Sustainability Transitions Assessment Framework

Technical Summary Report

October 2021

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Abbreviations

CAF	Common Assessment Framework
CP	Cohesion Policy
CPIA	Country Policy and Institutional Assessment
EIPA	European Institute of Public Administration
EPAN	European Public Administration Network
EPI	Environmental Performance Index
EQI	European Quality of Government Index
ESG	Environmental, Social and Governance
FAMFG	Framework for Assessing and Monitoring Forest Governance
FAO	Food and Agriculture Organization of the United Nations
IDA	International Development Association
IPD	Institutional Profiles Database
IWRM	Integrated Water Resource Management
LGAF	Land Governance Assessment Framework
MS	Member State
NPM	New Public Management
OECD	Organisation for Economic Cooperation and Development
PDCA	Plan, Do, Check, Act
PO2	Second Policy Objective
PROFOR	Program on Forests
SDGs	Sustainable Development Goals
SGI	Sustainable Governance Indicators
SO	Specific Objective
STAF	Sustainability Transition Assessment Framework
STAMP	Sustainability Assessment and Measurement Principles
UN	United Nations
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
VGGT	Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests
WEF	World Economic Forum

1. Introduction

1.   Supporting the transition to sustainability features prominently within the Cohesion Policy for the period 2021-2027, and particularly within the second Policy Objective (PO2) on fostering a "Greener, Low Carbon Europe". Enhancing the impact of Cohesion Policy investments will require improvements in EU Member States' (MS) capacities to manage the shift to sustainability.

2.   The European Commission requested the World Bank's assistance to develop and pilot a diagnostic framework for reviewing the capacity of MS and regions to achieve the second policy objective of the EU's Cohesion Policy. This diagnostic framework – termed Sustainability Transition

Assessment Framework (STAF) - would comprehensively assess MS' capacity to deliver on sectoral and cross-sectoral areas relevant to the EU Cohesion Policy Objective 2 by focusing on: (i) administrative structures and capacities, including coordination and strategy development for sustainability transitions; (ii) policy instruments for internalization, burden sharing, behavior change, innovation and deployment of new technologies; (iii) governance mechanisms necessary to engage relevant actors towards policy coherence and joined-up implementation; (iv) strategic communications capacity, as a critical ingredient of a successful transition aimed at building consensus among civil society actors and the public at large.

3.   The analysis conducted through STAF will permit the identification and prioritization of a selected number of 'pinch-points' and related recommended actions, in both horizontal and thematic areas, which have the largest possibility to generate positive change in MS.

4.   This report presents the key features of the Sustainability Transition Assessment Framework (STAF), including its structure and content, as well as the operating choices and examples inspiring its conceptual and practical development.

2.   Rationale

5.   How effective are governments and public administrations at achieving long-term sustainability transitions? And how can such effectiveness be assessed?

6.   Despite a large academic literature and policy-oriented work stressing the relevance of "governance" to achieve sustainability goals, there is yet no consistent approach to assessing governmental effectiveness in this area. The introduction of new public management (NPM) approaches into government administrations affected a broad range of sectors, leading to substantial reforms aimed at increasing efficiency and effectiveness of delivery and resulting in substantial changes in governmental organization. Several European governments have emphasized organizational and individual effectiveness often through the creation of a large performance management infrastructure - delivery units, performance budgeting, performance contracts between ministries and agencies - to better enable their public administrations to deliver on political priorities.

7.   Sustainability policy has however not featured prominently within the performance agenda and its related aspects. Whilst established policy realms such as fiscal and monetary policy, as well as key service delivery sectors such as health and education, are supported by well-understood models for the coherent organization of government-wide action, definitive whole-of-government approaches to support long term sustainability reforms - such as those needed to achieve the Sustainable Development Goals (SDGs) - are still underdeveloped. Also, the European Climate Law[1] requires long term planning for fundamental shifts in key sectors of the

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[1] The Commission's proposal for the first European Climate Law aims to write into law the goal set out in the European Green Deal – for Europe's economy and society to become climate-neutral by 2050. This means achieving net zero greenhouse gas emissions for EU countries as a whole, mainly by cutting emissions, investing in

MS (energy, transport, industry, land management, waste management, to name a few) and well as for transformational changes in society, including public perceptions, behavior and support by EU citizens (see footnote[2] for link to fact sheet). Similarly, while general self-assessment tools to improve the overall performance of public administration exist and are being used, no comparable instrument specifically focused on governmental capacity for sustainability transitions exists to date.

8.   The European Commission has spearheaded ambitious goals for sustainable growth within the Union. Announced in 2019, the "European Green Deal" marks the culmination of several agenda-setting targets, such as those around the achievement of climate-neutrality by 2050 and the rise of circularity in production and consumption behaviors as well as waste management. Delivering on this level of ambition will entail important efforts by the Union, and critically by its MS.

9.   Since its inception, the EU's Cohesion Policy (CP) has accompanied the process of structural change in the EU's MS and regions through investments to protect the environment, encourage climate change mitigation and adaptation, and ensure respect of the environmental acquis. Over the next programming period (2021-2027), the Commission will again commit important resources towards these objectives (Box 1).

Box 1. Sustainability in EU Cohesion Funding

Supporting the transition to sustainability features prominently within Cohesion Policy Funding. During the next programming period, a minimum of 30% of the European Regional Development Fund will be allocated to Policy Objective 2: "A greener Europe", supporting energy efficiency, renewable energy, climate change adaptation and disaster risk prevention, resilience, access to water and sustainable water management, the transition to a circular economy, biodiversity conservation and pollution reduction, sustainable urban mobility whilst limiting investments to fossil fuels and to the lower stages of the waste hierarchy. To this will be added important investments from the Cohesion Fund. To enhance the impact of these investments and achieve CP objectives will require improvements in EU MS capacities to manage the transition to sustainability in the medium and long term.
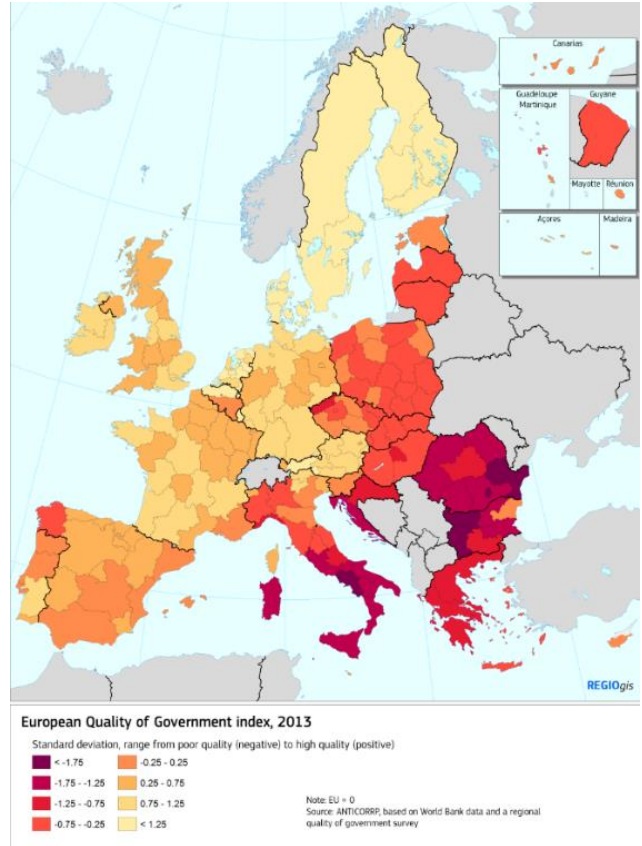
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10.   The EC recognizes that stronger government institutions are at the core of the EU's overarching goals, and that weaknesses in MS' public administrations are a key constraint to the effective implementation and impact of its CP (European Commission, 2014). The EC launched several initiatives focused on strengthening public institutions, including through the development of European Quality of Government Index (EQI) (Fig 2) and through specific pilots to increase administrative capacity within MS.

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green technologies and protecting the natural environment. The law aims to ensure that all EU policies contribute to this goal and that all sectors of the economy and society play their part.

[2] https://ec.europa.eu/clima/sites/default/files/eu-climate-action/docs/factsheet_ctp_en.pdf

11.   In order to support the preparation of the next programming period of Cohesion Funding between 2021-2027, and accompany MS in reflecting on their readiness to achieve the long term sustainability goals agreed upon by the Union, the EC has requested the World Bank to develop and pilot a methodology for reviewing the capacity of MS' government to support "Sustainability Transitions", and to improve the effectiveness of EU Cohesion Policy Funding to this effect.

Figure 1. European Quality of Government Index, 2013 (source: https://ec.europa.eu/regional_policy/en/information/maps/quality_of_governance/)

European Quality of Government index, 2013

Standard deviation, range from poor quality (negative) to high quality (positive)

< -1.75	-0.25 - 0.25
-1.75 - -1.25	0.25 - 0.75
-1.25 - -0.75	0.75 - 1.25
-0.75 - -0.25	< 1.25

Note: EU = 0
Source: ANTICORRP, based on World Bank data and a regional quality of government survey

3. STAF's objectives, content and structure

12.   STAF assesses governmental capacity of EU MS to achieve "sustainability transitions". The term "sustainability transitions" is narrowly defined here as economic and policy changes required to achieve a set of goals set by CP. The European Environment Agency (EEA) defines sustainability transitions as "long-term, society-wide processes that depend critically on the emergence and spread of diverse forms of innovation that trigger alternative ways of thinking and living – new social practices, technologies, business models, nature-based solutions and so on.".[3]

13.   STAF assesses government capacities across eleven sectors and six horizontal, crosscutting areas. The sectors' selection has been driven by their relationship with the "specific objectives" (SO) falling under PO2, namely:

3.1   Sectors and horizontal areas

a. Energy efficiency (SO1)
b. Renewable energies (SO2)
c. Smart energy systems (SO3)
d. Climate change adaptation, risk prevention and disaster resilience (SO4)
e. Water (SO5)
f. Circular economy (SO 6)
g. Biodiversity (SO7)
h. Forestry (SO7)
i. Urban development (SO7)
j. Air quality management (SO7)

14.   Given the importance of managing the needed transition process, especially addressing trade-offs and mitigating adverse social and economic impacts, especially in the most affected territories, a specific assessment area has been included in the AF – Just Transitions. This will assess a country's capacities carry out the transition in a just manner taking account of possible adverse social and economic impacts and trade-offs.

