**Training Toolkit on Government Innovation for Social Inclusion of Vulnerable Groups**

# Module 14

## Measuring Progress: Monitoring and Evaluation of Implementation Efforts

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1. Introduction & Challenges
2. Strengthening Statistical Capacity for Identifying Vulnerability
3. Social Inclusion Assessment Tool
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6. Requirements for Effective Monitoring and Evaluation

# Learning Objectives

- To understand the challenges of monitoring and evaluation tools
- To learn to adapt data collection to the specific case
- To ensure stakeholder engagement and accountability
- To learn how to improve the development of future projects

# 1. Introduction & Challenges

# 1. Introduction & Challenges

## The Importance of Monitoring & Evaluating

- Agenda 2030 requires robust monitoring and tracking of the progress in SDG implementation in general;

- In particular, the evaluation on the progress of vulnerable groups should be a cross-cutting issue in national reporting

- Data collection and management play a key role in ensuring that vulnerable groups and their needs are correctly identified.

- However, to date, there is no universally accepted approach for measuring vulnerability

# 1. Introduction & Challenges

## The Importance of Monitoring & Evaluating

- Monitoring & evaluation are key to ensure :

  ➢ smart and transparent decision-making process

  ➢ proper identification of needs and effectiveness of the services

  ➢ proper implementation of the public services

  ➢ improved accountability

  ➢ inclusiveness

- **No data** = **no inclusive policies** and public services for vulnerable groups

# 1. Introduction & Challenges

## Challenges Related to Monitoring and Evaluation

- Issuing comprehensive monitoring and evaluation results might result challenging because of:
  - ➢ Lack of one **universally accepted approach** to measure vulnerability
  - ➢ Lack of **disaggregated data**
  - ➢ Inconsistent and **incomplete data**
  - ➢ **Insufficient technical skills** and **resources** in capturing inequality and social injustice
  - ➢ Reluctance of relevant institutions to **share data**
  - ➢ Insufficient **resources** and **training** of public officers

# 2. Strengthening Statistical Capacity for Identifying Vulnerability

# 2. Strengthening Statistical Capacity for Identifying Vulnerability

- Sustainable Development Goal **Target 16.9** ("legal identity for all, including birth registration, by 2030") is key to advance the 2030 Agenda commitment to leave no one behind, and equally relevant is SDG 17.19 - support to statistical capacity-building in developing countries, monitored by the indicator "proportion of countries that have achieved 100 per cent birth registration and 80 per cent death registration".

- There still exist much deficiencies in civil registration systems in many countries until this date. For example, only 68% of the countries, territories and areas register at least 90% of births occurred. Furthermore, for death registration, only 55% of the countries, territories and areas have at least 90% coverage.

https://unstats.un.org/unsd/demographic-social/crvs/#unlia

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# 2. Strengthening Statistical Capacity for Identifying Vulnerability

- **Everyone has the right to be recognized as a person before the law**, as enshrined in Article 6 of the Universal Declaration on Human Rights and Article 16 of the International Covenant on Civil and Political Rights. Several International human rights instruments, such as Article 7 of the Convention on the Rights of the Child and Article 24(2) of the International Covenant on Civil and Political Rights also recognized a right to birth registration.



**SDG Goal 16.9**: By 2030, provide legal identity for all, including birth registration indicator 16.9.1 Proportion of children under 5 years of age whose births have been registered with a civil authority, by age.



**Indicator 17.19.2** Proportion of countries that (a) have conducted at least one population and housing census in the last 10 years; and (b) have achieved 100 per cent birth registration and 80 per cent death registration.

# 2. Strengthening Statistical Capacity for Identifying Vulnerability

## UN Operational Definition of Legal Identity

- **Legal identity** is defined as the basic characteristics of an individual's identity. e.g. name, sex, place and date of birth conferred through registration and the issuance of a certificate by an authorized civil registration authority following the occurrence of birth. In the absence of birth registration, legal identity may be conferred by a legally-recognized identification authority. This system should be linked to the civil registration system to ensure a holistic approach to legal identity from birth to death. Legal identity is retired by the issuance of a death certificate by the civil registration authority upon registration of death.

- In the case of refugees, Member States are primarily responsible for issuing proof of legal identity. The issuance of proof of legal identity to refugees may also be administered by an internationally recognized and mandated authority.

https://unstats.un.org/legal-identity-agenda/

# 2. Strengthening Statistical Capacity for Identifying Vulnerability

- Strengthening statistical capacities of national statistical offices to produce disaggregated data for identifying and inclusion vulnerable groups in decision-making process.

- Enhancing partnerships of national statistical offices with the statistical areas of other government agencies, academia and civil society organizations.

- Developing ICT skills and technical capacities of government agencies and other stakeholders for open data and big data analytics to monitor the dynamic changes of vulnerabilities of vulnerable groups.

- Developing capacities to conduct rapid assessment of impact on vulnerable groups during disasters and public health emergencies.

# 2. Strengthening Statistical Capacity for Identifying Vulnerability

## Some UN data initiatives for inclusion of vulnerable groups

- Since 1988, the UN has published data related to the basic prevalence of disability worldwide, as well as general socio-economic and living conditions of persons living with and without disabilities.

- The Disability Statistics Database currently only roughly defines and groups the kinds of disabilities that people live with, via categories of disabilities that affect biological functions such as "seeing," "hearing," and "remembering."

- The UN Statistical Commission has agreed upon a "Minimum Set of Gender Indicators" in 2013 as a guide for nationally and internationally compiled gender statistics. This set of indicators is comprised of 52 quantitative and 11 qualitative indicators related to gender equality and/or women's empowerment. Based on this, UNSD tracks which countries have data related to each indicator to see the global gaps in data collection capacity.

