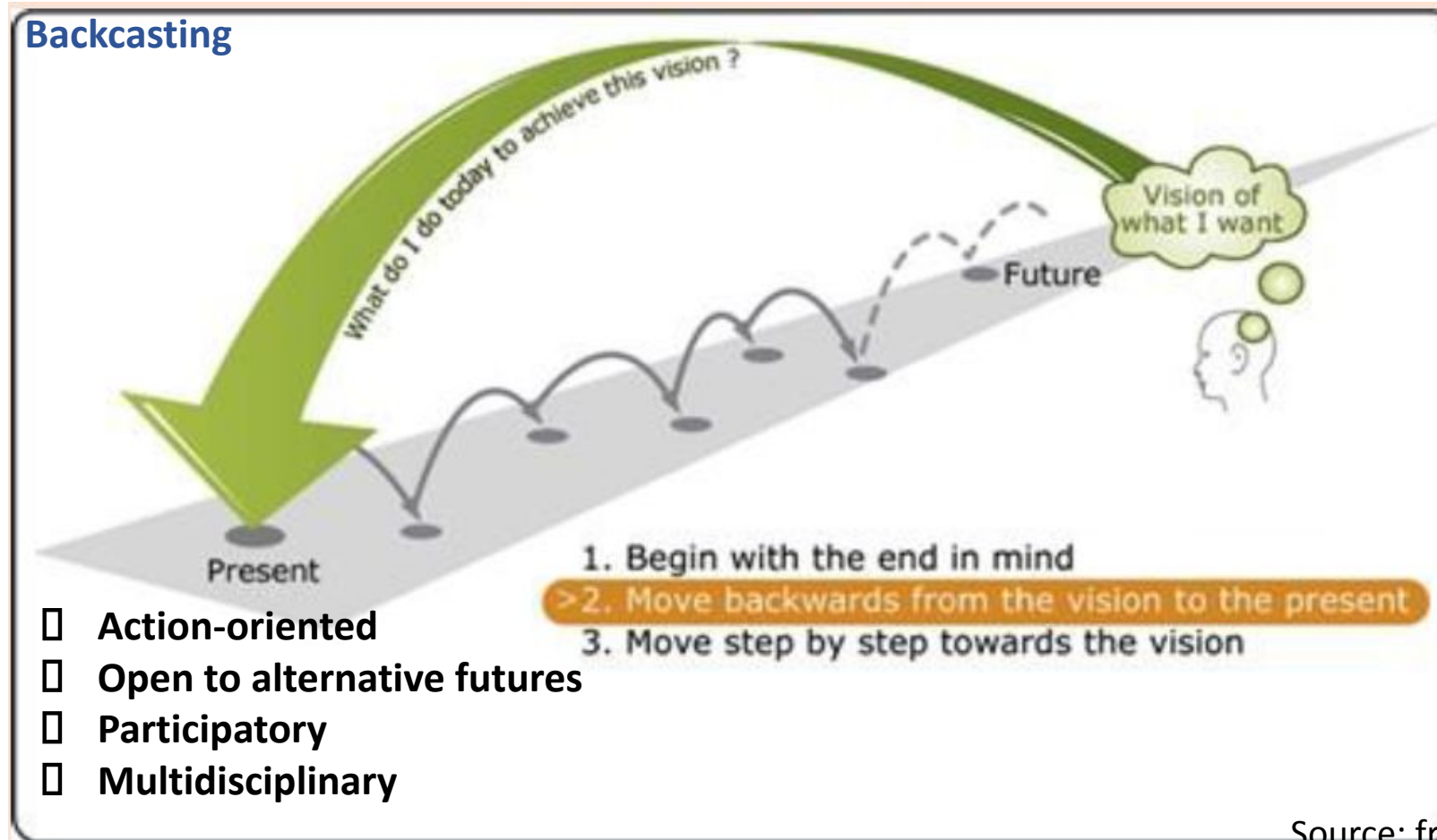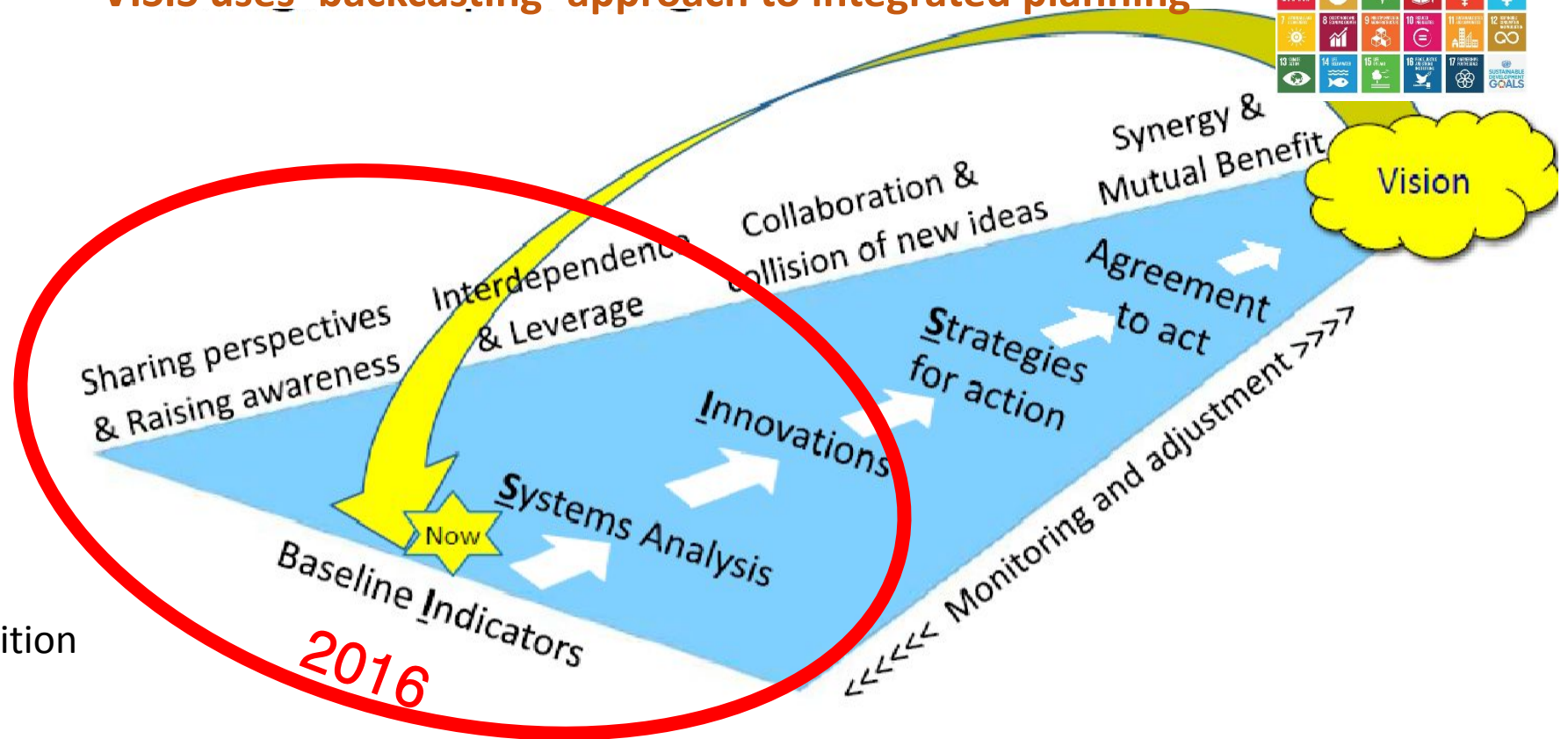

Source: from The Natural Step (2016)

III. Adapting SDGs to National, Sub-national and Local Contexts (Cont.)

Setting of Targets and Planning for Action

VISIS uses 'backcasting' approach to integrated planning

Systems thinking
to identify leverage
points for the SD transition

2016

Vision > Indicators > Systems > Innovation > Strategy

III. Adapting SDGs to National, Sub-national and Local Contexts (Cont.)

Innovative Case Example: Systems Thinking and Strategy Formulation in Belize based on the VISIS Approach

