Integrated Policy Formulation and Support for the SDGs

Theory, Challenges and Experiences

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More complex world for policy integration

• Increasing **calls for greater policy integration**

• Wide variety of policies have **unexpected (often unwanted) consequences** - environmental & social consequences (or externalities)

• Decision-making facing increasing complexity due to **trends**, eg
  - Globalisation
  - Greater centralisation of decision-making
  - Fragmentation & decentralisation of decision-making

• **Increased number of actors** involved in the policy process
  - Emergence of the information society
  - Greater emphasis on public participation
  - Increasing role of NGOs, pressure groups & agencies in the decision-making process
Relation between co-ordination and integrated policy-making

- Interaction
- Interdependence
- Formality
- Resources needed
- Loss of autonomy
- Comprehensiveness
- Accessibility
- Compatibility (between sectors)

Integrated policy-making

- Requires more interaction, accessibility, compatibility.
- Leads to more inter-dependence

Coordination

(Joint decisions / actions & joint outcomes)

Cooperation

(work together to establish own goals)

Joint new policy

Adjusted + more efficient sectoral policies

More efficient sectoral policies
# Cooperation

<table>
<thead>
<tr>
<th>FACILITATORS of organisational cooperation</th>
<th>INHIBITORS of organisational cooperation</th>
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<tbody>
<tr>
<td>Perceived need</td>
<td>Vested interest</td>
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<td>Positive attitudes</td>
<td>Perceived threat or competition</td>
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<tr>
<td>Consensus between administrators and staff</td>
<td>Disparities in staff training</td>
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<tr>
<td>Maintenance of organisational and paradigm identity</td>
<td>Perceived loss of organisational and programme identity</td>
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<td>Maintenance of prestige or power</td>
<td>Perceived loss of prestige or authority</td>
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<td>Group-centred approach to problems</td>
<td>Inter-professional and intra-professional differences</td>
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<td>Similar resources, goals or needs</td>
<td>Lack of a common language</td>
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<td>Common commitment</td>
<td>Different priorities, ideologies, outlooks or goals</td>
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<td>Common definitions, ideologies, interests or approaches</td>
<td>Differing organisational-leader-professional socialisation</td>
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<td>Good historical relations</td>
<td>Poor historical relations or image formation</td>
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Adapted from Halpert (1982)
Levels of integration

- **Micro level integration:**
  
  *eg Impact assessment and other forms of appraisal*

  of the effects and consequences of development options, proposals or actions, particularly those undertaken by government and industry;

- **Meso level integration:**

  *eg Strategic planning (including regional and land use planning) and policy mechanisms*

  that address directions and measures to achieve sustainable development at all levels of decision making;

- **Macro level integration:**

  *eg Accounting-type frameworks*

  that evaluate progress toward or away from sustainability at the level of society, countries or sectors of activity; and thus inform macro policy-making.
Key steps for integration of SDGs

No one size fits all. But 3 useful steps:

1. **Review of existing strategies and plans** and identification of areas for change
2. **Setting of nationally-relevant targets**: for nationally-adapted and inclusive SDGs that are achievable, yet ambitious;
3. **Formulation of strategy and plans** using integrated systems thinking

Source: UN 2016  
https://sustainabledevelopment.un.org/
**Policy Matrix:** Legislative & Policy Framework – Nepal forestry

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<td>Local Self-Governance Act, 1999</td>
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<td>Master Plan for the Forestry Sector, 1989</td>
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<td>Mines and Minerals Act, 1985</td>
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<td>National Parks and Wildlife Conservation Act 1973</td>
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<td>Public Road Act, 1974</td>
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<td>Revised Forestry Sector Policy, 2000</td>
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<td>Nepal Biodiversity Strategy, 2002</td>
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<td>Water Resources Strategy, 2002</td>
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**Legend:**
- O- Overlaps
- C- direct contraction
- N- neutral
What is integrated policy formulation?

• **Horizontal sectoral integration** (between different departments and/or professions in public authorities).

• **Vertical inter-governmental integration** in policy-making (between different tiers of government);

• Combinations of both.

Integration of cross-cutting issues can **transcend the boundaries of established policy fields** - which often do not correspond to the institutional responsibilities of individual departments.
### Vertical and horizontal integration

<table>
<thead>
<tr>
<th>NPC</th>
<th>Sector ministries</th>
<th>Regional / district government</th>
<th>Academia, NGOs</th>
<th>Private sector</th>
<th>Civil society</th>
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<td>Regional, eg, SADC</td>
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<td>National</td>
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<td>Provinces, regions</td>
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<td>Local</td>
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<td>Household</td>
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<td>Marginal groups</td>
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Knowing who needs to be involved

Sustainable development triad
CHOOSING APPROPRIATE APPROACHES/TOOLS

INFORMATION

- Economic & financial assessment
  - CBA, green accounting

- Impact assessment & strategic analysis
  - EIA, SEA, SoE, Natural Step

- Spatial assessment
  - LUP, poverty mapping

- Monitoring & evaluation
  - Indicators, audits, SD reporting

- Modelling
- Policy analysis
  - Stakeholder, institutional, governance mapping

DELIBERATIVE & ENGAGEMENT

- Participation & citizens’ action
  - PLA, citizens’ juries

- Political analysis & action
  - Discourse-shaping, coalition-forming, manifestos, commissions