15.   In addition to considering sector specific bottlenecks, the framework places specific attention to taking a whole-of-government approach by identifying cross-sectoral pinch points in the overall machinery of government, including core government functions such as public investment management, procurement systems, fiscal frameworks. Therefore, six horizontal, crosscutting areas have been identified based on their relevance the achievement of the SOs above, or more generally to policies and investments oriented towards achieving long-term sustainability transitions. These include:

a. Tax policy
b. Public expenditure
c. Distributional impacts
d. Land administration

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[3] See Annex 3 for a more detailed discussion of the EEA definition of Sustainability Transitions.

e. Strategic communication
f. Behavioral policy

16.   These eleven sectors and six crosscutting areas are explicitly included in the assessment as its main components.

3.2   Attributes of Government Capacities and Features of Sustainability Transitions

17.   STAF assesses how different *attributes* of government capacity perform according to key *features* of sustainability transitions. <u>Attributes</u> of government capacity include material elements under the control of government deemed to be crucial to the attainment of transition goals. These include:
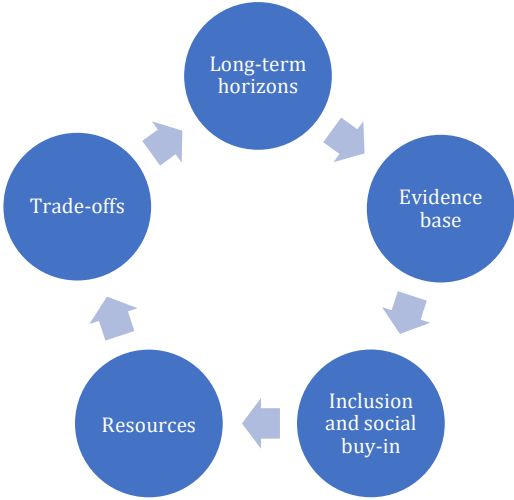
- **Leadership** articulates visions, goals and provides a collective direction for the utilization of resources and clarity on accountabilities. Rather than being concentrated within individual actors or agencies, effective leadership tends to be present across sectors and government levels. This attribute does not have to be linked to specific actors within a government but aims to assess the way in which leadership is exercised across the government, horizontally and vertically.

- **Strategy and legal framework**: Strategies represent vision statements and an articulation of roadmaps towards the achievement of sustainability targets. Legal acts provide the de jure bases for policy making and implementation towards these targets. The framework will attempt to capture the extent to which the strategic and legal framework takes into consideration the critical feature of transitions, and whether and how their content is applied in practice.

- **Coordination** maximizes synergies and minimizes trade-offs in the implementation of sustainability transitions. Robust coordination mechanisms must exist between both horizontal and vertical government levels, including by integrating new stakeholders into established coordination mechanisms.

- **Policy instruments** such as regulations, economic and market-based (dis)incentives, green public procurement and private sector investments can, in addition to public investments, support changes towards sustainability transitions.

- **Accountability** refers to both internal and external mechanisms allowing for scrutiny of government action and results. External accountability is fostered by government transparency and stakeholder participation (e.g. open government practices, independent audit institutions, parliamentary oversight). Internal accountability can take the form of internal audit functions, monitoring and evaluation frameworks and public agencies performance agreements. Ultimately, accountability mechanisms aim at strengthening the design and implementation of sustainability-oriented policies and investments across sectors.

18.   The importance of each government attribute varies depending on the component (sector or horizontal) to be assessed. For example, coordination may be more important for urban development, which relies on the articulated provision of goods and services from various sectors, whereas strategy may be more important for disaster prevention, which must be planned in anticipation of hazards. The guidance notes provide a rationale for the treatment of the different attributes in each component.

19.   Features include critical characteristics of transitions which public agencies need to consider and actively address for sustainability goals to be attained (Fig 3). These include:

- **Trade-offs and synergies -** the transitions' cross-cutting nature leads government interventions in one area to impact others. Thinking of the promotion of climate policy in the agricultural sector for instance, a classic example of tradeoffs in mitigation policy revolves around the promotion of biofuels and its impacts on other crops' production. An example of synergy arises from the promotion of tilling practices leading to a triple win of drought resistance, lower emissions and increased productivity.

Figure 2. The five features of sustainability transitions

- **Long term horizons -** The long-term nature of transitions, often with objectives straddling multigenerational horizons may lead to challenges for policy making. There may be variable scenarios and trajectories with different degrees of unforeseeable changes and resulting uncertainty. Long planning horizons may be disincentivized by short-term electoral cycles, lagging technology and inertia in behavioral changes. Here, sustainability transitions provide anchor points for goals and targets, and provide guidance what needs to be done to achieve them. In the EU context, one example for planning and coordination with a long-time horizon are the 2050 objectives for climate action. There is an understanding that on the trajectory to these long-term objectives, interim targets and goals may have to be phased, sometimes differing from those of the long-term horizon. For example, investing in natural gas to replace coal can make sense in view of the 2030 targets, but may lead to problems (and stranded assets) with respect to the 2050 objective.

- **Evidence-base –** uncertainties arising from the long term and multi-sectoral nature of transitions require that adequate evidence base drives policy and implementation, particularly around the internalization of costs and benefits. Evidence based policy provides for robust policy design, additional foresight and capacity to manage trade-offs. The evolving nature of transitions also calls for collective and reflexive learning

environments where failure is accepted as part of the incremental changes to business-as-usual scenarios.

- **Social inclusion and buy-in –** Political economy challenges of transitions arise from their socially, spatially, and temporally differentiated impacts. Addressing these is crucial to attain sustainability goals by creating long-term buy in from public opinions and stakeholders.

- **Resources –** whilst providing benefits of material and monetary nature, transitions often entail incremental costs and the need to mobilize adequate technical and financial resources.

20.   The overall scope of the assessment is defined by the intersections of attributes and features (Fig 4) for each sectoral and horizontal component which generate sets of questions as of the general examples laid out in Table 1.

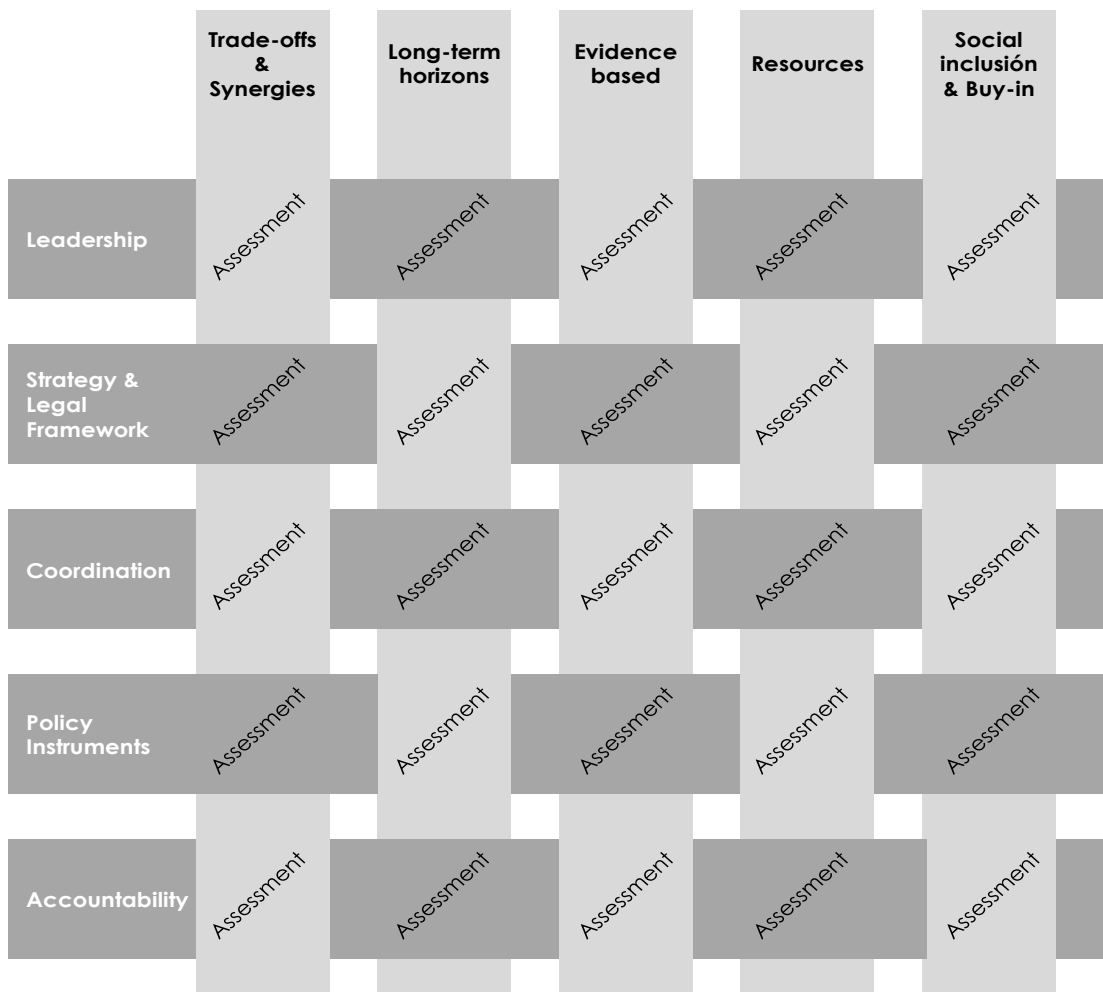**Figure 3. Intersection of attributes and features in STAF**