Multi-factor Analysis Tool to help prioritize actions that have the greatest potential for system-level change

1. Level of Urgency	2. Level of Impact	3. Availability of Resources	4. Net Systemic Contribution
Degree to which an action is required in order to avoid near-term, systems-critical disruptions or missed opportunities	Degree to which an action leads to visible and measurable improvements in quality of life in the medium-term	Extent to which resources (budgetary or external) have already been, or can be, committed to the action	Extent to which an action contributes, overtime, to the integrated achievement of the Critical Success Factors
High = Failure to implement the action in the near-term is likely to result in serious damage to the current and future prospects of Belize, as reflected in the Critical Success Factors	**High =** The action will lead to quick, visible, and measurable improvements in quality of life for Belizeans	**High =** Funds and human resources are already allocated, can easily be allocated, or can (with high levels of certainty) be mobilized from extra-governmental sources	**High =** The action contributes to advancing multiple (or even all) Critical Success Factors in the medium and long term
Medium = The action is desirable in the medium term and delay in implementation significantly increase the risk that objectives will not be met in a timely fashion	**Medium:** The action will have noticeable and measurable positive effect on quality of life in the medium term, but the effects will be more noticeable in subsequent periods	**Medium =** Resources are expected to be available for allocation, with lower levels of certainty	**Medium =** The action contributes to advancing one or two Critical Success Factors, with little to no trade-off required regarding the other Critical Success Factors
Low: The action can be postponed at low risk to the current and future prospects of Belize	**Low =** The positive effects of the action on quality of life will not be left or be measurable until after the current planning period	**Low =** Political and economic circumstances make it very difficult to identify and/or allocate resources at this time	**Low =** The action advances only one Critical Success Factors, at the expense of progress on (or at the cost of damage to) other Critical Success Factors

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IV. Development Planning Processes