# 3. Introduction of UNESCAP Planning & Assessment Tool

Photo credit: UN Photo/ Eskinder Debebe

# 3.1 Introduction of UNESCAP Planning & Assessment Tool

## Structured Monitoring and Evaluation

**Developed by ESCAP and IAP2 to meet the need for a practical guide to meaningful engagement for the 2030 Agenda**

- Introduces emphasis on inclusion, integration & transformation
- Draws on best practice indicators and multi-stakeholder input
- "Field" tested in voluntary national review report processes
- Quality process-focussed

**Useful for:**

- Quick self-assessment of current practice
- Institutionalization processes (discussions around quality engagement)
- As support to planning, process and implementing stakeholder engagement (checklist)
- Assessing completed processes
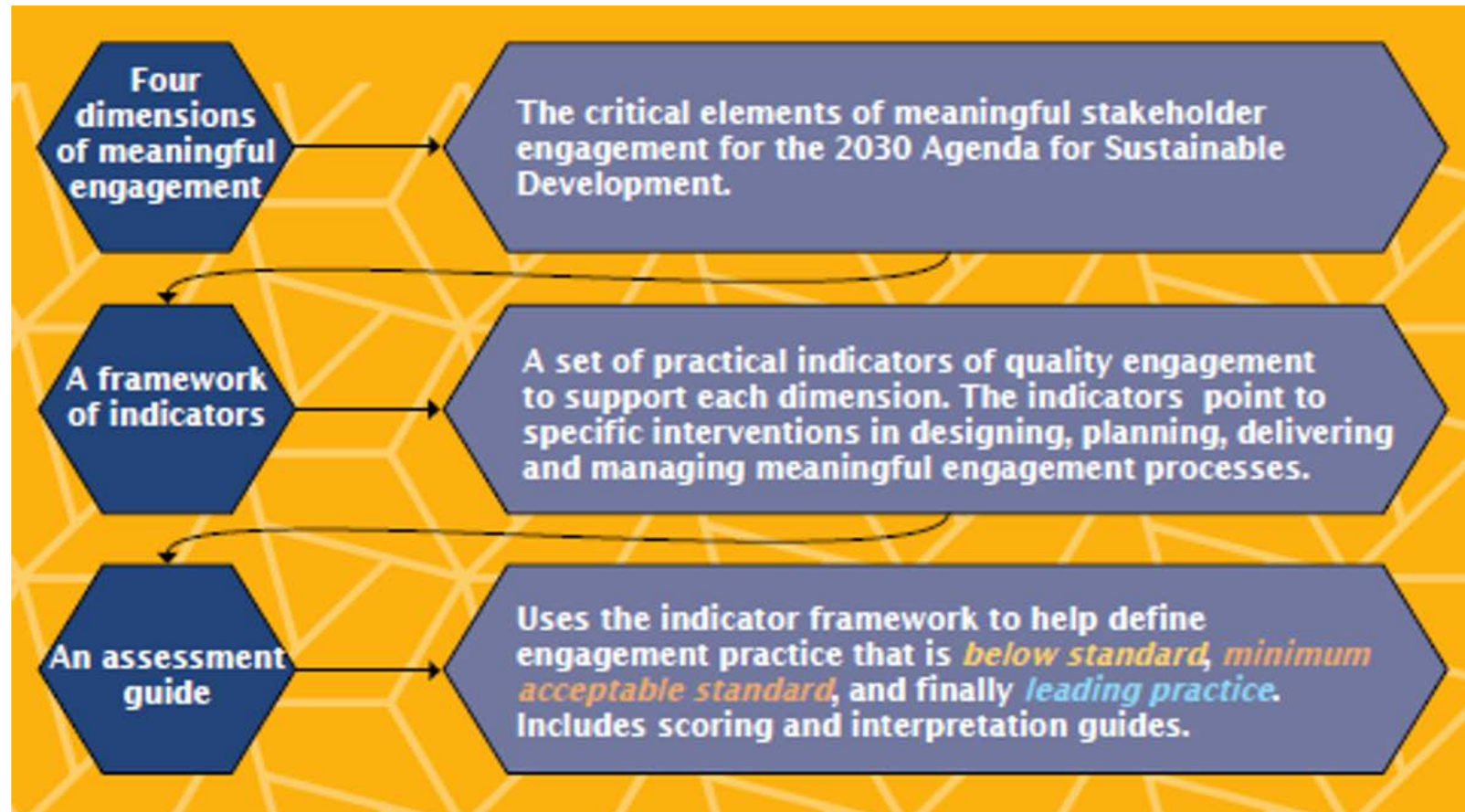- **[Does not assess outcome]**

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- **Goal:** assessment of progress to reach SDGs
- **How:** uses a mix of **integrated** and **disaggregated** data and indicators to support planning and analysis across economic, social and environmental development pillars – focus on poorest and most vulnerable

# 3.1 Introduction of UNESCAP Planning & Assessment Tool

## Structured Monitoring and Evaluation



**Four dimensions of meaningful engagement**
The critical elements of meaningful stakeholder engagement for the 2030 Agenda for Sustainable Development.

**A framework of indicators**
A set of practical indicators of quality engagement to support each dimension. The indicators point to specific interventions in designing, planning, delivering and managing meaningful engagement processes.

**An assessment guide**
Uses the indicator framework to help define engagement practice that is *below standard*, *minimum acceptable standard*, and finally *leading practice*. Includes scoring and interpretation guides.

Source: UNESCAP & IAP2 "A Stakeholder Engagement Planning and Assessment Tool for the 2030 Agenda"

# 3.1 Introduction of UNESCAP Planning & Assessment Tool

## Stakeholder Engagement

- Who should be involved in monitoring and evaluation of data and implementation on vulnerable groups?

