Implementation of the 2030 Agenda for SD at the EU and national level

Designing effective governance architectures and strategic framework

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ESDN Conference 2015 – Background and Discussion Paper



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Introduction

This conference discussion paper provides background information for the ESDN Conference 2015, entitled "Implementation of the 2030 Agenda for Sustainable Development at the EU and national level: Designing effective governance architectures and strategic frameworks". Just recently, the United Nations adopted the '2030 Agenda for Sustainable Development', together with a set of Sustainable Development Goals (SDGs) and targets.

The main aim of the ESDN Conference 2015 is, therefore, to discuss how the 2030 Agenda and SDGs will be taken up and implemented at the EU and national level in Europe, which governance architecture and strategic frameworks need to be set up, and how the different stakeholder groups will be involved in the implementation process.

The conference will comprise five sessions:

- Session 1: The 2030 Agenda for Sustainable Development and its implementation in Europe
- Session 2: The role of different actors in the 2030 Agenda implementation process
- Session 3: Governance architecture and strategic frameworks for 2030 Agenda implementation at the European level
- Session 4: Governance architecture and strategic frameworks for 2030 Agenda implementation at the national level
- Session 5: Challenges and opportunities for concrete actions at the EU, national and transnational level to implement the 2030 Agenda

The conference discussion paper has the following structure: chapter 1 will put the SDGs into historical context by providing a review of the conferences and international agreements that have led up to the 2030 Agenda. Chapter 2 will then describe the concept of 'Governance for Sustainable Development' and present a taxonomy of 'governance for SD' principles developed as guideline for the reader to understand how governance structures and processes can support and facilitate this new impetus towards a more sustainable future. Chapter 3 will then investigate how the principles of 'Governance for Sustainable Development' are taken up in the new 2030 Agenda architecture at the international level with a closer look at the sustainable development goals (SDGs). It will also describe very briefly the current situation in Europe and EU Member States in terms of 'governance for SD'.

A full documentation of the keynotes, discussions and group work at the conference will be published as ESDN Conference Proceedings shortly after the event.

1 The 2030 Agenda for SD: From Rio+20 to UNGA70

Chapter 1 puts the SDGs into historical context by providing a review of the conferences and international agreements that have led up to the 2030 Agenda for Sustainable Development.

1.1 The 2030 Agenda: latest developments and the SDGs

The United Nations Sustainable Development Summit, which took place from 25-27 September 2015, formally adopted the 2030 Agenda for Sustainable Development. This Summit was convened as a high-level plenary meeting of the 70th UN General Assembly (UNGA). Previous to this event, the Outcome Document, "Transforming our world: the 2030 Agenda for Sustainable Development", was agreed upon by consensus on 2 August 2015 after months of intergovernmental negotiations, which were convened from January to August 2015. The adopted 2030 Agenda contains 17 Sustainable Development Goals (SDGs), accompanied by 169 targets.





































1.2 The road from Rio+20

The 2030 Agenda, the SDGs and targets are the result of over two years of intensive public consultation and engagement with civil society and other stakeholders around the world. The process with the aim of developing a set of SDGs has been initiated in the Rio+20 Outcome Document. Several work streams were established in the form of "an inclusive and transparent intergovernmental process" (paragraph 248 of the Rio+20 Outcome Document): (i) Open Working Group of the General Assembly on Sustainable Development Goals (OWG); (ii) High-Level Panel of Eminent Persons on the Post-2015 UN Development Agenda; (iii) UN System Task Team on the Post-2015 UN Development Agenda; (iv) National, global and thematic consultations; (v) Regional consultations; (vi) Sustainable Development Solutions Network (SDSN); (vii) UN Global Compact. The main work stream has been the formation of a 30-member Open Working Group (OWG). After thirteen rounds of meetings and negotiations, which took place between September 2013 and July

2014, the OWG presented its proposal for the SDGs. This 'zero draft' was presented in its final report to the UNGA by September 2014¹.

1.3 The 2030 Agenda Outcome Document

The adopted Outcome Document "<u>Transforming our world: the 2030 agenda for sustainable development</u>" is presented in the form of a '<u>Declaration</u>', preceded by a '<u>Preamble</u>', in which the main intentions are shortly outlined, together with the main areas of critical importance for humanity and the planet. We provide an overview² of the Outcome Document in following pages as a guide to help the reader to orientate himself in the text and its almost 15,000 words. The Declaration contains **91 paragraphs**, divided into **14 sections**.

Introduction (§1-6)

In the <u>Introduction</u>, paragraph 2 conveys one of the main messages that can be drawn from the reading of the whole Outcome Document: it's a **sense of urgency** and a **need for a transformation towards sustainable development**. For instance, it is argued that "we have adopted a **historic decision** on a comprehensive, far-reaching and people-centred set of universal and transformative Goals and targets". However, it is paragraph 5 that appears to be the most significant: it actually comprises several key points and messages that are then deepened and reflected throughout the whole Outcome Document. Few key messages are visible: (1) a **sense of urgency** and **need for transformation**; (2) the **global and universal nature** of the agenda and of the goals and targets to be applicable to all countries; (3) the **need to take into account different national realities**, capacities and levels of development and respect national policies and priorities; (4) the search for **integration** among all goals and targets that need to be seen as one and **indivisible**; and, (5) the intention to make sure that the **three dimensions of sustainable development are balanced**, where not a single one of them is too prevailing over the others.

Our vision (§7-9)

In this section, the Declaration sets out "a supremely ambitious and transformational vision" for the world in the years to come. Sustainable development principles are envisaged in an aspirational way, where the three dimensions of SD — economic development, social equity and environmental protection — are explored in their many facets and where eradication of poverty and hunger take centre stage as in the whole Outcome Document. Two key messages appear particularly worth mentioning in paragraph 9 that closes this section: First, a 'governance for SD' dimension is put forward at a very early stage in the Outcome Document; secondly, a recurrent message throughout the whole document that strives for a "sustained, inclusive and sustainable economic growth" seems at least controversial, if not contradictory of a sustainable development: sustained economic growth has been criticised from many parties in the last 40 years³ as actually being unfavourable for

³ To cite only a few, see for instance all discussions connected to the Limits to Growth arguments by Meadows et al., the Ecological Economics debates that recognise how the economy is embedded in nature, and how economic processes are actually biological, physical, and chemical processes and transformations; the Steady State Economics by Herman Daly; the Degrowth arguments and movement; Peter Victor's Managing without Growth; Tim Jackson's Prosperity without Growth; etc.)