Checklist of aligning the public policy cycle to the 2030 Agenda
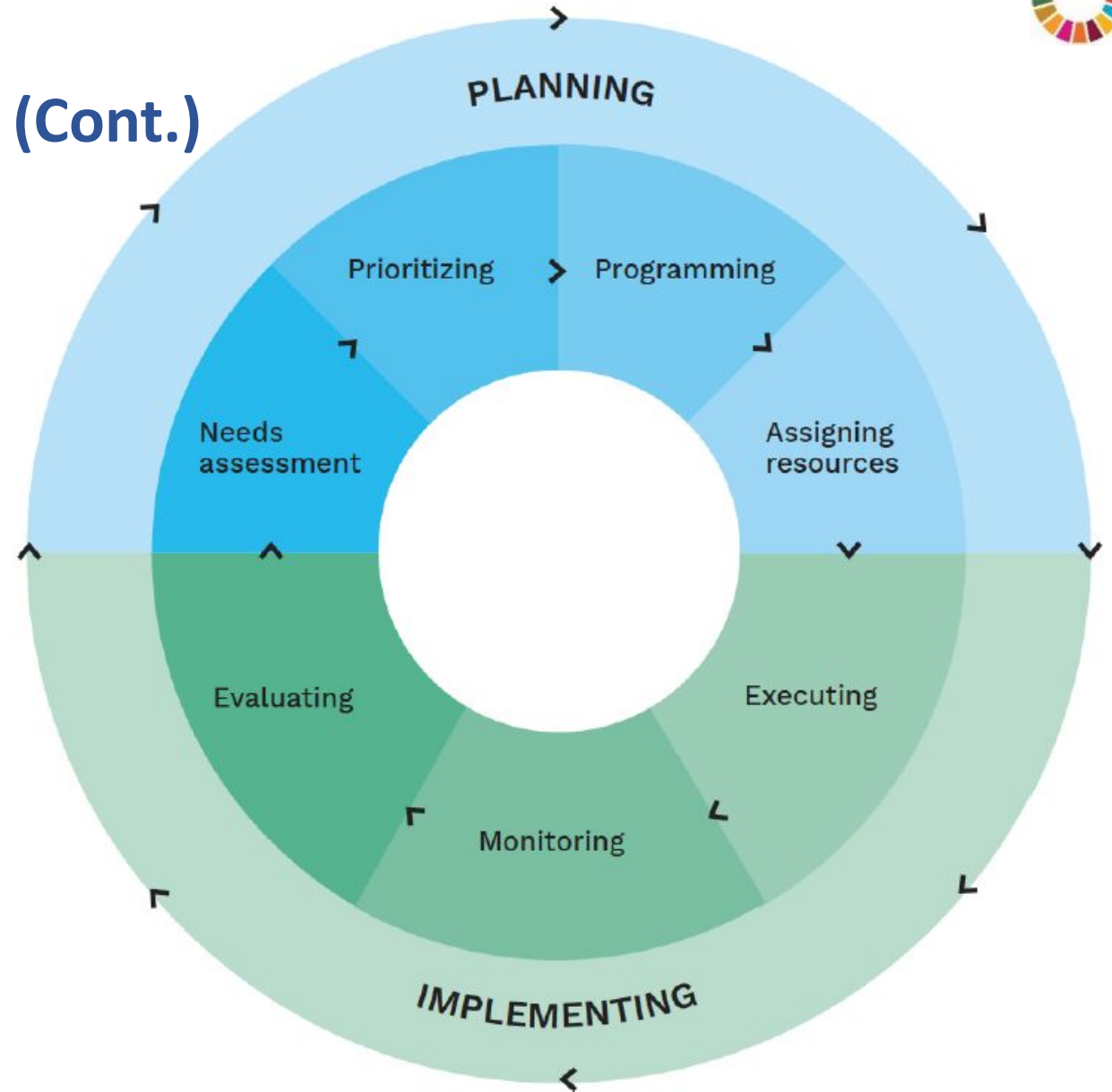
Group Discussion

! Note– the course materials contain a separate document with more details on this country case.
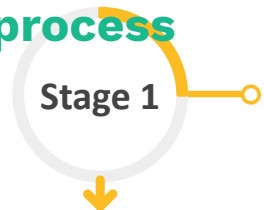
IV. Development Planning Processes (Cont.)

Planning Processes in Public Policy Circle

Public policy circle diagram: PLANNING (Needs assessment, Prioritizing, Programming, Assigning resources) and IMPLEMENTING (Executing, Monitoring, Evaluating)

IV. Development Planning Processes (Cont.)

Key stages of the planning process

Stage 1 — **Needs Assessment**

- Diagnosis of the current situation
- Review existing strategies and plans
- Include a stakeholder mapping
- Ensure that priorities are relevant and locally-owned
- Establish comprehensive data collection and data management mechanisms
- Analysis of the national framework from a legal, political and social point of view
- Include an analysis of the resources such as human resources, finance
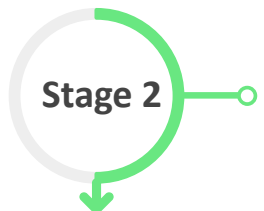
Stage 2 — **Prioritizing**

- Working on priorities that fall into the competences of the department or area concerned
- Prioritizing those goals that are easiest to achieve
- Determining specific substantive priorities
- Creating interactions between substantive priorities/accelerator interventions
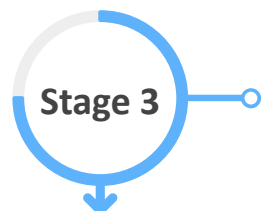
Stage 3 — **Programming**

- Disaggregate the priorities into strategic lines or lines of intervention
- Develop the indicators for each action line or activity
- A clear framework is essential in order to carry out monitoring and evaluation systematically.
- Cooperation agreements signed by different levels of government are basic to ensure the exchange of information
- Consider setting up joint initiatives
- Think about communication strategy
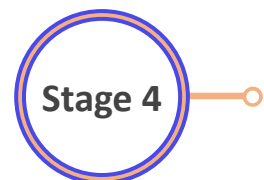
Stage 4 — **Assigning resources**