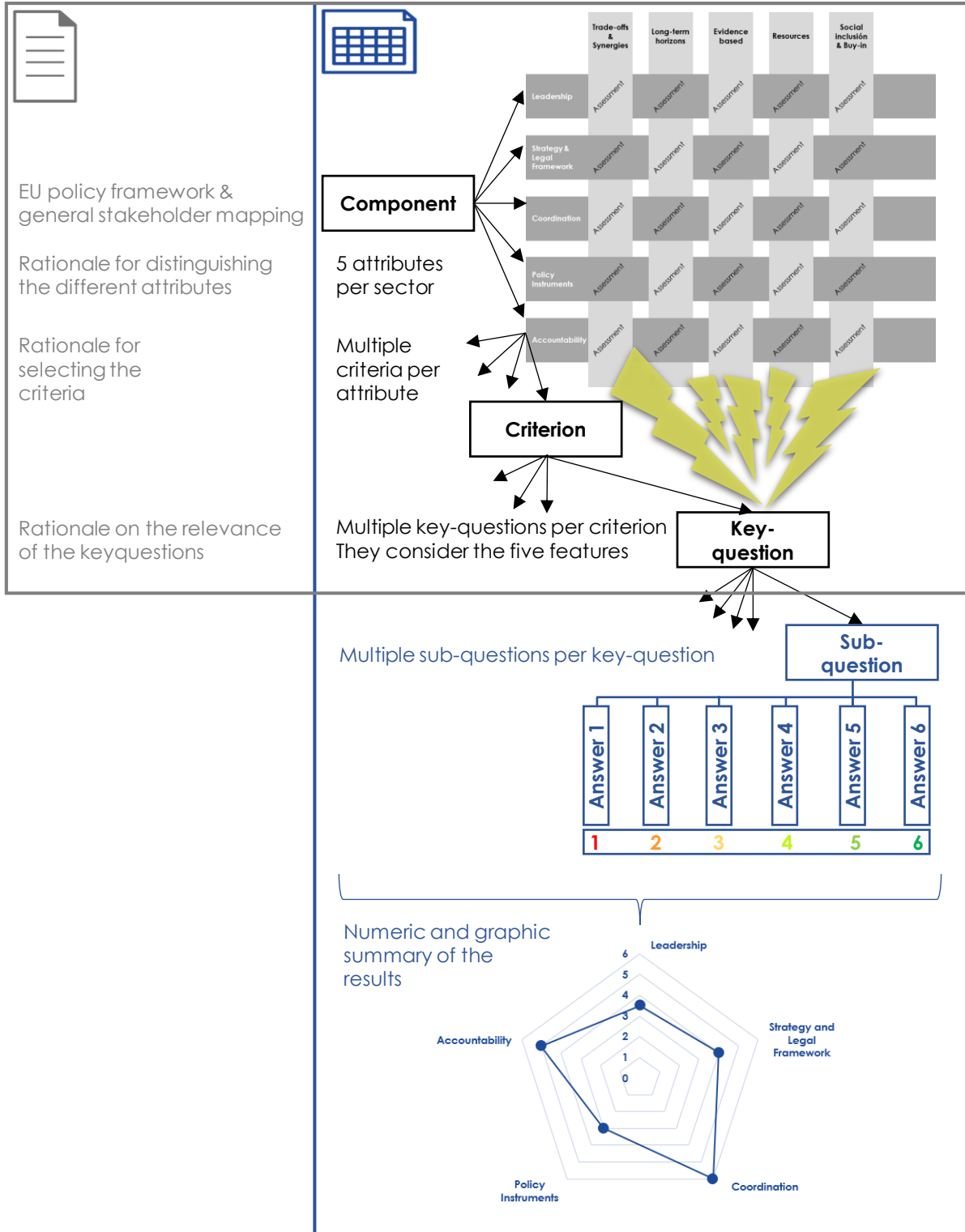|	Trade-offs & Synergies	Long-term horizons	Evidence based	Resources	Social inclusión & Buy-in
Leadership	Assessment	Assessment	Assessment	Assessment	Assessment
Strategy & Legal Framework	Assessment	Assessment	Assessment	Assessment	Assessment
Coordination	Assessment	Assessment	Assessment	Assessment	Assessment
Policy Instruments	Assessment	Assessment	Assessment	Assessment	Assessment
Accountability	Assessment	Assessment	Assessment	Assessment	Assessment

Attribute	Feature	Intersection
Leadership	**Resources**	Does the champion/ Do the champions have adequate resources/ capacities/ authority to support/ encourage/ enforce/ steer implementation of sustainability policies and strategies?
	Trade-offs and synergies	What is the role of the champion(s) in helping other government actors (department, agencies, etc.) navigate tensions and conflicts arising from cross-sectoral spillovers, ensuring the resolution of sectoral trade-offs in policy making and implementation, and the capturing of synergies?
Strategy	**Long-term horizon**	Do strategies acknowledge and address the long-term nature of transitions, including for goals whose attainment straddles several political cycles, such as climate neutrality and economic circularity?
	Trade-offs and synergies	Does the strategies' design, implementation and monitoring acknowledge trade-offs and synergies in achieving sustainability outcomes?
Coordination	**Social inclusion and buy-in**	Does the department/ government see the value in developing external partnerships for policy launches?
	Resources	Are there joint investment programs between ministries and authorities at the national and sub-national level?
Policy instruments	**Evidence-based**	Is the choice of instruments based on methodologies to inform decision making, including standard quantitative appraisal techniques for policies, programs and individual investments, such as cost-benefit analysis, natural capital accounting, coupled with active use of impact assessment techniques?
	Social inclusion and buy-in	Do external stakeholders have a say on budget design through open budget initiatives?
Accountability	**Evidence-based**	Does the government have sufficient data available to allow for the evaluation of the implementation of measures and the achievement of visions and objectives?
	Long-term horizon	Is there a regular evaluation process that assesses the effectiveness of policies and instruments over a long-term horizon?

21.   The framework is administered through a) an assessment and rating tool containing layered questionnaires for sectoral and horizontal components, and b) accompanying guidance. The assessment / rating tool was produced in the format of a series of Excel spreadsheets, representing one customized tool for each sector and crosscutting area. Questions are broken down into sub-questions and each sub-question allows for multiple-choice answers.

22.   Scores are numerically and graphically aggregated to allow for the identification of capacity gaps across attributes and features in each component. The spreadsheets contain instructions on how to answer the questions and fill them in, as well as background information[4]. Figure 5 provides an overview of the tool's structure and where the different assessment parts can be found (guidance and/or spreadsheet).

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[4] The guidance document of each component also provides a summary of policy references at the EU level and a stakeholder mapping.

Figure 4. STAF structure showing the different assessment parts (guidance and spreadsheets)

EU policy framework & general stakeholder mapping

Rationale for distinguishing the different attributes

Rationale for selecting the criteria

Rationale on the relevance of the keyquestions

Component

5 attributes per sector

Multiple criteria per attribute

Criterion

Multiple key-questions per criterion
They consider the five features

Key-question

Multiple sub-questions per key-question

Sub-question

Answer 1 Answer 2 Answer 3 Answer 4 Answer 5 Answer 6

1 2 3 4 5 6

Numeric and graphic summary of the results

3.3   Cross-cutting issues

23.   The tool recognizes that there are various common capacity gaps across components. Thus, there are a number of shared criteria and questions across components (Tab 2).

Table 2. Shared criteria and questions for the five attributes

Leadership	
Champion of change	Does/ Do the champion(s) have sufficient **competencies, power and responsibilities**?
	Does/Do the champion(s) lead with a **long-term vision** and set ambitious targets?
	Do/ Does the champion(s) foster new **innovative approaches** and is failure accepted and used in a social learning process?
	Do/ Does the champion empower **sub-national governments** to lead?
Implementation capacity	Do leading national institutions have the **technical capacity**, notably for planning, rulemaking, project management, finance, budgeting, data collection and monitoring, risk management and evaluation?
	Do leading national institutions have **political will, financial and human resources** (time, staff, budget)?

Strategy and legal framework	
Strategy	Are sector strategies formulated with the active participation and **involvement of other sectors**?
	Does the sector strategy clearly state the **long-term vision** and set clear objectives?
	Does the strategy define the **roles and responsibilities** of relevant stakeholders to achieve the objectives?
	Are water strategies elaborated based on supporting **economic studies and technical data** collected previously?
	Are cross-sectoral **trade-offs and synergies between strategies** addressed?
Investment	Does the legal framework ensure adequate investment levels in the **mid- and long-term**?
Legislation	Does the legal framework impose policy makers to set measurable **long-term goals** for the sector?

Coordination	
Vertical coordination	Is there an effective **multilevel governance mechanism** established between governments at the national/ regional/ local level?
	Are there **joint investment programs** between ministries and authorities at the national and sub-national level?
	Does collaboration between the national/ regional and local government levels strike the right balance between **top-down and bottom-up approaches**?
	Are **costs due to poor vertical coordination** evaluated and available to decision makers?
Horizontal coordination	Are there coordination mechanisms to facilitate **coherent policies across sectors**?
	Are there coordination **mechanisms for multi-sectoral governance**?
	Are there **cross-sectoral research programs**?
	Are **costs due to a poor horizontal coordination** of policies evaluated and available to decision makers?

Other stakeholders	Does the government encourage the **active involvement of all relevant types of stakeholders** (i.e. private sector, civil society organizations/ NGOs) at different levels to participate in the development and implementation of vision, strategy and policy?

Policy instruments	
Policy instruments	Are policies **coherent across sectors**?
	Are there centralized and/or decentralized **information systems**, and are policy decisions based on their data?
	Are the policy instruments appropriate and effective to achieve the **long-term** targets of sustainability transitions?
	Are the policy instruments flexible and do they foster **innovative approaches**?
	Do national and regional policy instruments allow for adjustment according to **local needs**?
	Are **regulatory barriers** identified and tackled?
	Are the policy instruments for **socially inclusive**?
	Does the government facilitate the **integration of sector principles into other policy areas**?
Economic tools	Is there standardized/ harmonized **guidance at national or sub-national level for setting economic instruments** such as tariffs, environmental taxes, charges and subsidies?
	Does the government mobilize **private finance** that fosters sustainability transitions?
	Beyond traditional purposes, does the national (regional or local) financial framework provide sufficient **financial resources for research, innovative** solutions and knowledge distribution?
	Do you have **incentives** (fiscal, technical, economic) to promote the development and the use of **innovative technologies** and best available technologies (BAT) at acceptable cost?
	Are appropriate and **effective economic and fiscal instruments** in place that provide incentives for achieving the long-term targets and/ or disincentives against unsustainable actions, such as fees, subsidies, taxes, rewards?
	Is there sufficient information on the **cost recovery levels**, for each economic instrument, and for each sector (public, private, commercial)?
	Do the policymakers make **informed decisions in designing and introducing fiscal and financial instruments** supporting investments in the sector?
	Are the available economic instruments **well-coordinated with other policy instruments** which entail trade-offs?

Accountability	
Implementation	Does the legal and institutional framework clarify responsibilities and mechanisms to hold decision-makers and stakeholders accountable for **strategy and policy elaboration and implementation** (e.g. by right to information, through independent authorities which investigate issues and law enforcement)?
	Is there sufficient institutional capacity (staff, time, resources) in order to **enforce relevant strategies, legal framework and policies** effectively at the national/ sub-national level?
	Do state audit institutions conduct **fiscal and performance audits** (including audits related to the quality of services) of institutions and recommend actions to be undertaken based on the audit findings?
	Are there procedures for **feedback on administrative burdens** of regulations and policies, and are these reviewed to reduce unnecessary administrative burdens?
	Are the **mandate, powers and financial independence of regulatory agencies** protected by law?
Transparency	Has EU legislation related to **transparency and integrity** (e.g. WFD, INSPIRE, SIEA)) been transposed into your national legislation?
	Are there **codes of conduct** or transparency and integrity charters?
	Are there **multi-stakeholder approaches**, dedicated tools and action plans to identify and address transparency and integrity gaps?
	Are there **independent authorities and/ or oversight bodies** (ombudsmen, anticorruption agencies) that monitor compliance with EU norms and seek action against malpractice, corruption and fraud, and investigate issues and law enforcement?
	Are there **clear budget transparency principles** and rules applied at all levels of government?
Information and monitoring and evaluation	Do **policies and strategies contain provisions for their periodic review and improvement**, and are these based on monitoring and evaluation (M&E) mechanisms?
	Does the policy/ strategy provide a national monitoring system or a nation-wide monitoring **approach that allows regularly monitoring** the progress towards targets on sustainability transitions?
	Is the **monitoring system effective for all government levels** from local to international or are the systems at different scales compatible?
	Are there **sufficient resources and technical capacities** for continuous data collection, monitoring, reporting, management and evaluation of the performance in implementation?
	Does the monitoring system include concrete **indicators** related to the objectives and targets of the national, regional and local strategies and policies to properly measure their impact?
	Does a regular **evaluation process** assess the effectiveness of current policies and instruments to meet objectives in the process of sustainability transitions?