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¹ http://www.fao.org/post-2015-mdg/background/en/

² Please note that the ESDN Office has added emphasis to the quotes from the Outcome Document throughout this report to highlight key messages

continuous human well-being and, thus undermine many efforts towards a more comprehensive sustainable development.

Our shared principles and commitments (§10-13)

The third section reaffirms previous principles (i.e. Universal Declaration of Human Rights, Rio Declaration on Environment and Development), commitments (i.e. Millennium Declaration) and previous conferences and summits (i.e. United Nations Conference on Sustainable Development known as Rio+20). The need for a "*new approach*" is again highlighted and a definition of SD, where all its features are connected and interdependent, is provided in paragraph 13.

Our World Today (§14-17)

In this section, after a description of the critical challenges of our time, paragraph 16 and, especially, paragraph 17 are key sections of the Outcome Document, as they relate the 2030 Agenda to the Millennium Development Goals. For instance, paragraph 16 ends with these words: "The new Agenda builds on the Millennium Development Goals and seeks to complete what these did not achieve, particularly in reaching the most vulnerable". In this regard, paragraph 17 is even more crucial as it affirms that the scope of the new Agenda goes far beyond the MDGs especially recognising all the links, deep interconnections and cross-cutting elements across the SDGs and targets that form a new integrated approach.

The New Agenda (§18-38)

This section is quite extensive as it covers not only 21 paragraphs (§18-38), but also treats many priorities, principles and areas of the 2030 Agenda, such as, i.e.: gender equality (§20); ending poverty (§24); etc.

Without going into too much detail, we want to highlight several key points that should be kept in mind: First, the new integrated approach and indivisibility of the SDGs and targets is again highlighted. Second, a timeline for the SDGs and targets is provided as they "will come into effect on 1 January 2016 and will guide the decisions we take over the next fifteen years". Third, the issue of sovereignty is, again, strongly underlined in paragraphs 21 and 22. Here we see a crucial link with the well-known principle of common but differentiated responsibilities (principle 7 of the Rio Declaration on Environment and Development): §21 affirms for instance that the implementation of the Agenda will be "taking into account different national realities, capacities and levels of development and respecting national policies and priorities", and "will respect national policy space (...) while remaining consistent with relevant international rules and commitments". §22 also points out how "each country faces specific challenges in its pursuit of sustainable development (...)." Fourth, three linkages with other crucial processes at the UN level are outlined. These linkages are very important, because they will be considered in the context of the 2030 Agenda implementation: on Climate change: paragraphs 31 and 32 link the 2030 Agenda to the processes at UN level, led by the UNFCCC, and seen as "the primary international, intergovernmental forum for negotiating the global response to climate change" and directly refers to the COP21 conference in Paris in December 2015 by underscoring "the commitment of all States to work for an ambitious and universal climate agreement". On Biodiversity: paragraph 33 looks forward to COP13 of the Convention on Biological Diversity (in Mexico in 2016) and admits that "social and economic development depends on the sustainable management of our planet's natural resources". On Sustainable Urban Development and Management: paragraph 34 links the 2030 Agenda to the

United Nations Conference on Housing and Sustainable Urban Development in 2016 in Quito, Ecuador (known also as UN-Habitat III).

Means of Implementation (§39-46)

This section affirms several important messages, especially in terms of **implementation**, **governance and financing**. With respect to **implementation**, a key role is given to the concept and practice of a **Global Partnership**. A crucial link is drawn with the Third International Conference on Financing for Development, held in Addis Ababa from 13-16 July 2015: §40 welcomes the endorsement by the UN General Assembly of the so-called "**Addis Ababa Action Agenda**", which is seen as an integral part of the 2030 Agenda for Sustainable Development. Mobilisation of financial resources, public finance – both domestic and international – and international financial institutions are considered crucial to support the implementation of the Agenda, especially with respect to developing countries. Additionally, a strong point is made towards capacity building and transfer of environmentally sound technologies to developing countries. With respect to **governance**, an essential role is firstly given to **national parliaments** (§45) but it also recognised that "each country has a **primary responsibility** for its own economic and social development"

Follow-up and Review (§47-48)

The two paragraphs in this section deal with **follow-up and review mechanisms**, and responsibility is given to national governments. An important role at the global level with regards to overseeing these mechanisms is assigned to the High Level Political Forum under the auspices of the General Assembly and to the Economic and Social Council. Indicators are, therefore, mentioned and being developed that will assist this work, as well as the development of broader measures of progress that would complement gross domestic product (GDP).

A call for action to change our world (§49-53)

This section is probably where the sense of urgency we described above is most visible, such as in paragraph 50 and 53.

Sustainable Development Goals and targets (§54-59)

This section contains six paragraphs describing common features of the SDGs and targets, and includes the actual **17 SDGs and 169 targets** agreed by an inclusive process of intergovernmental negotiations and based on the Proposal of the Open Working Group on Sustainable Development Goals⁴. In this context, the most illuminating of these paragraphs is §55 that comprises several key characteristics and messages. It affirms that the SDGs and targets are: (i) **Integrated and indivisible**, (ii) **Global in nature and universally applicable**, (iii) **Taking into account different national realities, capacities and levels of development**, and (iv) **Respecting national policies and priorities**.

Means of implementation and the Global Partnership (§60-71)

This section, with its 12 paragraphs (§60-71), deepens and expands what is said in the above analysed declaration's section on the means of implementation. In this context, a very strong call is made towards "nationally owned sustainable development strategies" that will need to be supported by "integrated national financing frameworks": NSDSs will be, therefore, "at the heart of our efforts" as §63 affirms. It also highlights the importance to "pursuing policy coherence and an

⁴ Contained in A 68/970 'Report of the Open Working Group of the General Assembly on Sustainable Development Goals' (see also A 68/970 Add. 1).



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enabling environment for sustainable development at all levels and by all actors, and **to** reinvigorating the global partnership for sustainable development".

