Capacity Building Webinar "Developing institutional capacities in digital transformation for a more inclusive and equitable recovery" - 14-15 December 2020

Session 1: Digital Transformation during COVID-19 in public institutions

The 11 Principles of Effective Governance for Sustainable Development as guidance for digital transformation

Dr. Louis Meuleman

Member & Vice chair UN Committee of Experts on Public Administration (CEPA)

14 December 2020

CONTEXT MATTERS
We live in turbulent times with massive challenges at all levels of government

COVID-19 has suddenly required governments to become (more):

- Knowledgeable
- Resourced and capable
- Effective
- Creative
- Agile
- Integrated (whole of government)
- Inclusive (whole of society)
- Using social media

- Local
- Trusted
- Transparent
- Accountable
- Risk-informed
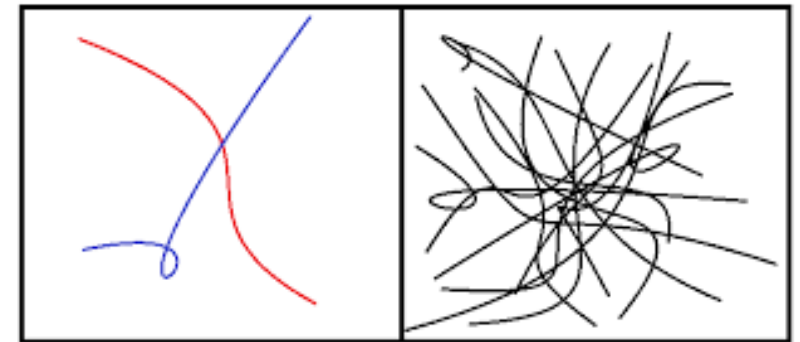- **Digital**
- Innovative
- Forward-looking

✓ The pandemic has turned around the decades of <u>undervaluing the public sector</u> -> this is an opportunity

✓ The pandemic also restored some of the <u>trust in and authority of science</u>

1. We should look at **various approaches** to promote digital tools in the context of COVD-19, because **there is no one-size-fits-all solution**

2. This also means that **we cannot copy "best practices" but peer learning** between countries can be an important accelerator to deal more effectively with digitalization for COVID-19

3. A global pandemic is a '**wicked problem**' -> it requires **different management responses** than simple or complicated problems -> this has probably also consequences for digitalisation

4. **More data / Big data** is not the solution for 'wicked problems'

Traditional Problem   **Wicked Problem**

water bed sale!

COMPLETE!
$79.95

undercurrents

SUSTAINABLE DEVELOPMENT GOAL 16

Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels

SUSTAINABLE DEVELOPMENT GOAL 17

Strengthen the means of implementation and revitalize the global partnership for sustainable development

Principles of effective governance for sustainable development

Principles of Effective Governance for Sustainable Development

Effectiveness
» Competence
» Sound policymaking
» Collaboration

Accountability
» Integrity
» Transparency
» Independent oversight

Inclusiveness
» Leaving no one behind
» Non-discrimination
» Participation
» Subsidiarity
» Intergenerational equity

SUSTAINABLE DEVELOPMENT GOALS

- • 11 Principles of effective governance for sustainable development

- • Proposed by the *UN Committee of Experts on Public Administration (CEPA)*

- • Endorsed by *UN ECOSOC Council* in July 2018

➢ **The 5 Inclusiveness principles are often the weakest part**

https://publicadministration.un.org/en/Intergovernmental-Support/CEPA/Principles-of-Effective-Governance

The first three principles focus on **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

Commonly used strategies to operationalize this principle include:
- promotion of a professional public sector workforce
- strategic human resources management
- leadership development and training of civil servants
- performance management
- results-based management
- financial management and control,
- efficient and fair revenue administration and
- **investment in e-government**.

= *Relevant for digital gov for Covid-19*

Principle 2

Sound policymaking

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

Commonly used strategies include
- strategic planning and foresight,
- regulatory impact analysis,
- promotion of coherent policymaking,
- strengthening national statistical systems,
- monitoring and evaluation systems,
- science-policy interface,
- risk management frameworks and
- data sharing.