  ➢ Governments should **encourage participation** from :

    ➢ Parliaments

    ➢ Different Governmental agencies

    ➢ Indigenous people

    ➢ Civil society

    ➢ Private sector

    ➢ Other stakeholders

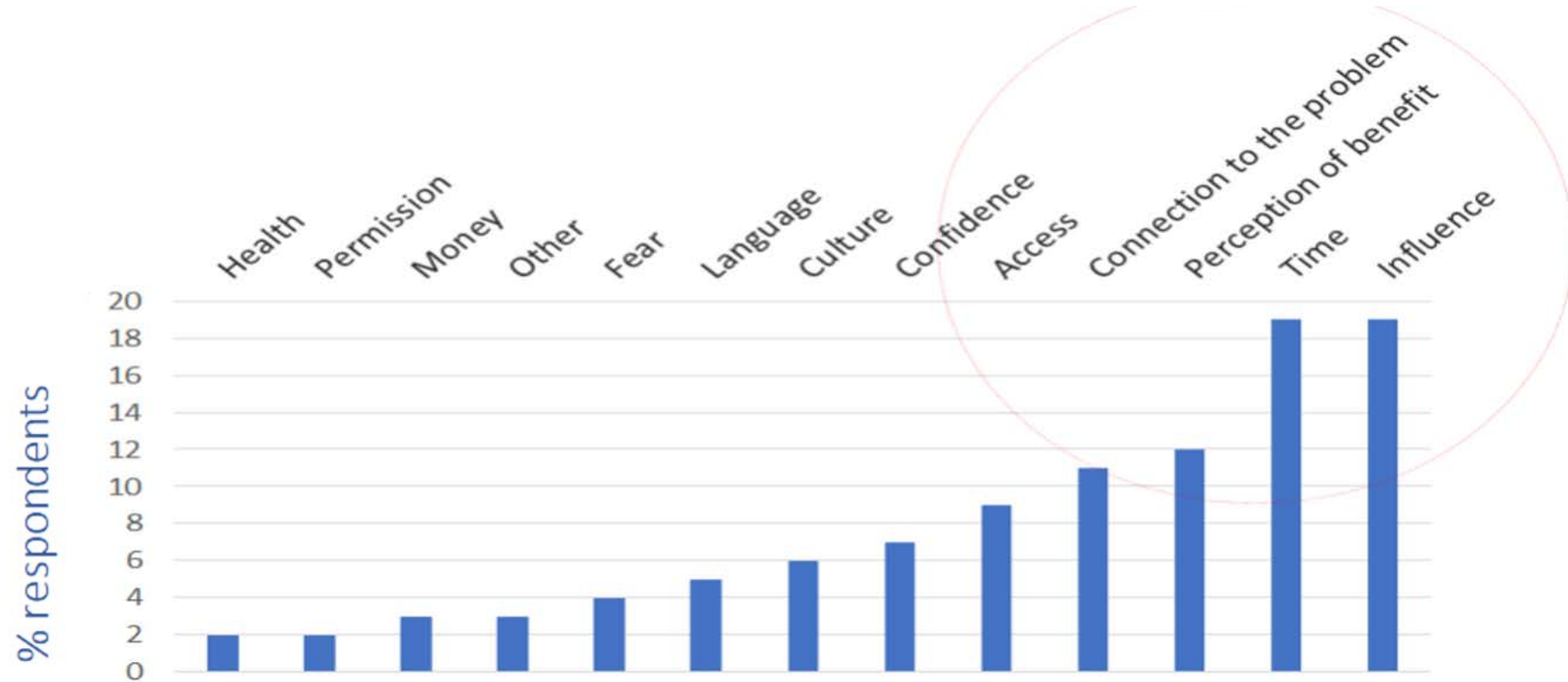# 3.1 Introduction of UNESCAP Planning & Assessment Tool

## Stakeholder Engagement

- Innovative service delivery implies that governments create **space for non-state stakeholders** to participate more fully in the design, implementation and evaluation stages of policy-making

  - ➢ Especially important for **vulnerable groups,** as it provides an **opportunity for their voices to be heard** and their needs to be addressed

  - ➢ In the next slides we will see some good practices of creating space for vulnerable groups in the context of Open Government Data.

# 3.1 Introduction of UNESCAP Planning & Assessment Tool

**Stakeholder Engagement - Why don't people engage**



Source (Julia Suh, Survey , presented at IAP2 Symposium, 2019)

# 3.1 Introduction of UNESCAP Planning & Assessment Tool

## Stakeholder Engagement - Assessment Guide

| | Below Standard | Minimum Standard | Leading Practice |
|---|---|---|---|
| **3.3 Dealing with barriers to participation** [Barriers to participation are clearly identified and explicit steps are taken to reduce them (e.g. accessibility, gender, technology, socio-cultural prejudice, safe space, language etc.)] | • No specific effort to identify and address barriers to participation | • Barriers to participation (e.g. accessibility, gender, technology, socio-cultural prejudice, safe space, language etc.) are identified and some steps are taken to deal with them via process, methods and delivery and communication channels | • Comprehensive identification of barriers<br><br>• Significant effort taken to reduce barriers to participation, including assistance is provided to build understanding prior to engagement (e.g. technical support, briefing sessions etc.) |
| **3.4 Inclusion of vulnerable and marginalised groups** [Vulnerable and marginalised groups are clearly identified and specific measures are put in place to enable them to participate in an equitable way] | • Venues and formats for engagement actively discourage or block participation of vulnerable and marginalized groups and enhance power imbalances | • Some effort to specifically engage vulnerable and marginalized groups.<br><br>• Power dynamic is recognized, and specific strategies to mitigate are in place<br><br>• Self-organised groups of vulnerable and marginalized persons are recognized | • Proactive and comprehensive identification of disadvantaged groups.<br><br>• Self-organization of disadvantaged groups is facilitated.<br><br>• Significant effort to engage key disadvantaged groups, including through partnerships and capacity-building |