Follow-up and review at the different levels (§72-91)

This last section comprises the last 20 paragraphs and focuses again on those follow-up and review processes that will be crucial for the functioning and implementation of the new 2030 Agenda. In this context, §74 describes thoroughly the principles that will guide such processes. Also particularly relevant is §75 as it describes the development and use of a global indicator set that will monitor the SDGs and related targets. Such a global indicators framework will be: (i) developed by the Inter Agency and Expert Group on SDG Indicators; (ii) agreed by the UN Statistical Commission by March 2016, and (iii) adopted thereafter by the Economic and Social Council and the General Assembly. Another key paragraph is §77 as it commits to "fully engage in conducting regular and inclusive reviews of progress at sub-national, national, regional and global levels". In this regard, already-existing networks of follow-up and review institutions and mechanisms are seen as crucial.

On the <u>national level</u>, §78 encourages "all member states to develop as soon as practicable ambitious national responses to the overall implementation of this Agenda. These can support the transition to the SDGs and build on existing planning instruments, such as national development and sustainable development strategies, as appropriate". At the <u>regional level</u>, §80 sees such processes as "useful opportunities for peer learning, including through voluntary reviews, sharing of best practices and discussion on shared targets" and welcomes "cooperation of regional and subregional commissions and organizations". At the <u>global level</u>, §82-90 describe the roles and functions of the main actors involved in this respect. It is worth noticing that the UN High-Level Political Forum (HLPF) will have a "central role in overseeing a network of follow-up and review processes at the global level, working coherently with the General Assembly, ECOSOC and other relevant organs and forums".

Also important is the establishment of an **Annual SDG Progress Report** (see §83) that will inform the HLPF and will be prepared by the Secretary-General in cooperation with UN System, based on the global indicator framework and data produced by national statistical systems and information collected at the regional level.

2 Governance for SD: concepts, approaches and principles

Chapter 2 describes the concept of 'Governance for Sustainable Development' and presents a taxonomy of 'governance for SD' principles developed as guideline for the reader to understand how governance structures and processes can support and facilitate this new impetus towards a more sustainable future.

2.1 Governance for SD: introducing the concept

'Sustainable development' and 'governance' are two complex but ultimately interrelated concepts. Therefore, this section first briefly outlines what is meant by 'governance for SD', and in order to make 'governance for SD' more concrete and relate it to practical policy-making, we use a fourprinciple taxonomy in which we describe the rationale and key characteristics behind each principle of governance for SD. In short, 'governance for SD' encompasses the steering requirements and mechanisms that enable the formulation of concerted and adaptive policies that foster the cooperation of diverse actors in delivering sustainable development. 'Governance for SD' is a normative concept that focusses on steering policy towards achieving the objectives of sustainable development. As clearly indicated by the word 'for' it is prescriptive of steering requirements, in terms of processes and cooperation between different actors, that are needed to pursue this normative and continuously evolving objective. Meadowcroft (2007) defines 'governance for SD' as the "processes of socio-political governance oriented towards the attainment of sustainable development. It encompasses public debate, political decision-making, policy formation and implementation, and complex interactions among public authorities, private business and civil society – in so far as these relate to steering societal development along more sustainable lines"⁵.

2.1.1 Challenges for 'Governance for SD'

'Governance for SD' faces clear challenges inherent in the complexity of the sustainable development concept⁶. Setting short-term goals to reach the overarching objectives of sustainable socio-economic relationships requires a clear understanding of complex causal relationships and systemic processes that is often lacking. Moreover, environmental problems linked to unsustainable socio-economic relations highlight the difficulty to overcome collective action problems, path dependence and technological lock-in⁷. The holistic approach taken by sustainable development in focussing on social, economic and environmental concerns further increases the complexity of trade-offs between different objectives. Meadowcroft (2007), for instance, calls for an interactive / reflective form of governance and suggests that, in order to address these challenges, a continuous re-evaluation of what constitutes sustainable development and how this could be achieved needs to take place. This puts emphasis on the importance of reflexivity and learning, participation of different stakeholders, and horizontal and vertical integration. The challenges for 'governance for SD' discussed previously indicate that promoting sustainable development will require coordination between different political levels, policy areas and a multitude of stakeholders in the formulation of

⁷ Meadowcroft, J; Langhelle, O and Rudd, A (2012) Governance, Democracy and Sustainable Development: Moving Beyond the Impasse, Edward Elgar Publsishing Limited: Cheltenham, p6-7



⁵ Meadowcroft, J. (2007b) Who is in Charge here? Governance for Sustainable Development in a Complex World, Journal of Environmental Policy and Planning, 9/3-4, pp. 299-314:299

 $^{^6}$ For more information on how this plays out in Agenda 21 see Bomberg, E., Bressers, H. T. A., Fernandez, S. A., Jorgens, H., Lundqvist, L. J., Meadowcroft, J., & O'Toole Jr, L. J. (2006). Governance for sustainable development: the challenge of adapting form to function. W. M. Lafferty (Ed.). Edward Elgar Publishing.

objectives, policies and implementation efforts. The development and implementation of SD related policies take place in a **multi-actor**, **multi-level and multi-sector** context that has to be addressed through governance for SD⁸. Furthermore, the nature of the sustainable development concept calls for great attention to the continuous **learning and adaption** of policies and need for political commitment to pursue long-term goal in an active and adaptive manner⁹. In order to conceptualize which governance characteristics will be especially critical to the promotion of sustainable development, this paper develops on a **taxonomy of four 'governance for SD principles'** explained in more detail below.