- Refers to budgeting and allocating all those economic, human, material and technical resources that have been quantified in the needs assessment
- Assigning resources aim at improving management capacities
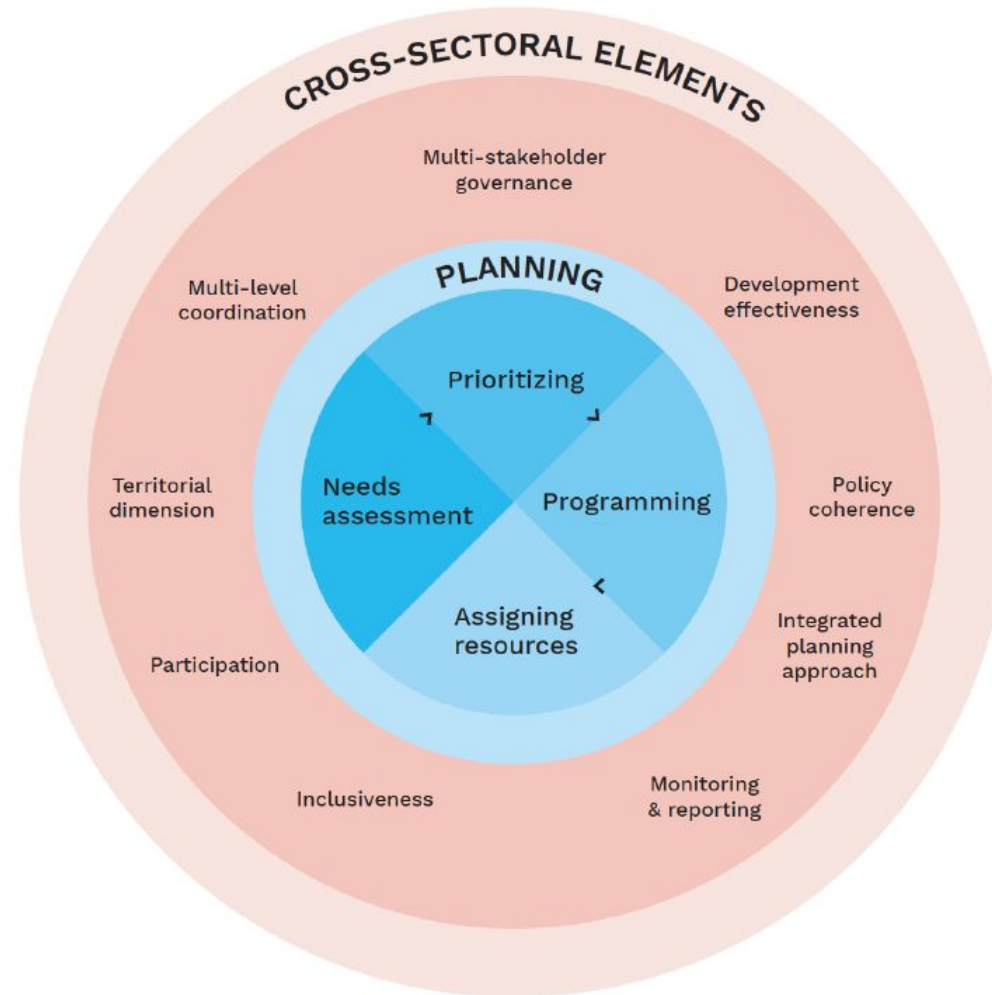- Mechanisms to prevent fraud and corruption

IV. Development Planning Processes (Cont.)

Needs assessment
- Mapping stakeholders
- Diagnosis
- Data collection mechanisms
- Data management mechanisms
- Use of territorial data
- Analysis of the national framework
- Analysis of the resources

Programming
- Definition of lines of intervention
- Scheduling
- Definition of monitoring and evaluation mechanisms
- Communication strategy
- Awareness-raising strategy
- Advocacy strategy

