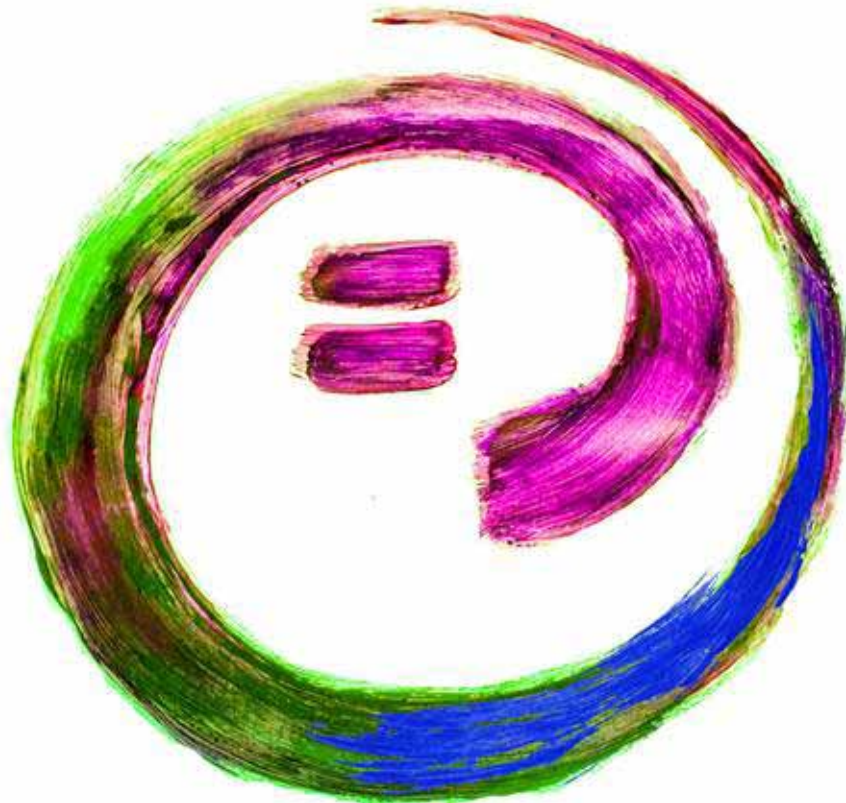# The EquIPP Manual

Equity and Inclusion in Policy Processes (EquIPP):

A Framework to support Equity & Inclusion in the Process of Policy Development, Implementation and Evaluation

centre for global health

Tessy Huss & Malcolm MacLachlan

Equity and Inclusion in Policy Processes (EquIPP)

A Framework to support Equity & Inclusion in the Process of Policy Development, Implementation and Evaluation

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1. Overview: Equity and Inclusion in Policy Processes (EquIPP)

This manual outlines a framework to support equitable and inclusive policy processes, in order to promote greater equity and social inclusion in policy and practice. The framework is premised upon the assumption that policies are more likely to achieve equitable and inclusive outcomes if an equitable and inclusive policy process supports them (OECD, 2015). This framework advocates for a transformative and collaborative approach, which seeks to create experiences of equity and inclusion for vulnerable groups in policy processes. EquIPP proposes an inventory of Key Actions to support the *development*, *implementation* and *evaluation* of public policies. These actions are informed by evidence, existing approaches to equity and social inclusion, and have benefitted from extensive stakeholder consultations and feedback. The inventory of Key Actions put forward offers a blue print for an equitable and inclusive policy process. This manual also includes an assessment matrix, which civil society organisations (CSOs) or policy makers themselves may use to evaluate the level of engagement with Key Actions in a policy revision or development process.

The framework developed here does not purport to be a definitive approach for an equitable and inclusive policy process; rather, it is a tool for reflection about how equity and inclusion can feature more prominently in policy-making processes. It is the intention of the authors to update this manual regularly as more and more policy makers may seek to promote social inclusion in and through public policies. EquIPP was developed to complement EquiFrame, which as a formulation and assessment tool focuses on the extent to which equity, social inclusion and human rights are addressed in the *content* of policy documents.

EquiFrame can be downloaded free of charge from *http://www.global-health.tcd.ie/assets/doc/EquiFrame%20Manual_May19_2011.pdf*.

EquiFrame was also translated into French and may be downloaded from *http://www.hiproweb.org/uploads/tx_hidrtdocs/EquiFrameManual2014.pdf.*[1]

1.1. Who is this manual for?

This manual has been designed to support an equitable and inclusive policy process of national level policy initiatives. We define the policy process as "the way in which policies are initiated, developed or formulated, negotiated, communicated, implemented and evaluated" (Buse, Mays & Walt, 2005: 13). Any policy actor with a potential stake or role in policy processes may consult this manual; we intend to provide government departments (strategic and operational planning departments in particular), local governments, civil society groups, academics, researchers and activists with indications for how to set up an equitable and inclusive policy process. In order to address social exclusion more effectively, we emphasise the importance of including vulnerable groups[2], or their representatives, at every stage of the policy process. Furthermore, we argue that working arrangements and relationships amongst different policy actors, across government

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1   All EquiFrame related publications may be downloaded from http://www.sintef.no/projectweb/equitable/equitable-publications/.

2   We define vulnerable groups as social groups who experience limited resources (Mannan, Amin and MacLachlan, 2011) and may consequently be disproportionately exposed "to uninsured risk leading to a socially unacceptable level of well being" (Hoogeveen et al, 2004).

sectors and levels, must be re-oriented towards more collaboration and better coordination. The framework also functions as an assessment tool to evaluate stakeholder engagement with Key Actions for equity and inclusion. This permits a scoring of the extent to which the policy process is equitable and inclusive. The level of engagement is assessed on a 7-point scale with the highest scores reflecting both strong *process* and *outcome* evaluation criteria. If vulnerable groups or their representatives state 'satisfaction' with the *process* and *outcomes* of engagement, this is likely to be indicative of a genuine government commitment towards equity and inclusion.

This version of EquIPP was primarily designed to support the development or revision of social policies (e.g. health, housing, education, social assistance etc.); however, the 17 Key Actions proposed apply across virtually any area so long government is committed to rendering the policy process more equitable and inclusive. EquIPP was also designed to be applicable across diverse policy contexts – and high-, middle- and low-income regions. While the scope to engage in an equitable and inclusive policy process may be more limited in certain contexts than in others and while it may not be possible to consider the entire set of Key Actions in the development or revision of a policy, this framework nonetheless seeks to elicit certain self-reflections and behavioural changes in terms of how policy processes generally unfold, how policy actors and levels of government coordinate their efforts and the extent to which social equity and social inclusion feature as important considerations across the entire policy process.

2. Background

2.1. Rationale

Despite significant economic and social transformations witnessed across the globe, progress towards building equitable and inclusive societies is far from being realised (Bilney et al, 2013; Lombe & Sherraden, 2008; MacLachlan & O'Connell, 2000; OECD, 2013b). The impact of globalisation, economic and financial crises and, the failure to promote equity and social inclusion in and through public policy has led to the deepening and expansion of inequalities across many dimensions of human wellbeing (Lombe & Sherraden, 2008; OECD, 2013b). In 1995, at the Copenhagen Programme of Action of the World Summit for Social Development, governments made the commitment to eliminate social exclusion (Lombe & Sherraden, 2008; United Nations Commission for Social Development, 2005). Social inclusion and equity are crosscutting themes in the Post-2015 Development Agenda. Indeed the Open Working Group (OWG) proposal for Sustainable Development Goals, presented to the 68th session of the United Nations General Assembly on the 19th of July 2014, emphasised the need for inclusive social and economic development to cut across all seventeen of the proposed Sustainable Development Goals (SDGs). The OWG outcome document further promised that it would

> *Strive for a world that is just, equitable and inclusive and the commitment was made to work together to promote sustained and inclusive economic growth, social development and environmental protection and thereby to benefit all, in particular the children of the world, youth and future generations of the world, without distinction of any kind such as age, sex, disability, culture, race, ethnicity, origin, migratory status, religion, economic or other status.*

Target 2 of Goal 10 of the SDGs requires states to "empower and promote the social, economic and political inclusion of all, irrespective of age, sex, disability, race, ethnicity, origin, religion or economic or other status" by 2030 (United Nations, 2016). Similarly, goal 16 specifically states that governments must "promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels" (United Nations, 2016; United Nations General Assembly 68th session, 2014).

Public policies are crucial to the creation of socially inclusive societies (Ahmimed, MacLachlan & Mannan, 2014). They set out purposive courses of action and determine the wider framework within which actions of inclusion or exclusion occur (Anderson, 2015, p.3; Cocozzelli, 2014). The Organisation for Economic Cooperation and Development (2013a, p.5) contends that "the nature of the policy making process matters … for the quality of policies, and thus their outputs". We argue that in order to address exclusion most effectively, the content of policies as well as the overall policy process must be inclusive.

In EquIPP we focus on **considerations of process** and argue that policy processes must create experiences of equity and inclusion for vulnerable groups who all too often remain marginalised in policy processes. Bureaucrats and civil servants, often far removed from the actual experience of marginalisation and exclusion, cannot and should not be the sole designers of policies (OECD, 2013a). The nature of social exclusion demands that new considerations, technologies and normative principles transform policy processes. Public policies should be designed and implemented in a collaborative and not in a top-down manner (Carey, McLaughlin & Crammond, 2015; Rittel & Weber, 1973; Roberts, 2000). Collaborative approaches provide stakeholders from the periphery with a legitimate claim to become more involved in policy processes (Fung & Wright, 2003; Hickey & Mohan, 2005; Lombe & Sherraden, 2008; Rittel & Weber, 1973). We argue that policy actors must adopt a more holistic approach to social equity and inclusion and simultaneously focus on *development, implementation* and *evaluation* to address social exclusion in a more comprehensive and meaningful manner.

The framework developed in this manual is a tool to support policymakers and relevant stakeholders to set up and engage in equitable and inclusive policy processes. It defines an equitable and inclusive policy process as a process which is guided by and enacts considerations for equity and inclusion in the ways in which policies are developed, implemented and evaluated. We are not aware of any other framework with a similar purpose[3]. Strategy papers, reports and recommendations published by international organisations tend to focus on the *content* of policies (i.e. interventions and programmes to promote social inclusion) and *considerations of process* tend to be incidental in such documents. Where documents are devoted explicitly to considerations of process, they tend to be limited to individual stages or phases of the process. The novelty of EquIPP lies in its holistic approach to policy and its presentation of a composite process to support equity and inclusion policy development, implementation and evaluation.

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3   We take note, however, of UNESCO's analytical framework for inclusive policy design, developed within the context of UNESCO Inclusive Policy Lab with whom we have collaborated as part of the Inclusive Asia Project. Their analytical framework is a noteworthy conceptual paper that lays out the broad parameters of inclusive policies (UNESCO Social and Human Sciences/ Research, Policy and Foresight Team, 2015).

2.2. Social Exclusion and Social Inclusion

Social exclusion is commonly understood as multi-dimensional disadvantage: suggesting that any one individual or group can be excluded along one or more of multiple dimensions, at any one point in time, or repeatedly, or continuously. Similarly, it also suggests that individuals can be excluded along some dimensions, and not others (Levitas et al, 2007). Levitas et al. (2007) define social exclusion as

> *A complex and multi-dimensional process… [which] involves the lack or denial of resources, rights, goods and services, and the inability to participate in the normal relationships and activities, available to the majority of people in a society, whether in economic, social , cultural or political arenas. It affects both the quality of life of individuals and the equity and cohesion of society as a whole.*

Social exclusion is the product of unequal power relationships in society; between an individual's or a group's relationships and social entities such as institutions, organisations, spaces (social or physical) or individuals (Kronauer, 1998 as cited in Mathieson et al, 2008). No society is truly egalitarian and different identity categories are routinely assigned different levels of status and power, conditioning all social interactions amongst individuals or groups and between individuals, groups and institutions (MacLachlan, 2014; Pratto, Sidanius & Levin, 2006). A number of individuals and groups in society are at a higher risk of poverty and social exclusion compared with the general population. Faced with inadequate institutional support, these individuals and groups are particularly vulnerable to economic shocks and other unforseen events (Hoogeveen, 2004). They are vulnerable because of the marginalised position they occupy in society. Religion, ethnicity, age, gender, sexual orientation, (dis)ability or political opinions often form grounds for discriminatory practices (Hoogeveen, 2004; World Bank, 2013). On the basis of their identity or group membership individuals or groups face active discrimination in their communities and daily interpersonal relations, but they also face unequal treatment in institutional settings (Kabeer, 2000; Pratto et al, 2006); facilitated by structural inequalities – sometimes thoughtlessly and sometimes thoughtfully – written into social policies. As such, they are often excluded from specific rights and entitlements, access to goods and services, as well as participation in the decision-making processes that directly affect their lives (Pratto et al, 2006). Social *inclusion* then denotes "the process of improving the terms for individuals and groups to take part in society" (World Bank, 2013, p.3). Efforts to promote social inclusion should thus seek to improve the terms of engagement for vulnerable groups with society at large (Fraser, 1998; Silver, 2015).

We are particularly concerned with exclusion experienced in the socio-political realm. Commonly understood as a lack of, or inadequate, participation in political decision-making processes, such exclusion manifests itself as exclusion in (national) elections, misrepresentation or non-representation in political forums (Evans, 2004; Fung & Wright, 2003). We expand on this concept and add exclusion from policy processes more broadly. We argue that oftentimes policy processes do not involve vulnerable populations to the extent that this would be advantageous for these groups, nor are such processes guided by the principles of social equity and inclusion to the extent that this would allow governments to demonstrate a clear commitment to the promotion of social inclusion.

We argue that one way of changing the adverse terms of engagement for vulnerable groups in society is by focusing on the policy process, i.e. the processes with which governments, non-governmental organisations, civil society organisations, the private sector and vulnerable groups themselves engage to address instances of exclusion. We feel that if vulnerable groups can become more centrally involved in policy processes, that they can influence the likelihood that their concerns are reflected in policy outcome documents; that implementation plans are more responsive to the actual situation on the ground; that budgets do not disproportionately affect those already most vulnerable; and that these groups are not excluded from the statistics designed to capture the extent of their inclusion.

2.3. A holistic approach to policy processes

The content of a policy is crucial as it sets out what the policy hopes to achieve. The policy content is the main point of reference; any actions taken after the initial formulation phase should therefore be in line with the policy's original stipulation. In order to minimise the gap between the intention and the delivery of a policy, the language of a policy and the normative values upon which it is premised must be supportive of social inclusion (Amin et al, 2011). Moreover, policy makers must find a way to embed the interests of those most marginalised within the policy content. Mannan, Amin and MacLachlan (2011) developed a policy assessment and formulation tool, EquiFrame, which emphasises that the content of a policy must reference the specific vulnerable groups it seeks to protect and the core human rights it seeks to safeguard, if the policy aims to contribute to equity and inclusion in any meaningful way. Promoting the inclusion of vulnerable groups and core human rights concepts in policy documents nominally entitles vulnerable groups to equitable and inclusive access to services and provisions. However, it does not guarantee that policy documents accurately reflect the needs and demands of vulnerable groups or that designated policy benefits accrue to vulnerable groups (MacLachlan, Mannan, Huss, Munthali & Amin, 2015). We argue that it is not sufficient to reference vulnerable groups and core human rights in policy documents, but that considerations of equity and inclusion must shape the entire policy process – from formulation, through to implementation, monitoring and evaluation (MacLachlan et al, 2015).