Fig.2.1. Taxonomy of governance for SD principles

Governance for SD principles	Rationale	Operationalization of principle
LONG-TERM PRINCIPLE	Governance for SD calls for long-term visioning and respective short-term action to pursue intra- and intergenerational equity	Long-term strategies that incorporate intra- and intergenerational impacts; and short-term policies and targets to manage short-term necessities without compromising the long-term vision
INTEGRATION PRINCIPLE	Governance for SD calls for coordination and integration of economic, social and environmental policies across and between different levels of governance	Mechanisms of vertical integration that promote policy integration across multiple political-administrative levels, coordination between EU, national and sub-national activities Mechanisms of horizontal integration that support and foster policy integration between the different ministries and administrative bodies on the respective political level for the delivery of SD policies Integration of the three dimensions of sustainable development: social equity, economic development and environment protection
PARTICIPATION PRINCIPLE	Governance for SD calls for the incorporation of stakeholders into the decision-making process	Participatory arrangements of different stakeholders, such as civil society organizations, business, academia, etc. in the policy-making process in order to integrate different types of knowledges
REFLEXIVITY PRINCIPLE	Governance for SD calls for reflexive processes based on continuous reflection and policy learning cycles	Effective indicators and monitoring systems and practices Effective evaluation and review practices that enable continuous and adaptive learning

http://www.asef.org/images/docs/ASEM%20Outlook%202015%20Vol%20II.pdf

Niestroy, I. (2014b): Sustainable Development Goals at the Subnational Level: Roles and good practices for subnational governments. SDplanNet Briefing Note May 2014, available at

http://www.iisd.org/sites/default/files/publications/sdplannet_sub_national_roles.pdf

Meulemann, L & Niestroy, I (2015) 'Common But Differentiated Governance: A Metagovernance Approach to Make the SDGs Work', Sustainability, 7(9)

⁹ Steurer, R. (2010): Sustainable Development as an integrative governance reform agenda: Principles and challenges, in: Steurer, R. & Trattnigg, R. (eds.) (2010): Nachhaltigkeit regieren: Eine Bilanz zu Governance-Prinzipien und –Praktiken [Governing Sustainability: Taking stock of governance principles and practices). München, Oekom, 33-54



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⁸ Niestroy, I. (2014a) 'Governance for Sustainable Development: How to Support the Implementation of SDGs?' in Asia-Europe Foundation (ASEF) (ed): ASEF Outlook Report 2014/2015 – Facts and Perspective. Volume)): Perspective on Sustainable Development, p. 154-168, available at

2.1.2 Governance for SD principles

Long-term principle

Intergenerational justice is inherent to the sustainable development concept, clearly puting a strong emphasis on a **long-term perspective** that takes into account the needs of future generations. Efforts to commit to **short-term actions** to achieve a sustainable long-term vision of intra- and intergenerational equity face inherent uncertainty as well as short-termism fostered by electoral cycles. A system of governance should enable long-term decision-making and commitment to common goals, while opening pathways of flexibility to adapt to changing circumstances. **Governance for SD thus calls for long-term strategies that incorporate intra- and intergenerational issues as well as short-term policies and targets to manage short-term necessities towards that long-term vision.**

Integration principle

The coordination, integration and balancing of economic, social and environmental policies across and between different levels of governance is a central feature of governance for SD. This need for integration of the different dimensions between different institutions at different levels is also clearly stated in the internationally agreed policy documents. Thus, the integration of social, economic and environmental aspects throughout different governing institutions at the international, national, regional and local level is key for achieving sustainable development. This will firstly require mechanisms of vertical integration that promote policy integration across multiple political-administrative and levels and coordination between EU, national and sub-national activities. Secondly, mechanisms of horizontal integration are needed that support and foster policy integration between the different ministries and administrative bodies on the respective levels for delivering SD policies.

Participation principle

The participation of different stakeholders in decision-making processes has been a central principle of sustainable development since the concept emerged. The ambiguity of the SD concept and its goals, and the need to adapt to changing circumstances calls for a constant redefinition and reinterpretation of SD principles. Jordan (2008) argues that in the absence of a "centrally determined blueprint for sustainable development, its practical meaning will necessarily have to emerge out of an interactive process of **societal dialogue and reflection**" Sustainable development thus calls for decision-making that has an adaptive and participatory character to account for changes and uncertainty, harness different types of knowledge, and foster cooperation and shared objectives. Similarly, participation has been a central component of various policy documents. Participatory arrangements of different stakeholders, such as civil society organizations, business, and academia in the policy-making process will thus be a central steering tool to for governance for sustainable development.

Reflexivity principle

Finally, 'governance for SD' calls for reflexive processes based on **continuous reflection and policy learning**. As discussed above, technological, social and environmental changes warrant an adaptive

¹⁰ Jordan, A. (2008) 'The governance of sustainable development: taking stock and looking forwards', Environment and Planning C: Government and Policy, 26:17-33



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process in which policies, strategies and institutional arrangements are evaluated and adapted to effectively address the challenges of a changing environment and to foster innovation¹¹. Establishing effective monitoring, evaluation and review frameworks will be a challenge¹². The ability to foster reflexive processes depends on how much reliable data and evidence is available to assess progress. Analysis will further require knowledge and technical expertise, for instance, in areas such as renewable energy that will constitute a challenge for policy makers. More importantly, we have to face the question of how to establish and sustain a 'learning approach' in our administrations and public authorities, and ingrain an attitude to learn from failures in the organisational culture of our institutions.

¹² For more information please refer to <u>ESDN Quarterly Report 37 The European context for monitoring and reviewing SDGs</u>



¹¹ For more detailed information on transition management see Kemp, R., & Loorbach, D. (2003, November). Governance for sustainability through transition management. In Open Meeting of Human Dimensions of Global Environmental Change Research Community, Montreal, Canada (pp. 16-18).

Geels, F. W. (2011). The multi-level perspective on sustainability transitions: Responses to seven criticisms. Environmental innovation and societal transitions, 1(1), 24-40.

3 Governance for SD architecture at UN, EU and national levels

Chapter 3 investigates how the principles of 'Governance for Sustainable Development' are taken up in the new 2030 Agenda architecture at the international level with a closer look at the sustainable development goals (SDGs). It also describes very briefly the current situation in Europe and EU Member States in terms of 'governance for SD'.

3.1 The UN and the 2030 Agenda

Governance for SD principles have emerged from multiple policy documents of the UN system that together form a proposed 'UN architecture for SD governance'. At this historic moment, the newly adopted Outcome Document for the 2030 Agenda and the Sustainable Development Goals (SDGs) will frame how we address sustainable development in the near future. In this context, the 'Rio+20 Summit' has been followed by the formulation of the Sustainable Development Goals and the accompanying processes of the Third Financing for Development Conference (13-16 July 2015) in Addis Ababa and the COP 21 (7-8 December 2015) in Paris. The Finance for Development Conference resulted in a negotiated outcome which provides "A new global framework for financing sustainable development that aligns all financing flows and policies with economic, social and environmental priorities". This provides guidance on financing mechanisms and reaffirms a strong commitment to the Sustainable Development Goals (SDGs) that in turn lay out holistic vision of promoting sustainable development through different goals and targets.