CROSS-SECTORAL ELEMENTS

Multi-stakeholder governance

Multi-level coordination

Development effectiveness

PLANNING

Territorial dimension

Prioritizing

Policy coherence

Needs assessment

Programming

Assigning resources

Integrated planning approach

Participation

Inclusiveness

Monitoring & reporting

Key cross-sectoral elements of the planning process
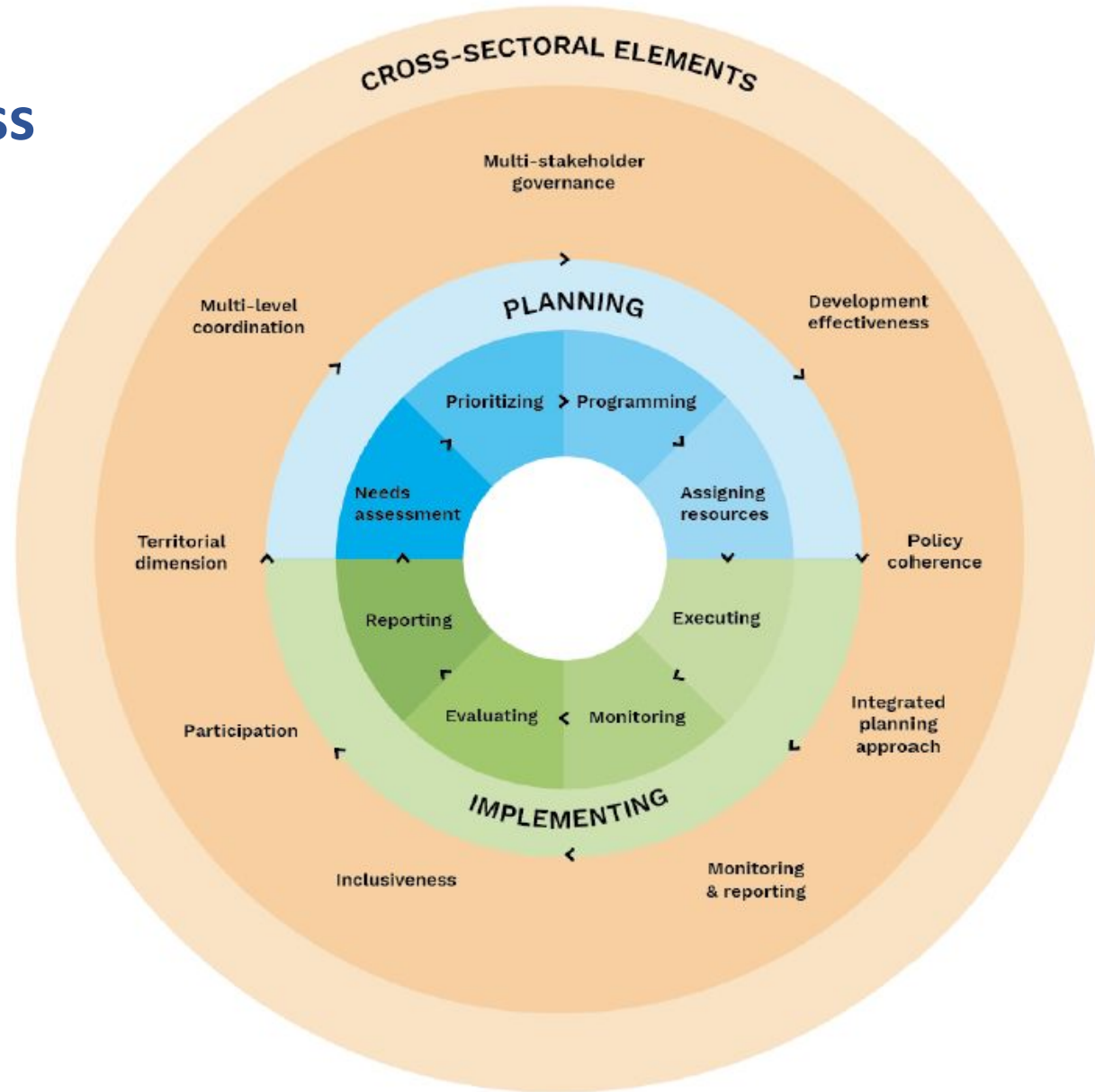
Prioritizing
- Determination of priorities
- Establishment of expected results, general aim, goals and targets

