Training Toolkit on Effective National to Local Public Governance for SDG Implementation
Vertical Integration for Policy Coherence
Module 3.2: Vertical Integration for Policy Coherence

Contents

I. Policy Coherence for Sustainable Development
II. Vertical Policy Integration for the 2030 Agenda
III. Approaches for Vertical Integration
IV. Tools for Vertical Integration in SDG implementation
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Activity
Key Takeaways
Learning Outcomes

1. Understand the concept and relevance of policy coherence
2. Reflect on the building blocks of an institutional system for policy coherence
3. Learn vertical integration across levels of government at the planning stage
4. Learn the tools for vertical integration in SDG implementation
I. Policy Coherence for Sustainable Development

Pursue policy coherence and an enabling environment for sustainable development at all levels and by all actors.

Effectiveness

Competence

Sound policymaking

Collaboration

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.
I. Policy Coherence for Sustainable Development

- Policy coherence in the 2030 Agenda requires bringing in sustainability considerations more systematically in policy-making
- Policy coherence provides a useful lens to inform policy-making
- Enhancing policy coherence will entail looking at the whole policy-making process
- Strengthening institutions for more integrated solutions

"Number of countries with mechanisms in place to enhance policy coherence for sustainable development"
I. Policy Coherence for Sustainable development (cont.)

1. Means of implementation
   - Develop mutually reinforcing policies
   - Address policy synergies and trade-offs

Source: UN DESA
I. Policy Coherence for Sustainable development (cont.)

Five levels emphasizing **vertical coherence** and **horizontal coherence**
## How to assess synergies and trade-offs

### INDIVISIBLE

The strongest form of positive interaction in which one objective directly creates conditions that lead to the achievement of another objective. Reduction of air pollution (12.4) is indivisible from improved health and reducing non-communicable diseases (3.4).

<table>
<thead>
<tr>
<th>+3</th>
<th>+2</th>
<th>+1</th>
<th>0</th>
<th>-1</th>
<th>-2</th>
<th>-3</th>
</tr>
</thead>
</table>

### REINFORCING

One objective directly creates conditions that lead to the achievement of another objective. Increasing economic benefits from sustainable marine resources use (14.7) reinforces the creation of decent jobs and small enterprise, e.g., tourism (8.5 and 8.9).

### ENABLING

The pursuit of one objective enables the achievement of another objective. Developing infrastructure for transport (6.1) enables participation of women in the work force and in political life (5.5).

### CONSISTENT

A neutral relationship where one objective does not significantly impact another objective. Developing infrastructure for transport (6.1) enables women's participation in the work force and in political life (5.5).

### CONSTRAINTING

A mild form of negative interaction when the pursuit of one objective sets a condition or a constraint on the achievement of another. Ensuring access to safe, nutritious and sufficient food can counteract sustainable water withdrawals (6.4) and reduction of chemicals releases (12.4).

### COUNTERACTING

The most negative interaction is where progress in one goal makes it impossible to reach another goal and possibly leads to a deteriorating state of the second. A choice has to be made between the two. Developing infrastructure (6.1) could be cancelling the reduction of deforestation of natural habitats in terrestrial ecosystems (15.1).

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**Outdoor and indoor air pollution** is responsible for 7 million deaths annually, as well as respiratory and cardiovascular disease but also increases in perinatal deaths. In 2012, ambient (outdoor) air pollution was responsible for 3 million deaths, representing 5.4% of the total deaths. Worldwide, ambient air pollution is estimated to cause about 25% of the lung cancer deaths. Major urban centers in low and middle-income countries are the most exposed to this burden. (WHO, 2010).

Sustainable and diversified strategies for using the marine resource base open up opportunities for small enterprises in fisheries or other harvesting and associated value addition activities, as well as activities related to tourism. Many SIDS and LDCs that are rich in these resources also have poor, vulnerable and marginalized coastal communities.

Affordable public transport promotes social inclusion, more equal access to different parts of the city, and enabling employment for marginalized groups. In many places, women do not have access to a car and depend on public transport, walking or bicycling to get around, to work places and to social or political activities (NCE, 2011; GSDR, 2016).