The recently adopted Outcome Document <u>'Transforming our World: the 2030 Agenda for Sustainable Development'</u> articulates the vision for governing sustainable development through two stand-alone goals related to governance (Goal 16 and 17) and various sub-goals and targets:

- **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;
- **Goal 17**. Strengthen the means of implementation and revitalize the global partnership for sustainable Development.

Goal 16 reaffirms the commitment to 'good governance' in terms of providing 'justice for all' and goes a step further to addressing the 'integration principle' by aiming at 'effective, accountable and inclusive institutions at all levels'. **Goal 17**, on the means of implementation, addresses different governance for SD principles that will be described in more detail below. Moreover, the Outcome Document first reaffirms the commitment to outcomes of previous UN conferences and to the traditional 'good governance' approach; then, it acknowledges that a new, more 'integrated' approach is needed to promote this complex and interrelated agenda building on and broadening the scope of the Millennium Development Goals.

The section below will elaborate how each 'governance *for* SD' principle, identified in chapter 2.2. of this paper, is articulated in the document <u>'Transforming our Word: The 2030 Agenda for Sustainable Development'</u>.

LONG-TERM PRINCIPLE: Governance *for* SD calls for *long-term visioning and short-term action* to pursue *intergenerational equity*

The Outcome Documents clearly refers to the **long-term objective** of fulfilling the needs of future generations. The long-term aim to benefit future generation is a strong theme throughout the whole document. Although the Outcome Document refers to the year 2030, there is a longer-term stance to take into account the development of future generations or the preservation of the planet. However, the goals and their corresponding targets give the impetus for urgent action. The SDGs have the potential of being a framework for reforming and reaffirming national and regional sustainable development strategies and initiating short-term policies to reach the targets set for 2030.

INTEGRATION PRINCIPLE: Governance *for* SD calls for *coordination and integration* of economic, social and environmental policies across and between different levels of governance

The Outcome Document acknowledges that there are "deep interconnections and many cross-cutting elements across the new Goals and targets" (§17) that have to be addressed through an integrated approach. This cross-cutting nature of the SDGs itself highlights the need to exploit synergies and overcome silos between different ministries and departments. This need for greater horizontal integration is addressed in the section 'Policy and institutional coherence' that structures targets 17.13, 17.14, and 17.15: it calls for an effort to enhance "global macroeconomic stability, including through policy coordination and policy coherence" (17.13) and "policy coherence for sustainable development" (17.14). How this will be operationalized will depend on how Member States decide to take up the recommendations and aspirations of the document in their national policies and institutional reforms (see for instance paragraph 55 of the Outcome Document). This strongly suggests that the national governance level will be highly important for framing and carrying out approaches and policies that promote the SDGs. Thus, national sustainable development strategies and policies will play a central role in the implementation process.

The document makes specific reference to the efforts for **implementation and follow-up at the global, regional and national level**. Greater cooperation on the regional level could be a substantial element of implementing the SDGs globally. The **national level will play the most substantial role** in implementation and financing. The document also states that **regional and subregional frameworks can** "facilitate the effective translation of sustainable development policies into concrete action at national level" (§21). This shows that the regional level has a supporting/facilitating function in the formulation of policies and strategies, but that the national level remains the key level of implementation, while action at the regional and international level would focus in the transfer of technologies and best practices. In terms of follow-up and review, national governments also have the 'primary responsibility'. At the regional level, the Outcome Document envisions "voluntary reviews, sharing of best practices and discussion on shared targets". If, how, and with whom national states engage in this manner remains a decision of the different Member States. At the global level, a High Level Political Forum will be tasked with overseeing these national follow-up and review processes as well as with a thematic review of the SDGs.

PARTICIPATION PRINCIPLE: Governance *for* SD calls for the incorporation of *stakeholders* into the decision-making process

The formulation of the SDGs itself was characterized by a particular effort to engage with **different stakeholders** and enhance the process through extensive public consultations. As described in paragraph 6 of the Outcome Document, the current goals and targets are the result of "over two years of intensive public consultation and engagement with civil society and other stakeholders around the world, which paid particular attention to the voices of the poorest and most vulnerable" (§6).

This emphasis on participation is also inherent in the document itself. **Participation** is a central topic in the different SDGs (i.e. SDG 6). Furthermore, the document puts emphasis on **multi-stakeholder partnerships** as a way to engage with and enhance cooperation between different stakeholders (see for instance target 17.16). The rationale for a call to involve different stakeholders is **sharing of knowledge, co-creation of new knowledge and providing adequate finance**. Furthermore, partnerships between different stakeholder groups are also seen as an **effective tool of implementation** and this "public, public-private and civil society partnerships" (17.16) are encouraged. Finally, the document also commits itself to **participation in the follow-up and review process**. Stakeholder participation is thus seen as positive at all stages of the policy process, from the formulation of objectives and policies, to implementation, and monitoring and reviewing.

REFLEXIVITY PRINCIPLE: Governance *for* SD calls for *reflexive processes* based on continuous reflection and policy learning cycles

The Outcome Document also has a detailed section on 'Follow-up and Review' that could be the basis for a reflexive policy learning process. It commits "to engage in systematic follow-up and review of implementation of this Agenda" (§72) and aims to enable the pursuit of a long-term vision, operating on a national, regional and global level, with participation elements. As such, this incorporates the principles of sustainable development, integration and participation discussed above. Furthermore, a global indicator framework will be developed to complement indicators at national and regional level. This global indicator framework will be developed by the Inter Agency and Expert Group on SDG Indicators and will be agreed by the UN Statistical Commission by March 2016 (§75). At the regional and sub-regional levels in particular, there is a great focus on policy learning (e.g. peer learning, voluntary reviews, sharing of best practices and discussion on shared targets).

3.2 The EU's SD governance architecture

In this section, our main intention is to briefly introduce the **current governance architecture** existing in Europe with relation to sustainable development strategy processes and policies. Two major **European policy strategies** are mainly relating to SD: the **renewed EU SDS** (2006) and the **Europe 2020 Strategy** (2010)¹³. Although a new EU Commission has recently started a new cycle, these two strategies still remain the reference governance framework for SD in Europe.