	Does the Government incorporate **feedbacks and opinions from citizen and relevant stakeholders** in evaluation processes?
	Does the Government **allocate the budget based on both ex-ante, ex-durante and ex-post evaluation**?

3.4 Principles used to develop STAF

24. The framework complies with the following considerations:

- **Comprehensiveness**
  STAF aims to achieve comprehensiveness in three ways:
- The intersection of attributes and features allows to cover key dimensions of capacity related to key transition challenges and test a range of relevant issues;
- The framework's 17 components, covers a multitude of sectors, themes as well as cross-cutting transversal institutional areas;
- Attention paid to the various levels of government and how these may be articulated in their task to support sustainability transitions in federal, regionalized and unitary states.

- **Standardization.** The entire assessment is based on the matrix of government capacity attributes and sustainability transition features, which provides a standardized structure for both the assessment and rating tool and the accompanying guidance notes.

- **User-friendliness.** Background information explains the rationale for questions and ratings. With regards to the assessment tool, this contains a tab with instructions on how to use it. Respondents to the questions simply have to choose the answer which best fits their context from a drop-down menu.

- **Numeration.** The framework relies on multiple choice questions which answers score one to six. Numerical scores and their visualization allow first order indications of where larger gaps and painpoints lie, allowing for a closer assessment of the drivers of low capacity in individual answers.

- **De jure and de facto**. The selection of attributes and features is designed to capture capacities through their formal elements (laws, strategies, organigrams, ToRs, budgets, protocols, etc.) and the actual institutions, behaviors and processes existing in practice.

4. Inputs used to design the framework

25.   The development of the STAF relied on a review of relevant literature and diagnostic tools and indicator systems already in place. Whilst a multitude of indices and a large catalogue of methodologies to assess sustainability outcomes exist, approaches to assess government systems in the field of sustainability are more limited – and non-existent in the field of sustainability transitions. The framework's development considered these approaches, as well as existing tools aimed at assessing governmental capacity more broadly, including:

- Bellagio Sustainability Assessment and Measurement Principles (STAMP)[5]
- The Framework for Assessing and Monitoring Forest Governance[6]
- The Common Assessment Framework[7]
- The WB Country Policy and Institutional Assessment (CPIA)[8]
- OECD framework on Policy Coherence for Sustainable Development[9]
- UNDP Governance Principles, Institutional Capacity and Quality[10]
- The Sustainable Governance Indicators[11]
- Yale's Environmental Performance Index[12]
- The World Economic Forum's Environmental, Social and Governance Survey[13]
- The Institutional Profiles Database[14]

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[5] Pintér, L., Hardi, P., Martinuzzi, A., & Hall, J. (2012). Bellagio STAMP: Principles for sustainability assessment and measurement. *Ecological Indicators*, *17*, 20-28.

[6] Program on Forests and Food and Agriculture Organization (PROFOR-FAO), 2011. *Framework for Assessing and Monitoring Forest Governance (FAMFG)*. Rome: PROFOR and FAO. Access date: 07 August 2020. Accessible via: https://www.profor.info/sites/profor.info/files/ForestGovernanceFramework_0.pdf

Kishor, Nalin and Kenneth Rosenbaum, 2012. *Assessing and Monitoring Forest Governance: A user's guide to a diagnostic tool*. Washington DC: Program on Forests (PROFOR). Access date: 07 August 2020. Accessible via: https://www.profor.info/sites/profor.info/files/AssessingMonitoringForestGovernance-guide.pdf

[7] European Public Administration Network (EPAN), 2013. *The Common Assessment Framework (CAF). Improving Public Organisations through Self-Assessment*. Access date: 07 August 2020. Accessible via: https://www.eipa.eu/wp-content/uploads/2017/05/CAF_Manual_2013.pdf

[8] The World Bank, 2020. Country Policy And Institutional Assessment. Access date: 24 November 2020. Accessible via: https://datacatalog.worldbank.org/dataset/country-policy-and-institutional-assessment

[9] Organization for Economic Cooperation and Development (OECD), (2018). *Policy Coherence for Sustainable Development 2018. Towards Sustainable and Resilient Societies*. OECD Publishing.

[10] UNDP (United Nations Development Program). (2011). Towards human resilience: Sustaining MDG progress in an age of economic uncertainty. Governance Principles, Institutional Capacity and Quality (chapter 8). United Nations Publications.

[11] Bertelsmann Stiftung, (2020). *Sustainable Governance Indicators (SGI)*. Access date: 23 November 2020. Accessible via: https://www.sgi-network.org/2020/

[12] Wendling, Z. A., Emerson, J. W., de Sherbinin, A., Esty, D. C., et al. (2020). 2020 Environmental Performance Index. New Haven, CT: Yale Center for Environmental Law & Policy. epi.yale.edu

[13] World Economic Forum (WEF), 2020. *Toward Common Metrics and Consistent Reporting of Sustainable Value Creation*. Access date: 24 November 2020. Accessible via: http://www3.weforum.org/docs/WEF_IBC_ESG_Metrics_Discussion_Paper.pdf

[14] Bertho, F., 2020. *Presentation of the Institutional Profiles Database 2012 (IPD 2012)*. Access date: 24 November 2020. Accessible via: http://www.cepii.fr/institutions/doc/IPD_2012_cahiers-2013-03_EN.pdf

26.	The way in which these frameworks informed the structure and scoring system of the STAF is summarized in chapter 4.1 and annex 1.

27.	The way in which these frameworks informed the application procedure of the STAF is summarized in chapter 4.2 and annex 2.

28.	Chapter 4.3 describes in detail specific inputs that were used to design the questions of components.

29.	The way in which these frameworks informed the choice of government capacity attributes and sustainability transition features is summarized in annex 3.

### 4.1	Inputs used to inform the structure and scoring system of the framework

Bellagio Sustainability Assessment and Measurement Principles (STAMP)

30.	The overall content and application procedure of the STAF were informed by the Bellagio STAMP. These are an update of the 1997 Bellagio principles, which served as a first basis for indicator systems on socio-economic and environmental concerns of sustainable development. The eight principles were developed by experts:

1. Guiding vision
2. Essential considerations
3. Adequate scope
4. Framework and indicators
5. Transparency
6. Effective communications
7. Broad participation
8. Continuity and capacity

Framework for Assessing and Monitoring Forest Governance (FAMFG)

31.	The FAMFG facilitates the description, diagnosis, monitoring, assessment and reporting on the state of governance in a country's forest sector. The FAMFG is the product of a coordinated effort by the EU, the Food and Agriculture Organization of the United Nations (FAO), key international forestry organizations, experts and practitioners from potential user countries, the Swedish International Development Cooperation Agency and the World Bank. The FAMFG was developed following field tests in Burkina Faso, Uganda and Russia, and case studies on the FAMFG's application exist for Indonesia, Tanzania, Ecuador, Liberia and Uganda.

32.	The FAMFG's structure informed the overall structure of the STAF:

- FAMFG consists of two assessment dimensions similar to the STAF's attributes and features.
- The assessment is layered similar to the STAF's criteria and questions.
- The answer system is cumulative and multiple choices are provided.
- The questions are accompanied by guidance notes on their importance and how to interpret them.

Common Assessment Framework (CAF)

33.   The CAF is an easy-to-use quality management and self-assessment tool developed for the public sector. Self-assessment results in diagnosis, definition of improvement actions and learning by the public sector organizations involved in the exercise. The CAF was designed to assists public sector organizations across Europe at all governance levels (national/ federal, regional and local) in improving their performance. Since 2000, nearly 2000 European public sector organizations have used the framework[15].

34.   The approach behind the CAF informed the STAF in the following ways:

- CAF's builds on two assessment dimensions similar to the STAF's attributes and features.
- Scoring is cumulative.
- The questions are accompanied by guidance notes on their importance and how to interpret them.

The WB Country Policy and Institutional Assessment (CPIA)

35.   The World Bank's CPIA is guiding the resource allocation of the International Development Association (IDA). The assessment is conducted annually and covers all IDA eligible countries. The CPIA contains a set of four clusters equipped with 16 criteria (Tab 3). The criteria are scored on a scale of 1-6 using qualitative indicators.

Table 3. CPIA clusters and criteria**Cluster**	**Criterion**
Economic management	Debt policy
	Fiscal policy
	Macroeconomic management
Structural policies	Business regulatory environment
	Financial sector
	Trade
Policies for social inclusion and equity	Policy and institutions for environmental sustainability
	Gender equality
	Building human resources
	Equity of public resource use
	Social protection
Public sector management and institutions	Quality of budgetary and financial management
	Quality of public administration
	Property rights and rule-based governance
	Efficiency of revenue mobilization
	Transparency, accountability, and corruption in the public sector

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[15] European Institute of Public Administration (EIPA), 2020. European CAF Resource Center. Access date: 05 October 2020. Accessible via: https://www.eipa.eu/portfolio/european-caf-resource-centre/

4.2 Inputs used to inform the application procedure of the framework

Common Assessment Framework (CAF)

36.   The CAF's guidelines on applying the framework describe a ten-step procedure for self-assessment and -improvement that is very similar to that of the STAF. For more details on how the CAF informed the guidelines of the STAF please refer to annex 2.

4.3 Inputs used to inform the content of the components

37.   The content of all components was informed by the political framework on the EU level, i.e. EU legislation and policies. An overview of this political framework for each component is provided in the components' guidance. In addition, some components were developed using very specific references. These are elaborated upon in the following.

STAF component on behavioral policy

38.   An important input for the component on behavioral policy was the Behavioral Insights Applied to Policy publication[16]. This holds account of institutional developments regarding the policy application of behavioral insights by analyzing six dimensions:

1. Political support
2. Resources
3. Expertise
4. Coverage
5. Integration
6. Structure

STAF component on distributional impact

39.   Distributional considerations concern the extent to which governments are equipped to

1. assess,
2. acknowledge, consult, communicate and
3. address

the uneven impacts that sustainability policy reforms have on people. These three pillars were considered throughout the component.

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[16] European Commission (EC), 2016. Behavioural Insights Applied to Policy. European Report 2016. Access date: 30 July 2020. Accessible via:
https://publications.jrc.ec.europa.eu/repository/bitstream/JRC100146/kjna27726enn_new.pdf

STAF component on fiscal policy

40.   This component uses an analytical framework in which environment-related taxes impacting sustainability are distributed across three dimensions. The analytical framework is simple to learn and highly applicable to many governance contexts. The three dimensions are:

1. Taxation of durables
2. Pigouvian taxation
3. Taxation of innovation

41.   The first two dimensions are directly represented in the framework by two criteria under the policy instruments attribute.