Source: UN ESCAP

# 3.1 Introduction of UNESCAP Planning & Assessment Tool

## Stakeholder Engagement - A sample assessment outcome
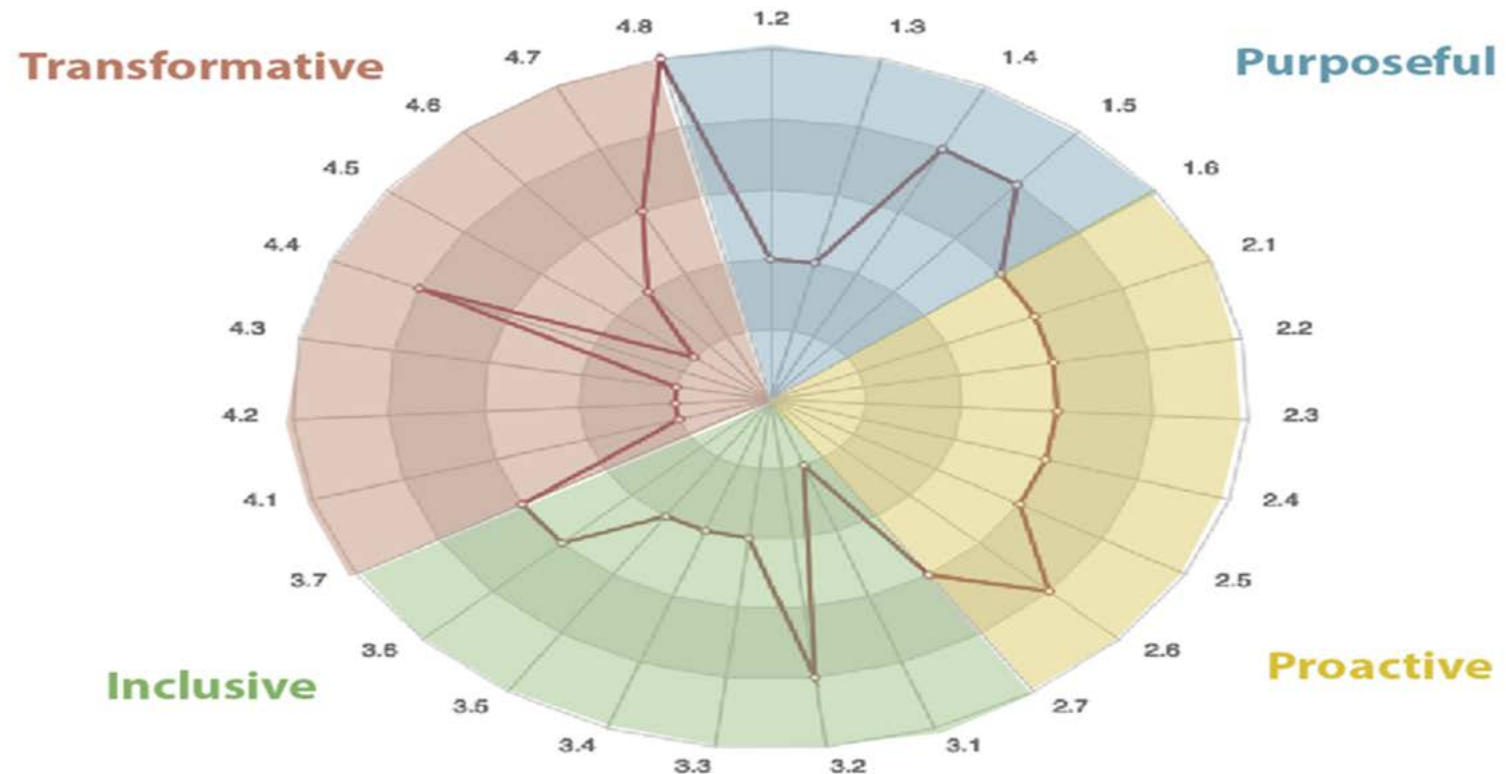


Source: UN ESCAP

# 3.2 Introduction of World Bank Social Inclusion Assessment Tool (SiAT)

It is based on the axiom that asking the right questions is key to the right solutions. It is based on **four questions**:

**IDENTIFICATION**
1. Are excluded groups identified? Who is excluded?Are some groups less likely to benefit from a project/program/policy because of their identity?

**ANALYSIS**
2. Is there ex ante analysis on social inclusion? How and why is the particular group (or groups) excluded? What drives the exclusion?

**ACTIONS**
3. Are there actions intended to advance social inclusion? Social Inclusion is not always about doing more: it is often about doing things differently. What actions are built into project, program or policy design?

**MONITORING**
4. Are there indicators to monitor social inclusion? How would we know if we have made progress? In projects, does the results framework contain indicators on inclusion?
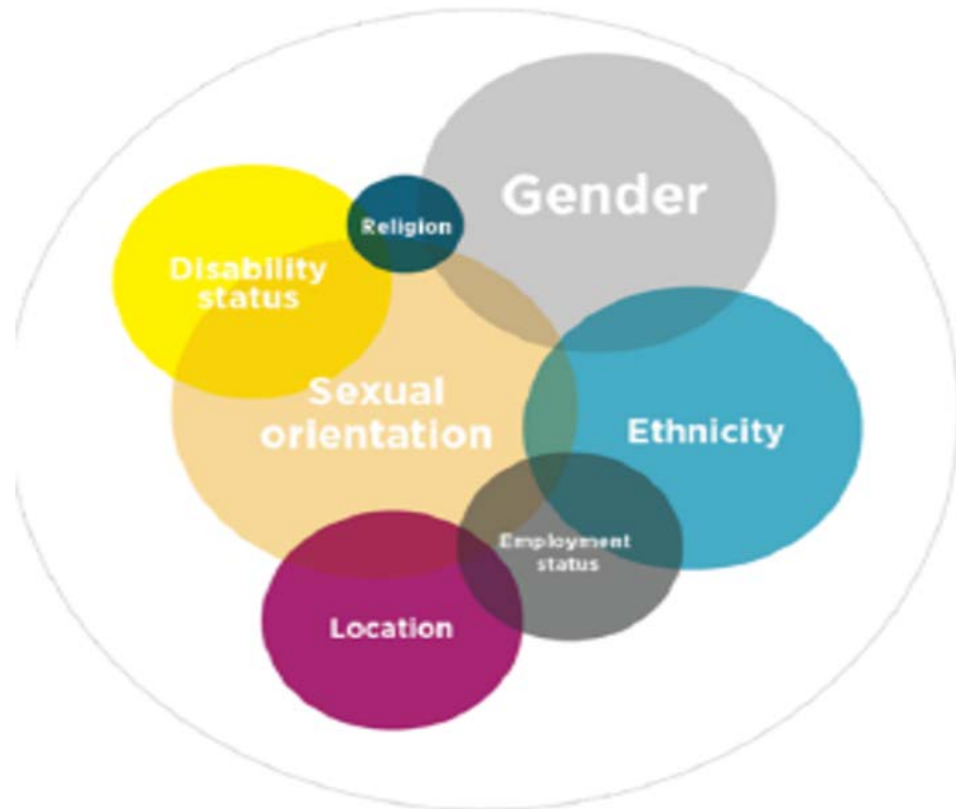
Source: worldbank.org/socialinclusion

# 3.2 Introduction of World Bank Social Inclusion Assessment Tool (SiAT)

**Illustrative example of overlapping disadvantages**



Source: Inclusion Matters, World Bank, 2013

**Some questions to help with analysis**

1. What is the breakdown of different identity groups among those excluded from the benefits (of a project)? Or in the bottom percentiles (migrants, Indigenous Peoples etc.)