EquIPP seeks to complement EquiFrame by proposing a series of Key Actions to support the development, implementation and monitoring and evaluation of an inclusive policy content. Conceptually, we draw on Walt and Gilson's (1994) policy triangle, which attributes equal importance to the content of policies, the wider processes surrounding policies and the actors involved in such processes, as well as the context within which these elements are embedded and which mediates their interactions. EquIPP promotes an equitable and inclusive policy process in which the needs and interests of vulnerable and excluded populations are prioritised throughout and which supports the formulation of an inclusive policy content as well as its translation into practice. EquIPP is thus concerned with what happens before the production of the policy and with what happens once it has been produced. It also makes recommendations with regard to the types of actors that should be involved in such processes.

Fig 1: The relationship between and functions of EquIPP and EquiFrame

The novelty of this framework is that it seeks to render the entire policy process equitable and inclusive. While *development*, *implementation*, and *evaluation* are standard[45] components of a policy cycle, we also touch upon *budgeting* and *dissemination*, which we feel intersect with the aforementioned components in important ways. We felt that in establishing the link between budgeting activities and the wider process, we could draw attention to issues of resource generation and redistribution in matters of social policy (Bonner, Holland, Norton & Sigrist, 2005; Holmes, 1998; OECD, 1996). Budgets available to line ministries influence the scope of their activities. Finance ministries ultimately determine sectoral allocations, with little input from civil society (UNICEF, 2010). Budget analyses at the macro level tell us much about the 'whole of government' commitment to social inclusion and inclusive processes (CESR, 2012; UNICEF, 2010). Similarly, we focus on *dissemination,* for the manner in which government communicates information to its citizen, particularly vulnerable groups, is crucial to the creation of equal opportunities within policy decision-making processes (OECD, 2013a: 7).

3. Equity and Inclusion in Policy Processes

3.1. Normative foundations
We argue that policies can hope to deliver inclusive and equitable outcomes only if policy actors engage with Key Actions capable of fostering experiences of inclusion and equity in policy processes. In this section, we detail how we understand equity and inclusion and how these principles can be rendered operational in policy processes.

3.2. Social Equity in Policy Processes
The standing Panel on Social Equity in Governance (2000, p.11 as cited in Gooden & Portillo, 2001) defines social equity as

> *The fair, just, and equitable management of all institutions serving the public directly or by contract, and the fair and equitable distribution of public services, and implementation of public policy, and the commitment to promote fairness, justice, and equity in the formation of public policy.*

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4   For an overview of the literature on policy processes see Sabatier & Weible (2014).

5   We draw on process literature only insofar as it provides us with a "clear schematic depiction of the policy process" (Sabatier & Weible, 2014: 8). Contrary to the scholarly body of work on policy processes, we do not seek to analyse why certain policies are more salient than others and how they evolve over time; rather, our intention is to present the characteristics of a policy process which would render policies equitable and inclusive. However, this model may be useful to policy analysts interested in identifying barriers and facilitators to equitable and inclusive processes.

Equity is one of many distributive norms in theories of justice (Dani & de Haan, 2008). Equity demands the creation and maintenance of a level playing field. This means ensuring that the needs of (oftentimes neglected) vulnerable groups are explicitly addressed in policy deliberations, documents and implementation (Dani & Haan, 2008; Jones, Higgins & Bird, 2009). Equity also relies on a redistribution of resources through targeted programmes or policy interventions (Jones et al, 2009; Norman-Major, 2011; Powell, 2008). We maintain that unless vulnerable groups are prioritised in policy documents and policy processes, their demands and needs may be neglected (Mannan et al, 2011).

3.2. Inclusion in Policy Processes[6]

Inclusion is distinct from participation, as the latter is 'limited' to increasing "public input oriented primarily to the *content* of programmes and policies" (Quick & Feldman, 2011, p. 272, 273). Inclusion, however, entails "continuously creating a community involved in coproducing processes, policies and programmes for defining and addressing public issues" (Quick & Feldman, 2011, p.272). Participation is an important aspect, but it constitutes only one element of a larger process of inclusion (Lombe & Sherraden, 2008).

We expand the meaning of inclusion and argue that the interests of vulnerable groups must be included in all policy related actions performed by government. For example, governments should be explicit about their intention to level the playing field and this should be reflected in any budgeting exercises (Jones et al, 2009). Similarly, monitoring and evaluation frameworks should be designed in a manner that allows capturing the experiences of and differential impact of policies on vulnerable groups. It is therefore important that policy making is guided by the principles of equity and inclusion in order to act effectively on behalf of priority groups (Jones et al, 2009). Inclusion as we understand it thus denotes procedural inclusion as well as substantive inclusion, which refers to deliberate actions of government to include the interests of vulnerable groups in policy processes.

By including vulnerable groups in policy processes, we can contribute to ensuring that the needs and interests of those most excluded in society are represented in policy formulation processes (Speer, 2012). We must remain cognisant and critical of the inherent power differentials at play in any political processes (Gaventa, 2006, Wampler & McNulty, 2011, White, 1996; World Bank, 2013). Inclusive mechanisms are potentially transformative if they manage to uproot prevailing power structures undermining the capacity of those most marginalised in society to participate on an equal footing. Inclusive participation therefore must unfold under parity of engagement whereby all stakeholders interact as peers (Fraser, 1998). Not only do such mechanisms empower citizen and socially excluded groups, but they also further legitimise ensuing political decisions (Gaventa, 2006). Public participation contributes to the design and deliverance of better public services and constitutes an avenue to input into the policy content (DESA/DPADM&ESCWA, 2013; Quick & Feldman, 2011; Speer, 2012). Continued inclusion in the process has the potential to create new forms of partnerships and collaborations between issue areas and in which, governments, providers and 'consumers' of services engage "multiple ways of knowing" and co-produce "the process and content of decision-making" (Quick & Feldman, 2011). Continued inclusion allows primary beneficiaries to exercise a certain amount of control over the overall process, thereby

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6   The principle of inclusion in policy processes is advocated at the highest political level. One of the targets of Goal 16, concerned with the building of inclusive institutions, stipulates that governments must "ensure responsive, inclusive, participatory and representative decision-making at all levels" (United Nations General Assembly 68th session, 2014).

providing a further avenue to hold government accountable (Jones et al, 2009). In short, inclusive policy processes, should be the change they seek, to paraphrase Ghandi.

3.3. Vulnerable groups

A number of individuals and groups in society are at a higher risk of poverty and social exclusion in comparison to the general population (Hoogeveen, 2004; Ivanova, Dræbel & Tellier, 2015; MacLachlan et al, 2015; The Global Fund, 2014). Transformative efforts seek to level the playing field for these vulnerable groups and empower them throughout the decision-making processes that affect the quality of their participation in economic, political, social and cultural life (Kabeer, 2000).

Table 1.1. lists a number of vulnerable groups. We recognise that this list cannot be exhaustive and that policy actors must identify the vulnerable groups as they exist in their respective contexts and for the policy areas under considersation.[78] It is important to seek ou evidence to assert the status of vulnerability for any such group in a particular context.

Limited resources/people living in extreme poverty	Increased relative risk for morbidity	Mother child mortality
People living with HIV	Suffering from chronic illness	People with disabilities
Women headed household	Children headed households	Children
Children (with special needs)	Young girls	Aged/elderly
Youth	Ethnic minorities	(Internally) Displaced populations
Living away from services	Orphans	Certain castes
LGBTQI	Men who have sex with men	Street children
Indigenous populations	Homeless	Sex Workers
Victims of sexual abuse	Victims of gender violence	Victims of human trafficking
Mobile workers	Prisoners and incarcerated populations	Intravenous drug users
Religious groups	Homeless	

Table 1.1. Vulnerable Groups identified in the literature

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7   We list vulnerable groups identified in EquiFrame (Mannan et al, 2011). While these vulnerable groups were identified in the context of health policies, we contend that vulnerable groups who are marginalised in the realm of health are likely to be marginalised in other social and economic realms as well. We supplement this list with additonal vulnerabe groups identified in the literature and a workshop on social inclusion held in Malaysia in June 2015.

8   See for example, Ivanova et al (2015) for a contextualised list of vulnerable groups for a policy analysis of sexual and reproductive health policies using EquiFrame in Moldova, Spain, Ukraine and Scotland.

4. Development of EquIPP

The framework presented in this manual was developed through a literature review of stakeholder approaches to equity and social inclusion and multiple rounds of stakeholder consultations. Draft versions of the Framework have been presented at conferences, meetings and workshops in 2014 and 2015 and across a number of countries representing a range of high-, middle and low-income contexts, as well as cultural and religious differences (Ireland, Malaysia, Panama, Thailand and Timor Leste).[9]

From November 2014 to February 2015 we conducted a preliminary literature review to map existing stakeholder approaches to promote social inclusion. Stakeholders identified as part of this process were international and regional organisations, national governments, international non-governmental organisations, non-governmental organisations, research institutes, policy think thanks and academics (see Annex 2 and 3 of this manual for an overview of the supporting literature). The review process sought to extract information on the types of process considerations stakeholders are advocating for in promoting social inclusion or thematically related issues. The ultimate goal of the review was to synthesise these considerations and to develop a **composite inclusive policy process**, rather than reviewing the merits of stand-alone approaches or the kinds of programmes or interventions stakeholders are promoting to achieve social inclusion (i.e. the *content* of stakeholder approaches). We argue that different stakeholder approaches can complement one another.

The search was strategic, rather than systematic, and as such we reviewed initiatives specific to particular stages of the policy process (e.g. budgeting) or mainstreaming initiatives for specific vulnerable groups (e.g. children or the elderly), as well as regional and national policy frameworks for social inclusion. We reviewed literature on participatory and collaborative governance and we included good practices in policy making more generally. From this initial review, we extracted 54 criteria for their potential to create experiences of equity and inclusion in policy processes.

We have endeavoured to ensure the applicability of this framework across different economic, social, political and cultural contexts by soliciting input from geographically diverse stakeholders. The first set of criteria was presented at two thematically related training workshops for practitioners and civil society representatives. These workshops gathered 25 participants from a variety of backgrounds.[10] A survey was administered to participants, in which they were asked to indicate (on Likert scales) their level of agreement with 54 criteria for equity and social inclusion derived from the review process so far. Incorporating feedback our criteria were subsequently renamed as Key Actions and they were reformulated to be more widely applicable across a range of policy-making levels, sectors and contexts. Participants also provided additional individual written

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9   The discourse of social inclusion and social exclusion originated in Europe, and this Euro-centric bias is apparent in the available literature (Room, 2000). Critics have argued that discourses of social inclusion are unlikely to resonate in contexts where the majority of the population is poor and deprived along multiple dimensions (Yamin, 2009; Popay et al, 2008). The emphasis on social inclusion throughout the SDGs, however, is prompting a discussion on social exclusion and inclusion in lower-income countries and contexts.

10   Participants were representatives from various UN agencies (UNDP, UNICEF, UNESCO, WHO, ILO) and, at the time, were working in the United States, Costa Rica, Indonesia, Moldova, Palestine, Pacific Islands, South Africa, Togo, Ukraine, Vietnam, Tunisia, China, Armenia, Ethiopia, Bolivia, Tajikistan, India, Uganda, Egypt and Sudan. Participants also represented civil society organisations and academic institutions.

and verbal comments during general group discussion. Feedback obtained was subsequently incorporated into a revised framework of 17 Key Actions, grouped into 9 Themes. The reduction in number of criteria/Key Action was deemed necessary to allow the framework to be used as an assessment tool. Participants agreed on the usefulness and practical applicability of the framework in a variety of settings and policy-making levels.
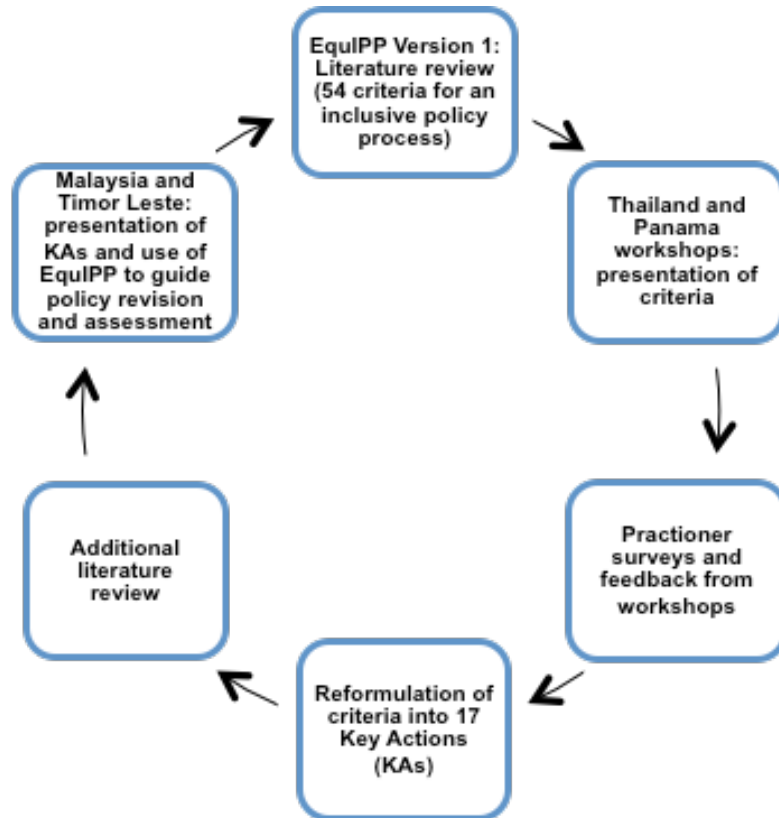
Figure 2: EquIPP development process (November 2014 – February 2016)

Following additional consultations of the literature, further discussion rounds with academics and colleagues at the Centre for Global Health and peer review, additional changes were made to the framework throughout 2015 and in early 2016. As such, the framework benefitted from input from a diverse range of academic disciplines (psychology, sociology, human resources, global health, political science, economics and health informatics).

Policymakers and other stakeholders may consult the inventory of Key Actions prior to initiating the development or revision of a policy. Furthermore, civil society organisations may use EquIPP to assess the inclusiveness of policy development, implementation and evaluation. Stakeholders should seek validation of any such action by ensuring that it is consistent with and can be related back to equity and inclusion within their own context. This helps to ensure the inclusiveness of policy processes in line with this framework. These actions, if executed in a comprehensive manner have the potential to further the needs and interests of excluded groups and actively involve them in shaping decisions that affect their lives. However, we accept that under some circumstances it may not be necessary or appropriate to implement all 17 Key Actions. Where this is the case, a clear rationale indicating that such an omission(s) does not jeopardise equity or inclusion, should be made; with supporting evidence or documentation.

5. Synthesis of Key Actions

Section 5.1. summarises the 17 Key Actions along with a definition and brief description for each. Key actions are grouped into 9 themes. It was decided not to link Key Actions to specific stages of the policy process, but rather, present them as distinct themes, which together constitute an inclusive process. We do this because in our experience policy processes do not always unfold in the linear fashion that is envisaged in some accounts of policy development. Policymakers who find themselves having to simultaneously engage in several 'steps' at once, may be discouraged regarding the possibility of making the policy process equitable and inclusive, unless this reality is acknowledged in the approach to assessment.