¹³ The next two sections are mainly based on a previous study we undertook in 2011. Please refer to: Pisano, U., G. Berger, A. Endl and M. Sedlacko (2011) Sustainable development governance & policies in the light of major EU policy strategies



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3.2.1 The EU Sustainable Development Strategy (EU SDS)

Renewed and adopted in 2006, the EU Sustainable Development Strategy (EU SDS) sets out objectives and concrete actions for **seven key priority challenges**, mostly for the period until 2010:

- 1. **Climate change and clean energy**: to limit climate change and its costs and negative effects to society and the environment;
- 2. **Sustainable transport**: to ensure that our transport systems meet society's economic, social and environmental needs whilst minimising their undesirable impacts on the economy, society and the environment;
- 3. **Sustainable consumption & production**: to promote sustainable consumption and production patterns;
- 4. **Conservation and management of natural resources**: to improve management and avoid overexploitation of natural resources, recognising the value of ecosystem services;
- 5. **Public Health**: to promote good public health on equal conditions and improve protection against health threats;
- 6. **Social inclusion, demography and migration**: to create a socially inclusive society by taking into account solidarity between and within generations and to secure and increase the quality of life of citizens as a precondition for lasting individual well-being;
- 7. **Global poverty and sustainable development challenges**: to actively promote sustainable development worldwide and ensure that the European Union's internal and external policies are consistent with global sustainable development and its international commitments.

Additionally, the renewed EU SDS includes **two cross-cutting policies** that aim to contribute to the knowledge society: 1) *Education and training*; and, 2) *Research and development*.

In terms of policy steering and governance, the EU SDS of 2006 includes certain key elements. Firstly, it includes 10 policy guiding principles, ranging from open and democratic society, involvement of citizens, policy coherence and governance, policy integration to the precautionary principle (EU SDS, 2006, pp. 4-5). A section on 'better policy making' defines an approach "based on better regulation and on the principle that sustainable development is to be integrated into policymaking at all levels. This requires all levels of government to support, and to cooperate with, each other, taking into account the different institutional settings, cultures and specific circumstances in Member States" (EU SDS, 2006, p. 6). The EU SDS also suggests a range of policy instruments to be applied for successfully reaching its objectives. The strategy mentions: (a) economic instruments should be used to promote market transparency and prices that reflect the real economic, social and environmental costs of products and services (getting prices right); (b) shift taxation from labour to resource and energy consumption and/or pollution; (c) elimination of subsidies that have considerable negative effects on the environment and are incompatible with sustainable development; (d) co-ordinate to achieve synergies with co-financing mechanisms, such as, for instance, cohesion policy and rural development; and (e) mainstreaming sustainable development information, awareness raising, and communication activities and continue (EU SDS, 2006, pp. 24-25).

As for the **implementation and follow-up**, the EU SDS outlined a number of steps (EU SDS, 2006, pp. 26-29): Firstly, *progress report* on EU SDS implementation by the Commission every second year. However, only two such progress reports were published, one in 2007 and one in 2009. Only the first



one included reports on achievements from each Member State; the second one was a shorter without reporting on country specific achievements.

Secondly, an important input for the progress reports were the *Eurostat Monitoring Reports on the EU SDS*, based on the European SD indicator set. These indicator reports have been regularly published every two years since 2007, the last one in September 2015.

Thirdly, an *SDS Coordinators Group* was established, comprising national government representatives from each Member State, to provide "necessary input on progress at national level in accordance with National Sustainable Development Strategies (NSDSs)". The Coordinators Group, however, had only two meetings: One in November 2006 on the mandate of the Group and the main tasks of the coordinators, and one in February 2007 about the organisation of the national progress reporting (see also ESDN Quarterly Report, December 2008).

Fourthly, all EU Member States should design their *NSDSs* by June 2007 and future revisions should take into account EU SDS objectives. All EU Member States developed their NSDSs, so this goal was achieved. However, while some have managed to establish a very active process with dedicated institutions; others continue to officially have an NSDS in place, but activities are scarce; and again others have replaced the traditional policy strategy approach by different SD steering mechanisms (e.g. UK and the Netherlands). More details on NSDSs can be found in the next sub-chapter.

Fifthly, voluntary peer reviews were suggested by the European Commission and funding for their execution was secured. However, only a handful of countries has so far undertaken peer reviews on their NSDS process, e.g. Germany, France and the Netherlands. The only country that has continued to use peer reviews as assessment tool of their NSDS efforts is Germany (they have done two so far, in2008, and 2012; the next one is planned for 2016).

Finally, Member States were encouraged to *make use of existing networks, like the ESDN or EEAC*, to exchange information, good policies and practices. Both networks are still existing and very successfully providing a platform and space for exchange and learning.

The very last paragraph in the EU SDS mentioned that "at the latest by 2011, the European Council will decide when a *comprehensive review of the EU SDS* needs to be launched" (EU SDS, 2006, p. 29). This comprehensive review has never materialized. The latest development in terms of the EU SDS is that Karl Falkenberg, former Director-General of DG Environment, in his new role as Senior Adviser for Sustainable Development at the EU's in-house think-tank, the European Political Strategy Centre (EPSC), will deliver a *report on the EU SDS in July 2016*.

3.2.2 The Europe 2020 Strategy (EU SDS)

Adopted in 2010, the Europe 2020 Strategy 'A strategy for smart, sustainable and inclusive growth' outlines three "mutually reinforcing priorities" (EC, 2010, p.3)¹⁴ for the EU:

- Smart growth: developing an economy based on knowledge and innovation
- Sustainable growth: promoting a more resource efficient, greener and more competitive economy
- Inclusive growth: fostering a high-employment economy delivering social and territorial cohesion.

¹⁴ European Commission (2010) EUROPE 2020 - A strategy for smart, sustainable and inclusive growth. COM(2010) 2020 final, 2010, http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2010:2020:FIN:EN:PDF



Although they are not exhaustive, five EU headline targets are to be achieved by 2020:

- I. 75% of the population aged 20-64 should be employed;
- II. 3% of the EU's GDP should be invested in R&D;
- III. the "20/20/20" climate and energy targets should be met (including an increase to 30% of emissions reduction *if the conditions are right*);
- IV. the share of early school leavers should be under 10% and at least 40% of the younger generation should have a tertiary degree;
- V. 20 million less people should be at risk of poverty.