Assigning resources
- Budgeting
- Assigning economic, human, material and technical resources
- Mobilization of public and private resources
- Commitment of human resources
- Strengthening of capacities

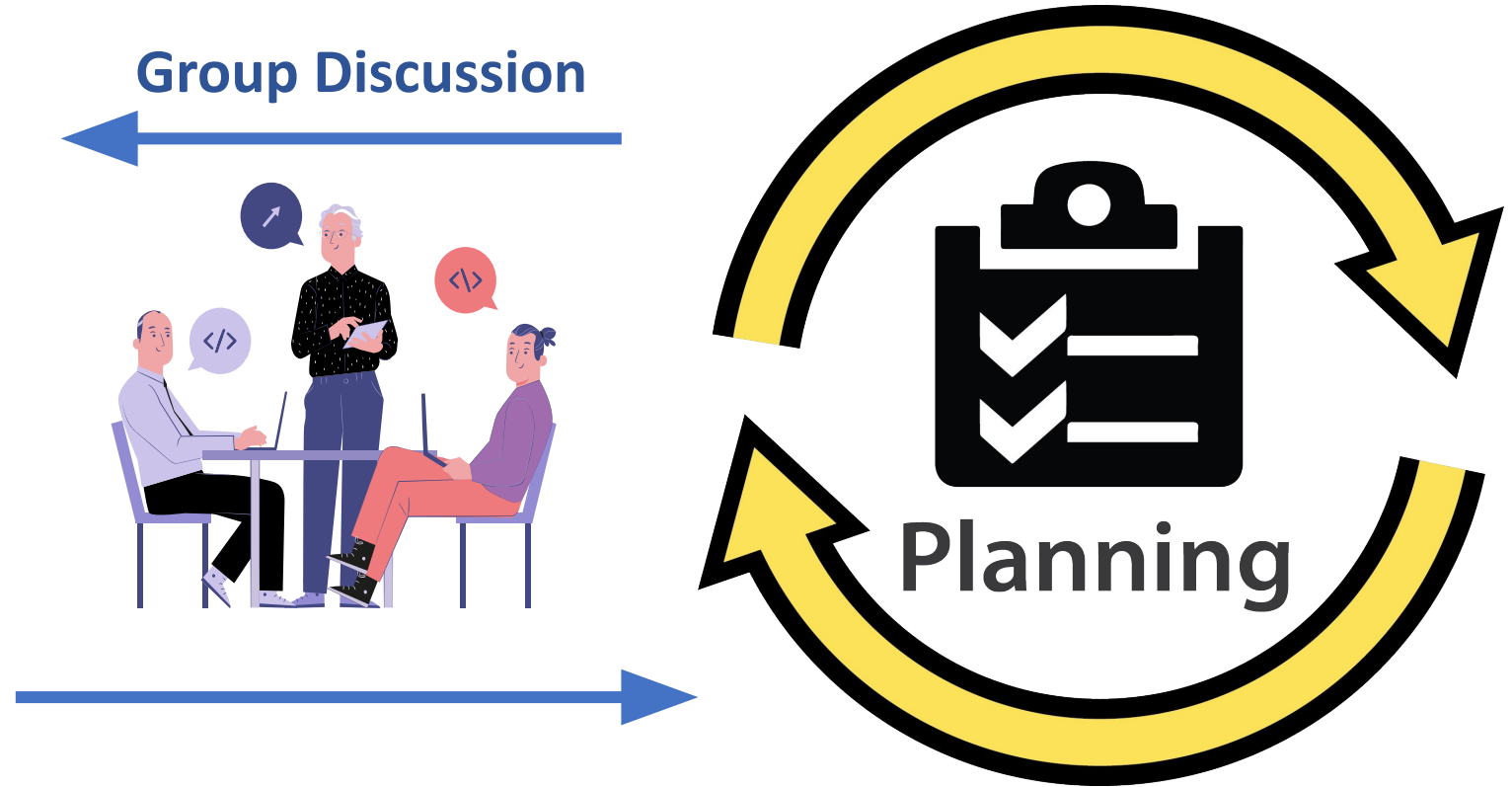# V. The Implementation Process

V. The Implementation Process (Cont.)

Key stages

Stage 1	**Execution**	Applying the goals, programs, projects, action lines and activities that have been prioritized and programmed during the planning process
Stage 2	**Monitoring**	Monitoring and evaluation always relate to pre-identified results in the development plan.
Stage 3	**Evaluation**	Evaluation complements monitoring by providing an independent and in-depth assessment of what worked and what did not work, and why this was the case.
Stage 4	**Reporting**	Decisions must be transparent and justifiable aiming for a well-coordinated, efficient and accountable public administration

VI. SDG Principles for Planning

Local and regional development plans as catalysts for the achievement of the 2030 Agenda

VI. SDG Principles for Planning (Cont.)

Leave no one behind

Integrated nature

Partnership based approach

Multi-level governance

Accountability

VI. SDG Principles for Planning (Cont.)

Key cross-sectoral elements of any planning process and the SDG principles for planning

Local development planning cross-sectoral elements	SDG principles for planning
Participation Inclusiveness Territorial dimension	Leave no one behind
Integrated planning approach Policy coherence	Integrated nature
Multi-stakeholder partnership Development effectiveness	Partnership-based approach
Multi-level coordination	Multi-level governance
Monitoring and reporting	Accountability

VI. SDG Principles for Planning (Cont.)

Integration of SDG into Local Policy Planning

Political mandate

Leadership

Milestone plan and agreements memo

Adjusted organization structure

Support for the SDGs

Exploring the Policy Cycle – Case Study and Group Work