2. Which groups are over-represented among those excluded from benefits?

3. Are there historical reasons for such over-representation?

4. Is the over-representation of some groups correlated with the way they participate in different social, economic and political domains?

5. What else do we know about these excluded groups? Are we taking into account their aspirations, fears and apprehensions?

# 4. Importance of Open Government Data

Photo credit: UN Photo/ Rick Bajornas

# 4. Importance of Open Government Data

- **Accessible data -> more participation** of vulnerable groups in decision-making to successfully implement SDGs

- **Accessible data -> citizens** can hold governments **accountable**

- **Accessible data -> **stimulates public administration to make more **evidence-based policies**

- **Accessible data -> **stimulates co-creation of innovative public services.

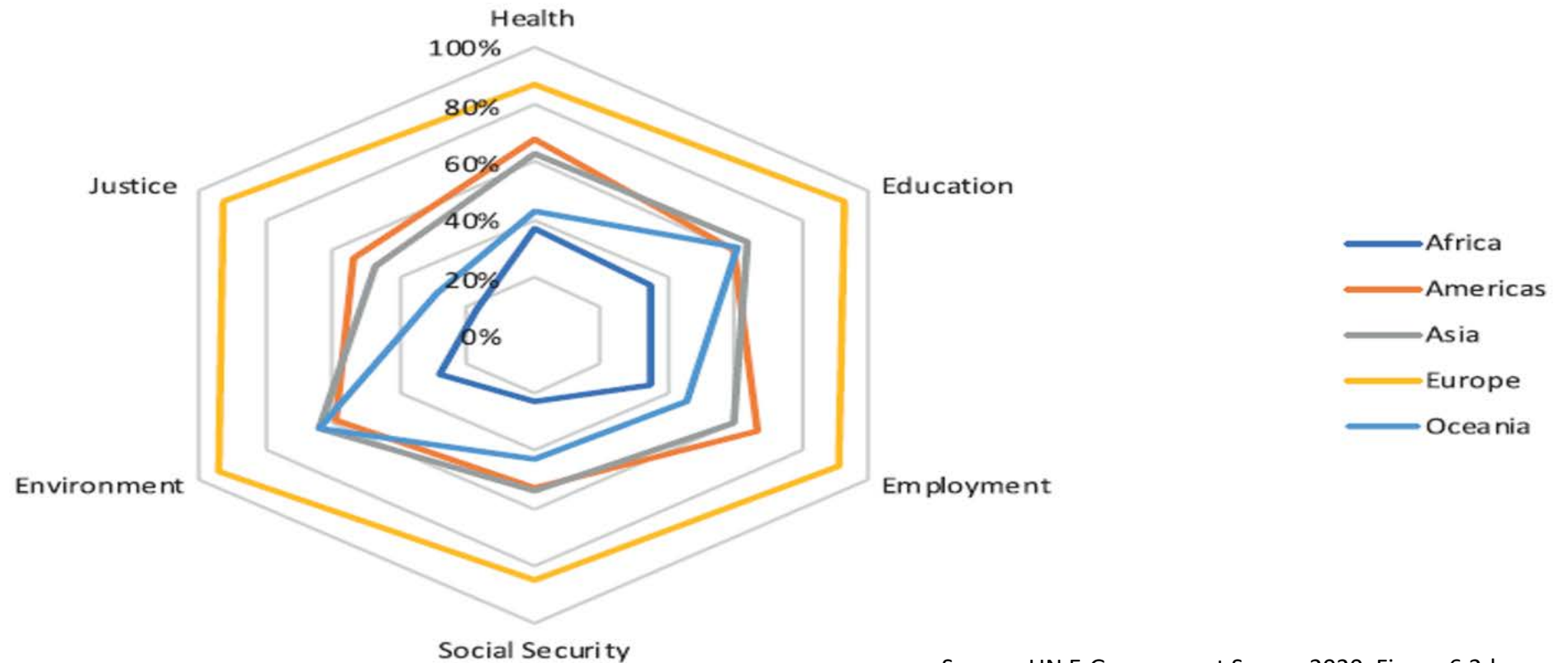# 4. Importance of Open Government Data

- Citizens better understand the *why* and the *how* of decision-making processes

  ➢ Rebuild **trust**

  ➢ Better **acceptance** of policy decisions

  ➢ Enhance **resilience** and **prosperity** of societies

# 4. Importance of Open Government Data
## Open government data (OGD): development trends



Provision of sectoral open government data in regions

# 4. Importance of Open Government Data

**Information sharing for COVID-19 through integrated open government data portal**

The vital need for accurate, useful and up-to-date information provided by governments has been amplified during the COVID-19 pandemic.

A review of the 193 UN Member States national portals showed that as of 25 March 2020, only 57 per cent (110 countries) had put in place some kind of information on COVID-19. The percentage of countries providing such information and guidance reached roughly 86 percent (167 countries) by 8 April 2020. Finally, on 13 May nearly 97.5 percent (188 countries) had information about COVID-19 in their national portals.

UN DESA, Compendium of Digital Government Initiatives
in response to the COVID-19 Pandemic (2020)

SHAREVERIFIED.COM

There has never been a greater need for accurate, verified information

Photo credit: United Nations

# 4. Importance of Open Government Data

**Mobile Age - App Platform Funded by EU for New Services for Older Persons**

- Pilots projects explored issues important to elderly residents in each specific location, and included those related to social inclusion, independent living, urban safety and accessibility, and personal health management.