STAF component on land administration

42.   The questions of the land administration component were inspired by two inputs:

- Land Governance Assessment Framework (LGAF) [17]

43.   From an international perspective, the United Nations Economic Commission for Europe (UNECE), the World Bank and Food and Agriculture Organization of the United Nations (FAO) have championed the development of guidelines for creating robust and comprehensive land administration systems [18]. These guidelines are oriented towards countries developing their land administration systems or transitioning from earlier socialist economies.

44.   While the 1996 guidelines set out comprehensive guidelines for establishing land administration systems, the earliest attempt to produce a systematic land governance assessment framework was the Land Governance Assessment Framework (LGAF) which was first developed in 2009, and later upgraded and standardized in 2013. The 2013 version brought the assessment tool closer in line with the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests (VGGT) [19].

45.   It is a diagnostic instrument to assess the state of land governance at the national or sub-national level. It relies very much on local experts investigating, assessing and reporting the quality of land governance using a prescribed template and a set of specific indicators, grouped into different themes. Its aim is to inform policy dialogue. It could be at a subnational or national level.

46.   Precisely, there are 116 dimensions distributed among nine groups: i) land tenure recognition, ii) rights to forest and common lands and rural land use regulations, iii) urban land use, planning and development, iv) public land management, v) transparent process and

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[17] The World Bank, 2009. *The Land Governance Assessment Framework*. Access date: 19 November 2020. Accessible via: https://www.worldbank.org/en/programs/land-governance-assessment-framework

[18] United Nations Economic Commission for Europe (UNECE), 1996. *Land Administration Guidelines (with special reference to countries in transition)*. Access date: 19 November 2020. Accessible via: https://www.unece.org/fileadmin/DAM/hlm/documents/Publications/land.administration.guidelines.e.pdf

[19] The Food and Agriculture Organization of the United Nations (FAO), 2012. *Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security*. Access date: 19 November 2020. Accessible via: http://www.fao.org/3/i2801e/i2801e.pdf

economic benefit, vi) public provision of land information: registry and cadaster, vii) land valuation and taxation, viii) dispute resolution, ix) review of institutional arrangements and policies.

47.   Each of the 116 dimensions are rated on a four-point scale (from good to weak practice). Expert panels rate these dimensions by selecting an appropriate answer among a list of pre-coded statements that draw on global experience.

48.   A total of 38 LGAF assessments have been published, of which 24 are in Africa, 4 in Eastern and Central Europe; of which only one is in an MS, however there have been no new LGAF published since the end of 2017.

49.   The detailed questionnaire that it uses was reviewed as part of this project and with the emphasis on customary land and the introduction of land governance systems; however, *per se* it is not suitable for an EU MS land administration assessment.

- The World Bank "Doing Business" annual survey[20]

50.   The World Bank "Doing Business" annual survey considers both registering property and construction permits using a number of clearly defined and specific indicators. While the indicators refer to very specific transactions within the capital city, they do provide insight into how countries perform comparatively on these particular metrics and also the patterns that emerge.

51.   This survey methodology has been applied in over 190 countries and is updated annually, allowing comparisons across regional economies and also tracking how countries are improving.

STAF component on public expenditure

52.   The component assesses the extent to which sustainable transition objectives and considerations have been integrated into the dimensions and functional operation of the government's expenditure management cycle. The expenditure management cycle covers from planning and budgeting to procurement, execution and evaluation, defining procedures, rules, and processes, in order to achieve these outcomes (Fig 6).

Figure 5. Expenditure management cycle in the context of sustainability transitions

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[20] The World Bank, 2020. *Doing Business*. Access date: 19 November 2020. Accessible via: https://www.doingbusiness.org/

Fiscal & Budget Strategic Planning
-MTFF/MTEF
-Sustainable development programmes

Monitoring & Evaluation
-Ex-post evaluation: environmental/ climate impacts
-Performance monitoring
-Accountability reports

Sustainability Transition Strategies

Public Financial Management
-Green budgeting
-Climate finance

Budget Implementation
- Green public procurement

Public Investment Management
- Ex-ante evaluation: externalities/ social discount
- Asset management

STAF component on strategic communication

53.   The assessment of this component was based on five pillars of strategic communication:

1. Strategy building
    a. Objectives
    b. Messaging
    c. Defining the audience
    d. Timing
2. Resources
    a. Staff
    b. Structure
    c. Cross-departmental cooperation
    d. Management buy-in
    e. Budget
3. Target audiences
    a. Focus groups
    b. Consultations
    c. Working groups
    d. Partnerships and third-party endorsements
4. Content/Outputs
    a. Access to information
    b. Products/Channels
    c. Press strategy
5. Measurement
    a. Tools
    b. Measurement
    c. Evaluation

STAF component on water

The questions of the water component were inspired by two inputs:

- The OECD water governance principles[21]

54.   OECD has proposed 12 indicators to assess water governance principles. The aim of these indicators is to evaluate the contribution of the water sector to sustainable, integrated, inclusive, cost-efficient and timely public policies to alleviate burdens from too much, too little or too polluted water. These indicators are built upon three complementary dimensions of water governance: Effectiveness principles (indicators 1 to 4), efficiency (indicators 5 to 8), trust and engagement (indicators 9 to12) and around universally valid good governance principles such as legitimacy, transparency, accountability, human rights, rule of law and inclusiveness. Each principle has between four and seven lines of action to implement the principle in practice (Tab 4).

Table 4. OECD water governance principles and corresponding lines of action

Principle	Topics of the lines of action
1) Clearly allocate and distinguish **roles and responsibilities** for water policymaking, policy implementation, operational management and regulation, and foster co-ordination across these responsible authorities.	To that effect, legal and institutional frameworks should: a) Specify the allocation of roles and responsibilities b) Help identify and address gaps, overlaps and conflicts of interest
2) **Manage water at the appropriate scale(s)** within integrated basin governance systems to reflect local conditions, and foster co-ordination between the different scales.	To that effect, water management practices and tools should: a) Respond to long-term environmental, economic and social objectives b) Encourage a sound hydrological cycle management c) Promote adaptive and mitigation strategies, action programs and measures based on clear and coherent mandates d) Promote multi-level co-operation among users, stakeholders and levels of government e) Enhance riparian co-operation on the use of transboundary freshwater resources
3) **Encourage policy coherence** through effective cross-sectoral co-ordination, especially between policies for	a) Encouraging co-ordination mechanisms to facilitate coherent policies b) Fostering coordinated management of use, protection and clean-up of water resources

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[21] Organisation for Economic Cooperation and Development (OECD), 2015. *OECD Principles on Water Governance*. Access date: 07 August 2020. Accessible via:
https://www.oecd.org/cfe/regionaldevelopment/OECD-Principles-on-Water-Governance-en.pdf

Principle	Topics of the lines of action
water and the environment, health, energy, agriculture, industry, spatial planning and land use through:	c) Identifying, assessing and addressing the barriers to policy coherence from practices, policies and regulations within and beyond the water sector d) Providing incentives and regulations to mitigate conflicts among sectoral strategies
4) Adapt **the level of capacity of responsible authorities** to the complexity of water challenges to be met, and to the set of competencies required to carry out their duties, through:	a) Identifying and addressing capacity gaps to implement integrated water resources management b) Matching the level of technical, financial and institutional capacity in water governance systems to the nature of problems and needs c) Encouraging adaptive and evolving assignment of competences upon demonstration of capacity d) Promoting hiring of public officials and water professionals that uses merit-based, transparent processes and are independent from political cycles e) Promoting education and training of water professionals
5) Produce, update, and share timely, consistent, comparable and policy-relevant **water and water-related data and information**, and use it to guide, assess and improve water policy, through:	a) Defining requirements for cost-effective and sustainable production and methods for sharing high quality water and water-related data and information b) Fostering effective co-ordination and experience sharing among organizations and agencies producing water-related data between data producers and users, and across levels of government c) Promoting engagement with stakeholders in the design and implementation of water information systems d) Encouraging the design of harmonized and consistent information systems at the basin scale e) Reviewing data collection, use, sharing and dissemination to identify overlaps and synergies and track unnecessary data overload
6) Ensure that governance arrangements help **mobilize water finance** and allocate financial resources in an efficient, transparent and timely manner, through:	a) Promoting governance arrangements that help water institutions across levels of government raise the necessary revenues to meet their mandates b) Carrying out sector reviews and strategic financial planning to assess short, medium- and long-term investment and operational needs c) Adopting sound and transparent practices for budgeting and accounting d) Adopting mechanisms that foster the efficient and transparent allocation of water-related public funds e) Minimizing unnecessary administrative burdens
7) Ensure that sound water management **regulatory frameworks**	a) Ensuring a comprehensive, coherent and predictable legal and institutional framework

Principle	Topics of the lines of action
are effectively implemented and enforced in pursuit of the public interest, through:	b) Ensuring that key regulatory functions are discharged across public agencies, dedicated institutions and levels of government c) Ensuring that rules, institutions and processes are well-coordinated, transparent, non-discriminatory, participative and easy to understand and enforce d) Encouraging the use of regulatory tools (evaluation and consultation mechanisms) e) Setting clear, transparent and proportionate enforcement rules, procedures, incentives and tools f) Ensuring that effective remedies can be claimed through non-discriminatory access to justice
8) Promote the adoption and implementation of **innovative water governance practices** across responsible authorities, levels of government and relevant stakeholders, through:	a) Encouraging experimentation and pilot-testing on water governance b) Promoting social learning to facilitate dialogue and consensus-building c) Promoting innovative ways to co-operate, to pool resources and capacity, to build synergies across sectors and search for efficiency gains d) Promoting a strong science-policy interface
9) Mainstream **integrity and transparency** practices across water policies, water institutions and water governance frameworks for greater accountability and trust in decision-making, through:	a) Promoting legal and institutional frameworks that hold decision-makers and stakeholders accountable b) Encouraging norms, codes of conduct or charters on integrity and transparency c) Establishing clear accountability and control mechanisms d) Diagnosing and mapping on a regular basis existing or potential drivers of corruption and risks e) Adopting multi-stakeholder approaches, dedicated tools and action plans to identify and address water integrity and transparency gaps
10) Promote **stakeholder engagement** for informed and outcome-oriented contributions to water policy design and implementation, through:	a) Mapping public, private and non-profit actors b) Paying special attention to under-represented categories c) Defining the line of decision-making and the expected use of stakeholders' inputs d) Encouraging capacity development of relevant stakeholders e) Assessing the process and outcomes of stakeholder engagement to learn, adjust and improve accordingly f) Promoting legal and institutional frameworks, organizational structures and responsible authorities that are conducive to stakeholder engagement g) Customizing the type and level of stakeholder engagement to the needs and keeping the process flexible to adapt to changing circumstances

Principle	Topics of the lines of action
11) Encourage water governance frameworks that help **manage trade-offs** across water users, rural and urban areas, and generations, through:	a) Promoting non-discriminatory participation in decision-making b) Empowering local authorities and users to identify and address barriers to access quality water services and resources c) Promoting public debate on the risks and costs associated with too much, too little or too polluted water d) Encouraging evidence-based assessment of the distributional consequences of water-related policies
12) Promote regular **monitoring and evaluation** of water policy and governance where appropriate, share the results with the public and make adjustments when needed, through:	a) Promoting dedicated institutions for monitoring and evaluation b) Developing reliable monitoring and reporting mechanisms c) Assessing to what extent water policy fulfils the intended outcomes d) Encouraging timely and transparent sharing of the evaluation results and adapting strategies as new information become available.