The EU headline targets are then translated into national Europe 2020 targets that reflect the different national situations and circumstances. To reach these targets, seven Flagship Initiatives have already been put in place (see **Fig.3.2**).

In terms of **governance**, the Europe 2020 Strategy is organised around a thematic approach and more focused country surveillance:

- The thematic approach focuses on the themes identified combining priorities and headline targets with the main instrument being the Europe2020 programme and its seven flagship initiatives;
- 2. **Country reporting** to help Member States to define and implement exit strategies, restore macroeconomic stability, identify national bottlenecks and return their economies to sustainable growth and public finances.

The **reporting** of Europe 2020 and the Stability and Growth Pact evaluation has to be done *simultaneously*, while keeping the instruments separate and maintaining the integrity of the Pact. This means proposing the annual stability or convergence programmes and streamlined reform programmes simultaneously:

- Stability / convergence programmes¹⁵ aim to ensure more rigorous budgetary discipline through surveillance and coordination of budgetary policies. In line with the *European Semester*, they are designed to coordinate economic policy-making in EU Member States. The programmes are submitted simultaneously with the National Reform Programmes (NRPs) in April of each year, before governments adopt their national budgets for the following year. They contain important information on public finances and fiscal policy;
- National Reform Programmes (NRPs) are the key delivery tool for Europe 2020 and are
 produced by national governments in April of each year (usually coordinated and prepared
 by Economic and Finance Ministries), along with stability / convergence programmes. NRPs
 contain national targets relating to the Europe 2020 headline targets and explain how
 national governments intend to meet them and overcome obstacles to growth. They also set
 out what measures will be taken, when, by whom and with what budget implications.

The "European semester" represents the new European governance architecture since September 2010. Through this six-month cycle, EU and Eurozone countries coordinate ex-ante their budgetary and economic policies in line with both the Stability and Growth Pact and the Europe 2020

¹⁵ Under the Stability and Growth Pact (SGP), *stability programmes* are produced annually by Eurozone countries; other EU countries produce *convergence programmes*.



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Strategy¹⁶. It provides policy orientations covering fiscal, macroeconomic structural reform and growth enhancing areas, and advises on linkages between them.

In December 2013, the Decision of the European Parliament and of the Council on a General Union Environment Action Programme to 2020 "Living well, within the limits of our planet" (7th EAP) required the EU and its Member States to integrate environmental and climate-related considerations into the European Semester, to monitor the implementation of the relevant elements of the 7th EAP as part of it, and assess the appropriateness of the inclusion of a lead indicator and target in this process¹⁷. Coherently, the so-called 'Greening the European Semester' initiative represents an opportunity to show that the environment was part of the solution to the economic and financial crisis, and conversely that macroeconomic instruments could also act in support also of environmental objectives. It has therefore the intention to ensure that macroeconomic policies are sustainable, not only economically and socially, but also environmentally.

At the moment, as announced in its <u>communication in March 2014</u>, the Commission is launching a review, starting with a public consultation. The public consultation was open from 5 May to 31 October 2014 with the aim was to collect experience from stakeholders to in order to draw the lessons from the first years of implementation of the strategy and to feed into the review. The Commission will take the <u>results of the public consultation</u> into account in further reflections on how the Europe 2020 strategy should be taken forward. In addition to the outcome of the public consultation, the Commission will also consider the contributions received from the European Parliament, the Council, national Parliaments, the European Economic and Social Committee and the Committee of the Regions. In line with the Commission's work programme for 2015, the Commission will present proposals for the review of the Europe 2020 strategy before the end of the year.

3.2.3 The EU and the 2030 Agenda

On 26 May 2015, the Council of the European Union published its Council conclusions on the 2030 Agenda entitled "A New Global Partnership for Poverty Eradication and Sustainable Development after 2015". These conclusions complement the December 2014 conclusions, with a number of other European positions that altogether set out the EU's vision in this matter, and further develop aspects of the new global partnership needed to achieve the sustainable development goals (SDGs). The conclusions affirm right at the very beginning how the 2030 Agenda presents a great opportunity to address the interlinked challenges of poverty eradication and sustainable development, and describe such an opportunity as a key priority for the EU and its Member States.

Several **guiding principles** are reaffirmed by the EU Council Conclusions of May 2015: (i) universality, (ii) shared responsibility, (iii) mutual accountability, (iv) consideration of respective capabilities, and (v) a multi-stakeholder approach. Such a new global partnership should also be based on and promote: human rights, equality, non-discrimination, democratic institutions, good governance, rule of law, inclusiveness, environmental sustainability, respect for planetary boundaries, women's rights, gender equality and the empowerment of women and girls.

¹⁶ For a more detailed description of the process, please see: Pisano et al. (2011) Sustainable development governance & policies in the light of major EU policy strategies and international developments. ESDN Quarterly Report September 2011. ¹⁷ Council conclusions on Greening the European semester and the Europe 2020 Strategy - Mid-term review. 28 October 2014.



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Particular emphasis to reach and implement the 2030 Agenda is then put on **national ownership** and accountability, especially, for instance, through **sustainable development strategies**.

In this context, the Conclusions describe **8 key components** of a comprehensive approach to means of implementation in the context of a new Global Partnership. We provide a short explanation of the first three as they are very closely related to the Conference's topic:

1. Establishing an enabling and conducive policy environment at all levels

All countries should ensure that appropriate policies are in place including, for example, through effective legislative and regulatory frameworks to implement the 2030 Agenda and achieve the SDGs. Consistently, all countries will need to promote effective and inclusive institutions and develop transparent policies with a special reference to strengthening the link between peace, human rights and sustainable development. In this context, particular attention should be devoted to full and productive employment and decent work that address inequality and social exclusion. Strong reference is made towards policy coherence at all levels as countries at all levels of development should ensure that their policies contribute coherently to their sustainable development priorities, both domestically and internationally.

2. Developing capacity to deliver

The Conclusions stress the importance of effective institutions and having the necessary capacity and human skills for implementing the agenda, especially by ensuring capacity to design and implement policies to tackle sustainable development challenges and to adopt measures, collect data, assess results and review strategies. Particular attention is devoted to an enabling environment for civil society both at national and international level: an inclusive engagement of citizens and civil society is key for nurturing democratic ownership, development effectiveness and sustainability of results. In this context, particularly relevant are multi-stakeholder partnerships as they can contribute to sustainable development and bring together the knowledge and experience of a wide variety of actors.