The higher the commitment to equity and inclusion is, the higher the likelihood that policy makers and stakeholders afford thorough consideration to the proper execution of Key Actions. While it may not be possible to perform all actions put forward in this framework, EquIPP seeks to incentivise policy makers and stakeholders to actively consider the feasibility of such actions in their contexts.

5.1. Summary of Key Actions for an equitable and inclusive policy process

Key Action	Definition	Description	Examples of questions	Examples of evidence of engagement
Theme 1: Inclusive and participatory policy procedure				
Key Action 1: Set up inclusive and participatory mechanisms	This Key Action involves detailing a public engagement strategy for the purpose of policy development/ revision.	**1.** An engagement strategy which actively solicits the participation of vulnerable groups is put in place	**1.** Are concrete mechanisms in place to engage relevant stakeholders in an inclusive manner?	Citizen engagement strategy outcome document(s); citizen engagement strategy policy; stakeholder forums, working group formation; working group reports on citizen engagement; focus groups, consultations
		2. Organisational, institutional and regulatory mechanisms for public participation are detailed and communicated with relevant stakeholders and vulnerable groups	**2.** Are relevant stakeholders and priority groups adequately informed of the possibility and opportunities for participation?	
		3. Participatory mechanisms are context appropriate	**3.** Do engagement strategies take into account contextual factors that may prevent inclusive participation? Are participatory mechanisms adapted to local contexts?	

Key Action 2: Ensure the highest level of participation	This Key Action involves maximising the quality of participation and ensuring that all relevant stakeholders participate directly or are adequately represented in policy deliberations.	1. Vulnerable groups participate at the highest level possible and the possibility for joint-decision making has been considered	1. Do vulnerable groups participate in the highest-level deliberations and decision-making processes?	Stakeholder mapping, scheduling of public consultations, partnership frameworks, focus groups, citizen's panels, formation of working groups, composition of working groups or committee; working groups or committee reports; public proceedings; stakeholder mappings
		2. The interests of vulnerable groups are taken into consideration at the highest decision-making levels and included in final policy documents	2. Are the interests of vulnerable groups adequately taken into consideration at the highest decision-making levels and are they visibly included in final policy documents?	
		3. Consensus is sought from participants in the formulation process	3. Are policy related decisions consensus-based?	

Theme 2: Cross-sectoral and intergovernmental cooperation and coordination

Key Action 3: Strengthen cross-sectoral cooperation	This Key Action involves strengthening communication and the flow of information across government departments and the integration of plans and policies.	1. Relevant government departments come together to formulate an integrated strategy to address specific instances of exclusion	1. Are relevant government departments involved in formulating the policy strategy?	Cross-sectoral working plans, cross-sectoral communication plans; secondment of staff, creation of new positions, cross-sectoral definition of social inclusion, creation of inter-departmental task forces and inter-governmental committees, identification of focal points in different sectors, agreement of terms of reference (TORs)
		2. Working modalities are adapted as appropriate	2. Are working modalities adapted to meet the needs for inter-sectoral cooperation and coordination?	
		3. A consensually derived definition and clear vision of social inclusion is communicated across government departments	3. Do all relevant departments sign up to the same definition and vision of social inclusion?	

Key Action 4: Strengthen inter-governmental cooperation	This Key Action involves the harmonisation of national and local level initiatives through the creation of an overarching policy framework.	**1.** Communication channels connect national, intermediary and local levels of government	**1.** Does communication exist between all levels of government?	Design of guidelines and issuance of mandates, overarching policy framework, partnership frameworks, evidence of representation of local government in national level meetings, evidence of representation of national government at local level, agreement of terms of reference (TORs)
		2. Guidelines and specific mandates are issued to relevant government departments, executive agencies, local authorities and implementers as part of a larger partnership framework	**2.** A larger partnership framework has been established among relevant actors? Specific guidelines and mandates are issued to relevant actors?	
		3. National and local initiatives are coordinated and aligned	**3.** Are efforts made to align national and local initiatives?	

Theme 3: Matching social need and provision				
Key Action 5: Plan according to need	This Key Action involves the adoption of participatory planning techniques to tailor policy provisions to local complexity of needs.	**1.** A participatory planning technique is adopted	**1.** Are vulnerable groups participant to and included in the policy planning process?	Needs assessment, working group formation; rationale for policy priorities, evidence of recognition of the multidimensionality of social inclusion, evidence of efforts to seek out local experiences and knowledge
		2. Policy objectives correspond to the specific needs of vulnerable groups and are guided by the principle of progressive realisation	**2.** Are policy objectives informed by the specific needs of vulnerable groups and are they guided by the principle of progressive realisation?	
		3. Planning is informed by how the drivers of social exclusion operate and accumulate over time	**3.** Is planning evidence based and does it take into consideration how the drivers of social exclusion operate and accumulate over time?	
Key Action 6: Specify actions by which social needs will be addressed	This Key Action involves the identification of explicit projects, programmes, and interventions to address social needs and level the playing field and promote social inclusion.	**1.** Programme level information is detailed and published	**1.** Are specific programmes identified? Is programme level information available?	Programme or project intervention level details, rationale for how distributional equity is achieved; overarching policy documents with clear alignment of priorities, goals and actions; evidence base
		2. Programmes are explict about their intention to level the playing field and promote social inclusion.	**2.** Are equity and inclusion considerations in programmes made explicit?	
		3. Programmes are evidence based, where possible	**3.** Are programmes adopted evidence-based?	

Theme 4: Social budgeting				
Key Action 7: Build equity considerations into budgets	This Key Action involves the prioritsation and funding of programmes, projects and interventions specifically designed to benefit vulnerable groups in government budgets.	**1**. Priorities related to inclusion are affirmed in budget statements and this can be inferred from proposed and enacted budgets	**1**. Are priorities affirmed in budget statements and reaffirmed in proposed and enacted budgets?	Priorities clearly affirmed in budget documents, budget statement, proposed budget, enacted budget, earmarked funding for priority programmes
		2. Earmarked funding for programmes addresses social disparities	**2**. Does earmarked funding address social disparities?	
		3. The following (complimentary) principles are applied in budgeting: progressive realisation, non-discrimination, maximum available resources, efficiency, effectiveness and equity	**3**. Are budgetary allocations guided by the principles of progressive realisation, non-discrimination, maximum available resources, efficiency, effectiveness and equity?	
Key Action 8: Minimise gaps between real and planned budgets	This Key Action involves creating a favorable and participatory oversight environment to monitor anticipated and actual expenditure.	**1**. Budgets reports are published throughout the budget cycle	**1**. Are budget reports published throughout the budget cycle?	Enacted budgets, in-year reports, mid-year reports, year-end reports, intention to commission audits, audits commissioned, list of stakeholders engaged in auditing functions, audit reports, audit recommendations, statements addressing audit recommendations
		2. Social and participatory audits are commissioned and carried out	**2**. Are social and participatory audits commissioned and/or carried out?	
		3. Resource generation and allocations does not impact vulnerable groups in a negative way	**3**. Does the generation and allocation of resources impact vulnerable groups in a negative way?	
Theme 5: Inclusive and responsive implementation				
Key Action 9: Devise a responsive and flexible implementation plan	This Key Action involves developing a detailed and overarching implementation plan in a participatory manner, and which should involve key stakeholders, including relevant government sectors, local governments, service users and service providers.	**1**. Implementation plans are designed in a participatory manner	**1**. Are implementation plans designed in a participatory manner?	Implementation lead confirmed, issuance of guidelines, issuance of mandates, setting of intermediary and final time frames, capacity development plans, list of stakeholders involved in or consulted for the draft plan
		2. Coordinating bodies, key implementers and implementation lead entities are identified from the outset	**2**. Are coordinating bodies, key implementers and lead entities identified from the outset?	
		3. Capacity gaps are identified and addressed	**3**. Are capacity gaps identified that could compromise implementation? Are these gaps addressed?	

Key Action 10: Adopt the most inclusive selection methodology	This Key Action involves taking necessary steps to ensure that beneficiaries are identified in the most inclusive manner to yield a maximum of policy coverage.	**1.** Appropriate selection mechanisms have been employed	**1.** Are selection mechanisms appropriate to identify individuals entitled to benefits under the policy?	List of beneficiaries, inclusive and appropriate selection methodologies/ models
		2. All potential beneficiaries are identified	**2.** Have all potential beneficiaries been identified?	
		3. Selection methodologies do not stigmatise vulnerable groups	**3.** Is there evidence that selection methodologies do not stigmatise vulnerable groups?	
Theme 6: Implementation Partnerships and Cooperation				
Key Action 11: Select the most appropriate implementation partners	This Key Action involves mobilising the non-governmental, civil society and private sector for the operationalisation of social inclusion policies.	**1.** Alternative implementation partners have been considered	**1.** Are alternative implementation partners considered to contribute to service provision?	Agreed communication strategy, mobilisation strategy, feedback from implementers on coherence of social inclusion agenda
		2. Alternative implementation partners are actively encouraged to fulfil a role in the social inclusion agenda	**2.** Are alternative implementation partners actively encouraged to fulfil a role in the social inclusion agenda?	
		3. The buy in of implementers is secured for the implementation of the social inclusion agenda	**3.** Can the buy in of implementers be secured? Is the social inclusion agenda clearly communicated to implementers?	
Key Action 12: Encourage cooperation between agencies and service providers	This Key Action involves strengthening the links between implementers on the ground to deliver a more tailored and holistic response to social inclusion.	**1.** Potential avenues for integration at the level of service delivery are explored	**1.** Are potential avenues explored to integrate service delivery?	Description of approach to service delivery, steering committees, partnership frameworks, schedule of inter-agency meetings
		2. Provisions are discussed and put in place so that benefits can be accessed at the local level	**2.** Are provisions put in place to allow individuals to access services at the local level?	
		3. Partnership frameworks are established	**3.** Are partnership frameworks for implementation detailed and formalised?	

Theme 7: Multi-dimensional and context driven data collection				
Key Action 13: Collect qualitative and quantitative data	This Key Action involves setting up mixed and multi-methods monitoring and evaluation frameworks in a participatory manner.	**1.** Participatory assessments are scheduled/carried out	**1.** Are assessments carried out in a participatory manner?	Evaluation frameworks, reports commissioned, inclusive and diverse evaluation methodologies
		2. Multiple methods are selected for the purpose of monitoring and evaluation	**2.** Do evaluation frameworks contain multiple methods for monitoring and evaluation?	
		3. Policy content, implementation, impact and inclusiveness of the process overall are evaluated	**3.** Is the inclusiveness of the overall process evaluated?	
Theme 8: Data-fit-for purpose				
Key Action 14: Integrate, aggregate, disaggregate and share data	This Key Action involves integrating, aggregating, disaggregating and sharing data to monitor and evaluate policies across multiple domains and over time.	**1.** Policy specific data needs are identified	**1.** Are policy specific data needs identified?	Mapping of data needs, considerations or plans to integrate data sources, baseline reports, disaggregated data collection
		2. Government departments and agencies explore the possibilities of meeting social inclusion specific data needs	**2.** Government departments and agencies are exploring the possibility of integrating, aggregating and sharing data in order to meet policy specific data needs?	
		3. Data can be disaggregated for priority groups	**3.** Is data amenable to disaggregation for priority groups?	
Key Action 15: Select appropriate indicator dimensions	This Key Action involves the participatory design of an indicator framework to measure appropriate social outcomes.	**1.** Indicators are expressed as relevant social outcomes	**1.** Are indicators expressed as relevant social outcomes such that they are measuring key dimensions of social exclusion?	Evidence to show consensus for indicator frameworks, portfolio composed of appropriate social indicators, appropriate headline indicators, appropriate supplementary and strategic change indicators
		2. Indicator frameworks contain structural and subjective indicators to measure progress towards social inclusion	**2.** Do indicator frameworks contain both structural and subjective indicators to measure progress towards social inclusion?	
		3. All indicators are selected in a participatory manner with the input of all legitimate stakeholders	**3.** Are indicators selected in a participatory manner with the input of all legitimate stakeholders?	

Theme 9: Comprehensive and inclusive dissemination system				
Key Action 16: Share information with policy beneficiaries	This Key Action involves taking steps to ensuring equitable access to all information relating to policy benefits.	**1.** Barriers to accessing policy relevant information are identified	**1.** A barrier analysis has been conducted that identifies impediments to accessing policy relevant information?	Context appropriate and proactive dissemination strategy, usage of language that's easy to understand, identification of barriers to accessing policy benefits, leveraging media partnerships, social network usage
		2. A dissemination strategy is put in place	**2.** A dissemination strategy been devised and put in place that informs potential beneficiaries of how to access specific services and entitlements?	
		3. Communication strategies and mediums are context appropriate	**3.** Are communication strategies and mediums context appropriate?	
Key Action 17: Share information with the policy community	This Key Action involves taking steps to ensuring equitable access to all information relating to the policy more broadly	**1.** Information sharing is central to the policy process	**1.** Is information shared with the policy community? Is information shared in a timely manner?	Context appropriate and proactive dissemination strategy to distribute information relating to various stages of the policy process (e.g. information on public consultations, rationale for policy development, impact assessments, citizen's budgets, budget information, audit reports, monitoring and evaluation reports etc.)
		2. Information produced throughout the policy process is made available to the policy community	**2.** Is information produced throughout the policy process made available to the policy community?	
		3. Information is disseminated through context appropriate mediums	**3.** Is information disseminated through context appropriate mediums?	

5.2. Performance criteria for an equitable and inclusive policy process

An assessment matrix (checklist) was developed to measure the extent to which policy processes qualify as equitable and inclusive. A 7-point scale was developed to rate the level of engagement with the 17 Key Actions presented above. The assessment can be conducted in 'real time' as processes unfold, or retrospectively. We include both *Process* and *Outcome* Evaluation criteria. If marginalised groups or their representatives' state 'satisfaction' with the process and outcomes of engagement, this is likely to be indicative of genuine government commitment towards equity and inclusion.

Policy Engagement Key Action Scale (PEKAS)	Rating
Absent – no evidence it has been considered	0
Recognition – evidence of awareness but no associated action	1
Minor action – evidence of token or minimal efforts to engage	2
Moderate action – evidence of clear but incomplete or partial engagement	3
Comprehensive action – evidence that all reasonable steps to engage have been taken	4
Policy evaluation – reference to Key Action in core document(s) [1]	5
Process Evaluation – evidence gathered from diverse stakeholders of satisfaction with the process of engagement[1]	6
Outcome Evaluation - evidence gathered from diverse stakeholders of satisfaction with the outcomes of engagement[1]	7

1   *Score at a higher level assumes fulfilment of lower level requirements*

Documentation is indispensable to modern forms of government (Freeman & Maybin, 2011; Sedlacko, 2015). Outcome documents produced at various junctures of the policy process (e.g. implementation plans, laws, regulations, budgets, reports, situational analyses etc.) constitute an ideal source of evidence for engagement with Key Actions. In order to justify ratings, evaluators should gather relevant evidence to demonstrate level of engagement. Documentary evidence may not always be available, and in such instances evaluators are encouraged to conduct interviews to ascertain the extent of engagement with Key Actions.

The very nature of this exercise renders evaluations subjective. However this subjectivity – which we consider a desirable feature – can be strengthened in rigour through the systematic approach that EquIPP provides. Evaluators assign scores based on whether they are convinced that Key Actions have been engaged with, and the level of such an engagement. We recommend that more than one evaluator carry out assessments so that estimates of inter-rater reliability can be obtained; and where points are disagreement are identified, then these should be discussed and a consensus rating reached.