55.   As there cannot be a single, uniform policy response to the water challenges worldwide, the principles offer a starting point for more country-specific action, the design and implementation of national (and sub-national) policies that fit the context. The principles are relevant for all levels of government and do not distinguish between water management functions (e.g. drinking water supply, sanitation, flood protection), water uses (e.g. domestic, industry) or water ownership (e.g. public, private, mixed).

56.   The principles are widely recognized and strongly linked to sustainability and governance in the sector. They informed the choice of key and sub- questions.

- The United Nations Environment Programme (UNEP) Country Questionnaire for Indicator 6.5.1 of the Sustainable Development Goal (SDG)[22]

57.   Target five of the sixth SDG aims at implementing integrated water resources management (IWRM) at all levels, including through transboundary cooperation, by 2030. In order to measure progress in reaching this target, there are two indicators on IWRM and transboundary basin area with an operational arrangement for water cooperation. To evaluate the indicator on IWRM, there is a questionnaire with four sections that cover the four key components of IWRM for the national and sub-national/ basin/ local and transboundary level (Tab 5). The questions are scored on an eleven-grade cumulative scale (10-point increments) from 0-100, guided by descriptions.

58.   The SDG and corresponding indicator system are widely recognized and strongly linked to sustainability. They informed the choice of key- and sub questions and answers.

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[22] United Nations Environment Programme (UNEP), 2018. *Country Questionnaire for Indicator 6.5.1*. Access date: 07 August 2020. Accessible via: http://iwrmdataportal.unepdhi.org/aboutsdg651

Table 5. UNEP IWRM components and sub-question topics

Component	Sub-question topic
Enabling environment Creating the conditions that help to support the implementation of IWRM, which includes the most typical policy, legal and strategic planning tools for IWRM.	• National water resources policy, or similar • National water resources law(s) • National integrated water resources management (IWRM) plans, or similar • Sub-national water resources policies or similar • Basin/aquifer management plans or similar, based on IWRM • Arrangements for transboundary water management in most important basins / aquifers • Provincial/state water resources laws.
Institutions and participation The range and roles of political, social, economic and administrative institutions and other stakeholder groups that help to support the implementation of IWRM.	• National government authorities' capacity for leading implementation of national IWRM plans or similar • Coordination between national government authorities representing different sectors on water resources, policy, planning and management • Public participation in water resources, policy, planning and management at national level • Business participation in water resources development, management and use at national level • Gender-specific objectives for water resources management at national level • Developing IWRM capacity at the national level • Basin/aquifer level organizations for leading implementation of IWRM plans or similar • Public participation in water resources, policy, planning and management at the local level • Gender-specific objectives at sub-national levels • Gender-specific objectives and plans at transboundary level • Organizational framework for transboundary water management for most important basins / aquifers • Provincial / State authorities responsible for water resources management

Component	Sub-question topic
Management instruments The tools and activities that enable decision-makers and users to make rational and informed choices between alternative actions.	• National monitoring of water availability (includes surface and/or groundwater, as relevant to the country) • Sustainable and efficient water use management from the national level, (includes surface and/or groundwater, as relevant to the country) • Pollution control from the national level • Management of water-related ecosystems from the national level • Management instruments to reduce impacts of water-related disasters from the national level • Basin management instruments • Aquifer management instruments • Data and information sharing within countries at all levels • Transboundary data and information sharing between countries
Financing instruments Budgeting and financing made available and used for water resources development and management from various sources.	• National budget for investment including water resources infrastructure • National budget for the recurrent costs of the IWRM elements • Sub-national or basin budgets for investment including water resources infrastructure • Revenues raised from dedicated levies on water users at basin, aquifer or sub-national levels • Financing for transboundary cooperation

59. The STAF offers a tool to MS to assess and contribute to the improvement of their capacity to support sustainability transitions. While its immediate goal is to enhance the effectiveness of CP resources during the 2021-2027 cycle, STAF also allows MS to identify capacity gaps in the design and implementation of their own sustainability-oriented policies and investments. Following the development of the STAF, including assessment /rating tools and guidance notes, two EU MS will be identified in which to apply and pilot the STAF, following the six-step procedure assessment process (as outlined in the EU STAF guidelines). The assessment results offer the starting point for the development of improvement plans to effectively enhance governmental capacity for sustainability transitions.

Annex 1: Inputs used to inform the structure and scoring system of the framework

Bellagio Sustainability Assessment and Measurement Principles (STAMP)

Table 6 provides a description of the Bellagio STAMP and how they influenced the STAF.

Table 6. STAMP principles and how they influenced the STAF

Bellagio STAMP	STAF
1. Guiding vision Assessment of progress toward sustainable development will be guided by the goal of delivering well-being within the capacity of the biosphere to sustain it for future generations.	The guiding vision of the STAF is the PO2.
2. Essential considerations Assessment of progress toward sustainable development will consider: - The underlying social, economic and environmental system as a whole and the interactions among its components, including issues related to governance; - Dynamics and interactions between current trends and drivers of change; - Risks, uncertainties, and activities that can have an impact across boundaries; - Implications for decision making, including trade-offs and synergies.	- The framework heavily stresses governance, as it aims to assess government capacity to implement sustainability transitions, which are themselves trends and drivers of change. - All components were designed to address social, economic and environmental concerns. Some components focus more on certain concerns than others, e.g. the component on biodiversity focuses more on environmental concerns, whereas the component on tax policy focuses more on economic concerns. - Risks and uncertainties are considered in the component on disaster risk management, and all components consider from the subnational to the international cross-border context, where applicable. - "Trade-offs and synergies" is one of the features of sustainability transitions.
3. Adequate scope Assessment of progress toward sustainable development will adopt: - An appropriate time horizon to capture both short- and long-term effects of current policy decisions and human activities; - An appropriate geographical scope.	- "Long-term horizon" is one of the features of sustainability transitions. - All frameworks consider from the subnational to the international cross-border context, where applicable.
4. Framework and indicators	- The conceptual framework identified five domains (attributes) for government

Bellagio STAMP	STAF
Assessment of progress toward sustainable development will be based on: - A conceptual framework that identifies the domains within which core indicators to assess progress are to be identified; - Standardized measurement methods wherever possible, in the interest of comparability; - Comparison of indicator values with targets, as possible.	capacity and five domains (features) for sustainability transitions. The shared criteria and questions which form part of nearly all components serve as core indicators to assess progress in building government capacity. - Standardized measurement is provided in the form of the six-graded answer system that is applied to all components. - As the answering system is cumulative, the best scoring answers provide target values the MS should aspire to achieve.
5. Transparency Assessment of progress toward sustainable development will: - Ensure the data, indicators and results of the assessment are accessible to the public; - Explain the choices, assumptions and uncertainties determining the results of the assessment; - Disclose data sources and methods; - Disclose all sources of funding and potential conflicts of interest.	- The EC and MS are encouraged to make the results reports produced as part of the assessment, including the evidence that backs up the results, publicly accessible.
6. Effective communications In the interest of effective communication, to attract the broadest possible audience and minimize the risk of misuse, assessment of progress toward sustainable development will: - Use clear and plain language; - Present information in a fair and objective way that helps to build trust; - Use innovative visual tools and graphics to aid interpretation and tell a story; - Make data available in as much detail as is reliable and practicable.	- The questions were designed using the most objective format, clear and plain language possible. - The results reports, if made publicly available, should be elaborated by a specialized communications team and thus include appropriate visual tools and levels of technical detail.
7. Broad participation To strengthen its legitimacy and relevance, assessment of progress toward sustainable development should: - Find appropriate ways to reflect the views of the public, while providing active leadership;	- The application procedure of the STAF is based on broad participation of government institutions. - The MS should apply the STAF to the best of their knowledge, thus reflecting the views of the public appropriately and where applicable.

Bellagio STAMP	STAF
- Engage early on with users of the assessment so that it best fits their needs.	- The pilots assure the STAF is refined with the end-users of the assessment.
8. <u>Continuity and capacity</u> Assessment of progress toward sustainable development will require: - Repeated measurement; - Responsiveness to change; - Investment to develop and maintain adequate capacity; - Continuous learning and improvement.	- Repeated measurement, ownership of the STAF and its results are strongly encouraged, as demonstrated in the STAF's application. - The purpose of the STAF is to benchmark, develop and maintain government capacity in the context of continuous learning and improvement.

Framework for Assessing and Monitoring Forest Governance (FAMFG)

The FAMFG's structure is similar to the overall structure of the sustainability transitions framework: It consists of two dimensions: <u>pillars</u> and <u>principles</u> of good forest governance, which, respectively, correspond to the attributes and features of the sustainability transitions framework (see annex 3 for more detail). Each pillar is composed of three to five <u>components</u>, similar to the sustainability transitions framework's criteria, and assessed by four to eight <u>sub-components</u>, similar to the sustainability transitions framework's key-questions, with respective <u>indicators</u>, similar to the sustainability transitions framework's sub-questions. The questions' multiple-choice answer system outlines different conditions that may prevail in the assessment context, from non-desirable to desirable. In addition, the questions are accompanied by <u>rationales</u> on why they are relevant and <u>notes</u> on how to choose the correct and best-fitting answer, exactly as in the case of the sustainability transitions framework.

Differently from the STAF, the FAMFG does not require all sub-components (i.e. key questions) and indicators (i.e. sub-questions) to be entirely addressed. It instead encourages FAMFG users to select a subset of these according to the country context. Also, the indicators do not follow a scoring standard: Questions lead to two to five possible answers, and these are not automatically assigned a score, nor are the results summarized into average scores automatically.