Often times, government follows or may wish to follow the standard policy cycle for initiating new policies or regulations. However, upon closer examination with countries we can test, discuss and review to assess if this policy cycle process is followed in full. We can also review where the gaps are in the process, for example, gaps may often be found in the follow-up and review portion where greater monitoring and evaluation data is needed. Gaps may also be found in the policy formulation stage with regards to stakeholder engagements.

Group Discussion

Divide into groups of 3 and discuss the following questions

1. In practice, is the policy cycle followed in your government context? Share an example of how you have formulated a policy with your group members. Select one example to present to the wider training group.
2. If the policy cycle is not followed in full, what are the weak points (e.g. measuring progress)? What are the strong points for your government context?
3. How does the policy cycle link to the SDG targets?
4. How can the policy cycle process be strengthened in your view?
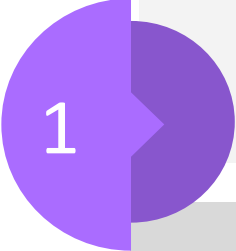5. How does the challenge of policy enforcement come into play?

VII. Key Takeaways

1 The National-Local Linkage Guiding Principles can help **shape strategies, policies and plans for sustainable urban and territorial development** that include the perspectives and participation of those whose lives are most affected.

2 The Public Action To Localize The SDGs provides **action-oriented recommendations on planning, policies and strategies; multilevel governance; financing and budgeting; data and information; and stakeholder engagement**.

3 Tailoring the SDGs to national and local contexts involves **a multi-stage process.**

4 For the successful implementation of the SDGs, **their inclusion and mainstreaming into national and territorial policies, plans and strategies is crucial**.

5 **Local and regional development plans as catalysts for the achievement of the 2030 Agenda**

6 **Political mandate; Leadership; Milestone plan and agreements memo; Adjusted organization structure; and Support for the SDGs** are some recommendations that can help with a successful integration of the SDGs into local policy plan

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Thank you

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