As part of the assessment exercise, evidence should be provided to justify ratings for Key Actions. Evidence may be retrieved in the form internal documents, references to meeting or working group proceedings, widely circulated outcome documents, online publications, proceedings published online etc. (see examples for evidence of engagement in the summary table in Section 5.1.). The emphasis on documentary evidence and reliance on interviews to evaluate the inclusiveness of policy process is a deliberate effort to increase transparency in policy processes.

5.3. Description of Key Actions

Theme 1: Meaningful participatory policy procedure

Key Action 1:
Set up inclusive and participatory mechanisms

Participation is a procedural right and it is "underpinned by a number of civil and political rights such as access to information, as well as freedom of speech and of assembly" (CESR, 2012, p. 20). Inclusive and active participation in policy processes makes it possible for vulnerable groups to influence the operationalisation and subsequent implementation of particular socio-economic rights (CESR, 2012; UNDESA, 2009, p.4). The right to participation extends beyond the initial stages of policy formulation; inclusion and participation should be practiced in the formulation of policy alternatives, implementation and monitoring and evaluation (CESR, 2012; UNDESA, 2009). After all, a truly inclusive process seeks to include vulnerable groups and those directly affected by the policy in general, as well as their representatives throughout all stages of the process (UNDESA, 2009). The scope for the inclusion in broader policy processes should be outlined in a comprehensive "citizen engagement strategy" which sets up organisational, institutional and regulatory mechanisms for public participation (DESA/DPADM & ESCWA, 2013). [11]These mechanisms should be clearly communicated to potential stakeholders to ensure that affected individuals are aware of the possibilities for participation.

Vulnerable groups and/or their representatives should be actively encouraged to participate in or contribute to policy formulation processes (UNDESA, 2009; World Bank, 2013). Inclusion in policy formulation processes allows these groups or their representatives to raise their voice in the decision-making processes that affect their lives (Dani & de Haan, 2008; Lavalle, Acharya & Houtzager, 2005; UNDESA, 2009). The aim should be to create deliberative forums and participatory mechanisms that complement existing representative structures and directly involve marginalised individuals and groups and allow them to influence the overall policy process (Cornwall, 2002; Evans, 2004, p.37; Pogrebinschi, 2012: p.1; Wampler & McNulty, 2011).

Access to appropriate forums should be facilitated and invitations extended to members or representatives of priority groups, such as civil society organisations (Lavalle et al, 2005). Where appropriate forums or mechanisms do not exist, they should be created (UNDESA, 2009, p.4).[12][13] Policy actors should engage the public and priority groups in a manner that is context specific and appropriate for the policy under consideration (Wampler & McNulty, 2011). Internationally, initiatives abound, at various levels of government, which seek to solicit active citizenship and institutionalise participation and render it inclusive of priority groups (MacLachlan et al, 2014; Wampler & McNulty, 2011). Participation occurs at the local level, however, it is important that the outcomes of such deliberations are fed back to the sub-national, national and even the international level. [14] We understand that inclusive mechanisms may be more easily implemented,

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11   The CESAQ questionnaire was developed to assess the comprehensiveness of a government's engagement strategy (DESA/DPADM & ESCWA, 2013).

12   For example, this is a condition in drafting Poverty Reduction Strategy Papers (Miller & Ziegler, 2006).

13   It is beyond the scope of this manual to prescribe how such forums should be constituted or what mechanisms are appropriate.

14   One of the main difficulties common to formulation processes of Poverty Reduction Strategy Papers, for example, is making sure that the outcomes of consultations are incorporated into the final strategy. This is often constrained by the government's willingness and ability to concede control to civil society organisations (Curran, 2005).

may be more appropriate or may have a stronger uptake in some contexts than in others (Wampler & McNulty, 2011). Differences in cultures of participation should not discourage policy actors from trying to actively encourage vulnerable groups to participate (Cornwall, 2008; Howarth, Andreouli & Kessi, 2014; MacLachlan, 2006).

Differences in political systems and levels of decentralisation will naturally affect the nature and quality of public participation (Cornwall, 2008; Wampler & McNulty, 2011). It may be more convenient or indeed suitable to conduct surveys; it may also be more cost-effective to hold limited consultations; however, it is generally assumed that by giving vulnerable groups the opportunity to deliberate, voice their concerns and articulate solutions, by working through organisations that represent their interest or by working with individuals or groups directly, that policy processes can be rendered more inclusive (Cornwall, 2002; Fung & Wright, 2003). Participation can be brought to scale and operate at the national level through, for example, chains of delegation where the outcomes of deliberations at the local level are carried forward to the highest level of policy making (Pogrebinschi, 2013, 2014).[15] Within such designs it must be ensured that participation amounts to representation of priority groups in decision-making processes (Pogrebinschi, 2014). It is only by opening up the dialogue to members of the public and by including those who are experiencing exclusion that policy makers can be made aware of specific needs and concerns. Acknowledging that participatory mechanisms cannot possibly engage the entire universe of potential stakeholders, governments should strive for "optimal participation" (Evans, 2004).

Participatory governance mechanisms should be set up in a manner compatible with contextual demands. Ideally, the set up of participatory mechanisms will be informed by what the public and priority groups themselves find desirable. Participatory governance and citizen deliberation are generally thought of as important mechanisms to contribute to social inclusion and social development more generally (Dani & de Haan, 2008; UNDESA, 2009).

Key action 2.:
Ensure the highest level of participation

Careful consideration should be given to render the contributions of vulnerable groups as meaningful as possible (Cornwall, 2008). Forums should be set up to maximise the quality of deliberation and participation and to empower marginalised individuals and groups as much as possible in the process (Cornwall, 2008). Many typologies of public participation exist to distinguish between quality and intensity of participation (Arnstein, 1969; Cornwall, 2008; White, 1996). The highest level of and most genuine forms of participation invest marginalised and vulnerable groups or their representatives with decision-making power (Arnstein, 1969). A useful typology of participation distinguishes between *information, consultation, dialogue, partnership* and *decision-making,* which may be exercised along different stages of the policy process (Arnstein, 1969; Combat Poverty Agency, 2006; Conference of INGOs of the Council of Europe, 2009). Decision-making designates the most empowered and the most meaningful form of participation (Arnstein, 1969). As such, vulnerable groups should be included in decisions relating to wider planning processes, implementation and monitoring and evaluation activities.

Ideally, citizen engagement strategies combine deliberation, representation and (joint) decision-

15   This is the inclusion mechanism at the centre of the national public policy conferences in Brazil (Pogrebinschi, 2012; Pogrebinschi & Santos, 2010).

making within participatory structures and processes. The aim is to address social inequalities by inviting affected individuals and their representatives to contribute to the dialogue and participate in the articulation of solutions (Evans, 2004). The flow of information should be such that relevant knowledge, experiences and interests of those most marginalised are taken into consideration at the highest decision-making levels and included in decisions and plans going forward (Pogrebinschi, 2013, 2014). Participation may be deemed effective if these concerns are fed back to decision-makers and translated into appropriate actions on the ground (Wampler & McNulty, 2011). Participatory deliberations should result in realistic expectations amongst all participants. Ideally, stakeholder preferences converge in such deliberations and a consensus between all participants can be achieved. Civil society organisations can help surmounting obstacles to consensus (Court, Mendizabel, Osborne & Young, 2006). Alternative opinions should be actively sought out within this process. All stakeholders should be accorded the opportunity to express their preferences and no one voice should dominate the formulation process; it is important to prevent 'elite capture' of policy dialogues (Cornwall, 2008; Cornwall & Coelho, 2007; OECD, 2013a). It is therefore imperative that excluded and marginalised groups are able to participate directly, or are adequately represented in policy forums (Pogrebinschi, 2013).

While participatory mechanisms may exist, it may be worth reviewing their effectiveness. All too often, participatory mechanisms are beset by a certain amount of tokenism, which prevents the demands, claims, interests and needs of vulnerable populations from being reflected in the actual policy (Arnstein, 1969; Pogrebinschi, 2013; White, 1996). Similarly, in certain contexts CSOs may be better placed to articulate and represent the concerns of vulnerable groups (Lavalle et al, 2005). Consequently it may be worth it to actively include CSOs in policy processes (DESA/DPADM & ESCWA, 2013). Cultures of participation and power dynamics within a given context will influence the parameters of participation and citizen engagement in policy processes (Evans, 2004; Gaventa, 2006). Joint *decision-making* between citizen and political elites may not always be possible (e.g. because of public apathy or fear of participation), or even desirable (e.g. because of low capacity amongst the lay public to participate), or indeed feasible (Wampler & McNulty, 2011). Policy makers should nonetheless actively encourage individual citizen engagement at the highest level possible. Sometimes deliberative mechanisms may simply not work in particular contexts. The quality and strength of institutions may, for example, be severely compromised in fragile and post conflict states (Wampler & McNulty, 2011). Similarly, participation is not free of cost and governments in low-resourced settings may not be in a position to fund such initiatives (ibid).

The capacity of marginalised individuals and/or their representatives to participate in public forums should also be strengthened (Court et al, 2006; Speer, 2012). Government officials may also benefit from training on how to engage with civil society (Wampler & McNulty, 2011). Similarly, the actual means of participation should be carefully selected. Advances in technology have created new mechanisms for participation in policy processes (DESA/DPADM, 2013). The level of technological advancement dictates the suitability of electronic-participation. In contexts where Internet penetration is low or moderate, and where large sections of the population remain illiterate, such alternatives are not viable (ibid). In those instances, it is important to rely on more 'traditional' mechanisms of participation or to customise and strengthen existing ones (ibid).

While contextual realities influence how vulnerable groups can engage, policy makers should render such processes as inclusive as possible and avoid merely rubberstamping participatory initiatives (Cornwall & Coelho, 2007; White, 1996). In some contexts, holding meetings to inform citizens about the existence of particular policies and processes is a first step towards greater inclusion (Dani & de Haan; 2008).

Theme 2: Cross-sectoral and intergovernmental cooperation and coordination

Key action 3.:
Strengthen cross-sectoral cooperation

As a complex and multidimensional phenomenon, social exclusion/inclusion demands a holistic and joined up response (European Commission/Guy, Liebich & Marushiakova, 2010; UNESC, 2015; World Bank, 2013). The nature of social exclusion is usually such that individuals or groups experience marginalisation across multiple dimensions and in different combinations (European Foundation, 2003; Mathieson et al, 2008; Popay et al, 2008; Silver, 2015). Coordination across policy sectors allows for the articulation of a more integrated strategy for social inclusion (European Foundation, 2003; World Bank, 2013). Working in silos is counterintuitive to the promotion of social inclusion; it leads to duplication of efforts, policy inconsistencies and sub-optimal service provision (Canadian Standing Senate Committee on Social Affairs, Science and Technology, 2013; Carey, Crammond & Riley, 2015). Even though silos are notoriously difficult to break down, genuine efforts should be made to strengthen cross-sectoral cooperation between relevant ministries (European Commission/Guy et al, 2010). In designing crosscutting policies, careful consideration should be paid to ensure that policies are built around specific vulnerable groups, simultaneously integrating their needs and demands into cross-sectoral policy designs (EAPN, 2007; World Bank, 2013).[16]

Administrative restructuring is often necessary to produce effective and efficient cross-sectoral cooperation throughout policy processes (UNECLAC, 2015). In planning for implementation, for example, this commonly involves the setting up of interdepartmental task forces and intergovernmental committees (Carey, Crammond et al, 2015; Carey, McLaughlin et al, 2015; UNDESA, 2008; UNECLAC, 2015). It also involves the introduction of new procedural rules and modalities, cross-sectoral staff secondments, pooling of resources and information systems and so forth (Combat Poverty Agency, 2007; Pollitt, 2003; UNDESA, 2009). Joining-up can be expensive however. Together, stakeholders should determine what is likely to work best in their respective contexts considering resource and capacity constraints (UNDESA, 2008). Similarly, the responsibility for coordination of social inclusion agenda should be associated with a powerful office or be positioned strategically within government (e.g. department in the Prime Minister's office; creation of ministries with cross-sectoral commands). Ideally, social inclusion agendas should command a certain degree of authority and should be endorsed by the most important political players (Popay et al, 2008, p.138; UNDESA 2008; UNECLAC, 2015).

Promoting equity and social inclusion at an organisational and institutional level is not so much about changing behaviour, rather, it is about achieving a shift in values and norms that influences how government officials perceive and understand social inclusion and how they

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16   Alternatively, while they may not be purposefully built around particular vulnerable groups (e.g. policies for the integration of Roma populations in European Union countries, or policies built around indigenous populations), policies should ensure that vulnerable groups can benefit from more generic policy initiatives (European Commission/Guy et al, 2010; Popay et al, 2008; World Bank, 2013).

can contribute to this goal (Carey, McLaughlin et al, 2015; Jones et al, 2009; World Bank, 2013). Hence, top-down promotion of cross-sectoral cooperation and coordination in pursuit of social inclusion must communicate a clear, coherent and goal oriented strategy capable of uniting all relevant stakeholders in the pursuit of a common objective (Carey, Crammond et al, 2015; Carey, McLaughlin et al, 2015). A consensually agreed definition and better understanding of the concept of social inclusion should facilitate the adaptation of necessary working modalities. Policy intentions must be properly interpreted at the implementation level and the buy in of implementers must be secured (Carey, Crammond et al, 2015; Carey, McLaughlin et al, 2015; Walker & Gilson, 2004).

Key action 4:
Strengthen intergovernmental cooperation

While it is imperative that different government sectors remain involved throughout the policy life cycle, the same also applies for different levels of government. It is important that communication channels between national, intermediary and local levels are in existence and that the voice of local government is heard at the national level (Combat Poverty Agency, 2007; European Commission/Guy et al, 2010; Levitas et al, 2007; Pemberton, 2008; UNECLAC, 2015). Coordination across relevant government sectors and levels is imperative to the design and delivery of a joined-up strategy tailored to local needs (Combat Poverty Agency, 2007; European Commission/Guy et al, 2010; UNECLAC, 2015). Government departments, in turn, must integrate specific aims and objectives pertaining to social inclusion into their business and operational plans (Combat Poverty Agency, 2007). Strategic plans must be accompanied by guidelines for action and specific mandates for relevant government departments, executive agencies, local authorities and implementers (UNECLAC, 2015). At this point, consultation should also occur with any donor organisations or non-governmental organisations working to ensure proper harmonisation of initiatives at the local level. Similarly, the definition of social inclusion underlying such concerted efforts must resonate across all government levels and within society more broadly (World Bank, 2013). Again, this can only be achieved if the intermediary levels of government are represented at top-level deliberations and remain involved throughout policy processes (European Commission/Guy et al, 2010).

Considering the multitude of actors involved in social inclusion agendas, decision-makers at the national level should be informed about initiatives at the local level in order to avoid duplication of efforts. Information on local initiatives should therefore be shared with officials at the national level. Feedback processes should operate in both directions such that national and local policy frameworks may be harmonised (Combat Poverty Agency, 2006; OECD, 2001). National governments must ensure that necessary tools, financial resources and technical support are supplied to local government to facilitate coordination and cooperation of efforts (European Foundation, 2003; European Commission/Guy et al, 2010; UNDESA, 2009, p.11). Coordination and cooperation across government sectors and levels should be enshrined into a "partnership framework" in which the responsibilities and prerogatives of all relevant stakeholders are outlined (Combat Poverty Agency, 2006, p. 21; European Commission/Guy et al, 2010).