- Conflict management
  - Dispute resolution, arbitration

PLANNING & ORGANISING

- Legal tools
  - Public interest litigation, rights regime

- Visioning
  - Scenarios

- Management planning & control
  - QMS/EMS, ISO, risk assessment, threshold analysis
Understanding sustainable development to select appropriate approaches & tools

Local
National
Global

F Full integration
P Partial integration

Integration where possible
Trade-offs where not possible

Social objectives
Economic objectives
Environmental objectives

Boundary Factors:
- Politics
- Cultural values
- Peace & security
- Institutional & administrative arrangements
Increasing integration of environmental, social and economic considerations
Challenge of analytical tools to achieve integration

‘Languages’ of pillars don’t talk to each other

Some measured
• No. people with disease or children in school

Others are cultural / societal values

Monetary units
• $

Some measured

Measured units
• ppm pollutants
• Ha forest lost
• Tons soil eroded

Cannot put these into an equation / computer and resolve.

Ultimately involves choices & trade-offs

‘POLITICAL’ PROCESS
Dashboard of sustainability
The Botswana experience
Botswana’s commitments to integrating SD

- Vision 2036
- Thrust to integrate SD at core of NDP11 and DDP8 and UDP4 (since 2015)
- Domesticating the SDGs to national and local contexts
- Integrating SD across sectors & thematic areas
- NDP11 makes SD its overarching goal and principle
- Recognition of remaining gaps
- UNDP support programme for integrating SD in policy-making and planning (2015-2016)
Thematic working groups (TWGs)

- Economy & employment
- Social upliftment
- Sustainable environment
- Governance, safety & security

Priority Sectors of Growth and Development
- Mining
- Agriculture
- Tourism
- Energy
- Water

Vision strategy

Sustainability appraisal

Output 1: Sector Advisory Notes
Output 2: SEA scoping for key PPPs

TWG chapter formulations & district planning

NDP 11 process
### SD Assessment Tool - 1

**Synergies, antagonisms and gaps in NDP11 – in the context of SD**

Answer questions for each major activity envisaged under Theme  
Score on scale 1-5 (low – high)  
Weight score to reflect importance of questions

<table>
<thead>
<tr>
<th>KEY CONSIDERATIONS/ISSUES FOR EACH PRIORITY</th>
<th>INFLUENCE</th>
<th>COMMENTS (on influence and its significance)</th>
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</thead>
<tbody>
<tr>
<td>ECONOMY AND EMPLOYMENT</td>
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<tr>
<td>1. Does it create potential to develop alternative sources of economic growth and promote diversification</td>
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<td>2. Will it contribute to GDP (after considering full cost accounting)</td>
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</table>
| 3. Will it create employment – primarily for Batswana  
   - Generate decent direct/indirect jobs (decent means: fair conditions, reasonable pay and hours, social security, opportunity for growth, etc.);  
   - Generate significant multiplier effects;  
   - Provide opportunities for entrepreneurship |           |                                           |
| 4. Will it help to earn forex |           |                                           |
| 5. Will it contribute to inclusive (equitable) economic growth |           |                                           |
| 6. Does it have potential to encourage investment, technology transfer and innovation |           |                                           |
| 7. Will it contribute to poverty reduction |           |                                           |
| SOCIAL UPLIFTMENT                          |           |                                           |
| 8. Will it contribute to diversified livelihood options |           |                                           |
| 9. Will it lead to social disruption (eg resettlement) |           |                                           |
| 10. Will it impact on health (including in workplace), HIV/AIDS, life expectancy, and health service delivery |           |                                           |
| 11. Will it contribute to development of skills, improve education, and create opportunities for training |           |                                           |
| 12. Will it generate opportunities for employment (particularly for youth and local people) and entrepreneurship |           |                                           |
|                                           | +VE       | -VE                                       |
## SD Assessment Tool - 2
Synergies, antagonisms and gaps in NDP11 – in the context of SD

<table>
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<th>KEY CONSIDERATIONS/ISSUES FOR EACH PRIORITY</th>
<th>INFLUENCE</th>
<th>COMMENTS (on influence and its significance)</th>
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<tbody>
<tr>
<td>ENVIRONMENT</td>
<td>+VE</td>
<td>-VE</td>
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<tr>
<td>13. Will it help reduce or rationalise demand for water (especially from surface or groundwater sources); or will it generate potential to enhance water security</td>
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<td>14. Will it result in pollution (of air, water or land)</td>
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<td>15. Will it improve land management and help control soil erosion, deforestation, overgrazing and other forms of land degradation?</td>
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<tr>
<td>16. Will it help improve or protect important habitats/ecosystems or biodiversity, and secure/enhance the services they provide to people and the environment</td>
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<td>17. Will it support suitability/resilience with respect to climate variability/change</td>
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<tr>
<td>18. Will it lead to reduction in Botswana’s carbon footprint</td>
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<tr>
<td>19. Will it enhance food, water or energy security</td>
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<tr>
<td>GOVERNANCE, SAFETY AND SECURITY</td>
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<td>20. Will it reduce crime and conflicts, or increase safety and security</td>
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<tr>
<td>21. Will it enhance equality and improve Botswana’s GINI coefficient (measures the degree of inequality in the distribution of family income in a country)</td>
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<td>22. Will it enhance intergenerational equity</td>
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<td>23. Will it improve public participation in decision-making and a sense of community</td>
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<td>24. Will it keep future development options open (or will it lead to development lock-in?)</td>
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