- In Bremen, Germany, for example, the older adult co-creators provided detailed information, new walking routes, new locations, photos and video clips



MobileAge

Bremen, Germany

Source: https://www.mobile-age.eu

# 4. Importance of Open Government Data

## São Paulo, Brazil – Agents of Open Government

➢ Problem: courses on e.g. open source software, social media communications and mapping technologies were rarely available outside the city centre or only at a prohibitive cost

➢ Platform for peer-to-peer learning

➢ Private citizens with useful skills get support to develop courses for government employees, civil society groups and communities <u>in all corners of São Paulo</u>

➢ 1200 workshops were held in 2016 and over 15,000 people attended courses



CASE STUDY

Agents of Open Government – São Paulo, Brazil
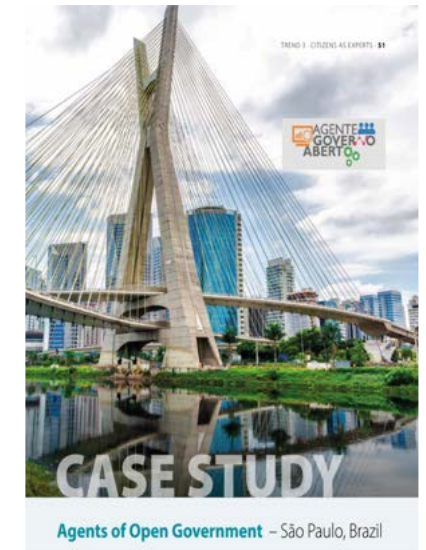
Source: OECD (2016): Embracing Innovation in Government: Global Trends

# 4. Importance of Open Government Data

## Examples from the Asia-Pacific



**Asia-Pacific SDG Gateway**

The Asia-Pacific SDG Gateway is a window to data and analysis at regional, subregional and country levels on SDG statistics for Asia and the Pacific. It includes:

- Regional SDG progress assessment
- Country SDG profiles
- Country comparison charts
- Data availability by SDG indicator
- SDG investment trends and needs

**SDG Gateway Data Explorer**

Explore more than 1000 datasets on the SDG and other thematic development indicators for Asia-Pacific.

Source: https://data.unescap.org/home

# 4. Importance of Open Government Data

## Examples from the Asia-Pacific: SDG Partnership Data



**SDG Progress**

Assess progress on SDGs at goal (Snapshot), target (Dashboard), and indicators (Progress Gap) for the Asia-Pacific region and subregions.

**Country SDG Profiles**

Access data and visualizations on SDG indicators for countries in Asia and the Pacific.
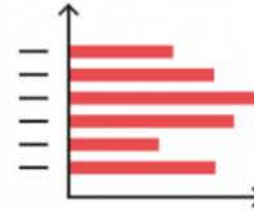
**Country Comparison**

Compare the latest data of the countries in Asia-Pacific by SDG indicator.

**SDG Data Availability**

Find out how many SDG indicators are available in the Asia-Pacific region.

Source: https://data.unescap.org/home

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# 4. Importance of Open Government Data

Example: snapshot on state of implementation per SDG in all Asia-Pacific countries.
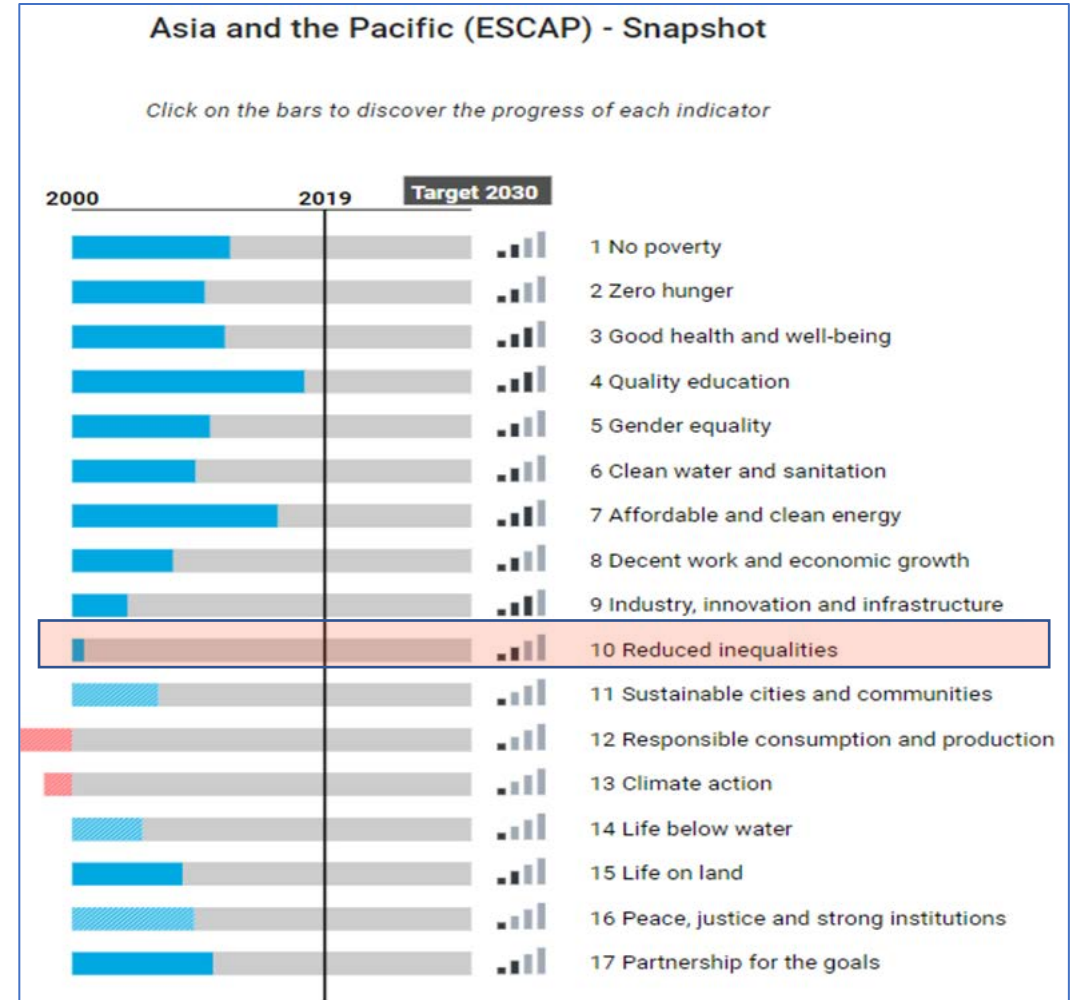
**SDG 10 on reduced inequalities is one of the worst scoring Goals.**