Theme 3: Matching social need and provision

Key action 5:
Plan according to need

Policy objectives should correspond to the specific needs of vulnerable groups (UNDP, 2013). As such, the most essential dimensions of human well-being should be promoted (Jones et al, 2009). Policies should be designed in a manner that permits vulnerable groups to secure specific benefits and entitlements to mitigate their disadvantage (OHCHR, 2005). Policies and programmes should not deprive others of benefits and entitlements unless current provisions accrue in a discriminatory and unsubstantiated fashion to some groups/individuals but not others (i.e. respect for the principle of non-discrimination and avoidance of retrogressive measures) (ibid). Progressive realisation should be adopted as a guiding principle and it should be ensured that basic needs are fulfilled first and foremost (ibid)[17]. Policy aims and objectives should be realistic and be fully informed by resource constraints. Furthermore, priorities accorded to specific programmes for specific groups should be justified on the basis of urgency and need, and should be backed up by evidence (subsequent to a needs assessment for example) (UNDESA, 2008).

Planning should not be conducted in a top down fashion such that policy makers in government offices prioritise what they believe the needs of policy beneficiaries to be, without reference to local experiences and local knowledge (European Foundation, 2003; Kabeer, 2000). It is thus important that knowledge gained during initial consultations and deliberations feeds into planning processes. Using participatory planning techniques when drafting the policy and accompanying actions will permit decision-makers to gain a better understanding of social need whilst simultaneously allowing vulnerable groups and their representatives to be involved in the identification of policy solutions (UNDESA, 2009). Vulnerable groups and their representatives should be imbued with the agency to define the nature of their exclusion and conversely to determine what they deem instrumental and necessary to their inclusion. This will ensure that policies and decisions taken can be better adapted to specific needs and conditions (Lister, 2002). Efforts to promote social inclusion must tackle social exclusion as a multidimensional phenomenon; it is vital that, as part of a problem identification exercise, all stakeholders understand how the drivers of exclusion operate and accumulate over time (UNDESA, 2009; UNESCO, 2015). In designing policy solutions, via meta-strategies or coordination of new or existing policies, multiple needs must be addressed simultaneously and for an appropriate duration of time (Silver, 2015; UNESCO, 2015). Social policy programmes must be sustainable, and a maximum of available resources should therefore be made available (OHCHR, 2005; UNCESCR, 1990).

Key action 6:
Specify actions by which social needs will be addressed

Key stakeholders should identify explicit projects, programmes, and interventions to achieve strategic aims and objectives in a participatory manner (UNESC, 2015). Programme or project level information is not always detailed in '*broad*' policies, but rather outlined in separate, '*operational*' documents (Combat Poverty, 2006, p.113). Either way, specific actions by which governments propose to address social exclusion should be documented and detailed to allow

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17   With regard to progressive realisation, see General Comment No. 3 on "the nature of States parties' obligations (art. 2, para. 1 of the Covenant) (1990)" and the Limburg Principles on the Implementation of the International Covenant on Economic, Social and Cultural Rights (ESCR-NET, n.d.; OHCHR, 2005).

advocacy groups, activists, civil society groups and the general public to scrutinise and assess government efforts (UNDP, 2013).

Goals and strategies should be explicit and clear; they should not, however, discourage a diversity of implementation modalities (see *Key Actions 10-12* for more detail). As far as possible local, national and international priorities should be aligned and integrated in planning processes (UNESC, 2015). Furthermore, coordinating bodies and implementing agencies should be appointed from the outset (see *Key Actions 10-12* for more detail). The guiding principles for planning processes should be consistency: all programmes, projects and interventions should be aligned and should be integrated within a Results Based Management framework[18] (Asia Pacific CoP-MfDR, 2011; Bilney et al, 2013). Moreover, goals and actions to achieve them must be articulated in a clear and concise fashion to guide effective policy implementation (Carey, McLaughlin et al, 2015). As such, causal assumptions leading to long-term change should be made explicit (also see *Key Action 5*)(Bilney et al, 2013).

Equity considerations should be built into the planning process such that distributional equity is the core criterion adhered to within the planning phase. Policies for social inclusion must seek to 'level the playing field' and as such should design specific schemes whereby excluded or marginalised groups are selected to benefit from tailored programmes (Jones et al, 2009; Kidd, 2013; Norman-Major, 2011; World Bank, 2013). Such actions should not, however, amount to discrimination and negatively impact upon the socio-economic rights and basic entitlements of other groups (OHCHR, 2005). Similarly, programmes and projects should be evidence based and adapted to specific contexts; as such they should be informed by what has been proven to contribute to social inclusion (Bilney et al, 2013; MIDIS, 2012). Any such efforts must be backed up by a sustainable source of funding and this should be reflected in government budgets (see *Key Actions 7-8* for more detail).

Theme 4: Social budgeting

Key action 7:
Build equity considerations into budgets

National budgets are one of the main instruments by which governments create the conditions for the realisation of socio-economic rights, thereby shaping the conditions for social inclusion (Blyberg & Hofbauer, 2014; CESR, 2012; European Commission/Guy et al, 2010). Under resourcing of policies oftentimes complicates the translation of rights on paper into actual goods and services. It is imperative to focus on budgets and associated resource generation and allocation mechanisms (CESR, 2012, p.23). Governments often justify shortcomings by citing a "lack of sufficient resources", when in reality such shortcomings are caused by inefficient and inequitable resource generation and subsequent allocation (ibid). Government commitment to matters of inclusion and equity can be inferred from budgetary information (CESR, 2012, p.23; UNICEF, 2010; UNIFEM/Sharp, 2003). In line with international best practice, governments should develop programme-based budgets (rather than line item budgets), which shifts the focus to "what is

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18   Bilney et al (2013: 3) define a Results-Based approach as "cornerstone of effective development. They help achieve development objectives through the use of results chains, which map causal links between development interventions and their effects, and integrate evidence of performance into decision making to strengthen sustainability and accountability".

delivered to the community by the budget and the expected impact" (Lakin & Magero, 2015; UNIFEM/Sharp, 2003).[19] If social inclusion is a priority of the whole of government, this should be clarified in budget statements and it should be explicit in proposed and enacted budgets, which should detail sectoral interventions as well as associated allocations and remain aware of how sectoral and mainstream programmes impact upon vulnerable groups (Lakin & Magero, 2015; UNICEF, 2010; UNIFEM/Sharp, 2003). Polices and programmes should be accurately costed for submission to finance ministries and prior to inclusion in government budgets. Many government initiatives are never implemented because ministries fail to include them in the budgetary decision making processes (UNIFEM/Sharp 2003, p.1).

Equity considerations should be built into budgets[20]; equitable revenue-generating schemes and distributive measures can contribute to the (progressive) realisation of socio-economic and cultural rights (Blyberg & Hofbauer, 2014; OHCHR, 2005). Social inclusion and equity demand that in an interim phase, funding is earmarked for policies and programmes specifically addressing current disparities or specific vulnerable groups. This is appropriate as long as such allocations do not amount to retrogression whereby essential goods or services are suddenly denied to those who previously benefitted from them (Blyberg & Hofbauer, 2014; European Commission/Guy et al, 2010; OHCHR, 2005). Differential inputs may be justified only if there is sufficient evidence to establish that primary beneficiaries are comparatively disadvantaged. This should not be used to justify differential treatment, arbitrarily favouring the wellbeing of one group over another (Blyberg & Hofbauer, 2014).

Similarly, distributions of funds to different geographies should be dictated by need (Jones et al, 2009; UNECLAC, 2015). In decentralised systems, allocations to sub-national districts should be equitable and systems of oversight should be instated to monitor how funds are applied at lower levels of governance (Jones et al, 2009; UNICEF, 2010). Within budgeting processes, and in all matters of social policy, all stakeholders should adhere to principles of progressive realisation, non-discrimination and application of maximum available resources (Blyberg & Hofbauer, 2014; OHCHR, 2005).[21] Government budgets should also be effective. Equity and effectiveness can be complimentary values given that the latter "refers to choosing the ends that most adequately reflect social, political, and legal values and priorities" (UNICEF, 2010, p.6). Government budgets must also be efficient, but such considerations should not be prioritised at the expense of equity and effectiveness (UNICEF, 2010).

Key action 8:
Minimise gaps between real and planned budgets

Responsive budgeting is key to promote social inclusion and equity (UNICEF, 2010). Budgets must be equitable and inclusive in nature, but this must be compounded by effective public expenditure mechanisms such that policy activities are tailored to "variations in need and evidence of performance" (Foster, Fozzard, Naschold & Conway, 2002, p.22). In order to ensure

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19   Programme Based Budgets (PBBs) outline programmes and sub-programmes and specify policy objectives. They provide narrative information on programmes, sub-programmes, targets and indicators. They focus on outputs and outcomes rather than inputs (Lakin & Magero, 2015).

20   In relation to gender sensitive budgets, for example Sharp (2003) notes that equity could be a dimension of input, output and outcome indicators if it was defined in terms of access and representation.

21   These principles have been articulated by the UN Committee on Economic, Social and Cultural Rights (CESCR). This interpretation of article 2 of the International Covenant on Economic, Social and Cultural Rights (ICESCR) and how it relates to government budgets may be found in Blyberg & Hofbauer (2014).

that programmes are funded appropriately, prospective allocations must be realistic in the first place (Foster et al, 2002; UNICEF, 2010). In line with international standards and best practices, and in order to increase accountability and transparency, governments should produce and publish a series of reports throughout the budgeting cycle (Ramkumar & Shapiro, 2011; UNICEF, 2010; UNIFEM/Sharp, 2003). In particular, governments should produce enacted budgets, ideally as detailed as possible, including expenditure at the programme level. Furthermore, governments should produce in-year reports that permit a comparison between total expenditures and original estimates (Ramkumar & Shapiro, 2011). Similarly, mid-year reports should be produced to allow for the adjustment of current allocations. A Year-End Report compares the actual budget execution to the enacted budget (Ramkumar & Shapiro, 2011). These reports are invaluable for auditing purposes (UNIFEM/Sharp, 2003). As such, CSOs have tangible information on the basis of which to evaluate government intentions and actions. Audits, whether independent or commissioned by governments, should be participatory in nature (UNDESA, 2007). Supreme audit institutions (SAIs) should rely on the support of civil society and this should be actively encouraged (Ramkumar & Shapiro, 2011; UNDESA, 2007). Audits should be social in nature; expenditure allocations should be assessed against their propensity to meet social inclusion goals (i.e. a results orientation in audits) (UNDESA, 2007). Additionally, such audits present excellent opportunities to appraise the "entire decision-making processes in order to ensure consistency between planning, budgeting and implementation especially those processes that are geared to achieve the stated national goals" (UNDESA, 2007, p.xiv).

Stakeholders must pay particular attention as to how governments propose to raise or source the funds for particular initiatives (CESR, 2012). In raising revenues for social goods and services and other programmes aimed at fostering social inclusion, governments must ensure that policies do not further disadvantage vulnerable groups or individuals (Blyberg & Hofbauer, 2014; CESR, 2012). Similarly, auditors should pay particular attention to how money is raised and at whose cost (CESR, 2012). Sustainability of social programmes must be ensured (Blyberg & Hofbauer, 2014). Social inclusion policies and programmes should present long-term rather than short-term solutions (UNESCO, 2015).

Theme 5: Inclusive and responsive implementation

Key action 9:
Devise a responsive and flexible implementation plan

The promotion of social inclusion hinges, to a large extent, on the proper execution of the government's strategic vision. It is thus paramount that the goals, instruments and implementation processes are compatible and consistent (Carey, Crammond et al, 2015). A detailed, overarching implementation plan should guide the operationalisation of the policy (Combat Poverty Agency, 2006; UNECLAC, 2015). Implementation plans should be drawn up in a participatory manner to ensure that key stakeholders, including local governments, service users and service providers, contribute to implementation planning (for more detail see *Key Actions 1-4*). The operationalisation of a policy must occur in a manner compatible with the social needs of marginalised and excluded individuals and groups (for more detail see *Key Actions 5-6*). It is paramount that governments, ministries, departments, agencies and all other implementers "are politically and institutionally prepared to change course mid-way through implementation if this is required" in light of new

evidence gained from evaluation activities (for more detail see *Key Action 13*) (UNDP, 2013, p.21).

Implementation lead entities should be formed to oversee the implementation process, and in particular to identify and coordinate "cross-entity dependencies and responsibilities" (Australia Government, 2014, p.46). Moreover, decision-makers should issue specific guidelines and mandates to all implementers (Keast, 2011). This is particularly important for planning and implementing integrated strategies simultaneously dealing with multiple and intertwined aspects of social exclusion. Moreover, implementation lead entities can ensure that relevant information from the local level can be fed into national frameworks (Combat Poverty Agency, 2006). On the basis of such information, implementation plans should be continuously revised and adapted (Combat Poverty Agency, 2006). Guidelines and mandates should therefore not restrict implementers from tailoring their actions to particular local contexts. A balance should be struck between top-down and bottom-up approaches to implementation (European Foundation, 2003; OECD, 2001).

Implementation plans should outline and describe the programme logic and causal pathways for how implementation activities are anticipated to promote social inclusion and equity (Australia Government, 2014). Implementation plans should also spell out intermediary and final timeframes within which specific aims and objectives should be achieved (UNDP, 2013). Target setting is important as it commits governments to act, particularly if there is external pressure to measure progress against such targets (Atkinson, Marlier & Nolan, 2004). The setting of intermediary timeframes provides an additional impetus to review implementation at critical junctures of the process so that programme courses may be adapted if necessary. Barriers to implementation and capacity gaps should be identified, and capacity development should be an integral component in implementation plans (Australia Government, 2014; Jones, 2009). This is particularly important if identified gaps pertain to the training of front line staff (i.e. delivering sensitivity training for service delivery) (European Foundation, 2003; World Bank, 2013). It is vital that the practices of service providers do not further promote social exclusion (Stubbs, 2009).

Key action 10:
Adopt the most inclusive selection methodology

Stakeholders should ensure that designated policy benefits (goods and services) accrue to vulnerable segments in society as these individuals and groups are often excluded from particular schemes and programmes (MIDIS, 2012; UNECLAC, 2015; van Domelen, 2007).[22] Beneficiaries should therefore be selected in a way that ensures maximum policy coverage for those entitled under a policy (MIDIS, 2012). In certain contexts, identifying and selecting policy beneficiaries[23] may be more difficult, especially if beneficiaries are less visible and/or reluctant to access services (UNDESA, 2009, p.20-21). As such, formalised selection systems (such as means testing based on formal income records, or formal residence criteria for example) may be inadequate to select potential beneficiaries in particular contexts (Alatas, Banerjee, Hanna, Olken & Tobias, 2010; JPAL, 2013; European Commission/Guy et al, 2010). In order to ensure that intended beneficiaries avail of policy benefits as much as possible, more inclusive selection methodologies should be

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[22]   We do not suggest that such initiatives should detract from the wider goal of universality.