Common Assessment Framework (CAF)

The CAF consists of five <u>enabler</u> and four <u>results criteria</u> (see annex 3 for more detail) connected by a cause-effect relationship similar to link between attributes and features in the STAF. The five enabler criteria focus on managerial practices, determining how organizations approach tasks to achieve results. The four results criteria focus on perceptions of public action and internal performance indicators. Each of the nine criteria is further broken down into a list of <u>sub-criteria</u> (28 in total), which are illustrated by examples/ best practices and accompanied by a description/ rationale. The assessor evaluates whether similar best practices exist in their context and assigns a discrete score between 0-100 in one of six categories: 0-10, 11-30, 31-50, 51-70, 71-90 and 91-100. This is different from the STAF, which question and answer system is highly customized, automatically assigns one discrete score to each possible answer and only evaluates government capacity attributes but not sustainability transition features *per se*.

Scoring for the enabling criteria is based on the cumulative PDCA cycle: Plan, do, check, act. It is cumulative because e.g. checking comes after doing, and doing comes after planning. Scores are assigned accordingly, i.e. higher scores indicate further progress in the PDCA cycle. The same is the case in the STAF, in which higher scores indicate better government capacity, and conditions of one score imply conditions of the previous score have been fulfilled.

The WB Country Policy and Institutional Assessment (CPIA)

The World Bank's CPIA scores the criteria on a scale of 1-6 using qualitative indicators that outline from non-desirable to desirable conditions.

Conclusions

Using layered questionnaires and qualitative indicator systems as in the case of FAMFG and CAF have several advantages:

- **In-depth assessment**
  As the assessment goes into more and more level of detail as the respondents first address the attribute, then the key-question and finally the sub-question, they get familiarized with the assessment content in a step-by-step procedure. This assures they understand the meaning of the questions well, which reduces subjective error in the allocation of scores.

- **Meaningful comparability**
  Including different layers of detail allows for some criteria, key- and sub-questions to be shared across components. This would not be possible if the assessment was based on purely individual, component-specific questions. The shared criteria, key- and sub-questions in turn allow for results to be summarized across components and e.g. analyze government capacity on transparency (a shared criterion of accountability) across sectors.

- **Suggestions for improvement**
  The cumulative indicators/ answer system readily provides the MS with suggestions on how they can improve their government capacity, as the answers higher up on the scoring scale provide suggestions for improvement.

Using a scale of 1-6 has several advantages:

- **In-depth assessment**
  The 1-6 scale provides sufficient granularity compared to e.g. a 1-3 scale. Thereby, the STAF does justice to the heterogeneity of MS conditions.
  Also, there is no middle score (as would four be on a scale of 1-7). This way, respondents must express preference for whether a certain government capacity exists or not, look at the questions in detail and collect good evidence.

- **Easy interpretation**
  The assessment results are quantitative and granular due to the 1-6 scale. They can thus be visualized on figures such as spider graphs and highlighted on a traffic-light scale, thereby easily highlighting pain-points
  Because the assessment results are quantitative they can also be easily computed and summarized by taking averages at the level of detail required (e.g. sub-question averages, key-question (i.e. attribute) averages, component averages and entire STAF averages).

- **Meaningful comparability**
  The assessment results are quantitative and thus easily comparable across countries and repeated assessments.

Annex 2: Inputs used to inform the application procedure of the STAF

Common Assessment Framework (CAF)

Although not so similar in its structure to the STAF, the CAF provided the greatest input to the guidelines on applying the framework, as it offers a detailed ten-step procedure for self-assessment and -improvement that shall be conducted in three months (Tab 7). Almost all steps, apart from step 10 (planning the next self-assessment) were considered in the STAF.

Table 7. The ten steps for employing the CAF and important inputs they provided for the STAF

Step	Important inputs for the sustainability transitions framework

1. **Decide how to organize and plan the self-assessment**	• The success of the self-assessment depends on the high-level <u>commitment and shared ownership</u> of the senior management and the people of the organization.
	• Commitment and ownership depend on a <u>clear management decision backed-up by pre-assessment consultations with the stakeholders</u> of the organization.
	• A clear management decision implies the management is willing to be <u>actively involved</u> in the assessment, that it <u>provides the resources</u> necessary for the assessment, recognizes the <u>added value</u> of all results and has the <u>ambition to improve</u> taking the results as a starting point.
	• An <u>assessment leader</u> should be appointed by the management.
	• The <u>assessment leader</u> should have the following <u>qualifications</u>:
	    ○ In-depth knowledge of the organization
	    ○ Profound understanding of the assessment framework
	    ○ Experience in facilitating self-assessment or similar processes
	    ○ Confidence of senior management upstream and people within the organization downstream

2. **Communicate the self-assessment project**	• Clear and appropriate <u>communication plan</u> targeted at all stakeholders to assure full involvement and commitment.
	• <u>Communication</u> should cover:
	    ○ Purpose and activities of the self-assessment
	    ○ How the assessment can make a difference
	    ○ Why the assessment has been prioritized
	    ○ How the assessment is connected to the strategic planning of the organization
	• The <u>communication plan</u> should detail, the target audience, message, medium, sender, frequency and timing of communication.

3. **Compose one or more self-assessment groups**	• The <u>group(s)</u> should comprise different sectors and functions, experience and levels. • The group(s) should be both effective and be able to provide an accurate and detailed internal perspective.

Step	Important inputs for the sustainability transitions framework
	• Participants should have professional and personal skills (e.g. analytical and communicative skills) and a profound knowledge of the organization. • Participants can be volunteers, but the leader and management take responsibility for the quality of the group's composition. • The leader can also be the chair of the group. • The chair should not have conflicting interest and be trusted by all the members of the group. The group can appoint the chair. • The chair should have a secretariat to e.g. organize meetings and provide communication support.
4. Organize training for the self-assessment groups	• The purposes and nature of the self-assessment process should be explained to the group. • A consensus has to be reached on how to evaluate evidence of strengths and areas for improvement and how to assign scores.
5. Undertake the self-assessment	• First, individual assessments are undertaken by each member of the group. These are backed up by evidence. Areas for improvement should be highlighted and detailed precisely to formulate concrete actions later on. • The chair should be available to the individual assessors during their assessment exercise. • The chair organizes the findings of the members and a consensus meeting. • Second, a group consensus is found in a four-step procedure: 1. Presentation of all evidence. 2. Reaching a first consensus. 3. Presentation of the range of individual scores. 4. Reaching the final consensus. The chair facilitates consensus finding.
6. Draw up a report describing the results of self-assessment	• Minimum elements include strengths and areas for improvement and accompanying evidence. • Senior management should endorse the report. • The main results should be communicated to the stakeholders and people of the organization.
7. Draft an improvement plan	• Management should: 1. Prioritize areas for improvement 2. Collect ideas for improvement based on the self-assessment report. 3. Formulate actions based on the ideas taking into account the strategic objectives of the organization. 4. Prioritize actions using criteria (e.g. impact on stakeholders, impact on the organization, visibility, ease of implementation) to calculate their impact (low, medium, high) in the improvement

Step	Important inputs for the sustainability transitions framework
	areas. Actions with immediate return on time and training investment provide a good incentive to continue. 5. Define responsibilities, a time schedule and milestones as well as resources for each action. People who were involved in the self-assessment may be highly motivated and become ambassadors for improvement.
8. Communicate the improvement plan	See step 2 • The self-assessment report can be made available to the whole staff. • The report should celebrate success, highlight areas for improvement and describe planned actions
9. Implement the improvement plan	• Monitoring of the implementation of the action of the improvement plan should take place. • Clear roles and responsibilities should exist for the actions of the plan.
10. Plan next self-assessment	• Ex-post evaluation of assessment-inspired changes and whether they bring about the desired results and have no negative side-effects.

The CAF also delineates the different actors which should be involved in the assessment, their relationships and functions (Tab 8). Given the STAF is cross-sectoral, it contains one additional level of hierarchy. Precisely, management corresponds to the steering committee members, the leader and group chair corresponds to the representatives of the sectoral institutions, and the participants correspond to the respondents.

Table 8. The different actors and their functions in the assessment process

Actor	Functions
Management	• Decides to implement the assessment • Provides the necessary resources • Appoints the assessment leader • Endorses the assessment report • Prioritizes areas for improvement • Collects ideas for improvement • Formulates actions • Prioritizes actions • Defines responsibilities
Leader	• Plans the assessment • Communicates and consults with stakeholders • Organizes training of the self-assessment group • May select the participants in the groups • Actively participates in the self-assessment group (may be the chair) • Facilitates the consensus-process • Edits the self-assessment report • Supports the management in prioritizing actions and outlining an action plan
Group chair	• Is available for consultation by the group members

	• Organizes the findings of the members
	• Organizes the consensus meeting
Group(s)	• Arrive at a consensus
Participants	• Undertake individual assessments and collect evidence
	• Arrive at a consensus
Secretariat	• Supports the chair e.g. organizing meetings and providing communication support

Annex 3: Inputs used to inform the choice of government capacity attributes and sustainability transition features

The choice of government capacity attributes and sustainability transition features is based on three main considerations and a review of similar assessments (Tab 9):

- **Level of detail and practicability:** The number of government capacity attributes and sustainability transition features has to be both sufficient to comprehensively analyze government capacity to implement sustainability transitions and be practicable to guarantee the framework is understood and applied rigorously given the institutional resources available in the 27 MS. Therefore, five government capacity attributes and five sustainability transition features, i.e. 10 elements in total, were chosen.

- **Sustainability transition features:** The European Environment Agency (EEA) defines sustainability transitions as "*long-term, society-wide processes that depend critically on the emergence and spread of diverse forms of innovation that trigger alternative ways of thinking and living – new social practices, technologies, business models, nature-based solutions and so on*"[23]. This definition gave directly rise to the features "long-term horizon" and "social inclusion and buy-in".
  Moreover, the EEA refers to sustainability transitions as very uncertain processes, which require a mixture of top-down and bottom-up efforts, thrive on actions coordinated between policy areas and government levels, and benefit from the participation of all stakeholders. Importantly, sustainability transitions bare economic and social trade-offs, and in spite of their proven benefits are not always automatically favored, as socio-economic, technological, institutional and cultural elements may pose barriers to their implementation[24]. This has led to the inclusion of the features "trade-offs and synergies" and "evidence-based".
  The feature "resources" was also considered as it is a prominent element included in many assessment frameworks (Tab 9) and fundamentally cross-cutting in its nature, i.e. influences the extent to which governments have the capacity to perform well in the attributes on leading, coordinating, designing adequate strategies and legal frameworks, policy instruments and accountability mechanisms in support of sustainability transitions.

- **Context-specificity:** Importantly, the nuances of each of the five government capacity attributes in the context of each framework component are defined in their respective guidance document.