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Principle 3

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

Commonly used strategies include
- centre of government coordination under the Head of State or Government
- collaboration, coordination, integration and dialogue across levels of government and functional areas
- raising awareness of the Sustainable Development Goals,
- network-based governance and
- multi-stakeholder partnerships.

Example: **partnerships** with ICT businesses, other private sector organisations, and civil society organisations for innovative solutions

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Three more principles address accountability

Photo: © UNICEF/UN063424/Schermbrucker

Integrity

Principle 4

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**

Commonly used strategies include
- the promotion of anti-corruption policies, practices and bodies,
- codes of conduct for public officials,
- competitive *(and sustainable)* public procurement,
- elimination of bribery and trading in influence
- conflict of interest policies
- whistle-blower protection and
- provision of adequate remuneration and equitable pay scales for public servants.

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Principle 5

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

Commonly used strategies include

- proactive disclosure of information,
- budget transparency,
- open government data,
- registries of beneficial ownership and
- lobby registries.

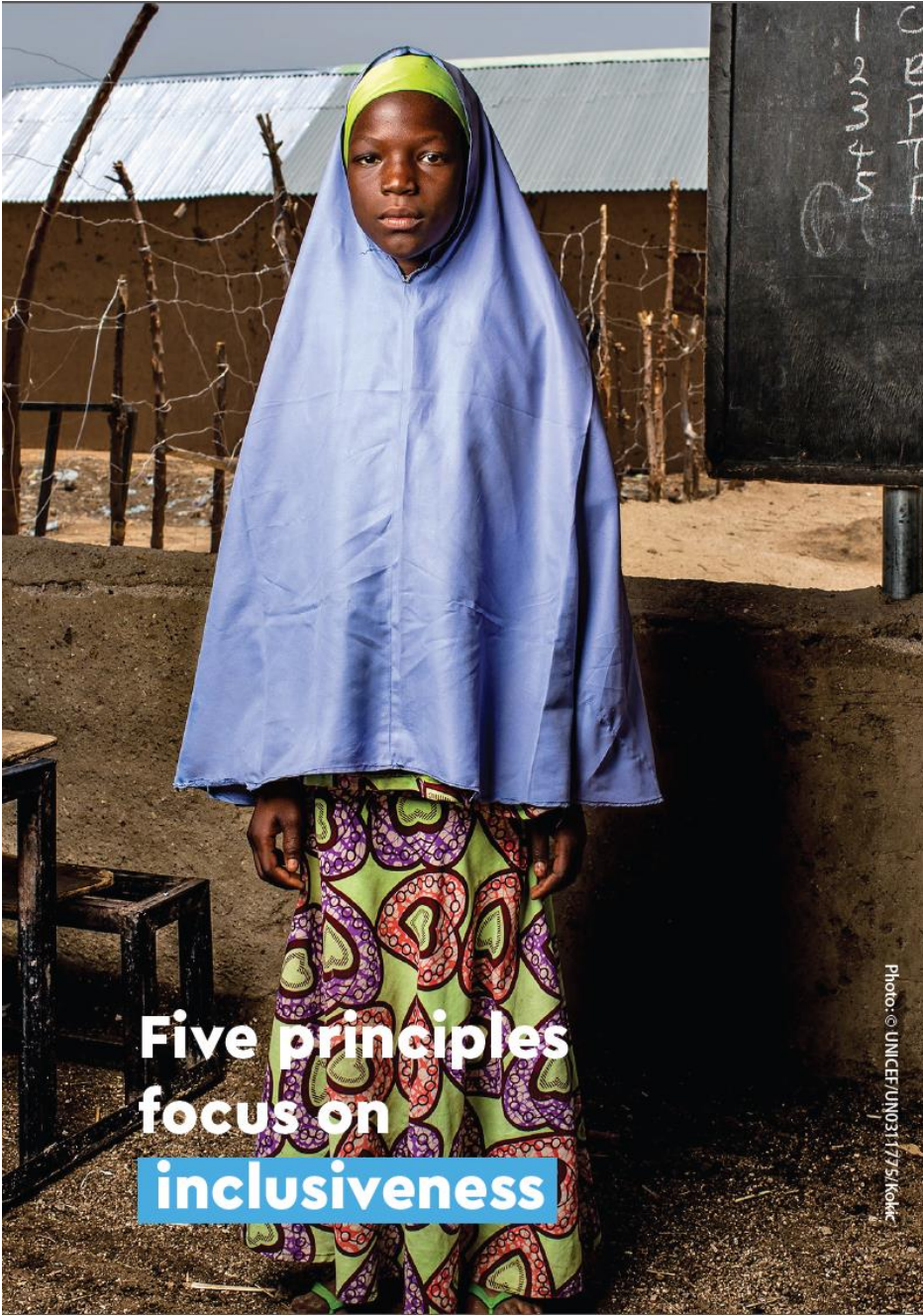= *Relevant for digital gov for Covid-19*