There is no significant interaction between the two targets.

Establishing protection areas in the coastal zone and expanding urbanization, infrastructure or transport risks spatial competition especially in densely populated areas. Integrated coastal zone management and marine spatial planning tools are readily available to mitigate spatial competition.

Increasing productivity in agriculture is a necessary (but not sufficient) condition to improve food security. In many places, this might entail increased and/or better irrigation as well as increased use of agro-chemical inputs.

In underdeveloped regions, developing roads, dams, and power grids might be a high priority, although it will cause some unavoidable fragmentation of habitats and compromising the integrity of the natural ecosystem, leading to risks to biodiversity as well as social risks.

Example of policy coherence: Identifying interactions among SDGs and targets

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.
Module 3.2: Vertical Integration for Policy Coherence

I. Policy Coherence for Sustainable development (cont.)

Source: Curran et al., 2018
I. Policy Coherence for Sustainable development (cont.)

Institutional Readiness Assessment for Policy Coherence

- Monitoring, reporting & evaluation
- Stakeholder Engagement
- Multi-level governance
- Leadership, HR & changing mindsets
- Digital technology and data governance
- Organizational structures
- System thinking & policy linkages
- Financing
- Political commitment

Module 3.2: Vertical Integration for Policy Coherence
I. Policy Coherence for Sustainable development (cont.)

Module 3.2: Vertical Integration for Policy Coherence

Building Blocks of Policy Coherence for Sustainable Development

- Strengthen monitoring, reporting and evaluation systems to collect evidence on the impacts of policies and report progress on PCSD
- Build a strong political commitment and leadership at the highest level to foster whole-of-government action for PCSD
- Define, implement and communicate a strategic long-term vision that supports PCSD
- Improve policy integration to capitalise on synergies and benefits across economic, social and environmental policy areas
- Ensure whole-of-government co-ordination to resolve divergences between sectoral priorities and policies
- Analyse and assess policy impacts to inform decision-making and avoid negative effects on the sustainable development prospects of other countries
- Engage stakeholders effectively to sustain broader support for PCSD
- Involve regional and local authorities to align priorities, ensure co-ordinated actions and enhance coherence across levels of government

Source: OECD (2017), Policy coherence for sustainable development 2017
Activity: Brainstorming

- Think of your country and working environment!
- Spontaneously think about what you consider the strengths and weaknesses of this context for moving towards policy coherence!
- Write on post-its
  - Strengths
  - Weaknesses
II. Vertical Policy Integration for the 2030 Agenda

The realization of the SDGs requires the coordination of actions of different levels of government.

SDG Goals and targets that involve sub-national authorities

- All targets

Source: WPSR 2018
II. Vertical Policy Integration for the 2030 Agenda (Cont.)

Vertical policy integration
mechanisms that deal with the challenge of coordinating and integrating sustainable development strategies and policies across different levels of governance (WPSR, 2018).

Successful vertical integration requires multi-level governance

Horizontal policy integration

- Integrated policy analysis
- Coordinated institutional mechanisms
- Integrated modelling

Multi-level governance is expected to contribute to the effective localization of the SDGs
II. Vertical Policy Integration for the 2030 Agenda (Cont.)

Potential benefits of vertical integration

- Promote a shared vision and commitment to sustainable development across levels
- Foster synergies and enhanced consistency across levels of government
- Critical complement to horizontal policy integration
- Reduce implementation risks
- Brings an opportunity for political dialogue
### Challenges to vertical integration

<table>
<thead>
<tr>
<th>Gap between the abstract and universal nature of SDGs</th>
<th>Local constraints in terms of resources</th>
</tr>
</thead>
<tbody>
<tr>
<td>Local governments’ lack of awareness of SDGs</td>
<td>Silo approaches</td>
</tr>
<tr>
<td>Differences between national government and local governments</td>
<td>Fragmentation and duplication can dissipate resources</td>
</tr>
<tr>
<td>Institutional weaknesses/ poor management mechanisms</td>
<td>Multiple stakeholders</td>
</tr>
<tr>
<td>Weak or perverse incentives for local governments</td>
<td>Unclear or lack of mandate to act</td>
</tr>
<tr>
<td>Unequal distribution of costs and benefits across levels of governance</td>
<td>Different organizational contexts and timescales</td>
</tr>
</tbody>
</table>
II. Vertical Policy Integration for the 2030 Agenda (Cont.)

