Training Toolkit on Effective National to Local Public Governance for SDG Implementation
Effective, Accountable and Inclusive Institutions

Module 2.1
Learning Outcomes

1. Learn the concept of effective institutions
2. Identify the need of effective Institutions for SDGs implementation
3. Understanding why effective institutions is vital for SDG implementation
4. Identify approaches to effective institution building
5. 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
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.
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”

Institutional principles encapsulated in SDG 16 targets

- **TARGET 16·5**: Substantially reduce corruption and bribery
- **TARGET 16·6**: Develop effective, accountable and transparent institutions
- **TARGET 16·7**: Ensure responsive, inclusive and representative decision-making
- **TARGET 16·10**: Ensure public access to information and protect fundamental freedoms
- **TARGET 16·13**: Promote and enforce non-discriminatory laws and policies
## II. Features of Effective, Accountable and Inclusive Institutions for the Achievement of the 2030 Agenda

1. Collaborate on implementation of policies coherently
2. Remain agile and responsive to dramatic changes
3. Give primacy to human rights including equality and non-discrimination
4. Base reform processes on inclusive political dialogue
5. Participation in decision-making
6. Make parliaments an integral part of national efforts
7. Target access to effective, fair, responsive, independent, transparent and accountable justice institutions
8. Maintain action on preventing corruption
9. Have open data platforms
10. Have effective budget process (such as Participatory Budgeting)
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

Strengthen the capacity of local officials to monitor budgets

Created platforms for citizen engagement

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

Application of technocratic, “one-size-fits-all” approaches

Complex political-economy challenges

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
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.
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.

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.

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.

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.
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

**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
Module 2.1: Effective, Accountable and Inclusive Institutions

A holistic approach to digital government transformation and capacity development

1. Context & Situation Analysis
   - Assess legal and governance frameworks
   - Assess beliefs, values, and attitudes
   - Examples of Capacity Development Tools: Star profiling for situation analysis through participatory workshops

2. Future Envisioning
   - Develop a vision of sustainable development and the role of digital government and a comprehensive mission statement
   - Examples of Capacity Development Tools: Participatory multistakeholder visioning workshops

3. Digital Government Transformation Strategy & Roadmap
   - Vision guides the strategy
   - POLITICAL COMMITMENT
   - TRANSFORMATIONAL LEADERSHIP
   - ENGAGING PEOPLE

4. Implementation
   - Priority Setting & Action Planning
     - Leadership and changing mindsets at all government levels and across all sectors
     - Institutional and regulatory framework
     - Organizational set-up and culture
     - Systems thinking and integrated approaches
     - ICT Infrastructure, affordability and access to technologies
     - Mobilizing Resources and aligning them with priorities
     - Capacity of capacity developers
   - Monitoring and Evaluation
     - Accountability, monitoring and evaluation
     - Two-way communication through multiple inclusive channels
     - Public trust and Legitimacy

5. Source: UN E-Government Survey 2020

6. Effective, accountable, and inclusive public service delivery for SDG implementation

United Nations Department of Economic and Social Affairs

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### Module 2.1: Effective, Accountable and Inclusive Institutions

#### 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
References


• World Bank (2002). Building Institutions: Complement, Innovate, Connect, and Compete
Thank you!