Principle 6

Independent oversight

To retain trust in government, **oversight agencies are to act according to strictly professional considerations** and apart from and unaffected by others

Commonly used strategies include
- promotion of the independence of regulatory agencies,
- arrangements for review of administrative decisions by courts or other bodies,
- <mark>independent audit and</mark>
- <mark>respect for legality.</mark>

<mark>　　　</mark> = *Relevant for digital gov for Covid-19*

Leaving no one behind

To ensure that all human beings can fulfil their potential in dignity and equality, **public policies are to take into account the needs and aspirations of all segments of society**, including the **poorest and most vulnerable** and those subject to discrimination

Commonly used strategies include

- the promotion of equitable fiscal and monetary policy,
- promotion of social equity (= active commitment to fairness, justice, and equality)
- data disaggregation, and
- systematic follow-up and review.

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Five principles focus on inclusiveness

Photo: © UNICEF/UN031775/Kokic

Principle 8

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 as to race, colour, sex, language, religion, political or other opinion, national or social origin, property, birth, disability or other status**

Commonly used strategies include
- the promotion of public sector workforce diversity,
- prohibition of discrimination in public service delivery,
- multilingual service delivery,
- accessibility standards,
- cultural audit of institutions,
- universal birth registration and
- gender-responsive budgeting

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Principle 9

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**

Commonly used strategies include
- free and fair elections, regulatory process of public consultation,
- multi-stakeholder forums,
- participatory budgeting and
- community-driven development

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Principle 10

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**

Commonly used strategies include

- fiscal federalism,
- strengthening urban governance,
- strengthening municipal finance and local finance systems,
- enhancement of local capacity for prevention, adaptation and mitigation of external shocks
- multilevel governance.

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Principle 11

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

Commonly used strategies include
- sustainable development impact assessment,
- long-term public debt management,
- long-term territorial planning and spatial development
- ecosystem management

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How **can the principles be of benefit?**

The principles are designed to:

1. **Help interested countries, on a voluntary basis, build effective, accountable and inclusive institutions at all levels**, with a view to achieving the 2030 Agenda
2. **Support countries in operationalizing the institutional aspects of SDG 16** through concrete strategies
3. **Promote mainstreaming of effective governance in SDG implementation** and development plans and programmes at all levels

4. **Engage the relevant United Nations organizations, regional organizations and professional and academic communities**, in an inclusive manner, together with all relevant stakeholders
5. **Bring together proven standards and operational guidelines in all areas of public sector institution-building** relevant to SDG implementation
6. **Provide a baseline for policymaking while strengthening evidence-based and action-oriented implementation** of and follow-up to the 2030 Agenda

The principles need operationalization to guide the design and use of technological solutions needed for the digital transformation

1. We should not make digitalization a new *silo*: integration and a holistic view is key for the SDGs

2. We have to develop *institutional replies* to the *risks and costs* (also social costs, e.g. digital divide, data security, cybercrime, privacy)

3. Digitalization is not only about better government *services*, but also to improve *other public tasks*, e.g. protection of citizens, maintaining rule of law

4. Digitalization is more than technology: government & governance are in the first place *political*, not technical -> *oversight & accountability* also matter for digitalization.

5. Capacities, skills and resources for digital government and governance should be a *political priority & fully integrated with all other policies to address and recover from Covid-19*

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COVID-19

DESA | Division For Public Institutions and Digital Government

Thank you for your attention

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