Various mechanisms available for creating vertical policy coherence, integration and partnerships

1. Institutional coordinating mechanisms
2. Multi-stakeholder consultative bodies and forums
3. Local Agenda 21s and networks
4. Monitoring and review at the local level
5. Impact assessment processes
6. Integrated modelling
III. Approaches for Vertical Integration

- Leadership for vertical integration
- Vertical integration through laws and regulations
- Vertical integration at the planning stage
- Vertical integration in the implementation of the SDGs
- Vertical integration in monitoring, evaluation, follow-up and review
- Vertical integration through oversight and audit
III. Approaches for Vertical Integration (Cont.)

Vertical integration at the planning stage

Planning is frequently the stage of the policy-making cycle that is more clearly identified with government functions.

National governments can issue guidelines or templates that local governments can use to integrate the SDGs and align their own plans, policies and budgets.

At the sector level, national governments can use policy frameworks to advance policy integration in specific SDG areas.

National governments can promote vertical integration by assessing the alignment of subnational strategies, plans and policies with the SDGs.
III. Approaches for Vertical Integration (Cont.)

**Vertical integration at the planning stage**

Alignment of subnational strategies and policies to the SDG

- **Baseline diagnosis of the socioeconomic and environmental context**
- **Local or regional priorities**
- **Shared and consistent targets across levels of government.**
- **Coherence with SDG-based national (and regional) plans.**
- **Strategic projects**

- **Budget and financial strategies.**
- **Implementation timeline**
- **Cooperative governance mechanisms**
- **Monitoring and assessment tools, including a set of local and regional indicators aligned with the indicators established in the 2030 Agenda**
III. Approaches for Vertical Integration (Cont.)

Multi-level mechanisms of coordination and collaboration

It can be varied as the national institutional contexts in which they are adopted

Two relevant distinctions
• whether the structures themselves have decision-making powers or are merely advisory bodies
• whether local government participation is by invitation and for ad-hoc consultation, or involves actual membership in the coordination or collaboration structures

• One model is inviting or integrating representatives of local governments into national structures
• One model is inviting or integrating representatives of local governments into national structures for coordination and policy formulation

• Most effective to promote vertical integration, providing for both multi-level coordination and proper localization of SDG goals
III. Approaches for Vertical Integration (Cont.)

Multi-level mechanisms of coordination and collaboration

Source: WPSR 2018
### IV. Tools for Vertical Integration in SDG implementation

<table>
<thead>
<tr>
<th>Leadership</th>
<th>Laws &amp; regulations</th>
<th>Planning</th>
<th>Implementation</th>
<th>Monitoring</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Recognition of the importance of LGs and vertical integration</td>
<td>National laws or regulations that acknowledge, mandate or enable the participation of LGs in planning and implementation of the 2030 Agenda</td>
<td>• Guidelines or templates to support LGs’ planning processes</td>
<td>• Financing/budget support for localization</td>
<td>• Sharing of experiences and good practices</td>
</tr>
<tr>
<td>• Outreach and awareness campaigns intended for LGs on SDGs</td>
<td></td>
<td>• Learning activities intended to share and incorporate inputs on SDGs from LGs (workshops, seminars, forums, dialogues, online activities)</td>
<td>• Capacity building for localization</td>
<td>• Monitoring or reporting SDG implementation at subnational level</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Assessments of subnational alignment</td>
<td>• National policies (urban, climate, water, transportation, etc.) that mainstream SDGs across levels</td>
<td>• Building capacity for subnational monitoring</td>
</tr>
</tbody>
</table>

**Actions**, driven by the national government for assistance or implementation by LGs, including both soft (e.g. learning) and hard (e.g. guidance) approaches