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[23] European Environmental Agency (EEA), 2019. *From Words to Action: How Can EU Policy Drive Sustainability Transitions?* Access date: 20 April 2020. Accessible via: https://www.eea.europa.eu/themes/sustainability-transitions/how-can-eu-policy-drive-1/from-words-to-action-how/view

[24] European Environmental Agency (EEA), 2019. *From Words to Action: How Can EU Policy Drive Sustainability Transitions?* Access date: 20 April 2020. Accessible via: https://www.eea.europa.eu/themes/sustainability-transitions/how-can-eu-policy-drive-1/from-words-to-action-how/view

Assessment	Description	Representation of their elements in the STAF
Organization for Economic Cooperation and Development (OECD), (2018). *Policy Coherence for Sustainable Development 2018. Towards Sustainable and Resilient Societies*. OECD Publishing.	The publication defines eight building blocks of policy coherence for sustainable development (PCSD) in relation to the Sustainable Development Goal (SDG) target 17.14 which calls on all countries to enhance policy coherence for sustainable development. Moreover, the publication presents a framework for measuring PCSD progress, which focuses on three attributes (a-c).	The eight principles and three attributes are clearly represented in the government capacity attributes and sustainability transition features, although from a different angle, as the stress of the STAF is not policy coherence, but sustainability transitions, which may require paradigm shifts as opposed to policy coherence. Three PCSD building blocks (policy integration, effects and coordination) are resumed in the STAF attribute "policy instruments".

PCSD elements	STAF government capacity attributes	STAF sustainability transition features
1. Political commitment	Leadership; Strategy and legal framework	-
2. Policy integration	Policy instruments	Trade-offs and synergies
3. Policy effects	Policy instruments	Evidence-based
4. Long-term planning horizons	-	Long-term horizon
5. Policy and institutional coordination	Policy instruments; Coordination	-
6. Subnational and local involvement	Coordination	-
7. Stakeholder engagement	-	Social inclusion and buy-in
8. Monitoring and reporting	Accountability	Evidence-based
a) Institutional mechanisms	Leadership; Coordination	
b) Policy interactions	Policy instruments; Coordination	Trade-offs and synergies
c) Policy effects	-	Social inclusion and buy-in

Assessment	Description	Representation of their elements in the STAF
European Public Administration Network (EPAN),	The CAF is a quality management and self-assessment tool which assists	Four of the five enabler criteria are clearly represented in the government capacity attributes. The enabler criteria on "people" is represented in the sustainability transition feature "resources". People are more important for the

2013. *The Common Assessment Framework (CAF). Improving Public Organisations through Self-Assessment.* EPAN.	public sector organizations across Europe and at all levels (national/ federal, regional and local) in improving their performance, whether related to implementing the sustainability agenda or not. The CAF's consists of two dimensions, five enabler and four results criteria, which are connected by a cause-effect relationship. Different to the STAF, the two criteria are not assessed one against the other. The five enabler criteria focus on managerial practices, determining how organizations approach tasks to achieve results. The four results criteria focus on perceptions of public action and internal performance indicators.	CAF than the STAF, as the CAF focuses on the improvement of public sector organizations. The results criteria were not considered in neither the attributes nor features, as the STAF assesses capacity and not performance.

CAF enabler criteria	STAF government capacity attributes	STAF sustainability transition features
Leadership	Leadership; Accountability	-
Strategy and planning	Strategy and legal framework	-
People	-	Resources
Partnerships and resources	Coordination; Accountability	Resources
Processes	Policy instruments	-

United Nations Development Program (UNDP). (2011). Towards human resilience: Sustaining MDG progress in an age of economic uncertainty. Governance Principles, Institutional Capacity and	The chapter identifies three institutional capacities and qualities as well as three governance principles critical for developing and implementing policy measures to mitigate the impact of economic crises. Although the institutional capacities and qualities and government principles are not assessed one against the other, there is some guidance on how to measure their interlinkages.	The three institutional capacities and qualities and three governance principles are almost all clearly represented in the government capacity attributes and sustainability transition features. The institutional capacity/ quality "adaptability" is represented by the STAF attribute "accountability", which almost always contains a criterion on information, monitoring and evaluation. The governance principle on non-discrimination/ equality is not explicitly considered in the STAF, as this would have deviated the focus. However, the STAF considers this principle in its components on e.g. distributional impact and just transition.

Quality (chapter 8). United Nations Publications.	Institutional capacities and qualities are critical to country systems, i.e. legislation, policies, procedures and organizational structures needed for the functioning of the state. Government principles (a-c) are core values and of democratic governance and important means of achieving and maintaining the development goals recognized by the UN member states in the Millennium Declaration.	**UNDP institutional capacities and qualities and governance principles**	**STAF government capacity attributes**	**STAF sustainability transition features**
		1. Performance	This was not considered, as the STAF assesses capacity	
		2. Adaptability	Accountability	Evidence-base; Long-term horizon
		3. Stability	Leadership	Long-term horizon
		a) Participation/ inclusion	-	Social inclusion and buy-in
		b) Non-discrimination/ equality	-	-
		c) Rule of law/ accountability	Accountability	-

| Bertelsmann Stiftung, (2020). *Sustainable Governance Indicators (SGI)*. Accessible via https://www.sgi-network.org/2020/ | The Sustainable Governance Indicators (SGI) inform a cross-national comparative survey designed to identify and foster successes in effective policy-making. Sustainable governance is built on three pillars: Policy performance, democracy and governance.

The governance pillar explores the extent to which a country's institutional arrangements enhance the public sector's capacity (executive capacity) to act as well as the extent to which citizens, NGOs and other organizations are endowed with the participatory competence to hold the government accountable to its actions (executive accountability). Executive | | | |

The eight elements of executive capacity and three elements of executive accountability are almost all clearly represented in the government capacity attributes and sustainability transition features.

On one hand, several of the executive capacity elements correspond to the STAF attribute "accountability". On the other hand, several of the executive accountability elements correspond to STAF attributes other than "accountability" or sustainability transition features.

SGI executive capacity and accountability elements	**STAF government capacity attributes**	**STAF sustainability transition features**
1. Strategic capacity	Strategy and legal framework	-
2. Interministerial coordination	Coordination	-
3. Evidence-based instruments	-	Evidence-base
4. Societal consultation	Accountability	Social inclusion and buy-in;
5. Policy communication	Accountability	-
6. Implementation	Leadership; Accountability	Resources
7. Adaptability	-	Evidence-base; Long-term horizon

	capacity and executive accountability are examined by eight and five elements (a-e), respectively.	8. Organizational reform	Accountability	-
		a) Citizen's participatory competence	-	Social inclusion and buy-in
		b) Legislative actors' resources	Strategy and legal framework;	Resources
		c) Media	-	Social inclusion and buy-in
		d) Parties and interest associations	-	Social inclusion and buy-in
		e) Independent supervisory bodies	Accountability	-
Program on Forests and Food and Agriculture Organization (PROFOR-FAO), 2011. *Framework for Assessing and Monitoring Forest Governance*. Rome: PROFOR and FAO.	The FAMFG facilitates the description, diagnosis, monitoring, assessment and reporting on the state of governance in a country's forest sector. The FAMFG consists of two dimensions, three pillars which are assessed against six principles (a-f) of good forest governance. The six principles are a corner stone of the framework, but later only the pillars are assessed (although with reference to the principles).	The three pillars are all clearly represented in the government capacity attributes. The six principles are almost all clearly represented in the government capacity attributes and sustainability transition features, mostly under "accountability" which contains the criteria "transparency" and "information and monitoring and evaluation", which cover effectiveness- and efficiency-related matters. The only principle which is not clearly spelled out in the STAF is fairness/ equity, as this is not the focus of the STAFF. However, components such as the one on "distributional impact" and "just transition" cover these topics. {{TABLE2}}		

Table 2:

FAMFG pillars and principles	STAF government capacity attributes	STAF sustainability transition features
1. Policy, legal Institutional and regulatory frameworks	Policy instruments; Strategy and legal framework	-
2. Planning and decision-making processes	Leadership; Coordination;	Social inclusion and buy-in
3. Implementation, enforcement and compliance	Accountability	-
a) Accountability	Accountability	-
b) Effectiveness	Accountability	-
c) Efficiency	Accountability	-
d) Fairness/ Equity	-	-

		e) Participation	-	Social inclusion and buy-in
		f) Transparency	Accountability	
Wendling, Z. A., Emerson, J. W., de Sherbinin, A., Esty, D. C., et al. (2020). 2020 Environmental Performance Index. New Haven, CT: Yale Center for Environmental Law & Policy. epi.yale.edu	The 2020 Environmental Performance Index (EPI) provides a data-driven summary of the state of sustainability around the world. Using 32 performance indicators across eleven issue categories, the EPI ranks 180 countries on environmental health and ecosystem vitality. These indicators provide a gauge at a national scale of how close countries are to established environmental policy targets. The EPI offers a scorecard that highlights leaders in environmental performance and provides practical guidance for countries that aspire to move toward a sustainable future. Unlike the STAF, the EPI analyses performance and not capacity, uses highly quantitative indicators (e.g. on ozone exposure, unsafe sanitation, tree cover loss, marine protected areas, the fish stock status and CO_2 growth rate) and does not assess sustainability governance. Therefore, the EPI did not provide any inputs for the STAF.			

World Economic Forum (WEF), 2020. *Toward Common Metrics and Consistent Reporting of Sustainable Value Creation.* Access date: 24 November 2020. Accessible via: http://www3.we forum.org/docs/ WEF_IBC_ESG_M etrics_Discussion _Paper.pdf	The metrics of this assessment are organized in four pillars that are aligned with the SDGs and principal Environmental, Social and Governance (ESG) domains:
	   1. Principles of governance
	   2. Planet
	   3. People
	   4. Prosperity.
	
	Unlike the STAF, the metrics analyses performance and not capacity, and are aimed at private companies. Therefore, they did not provide any inputs for the STAF.			

Bertho, F., 2020. *Presentation of the Institutional*	The IPD was designed in order to facilitate and stimulate research on the relationship between institutions, long-term economic growth and development. The IPD provides a measure of countries' institutional characteristics through 130 composite indicators built from perception data on 330 variables describing a broad range of			

Profiles Database 2012 (IPD 2012). Access date: 24 November 2020. Accessible via: http://www.cepii.fr/institutions/doc/IPD_2012_cahiers-2013-03_EN.pdf	institutional characteristics. Respondents choose from five options on a 0-4 scale. Each score is accompanied by an explanation. The IPD contains nine functions: 1. Political institutions 2. Security, law and order, control of violence 3. Functioning of public administrations 4. Free operation of markets 5. Coordination of stakeholders, strategic vision and innovation 6. Security of transactions and contracts 7. Market regulations, social dialogue 8. Openness 9. Social cohesion and social mobility The nine functions are deployed across four sectors: 1. Public institutions, civil society 2. Markets for goods and services 3. The capital market 4. The labor market and social relations The focus of the IPD, its functions and sectors have little in common with the aim of the STAF, which is to analyze government capacity to implement sustainability transitions. Therefore, the IPD did not provide any inputs for the STAF.