In the next slide, some reasons for this weakness are shown



Asia and the Pacific (ESCAP) - Snapshot

Click on the bars to discover the progress of each indicator
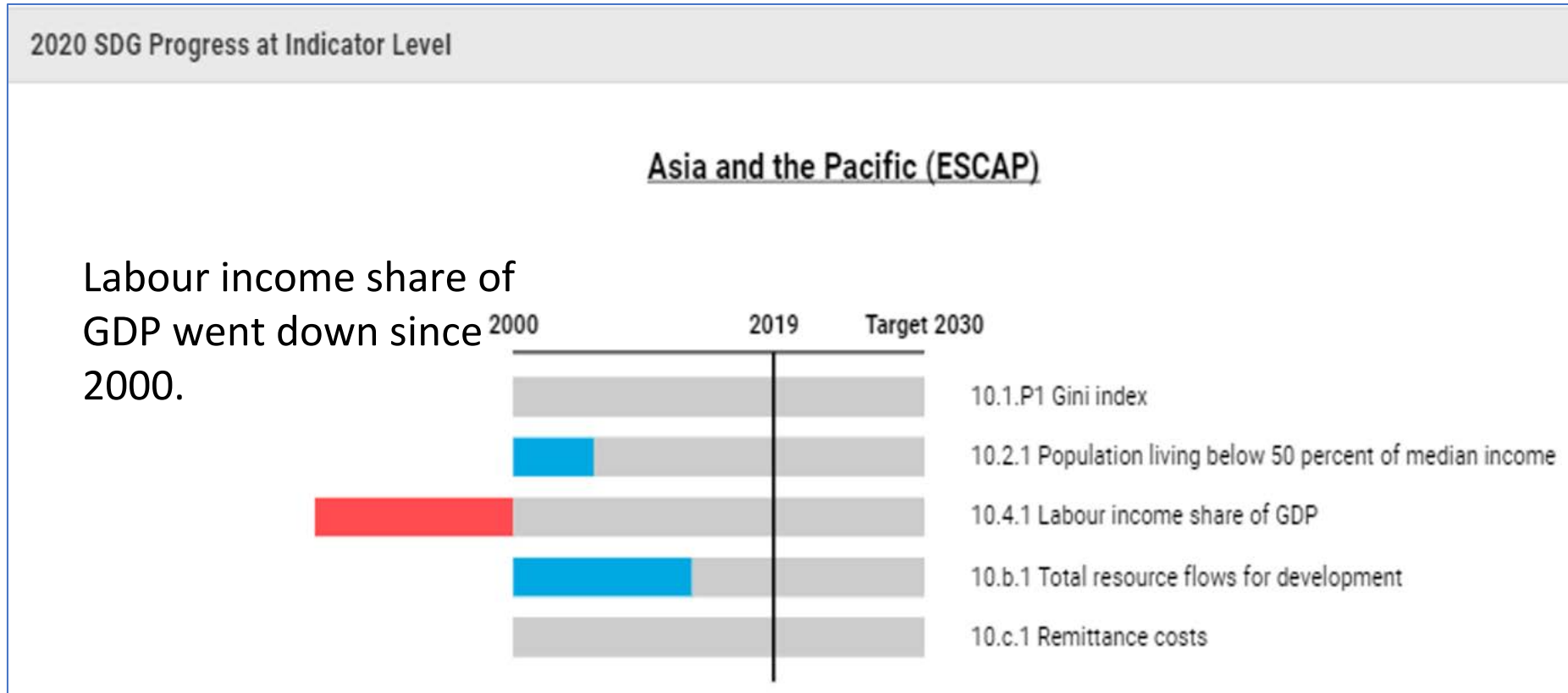
2000    2019    Target 2030
1 No poverty
2 Zero hunger
3 Good health and well-being
4 Quality education
5 Gender equality
6 Clean water and sanitation
7 Affordable and clean energy
8 Decent work and economic growth
9 Industry, innovation and infrastructure
10 Reduced inequalities
11 Sustainable cities and communities
12 Responsible consumption and production
13 Climate action
14 Life below water
15 Life on land
16 Peace, justice and strong institutions
17 Partnership for the goals

Source: https://data.unescap.org/

# 4. Importance of Open Government Data

10 Reduced inequalities

**2020 SDG Progress at Indicator Level**

## Asia and the Pacific (ESCAP)

Labour income share of GDP went down since 2000.

| 2000 | 2019 | Target 2030 | |
|---|---|---|---|
| | | | 10.1.P1 Gini index |
| | | | 10.2.1 Population living below 50 percent of median income |
| | | | 10.4.1 Labour income share of GDP |
| | | | 10.b.1 Total resource flows for development |
| | | | 10.c.1 Remittance costs |

Source: https://data.unescap.org/home

# 5. Oversight Institutions and Accountability Tools

Photo credit: UN Photo/ Manuel Elias

# 5. Oversight Institutions and Accountability Tools

- **Supreme Audit Institutions** (**SAIs**), **Parliaments** and **Open Government Data** (OGD) are important stakeholders in

  ➤ holding governments **accountable**

  ➤ **monitoring** and **evaluating** implementation processes

# 5. Oversight Institutions and Accountability Tools

- **Supreme Audit Institutions** externally

  ➢ **monitor** and **review** actions the government undertakes

  ➢ in most advanced cases, they promote efficiency, accountability, effectiveness and transparency of public administration