**Source**: WPSR 2018
### IV. Tools for Vertical Integration in SDG implementation (Cont.)

<table>
<thead>
<tr>
<th>Leadership</th>
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<th>Planning</th>
<th>Implementation</th>
<th>Monitoring</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Declarations and high-level events that signal political commitment to implement SDGs</td>
<td>Subnational legislation to facilitate the adoption of SDGs in strategies, plans and policies</td>
<td>LGs adopt a SDG strategy or align their strategies and plans with the SDGs</td>
<td>• Alignment of LGs’ financial plans with SDGs or national SDG policies</td>
<td>• Sharing of experiences and good practices</td>
</tr>
<tr>
<td>• Outreach and awareness raising campaigns and events on SDGs for LGs, communities and their stakeholders</td>
<td></td>
<td></td>
<td>• Training/capacity building in LGs</td>
<td>• Alignment of LGs’ indicators to SDGs’ frameworks</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>• Policy tools (action plans, institutional, regulatory, etc.)</td>
<td>• LGs’ mechanisms for reporting and data collection</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>• Auditing</td>
</tr>
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Bottom-up actions adopted by LGs to advance SDGs with potential of adoption by central government and integration into national policies

Source: WPSR 2018
### IV. Tools for Vertical Integration in SDG implementation (Cont.)

<table>
<thead>
<tr>
<th>Multi-level</th>
<th>Leadership</th>
<th>Laws &amp; regulations</th>
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<th>Monitoring</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Involvement of LGs in high-level events to signal commitment</td>
<td>Elaboration of global and international guidelines and training materials to support local and regional government involvement in SDG delivery</td>
<td>• Involvement of LGs in national structures for coordination in formulation of national policies</td>
<td>• Involvement of LGs in structures for coordination in implementation</td>
<td>• Workshops to share information and practices</td>
</tr>
<tr>
<td></td>
<td>• Adoption of agreements with LGs for implementation</td>
<td></td>
<td>• Multi-level mechanisms for communication and/or coordination in national policy formulation</td>
<td>• Structures for multi-level coordination in implementation</td>
<td>• Involving LGs in monitoring structures</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Non-institutionalized/ad-hoc multi-level communication and/or coordination processes</td>
<td></td>
<td>• Ensuring consistency of SDG indicators across levels</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>• 2-way learning activities intended to give or receive inputs for/from LGs (workshops, seminars, forums, dialogues, online activities)</td>
<td></td>
<td>• Coordinated auditing across levels of government</td>
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<td>• Multi-level accountability frameworks</td>
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</tbody>
</table>

Mechanisms that incorporate the active participation of multiple (national, regional, local) levels of government. Shared spaces or processes across levels of government.

Source: WPSR 2018
V. Vertical Alignment and Horizontal Integration of Government

Source: OECD/ILC, 2011.
VI. Readiness Assessment on Institutional Arrangements for Policy Coherence to Implement the 2030 Agenda for Sustainable Development
VII. Key Takeaways

1. Policy Coherence SD is an approach and policy tool to integrate the economic, social, environmental and governance dimensions of sustainable development at all stages of domestic and international policy making.

2. Vertical integration can contribute to sustainable development by promoting a shared vision and commitment among different levels of governments.

3. Coordination and integration across levels of government at the planning stage are fundamental for the attainment of the SDGs.


5. Some of the most ambitious and promising tools for vertical integration at the planning stage are multi-level mechanisms of coordination and collaboration.

6. Improving the policy coherence between national and local levels of government (vertically) and co-ordination across different ministries (horizontally) can realize the SDGs effectively.

7. Appropriate level of vertical integration and the role played by local governments in promoting sustainable development have to be contextually determined in accordance to the nature of each government system and the extent to which specific functions are local responsibilities, among other factors.
To learn more about Policy Coherence, please access the following toolkit

Institutional Arrangements and Governance
Capacities for Policy Coherence

UN DESA | DPIDG
Training of Trainers | English

Access the Toolkit
References

• Amb. Csaba Kőrösi, PR of Hungary to UN: “From SDGs to Post-2015 Agenda” at the OECD in Paris on October 7th, 2014.


Thank you