3. Mobilising and making effective use of domestic public finance

As domestic public finance is recognized as the largest source of stable and directly available financing for most governments, the Conclusions, therefore, stress the importance of mainstreaming sustainable development in domestic public finance. All countries should commit to achieving levels of government revenue that best allow them to sustainably fund, at domestic level, poverty eradication and sustainable development, including by strengthening the institutions responsible for revenue policy and collection and their oversight. In so doing, all countries should also commit to good governance and ensure that they have systems in place for the efficient and transparent management of public resources, including through public procurement, and the sustainable management of natural resources and the related revenue: transparency and accountability is key.

3.3 Governance for SD principles in European countries: latest developments in NSDS processes

In June 2013, the ESDN Office wrote a discussion paper¹⁸ for the ESDN Conference 2013, held in Vienna, in which we undertook a stock-tacking exercise by providing a comparative overview of NSDS processes in 26 European countries and presenting developments in 21 EU Member States and 5 other European countries (Norway, Switzerland, Montenegro, Croatia, and Iceland). In this subchapter, we provide a short update¹⁹ of NSDS processes in Europe. We used data that we received in this 3-year period (2013-2015) through the ESDN website, especially thanks to inputs from the ESDN Members, the country profiles, and the quarterly ESDN-Newsletters.

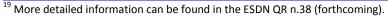
In a world-wide comparison, European countries are considered to be the leading examples in NSDS formulation and in the practice of strategy-making and implementation of actions for sustainable development (UNOSD, 2012; Meadowcroft, 2007). This is also not only true at the national levels, as most European countries have at least ten years of experience in dealing with policy strategies for sustainable development, but also at European level (with the presence of the EU Sustainable Development Strategy) and "more and more at the subnational and local levels" (UNOSD, 2012, p.9). In addition, the work of the ESDN (European Sustainable Development Network) and of the EEAC network (European Environment and Sustainable Development Advisory Councils) needs to be acknowledged in terms of knowledge and best practices sharing as well as of research and reporting.

Between 2013 and 2015, although with very little strategic input and steering from the EU level, several European countries have been active in several NSDS processes. For instance, from 30 May to 5 June 2015, the first European Sustainable Development Week (ESDW) took place this year. This very successful European-wide initiative aimed to stimulate and make visible activities, projects and events that promote sustainable development by registering activities on a common platform (www.esdw.eu) to take place during the week: in total, 4116 activities took place in 29 European countries.

In these three years, NSDSs were renewed, or are in the process of being renewed, in four countries: **Finland, France, Hungary** and **Switzerland**.

Officially accepted in December 2013, **Finland** has a new National Sustainable Development Strategy, entitled "The Finland we want by 2050 - Society's commitment to sustainable development". This document represent a real innovation in terms of NSDSs. Along with the revision of the strategy, a national concept "Society's Commitment to Sustainability" has been launched. Society's Commitment to Sustainability has been prepared by a wide-ranging strategy group. Through the commitments, the government and the administration, in collaboration with various societal actors, pledge to promote sustainable development in all their work and operations.

network.eu/pdf/conferences/2013 vienna/ESDN%20Conference%202013 Discussion%20Paper FINAL.pdf





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¹⁸ http://www.sd-

In **France**, the French Council of Ministers in February 2015 adopted the new "National Strategy of Ecological Transition towards Sustainable Development" (SNTEDD) 2015-2020. Building on the momentum of the energy transition law for green growth, the SNTEDD 2015-2020 replaces the National Sustainable Development Strategy 2010-2013 by setting France on a new path to sustainable development. Organized in 9 cross-cutting goals instead of sectorial challenges, the SNTEDD 2015-2020 designs a 2020 vision, delivers tools to transform the economic and social model and aims to create ownership among all stakeholders with a envisioned system of voluntary commitments.

In **Hungary**, in March 2013, the Hungarian Parliament adopted the new National Framework Strategy on Sustainable Development in Hungary for the period 2012-24. This document functions as a long term concept in the system of public policy decision preparation and decision making. It draws up a framework with goals and priorities, supporting decision making, enhancing the creation of a goal-asset-deadline-financial resources system within public policy strategies or plans aimed at underpinning the transition towards sustainability. The Framework Strategy intends to promote a common national understanding of sustainability, which is understood as not only a political and governance issue, but each individual, family, enterprise, civil organization should live by such values, make such daily decisions and take such initiatives that ensure the achievement of sustainable society. After two years of existence, the national SD strategy is currently going under its bi-annual review process.

In **Switzerland**, a new NSDS is under discussion to guide SD policies and process for the period 2016-2019: it will be adopted in early 2016.

Conclusion: Are We Fit for Purpose?

In 2006, the EUSDS has been a strong push for change towards SD by requiring each European Member State to develop its own National SD strategy. It also led to the creation of an SDS coordinators group to support and boost such strategies and the exchange between the EU and Member States level. Moreover, such an effort from the European level created anyway a momentum for SD policymaking and offered a framework for reference to national and subnational strategy processes and policies. Unfortunately, the group had a short life. However, even without much steering from the European level, many EU Member States (and other European countries) have been very active in their respective NSDS processes, and some of them have been trying out new and very interesting approaches to SD policymaking, not only in terms of strategies and frameworks for policies.

Overall, sustainable development still is a fundamental principle of our European Union, as introduced in the Amsterdam Treaty in 1997 as a core objective of the European Union. In 2001, the European Union adopted its Sustainable Development Strategy in Gothenburg. In 2002, the external dimension of the strategy was added by the European Council in Barcelona and the European Union was active in supporting the conclusions of the World Summit on Sustainable Development in Johannesburg. Strong doubts remain on the ability of the Europe 2020 Strategy to guarantee this role.

Some key questions remain, especially with regards to the new 2030 Agenda for SD: How could and should a 'European' framework strategy for sustainable development look like? How can the EU maintain its leading role when it comes to fostering SD objectives and respect the rights of present and future generations? What governance architecture and steering mechanism are required to ultimately deliver the 2030 Agenda objectives on the European and national level?



European Sustainable Development Network (ESDN) <u>www.sd-network.eu</u>