[23]   The selection of beneficiaries is sometimes referred to as selectivity or targeting (UNECLAC, 2015; van Domelen, 2007). UNECLAC (2015) specifically identified targeting as an important instrument in its recommendations for social policy in Latin America and the Caribbean: "Selectivity or targeting was conceived as the set of instruments that make it possible to allocate resources to the poorest population groups and fulfil a complementary function because '...it is a method which, if properly applied, enhances the effectiveness of universal social programmes (UNECLAC, 2000)".

employed. It is imperative that stakeholders collaborate and coordinate efforts to create the most exhaustive lists of beneficiaries. Proxy means testing is a more inclusive methodology, which combines household asset data and demographic characteristics to create a proxy for "household consumption or income" which is then used for targeting (Alatas et al, 2010). Single selection methodologies may be inappropriate especially if potential beneficiaries are not captured within formalised registries or geographical targeting initiatives (van Domelen, 2007, p.46). Examples of hybrid selection models can be found at the community level (Abdul Latif Jameel Poverty Lab, 2013; MIDIS, 2012). One such methodology is to adopt a hybrid model whereby a formalised selection process is complemented by an alternative identification process. In these alternative processes, local community leaders, members of the community or other key actors determine the eligibility of individuals within their communities (Abdul Latif Jameel Poverty Lab, 2013; MIDIS, 2012). Brazil experimented with a hybrid selection system to create a single beneficiary registry database to deliver its social programmes (Rao, 2013). This registry combines geographic targeting with a survey out-reach effort in the poorest areas (ibid). This is deemed to increase the likelihood of identifying more hidden individuals whilst creating more inclusive beneficiary or client lists. Careful consideration should be paid to ensure that adopted selection methodologies do not contribute to the stigmatisation of already vulnerable individuals and groups (Grosh, del Ninno, Tesliuc & Ouerghi et al, 2008). Self-selection methodologies should only be employed if they do not discourage or undermine access to services and benefits (Mkandawire, 2005).

Theme 6: Implementation Partnerships and Cooperation

Key action 11:
Select the most appropriate implementation partners

Governments should actively encourage the involvement of alternative actors such as the private sector, non-governmental and civil society sector in the operationalisation of social inclusion policies (Bromell & Hyland, 2007; European Foundation, 2003; UNDESA, 2009; Noya & Clarence, 2008; World Bank, 2007). Engaging alternative partners allows governments to fill gaps in service provision and coverage gaps (Cornwall & Gaventa, 2000). It may also lead to innovations in service delivery (European Foundation, 2003). Leveraging alternative partnerships may also prove crucial to minimise geographic imbalances in policy implementation. Generally speaking, attempts to address social exclusion have been accompanied by a proliferation of actors, operating to a large extent at the subnational level (Noya & Clarence, 2008).

Much about policy implementation remains at the discretion of implementers on the ground (Brynard, 2010; Walker & Gilson, 2004). Cooperative relations between government, its agencies and key implementers are crucial to align policy on *the books* with policy *on the streets* (Stowe & Turnbull, 2001). To this end, governments must ensure that the manner, in which they communicate strategies, is understood at the level of implementation. The buy-in of implementers is crucial to policy success (Carey, Crammond et al, 2015). Citizen groups, community organisations, civil society organisations, service users, users' organisations, voluntary organisations, private businesses, trade unions, local government and communities should be considered as key implementation partners (Cornwall & Gaventa, 2000; European Commission/Guy et al, 2010; European Foundation, 2003; UNDESA, 2009). Non-governmental, voluntary organisations are particularly adept to promote access to social rights and to bring policy solutions closer to marginalised

individuals and groups (Billis, 2001; Combat Poverty Agency, 2006; European Foundation, 2003; OHCHR, 2005). These actors are more likely to play an important role in resource-limited contexts (European Foundation, 2003; World Bank, 2013).

Research suggests that implementation is more likely to be successful if all implementers understand what a social inclusion agenda entails and how it can be incorporated into practice and be operationalised on the ground (Australia Government, 2014; Carey, Crammond et al, 2015; UNDESA, 2009). It is important that governments communicate their social inclusion agenda in a clear and succinct manner that resonates at the local level (UNDESA, 2009). If key implementers understand what is expected of them in terms of their contribution to the social inclusion agenda, they are more likely lo adapt their current practices accordingly (Combat Poverty Agency, 2006; UNDESA, 2009). Similarly, the vision of social inclusion must resonate more widely across society. Policies and programmes often need wide social support in order to be sustainable; "shared vision builds support for public expenditures towards social inclusion" (World Bank, 2013, p.20).

Key action 12:
Encourage cooperation between agencies and service providers

The nature of social exclusion/inclusion is such that it demands a holistic approach. Integration at the level of service delivery is crucial to meet aims and objectives of social inclusion agendas (MIDIS, 2012; UNDESA, 2009, p.19). The SDGs are also inter-sectoral in nature and demand an integrated response (UNESC, 2015). The diverse needs of vulnerable individuals and groups must be dealt with simultaneously and in an integrated manner. Cooperation must be fostered between implementers at the local level and among civil society and non-governmental organisations to avoid ad-hoc service delivery (Court et al, 2006; European Foundation, 2003). This will, in all likelihood, increase the chances of interventions being delivered in a coherent manner (Carey, McLaughlin et al, 2015).

Many governments have successfully experimented with "single access" type of approaches, which physically reassemble service providers in one location (i.e. co-location) and provide an integrated set of services (Richardson & Patana, 2012). Ideally, 'one stop approaches' are often combined with case management approaches, deemed most appropriate for promoting social inclusion for they provide individually tailored approaches to meet diverse needs of individuals or families (ibid). Upon a detailed needs assessment, caseworkers (or equivalents) liaise with relevant agencies or service providers to address multiple needs (ibid). This is often most effectively carried out at the local or community level, as services are more easily accessible (Jones et al, 2009; OECD, 2013a; World Bank, 2007). Ideally, and for the purpose of reducing complexity, one single authority administers and coordinates benefits and services (MIDIS, 2012; OECD, 2013a).

Official partnership frameworks should be created focusing on potential synergies between different implementers to minimise duplication of efforts resulting from parallel activities (OECD, 2001). Steering committees for intervention-specific partnerships structures should represent all relevant stakeholders (Australia Government, 2014; European Foundation, 2003; OECD, 2001). Public services and alternative services should be aligned, rather than 'compete' for client bases (OECD, 2001). Resources should be made available to set up necessary partnership frameworks, through network meetings, training, and any other efforts deemed effective to this end (European Foundation, 2003; Keast, 2011).

Theme 7: Multi-dimensional and context driven data collection

Key action 13:
Collect qualitative and quantitative data

Data plays a crucial role throughout the policy process; data should inform policy development and it should be collected to monitor the implementation and the impact of policies and programmes, before feeding back into policy design (Atkinson & Marlier, 2010; Székely, 2014). Appropriate data collection mechanisms must be in existence or else must be created to capture all relevant information necessary to identify pockets of exclusion, to monitor the implementation and evaluate policy impact (UNDESA, 2009, p.27). The information derived as part of monitoring and evaluation activities should feed back into policy designs and implementation plans as this can improve the quality of policies (Combat Poverty Agency, 2006; Székely, 2014). [24]

Equity and inclusion focused public policies, whether they constitute overarching strategies or sectoral policies, usually put forward multiple programmes and interventions under a single policy. They may be rolled out in different phases, at different times and in different geographic locations; and various programmes may interact with one another and produce unforeseen results (Bamberger & Segone, 2011). Public policies constitute complex social interventions, which cannot be evaluated as individual programmes or projects or with traditional tools (Atkinson & Marlier, 2010; Bamberger & Segone, 2011; Samson et al, 2015; UNDP, 2013). A control group, for example, is often not identifiable in instances where a policy is rolled out nationally (Bamberger & Segone, 2011). Many anticipated results take years to materialise and evaluators must thus come up with innovative techniques to perform interim assessments (Bamberger & Segone, 2011; Székely, 2014). Moreover, attribution difficulties, inherent to complex policy interventions, further complicate policy assessment. For this very reason, it has been argued that quantitative experimental designs may not be entirely appropriate to assess policy impact, particularly in the realm of social inclusion/exclusion, where anticipated outcomes are more difficult to operationalise and to measure (e.g. "social cohesion", "beneficiary stigmatisation") (Samson et al, 2015). Rather, a combination of quantitative and qualitative methods (mixed methods) should be employed to monitor and evaluate equity and inclusion focused policies (Székely, 2014; UNDP, 2013). A combination of data collection methods and evaluation designs (multi-method evaluations), assessing a variety of aspects of the policy, taking into consideration various restrictions and context specificities is more likely to provide a comprehensive assessment of the strengths and weaknesses of a policy (UNDP, 2013)[25]. The strength of such an approach will be evident in evaluations of multi-sectoral approaches (Samson et al, 2015, p.15).

Policy evaluation frameworks should be designed in a participatory manner and prior to policy implementation (Combat Poverty Agency, 2006). Policy actors must determine, from the outset, what types of evaluations can feasibly be conducted, what kind of data can be collected and

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24   The ultimate objective of the Evidence Management Division of the Evaluation Office of the Ministry of Development and Social Inclusion (MIDIS) in Peru, for example, is to ensure to "increase the impact, efficiency, quality, equity, and transparency of development and social inclusion policies and programmes" (MIDIS, 2012; Székely, 2014, p.7). Much of the evidence generated as part of evaluation efforts fails to feed back into decision-making processes. Under an "evidence management approach", the merit of evaluations is judged on its merit to influence policies (Székely, 2014, p.7).

25   UNDP (2013), for example, lists Crowd-sourcing; Real Time, Simple Reporting, Participatory Statistics, Mobile Data Collection, the Micro-Narrative, Data Exhaust, Intelligent Infrastructure, Remote Sensing, Data Visualisation, Multi-level Mixed Evaluation Method and Outcome Harvesting as examples of innovative evaluation methods which can be used in combination, many of which emphasise participatory engagement.

what aspects of the policy effect can realistically be measured. There may be merit in evaluating separate programmes individually for an overall assessment of policy impact (Roelen & Devereux, 2014). Policy evaluation frameworks should put strong emphasis on participatory and inclusive evaluations, ensuring that affected groups are involved in monitoring and evaluation (Mertens, 2012; UNDESA 2009; UNDP, 2013). Evaluations involving vulnerable groups (as service users or beneficiaries more broadly) display transformative potential, for they seek out the knowledge and experiences of vulnerable groups, which should influence the future course of policies and programmes (Mertens, 2012; Samson et al, 2015). Implementers should also be accorded an active role in evaluations (Roelen & Devereux, 2014, p.3). Information gauged from implementers as well as more in-depth evaluations of the policy process itself proves very informative in terms of adequacy of service delivery mechanisms (Roelen & Devereux, 2014, p.3). If a certain policy is beset by a low uptake of services for example, much can be learned from an analysis of the implementation process and frontline implementers (Walker & Gilson, 2004). Ideally policy evaluation frameworks comprise evaluations of the policy content; of the policy implementation process; of the impact on the lives of intended beneficiaries and of the satisfaction with level and quality of participation throughout the policy process (CESR, 2012; Court et al, 2006; Fung & Wright, 2003, p.31; MacLachlan et al, 2015; Roelen & Devereux, 2014). Alternatively, this can also be done as part of an audit (UNDESA, 2007) (*see KA 8 for further additional information*).

Theme 8: Data fit-for-purpose

Key action 14:
Integrate, aggregate, disaggregate and share data

Many countries face difficulties in properly identifying excluded groups and in addressing inequality more broadly (UNESC, 2016; UNFPA, 2016). Much of this is linked to gaps in demographic data, inadequate statistical infrastructures, and a tendency to prioritise data production over data mining and analysis, in particular for the purpose of national planning, and monitoing and evaluation in the context of the SDGs (UNFPA, 2016). Government departments, executive agencies and national/central statistics offices, non-governmental organisations all collect data, independently of one another and as part of their routine workings (NESC, 1985, p.78; UNSDSN, 2015). Policies to promote social inclusion have very particular data needs; policy actors must appreciate the multiple and complex interactions between different aspects of exclusion. It has been suggested that the lack of integration of civil registration and administrative data (in all major sectors such as health, education and so forth), for example, not only hinders the effective collaboration between government departments, but also jeopardises evidence-based decision-making and results based management in general (MacFeely & Dunne, 2014; UNFPA, 2016). Policy actors should thus draw on multiple and complimentary data sources to gain an accurate oversight of the current picture of social inclusion/exclusion; this will allow for a more responsive and efficient policy design in the first place (UNFPA, 2016).

Government departments, executive agencies and national statistics offices (NSOs) should work together to strengthen national statistics infrastructures (UNESC, 2016; UNFPA, 2016). Data protection laws and a wide spread reluctance of government sectors to pool data sources often significantly impede the strengthening of national data infrastructures (Open Society Foundation, 2010). By drawing on multiple sources of evidence (census data, administrative registries, household

surveys etc.) and exploring the potential for linking them, policy actions can be better tailored to address specific problems (UNESC, 2016; UNFPA, 2016). A baseline report should be produced to inform formulation, planning and budgeting processes and against which changes in social inclusion can be measured over time (Atkinson & Marlier, 2010; Australia Government, 2010). There is additional merit in measuring inclusion more comprehensively in a particular context by drawing on additional indicators across a variety of dimensions such as employment, housing, sanitation, health, education, political participation etc., to create an overarching picture of social inclusion (Ahmimed et al, 2014; Atkinson et al, 2004; Huxley et al, 2012). In the European Union, for example, member states report against a pre-determined set of indicators as part of their National Action Plans for Social Inclusion (Atkinson et al, 2004). Similarly, governments will be required to report against progress on interrelated targets of the SDGS, drawing on dimensions such as poverty, inequality, health, education, gender equality and so forth (UN, 2016). One of the target indicators of SDG 16 demands that governments "provide legal identity for all, including birth registration" (sub-target 16.9) (UNFPA, 2016, p.6). Inclusion in statistics (at the individual level) is a crucial first step to ensuring that policies and services are adequately tailored to the interests of vulnerable groups (UNESC, 2016). Governments should actively encourage research institutes, universities, think thanks and civil society, organisations to use available data for planning and implementation and to evaluate policy within the context of results based policy management and report against progress on national and global targets (Combat Poverty Agency, 2006; UNESC, 2016; UNFPA, 2016).

All data collected should be amenable to disaggregation for different vulnerable groups so that it may feed back into the policy cycle and inform the adaptation of policy designs. Moreover, it should be disaggregated by age, sex, ethnicity, disability, migratory status, income, and geographic location (Piron & Curran, 2005; UNDESA, 2009; UNFPA, 2016). This is particularly important as it allows a more accurate assessment of needs and a more accurate measurement of differential impact for different groups (Open Society Foundation, 2010). One of the major criticisms of the Millennium Development Goals (MDGs) was levelled against its aggregate reporting requirements, which led to "sub-national and other population inequalities to fall below the radar of national reporting systems" (UNFPA, 2016, p.3). It should be emphasised, however, that this is not always feasible, nor do policy makers necessarily always find this desirable. Information governance arrangements may prevent the collection of ethnic data, for example, just as policy makers may oppose disaggregation of data by ethnicity if their aim is to build or re-build a unified nation (Open Society Foundation, 2010; Piron & Curran, 2005).