- **Parliaments**

  ➢ **monitor**, **review** and **supervises** the **government**

  ➢ often working with SAIs

# 5. Oversight Institutions and Accountability Tools

- **Open Governments Data** oversee

  ➢ **efficiency**, **accountability**, **effectiveness** of governments

  ➢ **the achievement of priorities** and development goals

- Inclusive and innovative follow-up and review processes involving SAIs and OGD show benefits in creating more **transparent** and **accountable public service delivery**

# 6. Requirements for Effective Monitoring and Evaluation

Photo credit: UN Photo/ Rick Bajornas

# 6. Requirements for Effective Monitoring and Evaluation

- **Data collection** & **data management**

  - ➢ Specifically fostered by Agenda 2030

  - ➢ Necessary to improve **better decision-making processes** for vulnerable groups

- Use of **vulnerability assessment methods**

  - ➢ Global and national **quantitative** assessments

  - ➢ Local-level **qualitative** data collection

# 6. Requirements for Effective Monitoring and Evaluation

- Other methods :

  ➢ **Combining following indicators :**

    ▪ Data on exposure and susceptibility to risks

    ▪ Models on secondary and unobservable effects of hazardous situations

# 6. Requirements for Effective Monitoring and Evaluation

## Data & Skills to Monitor Vulnerability

- Relevant data should be **disaggregated** in national contexts

- **Identify** at least:
  - ➤ Income
  - ➤ Gender
  - ➤ Age
  - ➤ Race
  - ➤ Ethnicity
  - ➤ Migratory status
  - ➤ Geographic location
  - ➤ Disability

# 6. Requirements for Effective Monitoring and Evaluation

## Data & Skills to Monitor Vulnerability

- For monitoring and reporting purposes, public officials should have the capacity to use and apply :

  - ➢ Statistical systems

  - ➢ Data collection

  - ➢ Analysis methodologies including open data and big data analytics

  - ➢ Reporting mechanisms

# 6. Requirements for Effective Monitoring and Evaluation

## Data & Skills to Monitor Vulnerability - Capacity Development

- Helpful strategies to improve capacity with regard to data collection and management :

  ➢ **Learning from different countries** with similar challenges and level of development

  ➢ Using **peer-to-peer projects**

- **Challenges**

  ➢ **Accept change** and change mindset in communities, public institutions, and leadership

# 6. Requirements for Effective Monitoring and Evaluation

## Data & Skills to Monitor Vulnerability

- The **collection** and **management** of data on vulnerability

  - ➤ e.g. lack of resilience against environmental, economic, social, political, or digital shocks

- should always be interpreted in a **comprehensive and systemic approach**

  - ➤ not done in silos!

# Group Work

## Group Work

**Quiz & Discussion**

🕐 30'

- Monitoring & evaluation are key to ensure

  ➢ Smart and transparent decision-making process

  ➢ ….. ?

  ➢ ….. ?

  ➢ ….. ?

  ➢ ….. ?

# Quiz & Discussion

- What happens if Governments do not have/ are not able to collect enough data?

- What are disaggregated data?

# Quiz & Discussion

- What kind of information should disaggregate data entail?

  ➢ **Income**

  ➢ …. ?

  ➢ …. ?

  ➢ …. ?

  ➢ …. ?

  ➢ …. ?

# Quiz & Discussion

- For monitoring and reporting purposes, civil servants should have the capacity to use or apply... (**select 3** of the following skills)

  - ➢ Statistical systems
  - ➢ Macroeconomic analysis
  - ➢ Excel use
  - ➢ Data collection
  - ➢ Analysis methodologies
  - ➢ Abstract reasoning
  - ➢ Reporting mechanisms
  - ➢ Emotional intelligence

# Quiz & Discussion

- What are the challenges related to monitoring and evaluation?

  ➢ Lack of disaggregated data

  ➢ … ?

  ➢ … ?

  ➢ … ?

  ➢ … ?

## Quiz & Discussion

- Which are the 3 Institutions that may oversee monitoring and evaluation exercises?

- What are their major tasks?

# Background Materials

| Key Readings | |
|---|---|
| | • Eurostat, *Monitoring social inclusion in Europe - 2017 Edition*, Edited by Anthony B. Atkinson, Anne-Catherine Guio and Eric Marlier. https://ec.europa.eu/eurostat/documents/3217494/8031566/KS-05-14-075-EN-N.pdf/c3a33007-6cf2-4d86-9b9e-d39fd3e5420c?t=1495095453000<br>• Hendriks, M. (2018), Netherlands Court of Audit, Intosai Journal, *Engaging Citizens in SDG Monitoring Through Available, Accessible Data*, http://intosaijournal.org/engaging-citizens-sdg-monitoring-available-accessible-data/<br>• UNESCAP and IAP2, *Stakeholder Engagement Planning and Assessment Tool for the 2030 Agenda* http://sdghelpdesk.unescap.org/node/1264<br>• UN DESA (2019), *Achieving the Sustainable Development Goals through Effective Delivery of Services, Innovative Transformation & Accountable Institutions*, Workshop 6, Presentation, Baku. http://www.unpog.org/page/sub3_1_view.asp?sn=323&page=5&search=&SearchString=&BoardID=0002<br>• World Bank (2018), *Social Inclusion Assessment Tool (SIAT)*, http://pubdocs.worldbank.org/en/478071540591164260/SiAT-Logo-web.pdf<br>• World Bank (2020), *Disability-Inclusive Disaster Recovery*, https://documents.worldbank.org/en/publication/documents-reports/documentdetail/265011593616893420/disability-inclusive-disaster-recovery<br>• World Bank (2020), *Inclusion Matters in Africa*, https://openknowledge.worldbank.org/bitstream/handle/10986/32528/IM-Africa.pdf?sequence=12<br>• ADB (2018), *Statistical Capacity Development for Social Inclusion and Gender Equality: Technical Assistance Completion Report*, https://www.adb.org/projects/46194-001/main<br>• European Commission (2015), *Portfolio of EU social indicators for the monitoring of progress towards the EU objectives for social protection and social Inclusion*, BlobServlet |

# End of Module 14

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