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Key action 15:
Select appropriate indicator dimensions

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Indicators play two distinct roles in policy processes for social inclusion. Measured at a societal level, indicators identify pockets of exclusion, and therefore help to guide policy action (Atkinson & Marlier, 2010; UNSDSN, 2015). Social indicators are thus intimately linked to whole of government and national objectives (Armstrong & Francis, 2002; Atkinson & Marlier, 2010). In a separate capacity, indicators are instrumental in measuring policy outcomes (Armstrong & Francis, 2002). When setting targets, policy actors should select key performance indicators that are best suited to measure specific impact of policy efforts (Atkinson et al, 2004). If possible, portfolios should contain indicators that express relevant and direct (but also indirect) social outcomes of interest

(Atkinson et al, 2004; Roelen & Devereux, 2014; United Nations Economic and Social Council, 1996). Policies should be evaluated for how they impact on specific vulnerable groups, though this may not always be possible. Where possible, agencies should seek to align programme objectives (department strategic objectives) to the government's social inclusion agenda (whole of government outcome objectives) and/or the wider SDG agenda (UNSDSN, 2015). A correspondence between key performance indicators and social indicators[26] for individual policies or programmes are indicative a certain level of coordination between implementers and national government (Atkinson & Marlier, 2010, p.31-32). A correspondence between indicator frameworks is likely to reduce the statistical burden on reporting systems (UNSDSN, 2015). Ultimately, however, indicator frameworks must be useful to national planners and serve national priorities (UNSDSN, 2015).

Ideally, indicator frameworks combine input (policy effort), output (performance) and outcome indicators.[27] Where outcome indicators cannot be measured, for example, it would be useful to select input or output indicators as proxies (Atkinson et al, 2004; Mabbett, 2007). Oftentimes, input indicators are more readily available than outcome indicators as the latter can only be measured further down the line (Atkinson et al, 2004). Furthermore, international benchmarking of input indicators, for example, would allow countries to learn from each other's policy efforts (Atkinson & Marlier, 2010; Mabbett, 2007).

Indicators should not solely be objective; there is merit in adding subjective indicators to the framework (Atkinson & Marlier, 2010). By soliciting the views and opinions of excluded individuals themselves in the construction of indicators (in defining standards, or context specific poverty rates, minimum services against which to measure progress), policy and programme evaluations will be more responsive to the needs of vulnerable populations (Atkinson & Marlier 2010, p.8-9; Open Society Foundation, 2010). It is imperative that all concerned stakeholders agree on the relevance of a consolidated indicator framework. Within such frameworks, indicators should be clearly linked to aims, objectives and specific targets (Atkinson & Marlier, 2010; UNSDSN, 2015).

Theme 9: Comprehensive and inclusive dissemination system

Key action 16:
Share information with policy beneficiaries

One manifestation and driver of social exclusion is "information poverty"; limited access to policy revelant information prevents individuals and groups from fully participating in society (Britz, 2004; Kennan, Lloyd, Qayyum & Thompson, 2011, p.193). Governments must improve information infrastructes and ensure equitable access to all information relating to benefits a policy has to offer (i.e. entitlements, goods and services, specific provisions (Britz, 2004; Harris & Kende-Robb, 2008: 112; IFLA, 2014). This information should be disseminated as extensively as possible and made accessible to all and in a culturally appropriate manner (Kennan et al, 2011; UNDESA, 2009). The fact that potential beneficiaries often remain unaware of the existence of and their

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26   Social indicators measure "concerns of fundamental and direct importance to human well-being" (OECD, 1973).

27   Input indicators provide information about the *means* or *instruments* by which instances of inclusion are to be achieved (Atkinson et al, 2004; Mabbett, 2007). Outputs refer to elements "directly produced by the policy" such as programme expenditures and benefit coverage for example (Mabbett, 2007).

entitlements under a particular policy constitutes one of the main barriers to accessing particular services (Kennan et al, 2011; UNECLAC, 2015).[28]

Information is a public good, free and accessible to all (Britz, 2004). Similarly, access to information or freedom of information is a human right (ibid). Consequently, governments must ensure that vulnerable groups are granted equitable access to information relating to the policy and political decisions that impact their lives more in order to enable sustainable development (IFLA, 2014). Governments must leverage appropriate mediums to ensure that the most 'disconnected' individuals and groups have access to information relating to a policy and its provisions (de Soto, Beddies & Gedeshi, 2005; World Bank, 2013). Governments must thus ensure that any communication relating to the policy and its benefits is disseminated in a manner that is easy to understand and accessible to all (World Bank, 2007). Barriers to accessing information relating to a policy and its benefits may be more severe for some vulnerable groups than others. A special consideration must thus be offered to context: Information should be produced in local languages, communicated orally (e.g. community theatre) or through written (e.g. Braille, caption), or technological mediums. Inappropriate guidance on how to access a policy constitute a further barrier to service uptake (Kennen et al, 2011). Oftentimes, policy beneficiaries find application or registration processes confusing or difficult to complete (ibid). Within policy dissemination processes, the media plays a pivotal role; governments and all other stakeholders should leverage relationships with the media to ensure policy information is disseminated more efficiently (through radio, TV, newspapers, internet) (de Soto et al, 2005, p.140; UNDESA, 2008, p. 57; van Domelen, 2007).

Key action 17:
Share information with the policy community

Information and knowledge sharing is a central element of participatory governance and constitutes the fundamental building block of an inclusive process and a vital first step in involving the public in policy processes (Combat Poverty Agency, 2006, p.153; OECD, 2013a, p.14).[29] ***Governments must ensure that the wider policy community has*** equitable access to all information relating to various stages of the policy process (Harris & Kende-Robb, 2008; DESA/DPADM&ESWA, 2013; IBP, 2012; OECD, 2015; Székely, 2014). The policy community may be loosely defined as the set of actors with a stake in, centrally or peripherally involved in the policy process, directly or indirectly affected by a particular policy (Combat Poverty Agency, 2006). As such it involves, academics, civil society organisations, government agencies, non-governmental organisations, trade unions, the private sector, vulnerable groups and society in general.

Citizen involvement in policy processes can be conceptualised on a spectrum ranging from lack of information to co-decision making (Arnstein, 1969). Governments must provide vulnerable groups, and any other interested or potentially affected groups with the necessary and relevant information that allows them to participate to engage in or with policy processes (Combat Poverty Agency, 2006; Court et al, 2006; IFLA, 2014; OECD, 2015). As such, information about public consultations (e.g. public forums, (e-)consultations) should be widely disseminated (DESA/

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28   Kennan et al's (2011) study on information experiences of refugees in Australia shows that this group faces significant barriers in accessing basic services in an information environment that is difficult to navigate and demands high literacy and proficiency of the English language.

29   Freedom of information acts would be an example of an effort to grant access to policy information.

DPADM&ESWA, 2013). For example, governments should also produce a citizens' budget (i.e. a public non-technical presentation of a government's budget). A citizens' budget is one of the 8 key documents a government must produce to comply with international good practice (IBP, 2012; Ramkumar & Shapiro, 2011; UNICEF, 2010, p.3). In-year and mid-year budgets, as well as audit reports should be made public and easily accessible (IBP, 2012). Any monitoring and evaluation reports should also be made accessible to the public (Székely, 2014). This is especially important as it represents an avenue for the public and civil society to monitor the implementation of the policy and how governments are spending and raising public money (International Budget Partnership, Development Finance International and Oxfam America, 2014; UNDESA, 2007). The role of CSOs as information intermediaries is crucial (IFLA, 2014); by accessing and evaluating information relating to a particular policy, civil society actors can build a case to influence or change the course of a particular policy (Ramkumar & Shapiro, 2011; Székely, 2014).

6. The Future Development of EquIPP

This manual constitutes an attempt to provide guidelines to navigate through an equitable and inclusive policy process; weather or not this unfolds in a linear sequence of neat steps. We hope to continuously update and add to this manual. As policy makers begin to engage more and more with inclusive processes to meet the targets outlined under several of the SDGs, we expect their experiences to enrich the framework laid out here. In particular, we hope that evidence from less resourced settings will significantly feed into the future development of EquIPP.

We acknowledge the breath of the framework and the lack of prescription offered for each Key Action. This was deliberate, as we believe that there are no cut and paste solutions in promoting social inclusion and social development more generally. Governments, together with interested parties and affected groups, must design and engage in policy processes that work in their respective contexts.

EquIPP is currently being used in Malaysia (assessment of the National Science, Technology and Innovation policy), Timor Leste (assessment of the National Disability Policy) and Malawi (assessment of the National HIV/Aids Strategy). By using EquIPP as an assessment tool, we hope that stakeholders from all perspectives will better understand the facilitators and blocks to social inclusion; encouraging them to work collaboratively to empower those most marginalised in and by our social structures.

7. Annexes

Annex 1: Assessment Template

Figure 3 represents a spider diagram of the 17 Key Actions. Ratings for individual KAs may be plotted on such a diagram to illustrate what an inclusive policy process may look like (Figure 4). We intend to update subsequent versions of this manual with results from policy assessments carried out in Malaysia, Timor Leste and Malawi where EquIPP is currently being used to assess national policy processes.
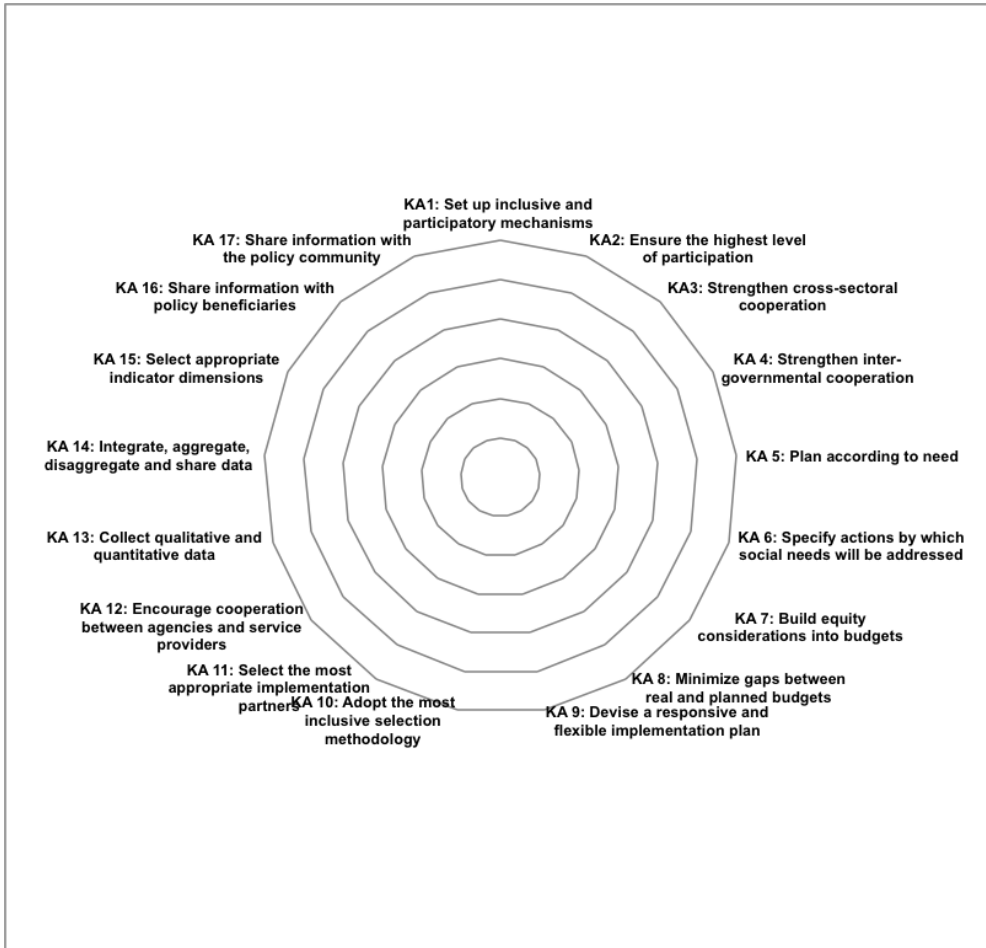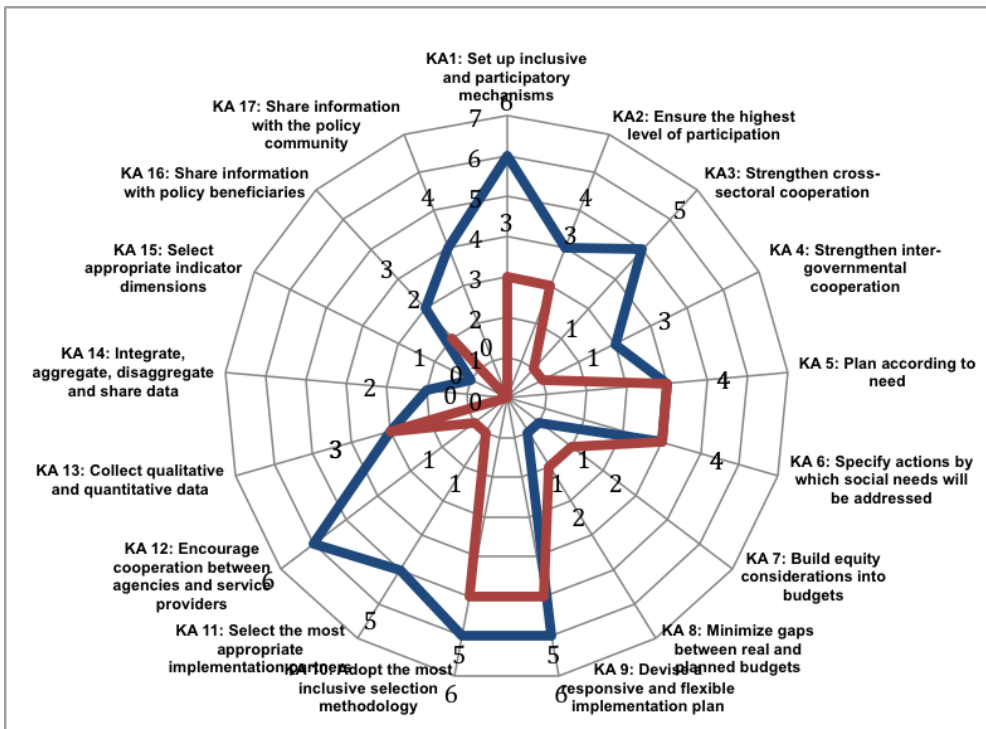
Figure 3: Spider diagram of Key Actions

Figure 4: Plotting and comparison of two policy processes

Annex 2: Key Actions supporting documentation

Key Action	
KA1: Set up inclusive and participatory mechanisms	CESR, 2012; Combat Poverty Agency, 2006; Cornwall, 2008; Court et al, 2006; Dani & de Haan, 2008; DESA/DPADM&ESWA, 2013; European Commission/ Guy et al, 2010; European Foundation, 2003; Evans, 2004; Fung & Wright, 2003; Lavalle et al, 2005; Lister, 2002; Lombe & Sherraden, 2008; Noya & Clarence, 2008; Jones et al, 2009; OECD, 2013a; Pogrebinschi, 2012; 2013, 2014; Popay et al, 2008; UNDESA, 2009; UNECLAC, 2015; Wampler & McNulty, 2011; World Bank, 2007; World Bank, 2013
KA2: Ensure the highest level of participation	Arnstein, 1969; Combat Poverty Agency, 2006; Cornwall, 2008; Cornwall & Coelho, 2007; Court et al, 2006; DESA/DPADM&ESWA, 2013; European Commission/Guy et al, 2010; European Foundation 2003; Jones et al, 2009; Lister, 2002; Lombe & Sherraden, 2008; OECD, 2013a; Pogrebinschi, 2013, 2014; UNDESA, 2009; Wampler & McNulty, 2011; White, 1996
KA3: Strengthen cross-sectoral cooperation	Bromell & Hyland, 2007; Carey, McLaughlin et al, 2015; Carey, Crammond et al, 2015; Canadian Standing Senate Committee on Social Affairs, Science and Technology, 2013; Combat Poverty Agency, 2006, 2007; EAPN, 2007; European Commission/Guy et al, 2010; Euro Foundation, 2003; Jones et al, 2009; Mathieson et al, 2008; MIDIS, 2012; Pollitt, 2003; Popay et al, 2008; Silver, 2015; UNDESA, 2008, 2009; UNECLAC, 2015; UNESC, 2015; Walker & Gilson, 2004; World Bank, 2007; World Bank, 2013
KA 4: Strengthen inter-governmental cooperation	Bromell &Hyland, 2007; Combat Poverty Agency, 2006, 2007; European Commission/Guy et al, 2010; European Foundation, 2003; Levitas et al, 2007; MIDIS, 2012; OECD, 2001; Pemberton, 2008; UNDESA, 2008, 2009; UNECLAC, 2015; UNESC, 2015; World Bank, 2013
KA 5: Plan according to need	European Commission/Guy et al, 2010; European Foundation, 2003; Jones et al, 2009; Kabeer, 2000; Lister, 2002; MIDIS, 2012; Noya & Clarence, 2008; OHCHR, 2005; Silver, 2015; UNCESCR, 1990; UNDESA, 2008, 2009; UNESCO, 2015, UNDP, 2013; World Bank, 2007
KA 6: Specify actions by which social needs will be addressed	Asia Pacific CoP-MfDR, 2011; Bilney et al, 2013; Combat Poverty Agency, 2006; Jones et al, 2009; Kidd, 2013; MIDIS, 2012; Norman-Major, 2011; OHCHR, 2005; UNDESA, 2008; World Bank, 2007, 2013
KA 7: Build equity considerations into budgets	Blyberg & Hofbauer, 2014; CESR, 2012; Jones et al, 2009; Lakin & Magero, 2015; MIDIS, 2012; OHCHR, 2005; UNECLAC, 2015; UNICEF, 2010; UNIFEM/Sharp, 2003; World Bank, 2007
KA 8: Minimise gaps between real and planned budgets	Blyberg & Hofbauer, 2014; CESR, 2012; Foster et al, 2002; Ramkumar & Shapiro, 2011; UNDESA, 2007; UNICEF, 2010; UNIFEM/Sharp, 2003
KA 9: Devise a responsive and flexible implementation plan	Atkinson et al, 2004; Australia Government, 2014; Carey, McLaughlin et al, 2015; Carey, Crammond et al, 2015; Combat Poverty Agency, 2006; European Foundation, 2003; International Budget Partnership, Development Finance International and Oxfam America, 2014; Jones et al, 2009; MIDIS, 2012; OECD, 2001; Stubbs, 2009; UNDESA, 2008; UNDP, 2013; UNECLAC, 2015; World Bank, 2013
KA 10: Adopt the most inclusive selection methodology	Abdul Latif Jameel Poverty Lab, 2013; Alatas et al, 2012; Australia Government, 2010; European Commission/Guy et al, 2010; Grosh et al, 2008; MIDIS, 2012; Mkandawire, 2005; Rao, 2013; UNDESA, 2009; UNECLAC, 2015; van Domelen, 2007
KA 11: Select the most appropriate implementation partners	Australia Government, 2014; Billis, 2001; Bromell & Hyland, 2007; Carey, Crammond et al, 2015; Carey, McLaughlin et al, 2015; Combat Poverty Agency, 2006; Cornwall & Gaventa, 2000; Court et al, 2006; European Commission/Guy et al, 2010; European Foundation, 2003; Noya & Clarence 2008; OECD 2001; OHCHR, 2005; Popay et al, 2008; UNDESA, 2008, 2009; World Bank, 2007; 2013

KA 12: Encourage cooperation between agencies and service providers	Australia Government, 2014; Bromell & Hyland, 2007; Carey, Crammond et al, 2015; Carey, McLaughlin et al, 2015; CESR, 2012; Combat Poverty Agency, 2006; Court et al, 2006; European Foundation, 2003; Jones et al, 2009; Keast, 2011; MIDIS, 2012; OECD, 2013a; OECD, 2001; Richardson & Patana, 2012; UNDESA, 2008, 2009; UNECLAC, 2015; UNESC, 2015; World Bank, 2007
KA 13: Collect qualitative and quantitative data	Atkinson & Marlier, 2010; Australia Government, 2010; Bamberger & Segone, 2011; Bonner et al, 2005; CESR, 2012; Court et al, 2006; Combat Poverty Agency, 2006; DESA/DPADM&ESWA, 2013; Lombe & Sherraden, 2008; Mertens, 2012; Popay et al, 2008; Samson et al, 2015; Roelen & Devereux, 2014; Székely, 2014; UNECLAC, 2015; UNDESA, 2008, 2009; UNDP, 2013; World Bank, 2007
KA 14: Integrate, aggregate, disaggregate and share data	Ahmimed et al, 2014; Atkinson & Marlier, 2010; Atkinson et al, 2004; Australia Government, 2010; Bromell & Hyland, 2007; Court et al, 2006; European Commission/Guy et al, 2010; Huxley et al, 2012; MIDI, 2012; Open Society Foundation, 2010; Piron & Curran, 2005; UNDESA, 2008, 2009; UNECLAC, 2015; UNESC, 2016; UNFPA, 2016; UNSDSN, 2015; World Bank, 2013
KA 15: Select appropriate indicator dimensions	Atkinson & Marlier, 2010; Atkinson et al, 2004; Bromell & Hyland, 2007; European Commission/Guy et al, 2010; Mabbett 2007; MIDIS, 2012; Open Society Foundation, 2010; Roelen & Devereux, 2014; UNDESA, 2008; UNECLAC, 2015; UNSDSN, 2015
KA 16: Share information with policy beneficiaries	Combat Poverty Agency, 2006a; Britz, 2004; Court et al, 2006; DESA/DPADM&ESWA, 2013; IBP, 2012; de Soto et al, 2005; Harris & Kende-Robb, 2008; IFLA, 2014; Lombe & Sherraden, 2008; UNDESA 2008, 2009; UNECLAC, 2015; van Domelen, 2007; World Bank, 2007
KA 17: Share information with the policy community	Combat Poverty Agency, 2006; Court et al, 2006; DESA/DPADM&ESWA, 2013; IBP, 2012; IFLA, 2014; OECD, 2013a; Ramkumar & Shapiro, 2011; Skékely, 2014; UNDESA, 2009; UNICEF, 2010; World Bank, 2013

Annex 3: Brief description of supporting documentation

Abdul Latif Jameel Poverty Lab, 2013: Hybrid selection models; community based selection models

Ahmimed et al, 2014: Workshop report; "Five Keys to Inclusive Policies"

Alatas et al, 2012; Indonesia; proxy means testing; community based selection models

Arnstein, 1969: Typology of citizen participation

Asia Pacific CoP-MfDR, 2011: Analytical tool to assist with the identification of public sector management gaps; sustained development effectiveness

Atkinson & Marlier, 2010: Guiding framework for policymakers, researchers and practitioners for evidence-based policymaking, impact assessment, monitoring and evaluation in the area of social inclusion

Atkinson et al, 2004: European Union; Social inclusion indicators; international benchmarking

Australia Government, 2014: Australia; Evaluation report, national social inclusion policy

Australia Government, 2010: Australia; indicators for social inclusion; locational approaches to address disadvantage

Bamberger & Segone, 2011: International; equity-focused evaluation at the policy and programme level; design of equity focused evaluations

Bonner et al, 2005: Jamaica Social Policy Evaluation; New Public Management, participatory monitoring and evaluation

Billis, 2001: United Kingdom; analysis of the role of the voluntary sector in tackling social exclusion

Bilney et al, 2013: Integrated, results-based model for development in the post-2015 period

Blyberg & Hofbauer, 2014: International; Article 2 in the International Covenant on Economic Social and Cultural Rights; progressive realisation, non-discrimination, use of maximum available resources

Bromell & Hyland, 2007: New Zealand; planning guide

Britz, 2004: Ethical guidelines for greater access to information; principles of social justice to end information poverty

Canadian Standing Senate Committee on Social Affairs, Science and Technology, 2013: Recommendations addressed to the Government of Canada

Carey, Crammond et al, 2015: Australia; supportive architecture for joined up government

Carey, McLaughlin et al, 2015: Implementation experiences from the Australian Social Inclusion Agenda

CESR, 2012: International; evaluation tool to assess state compliance with obligations to fulfil economic, social and cultural rights

Combat Poverty Agency, 2006: European Union; mainstreaming social inclusion as a policy process

Combat Poverty Agency, 2007: Ireland; study; potential linkages between national and local levels in the context of the development and implementation of the National Anti Poverty Strategy

Cornwall, 2008: Meanings and practices of participation; 'clarity through specificity'

Court et al, 2006: Strategies for CSOs for more effective engagement in policy processes

Cornwall & Coelho, 2007: International; case studies of the democratic potential of participation

Cornwall & Gaventa, 2000: Social citizenship; actor-oriented approach to social policy

Dani & de Haan, 2008: Review of public interventions for social inclusion

DESA/DPADM&ESWA, 2013: Western Asia; report on expert group meeting; public sector reform; citizen engagement post 2015

de Soto et al, 2005: Albania; study on the social exclusion of Roma and Egyptians in Albania

European Commission/Guy et al, 2010: Report to assist policy-makers to improve the development, implementation and evaluation of policies, programmes and projects for the social inclusion of Roma

European Foundation, 2003: Role of partnerships in promoting social inclusion

Evans, 2004: Deliberative development; participatory political institutions

Foster et al, 2002: Case studies on public expenditure management and poverty reduction

Fung & Wright, 2003: Empowered Participatory Governance; democratic experiments

Grosh et al, 2008: Development of social safety net programmes

Huxley et al, 2012: Study to develop a social inclusion index to capture subjective and objective life domains.

International Budget Partnership, Development Finance International and Oxfam America, 2014: budget transparency, expenditure monitoring, and accountability in the post-2015 framework

IBP, 2012: citizen budget; dissemination of budget informatio

IFLA, 2014: Public statement and call for more equitable and greater access to information in the post 2015 development agenda

Jones et al, 2009: Discussion on the relevance of equity for development and practice

Kabeer, 2000: Framework for joined up thinking at the meso level

Keast, 2011: Australia: Review of joined up government; extended integrated framework for joined up government

Kende-Robb, 2008: Argument for integration of macroeconomic and social policies at the policy formulation stage

Kidd, 2013: Discussion on targeting and beneficiary selection

Lavalle et al, 2005: Brazil; civil society approach to participation

Lakin & Magero, 2015: Guide on programme based budgeting

Levitas et al, 2007: Identification of 'dimensions' contributing to multi-dimensional disadvantage; deep exclusion

Lister, 2002: Analytical framework, politics of poverty

Lombe & Sherraden, 2008: Merits of inclusion in the policy processes

Mathieson et al, 2008: Literature review, concept of social exclusion for/in policy and practice

Mabbett, 2007: Open Method of Coordination; European Union; discussion of conditions for substantive policy change

Mertens, 2012: Transformative paradigm, mixed methods; evaluation

MIDIS, 2012: Peru; social inclusion policy; results based management

Mkandawire, 2005: Discussion on the shift from universalism to selectivity, difficulty of targeting

Noya & Clarence, 2008: International; guidance to national, regional and local actors on fostering social inclusion through a social economy

Norman-Major, 2011: Exploration of the potential of equity as a pillar of public administration

OECD, 2001: The role of partnerships frameworks for problem solving

OECD, 2013a: Considerations for increasing trust in public institutions

OECD, 2015: Inclusive process and institutions for social inclusion

OHCHR, 2005: Handbook assist national human rights institutions in the development of policies, processes and skills to integrate economic, social and cultural rights further into their work

Open Society Foundation, 2010: Roma; report on data gaps to monitor progress towards social inclusion in countries participating in the Decade of Roma Inclusion (2005-2015)

Pogrebinschi, 2012, 2013, 2014: Brazil; National Conferences on public policy; innovative participatory experiment

Pemberton, 2008: United Kingdom; Horizontal and vertical integration; 'Get heard' process; case study

Piron & Curran, 2005: Desk-based review of lessons learnt from public policy responses to tackle exclusion drawing on case studies of Brazil, South Africa and India

Pollitt, 2003: Joined-up government (JUG), holistic approach; approaches to the assessment of progress with JUG

Popay et al, 2008: Review of policies and action promoting or contributing to social inclusion

Ramkumar & Shapiro, 2011: Guide for a transparent budgeting process

Rao, 2013: Brazil and Kenya; unifying registries to create national database of poor households or individuals for social protection programmes

Richardson & Patana, 2012: Policy recommendations for integrated service delivery

Roelen & Devereux, 2014: Integrated methods evaluation framework; cash transfer pilot programme in Tigray, Ethiopia

Samson et al, 2015: Systems approach to the analysis of social policy

Silver, 2015: The role of context in shaping economic, social and political exclusion

Stubbs, 2009: Western Balkans, developing developing and building capacity for social inclusion

Székely, 2014: International; feasibility of results based management in social policy

UNCESCR, 1990: obligations of conduct and obligations of result under Article 2 of the Covenant of Economic, Social and Cultural Rights

UNDESA, 2007: International; open, transparent, participatory audits; audits as tools for citizen empowerment

UNDESA, 2008: International; guiding Framework to assist countries to give effect to the commitments made at the Second World Assembly on Ageing in Madrid in 2002

UNDESA, 2009: International; Report and review of country policies to promote social integration

UNDESA/DPADM&ESCWA, 2013: Five-stage model of citizen engagement

UNDP, 2013: International; review of monitoring and evaluation innovations to manage the performance of public policies, programmes and service delivery

UNECLAC, 2015: Latin America and the Caribbean; review of social policy and recent progress in ECLAC region; policy guidelines in key areas for eradicating poverty and reducing inequality

UNESC, 2015: International; report on requirements to transition from MDGs to SDGs; institutional adaptation; integration across actors and sectors

UNESC, 2016: International; Institutional capacity for handling data; innovative data generation and usage for SDG agenda

UNESCO, 2015: Analytical framework; parameters for inclusive policies

UNFPA, 2016: International; report on population data ecosystem shortfalls, data needs for the post-2015 development agenda

UNICEF, 2010: Background literature on social budgeting; description of initiatives on social budgeting

UNIFEM/Sharp, 2003: Gender responsive budgeting in results based management

UNSDSN, 2015: Conclusions from the recent UN Statistical Commission and Expert Group Meeting on the indicator framework for the post-2015 development agenda

van Domelen, 2007: Social funds; toolkit is to enhance programme design to better serve the poor.

Wampler & McNulty, 2011: Workshop report; state formation, civil society and participatory publics, economic development, and citizen capabilities

Walker & Gilson, 2004: South Africa; Study on perceptions and perspectives of front line service providers

White, 1996: Forms and functions of participation; participation as a political issue

World Bank, 2007: Multi country case studies; social guarantees as tools for the design and/or monitoring of social policy and service delivery

World Bank, 2013: comprehensive review of social inclusion

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