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Colloquium on Governance and Knowledge Integration at the Science-Policy Interface

Patricia Romero-Lankao

Urban Futures at RAL, NCAR

Outline

I. Why governance and science integration?

II. What are environmental governance and science integration?

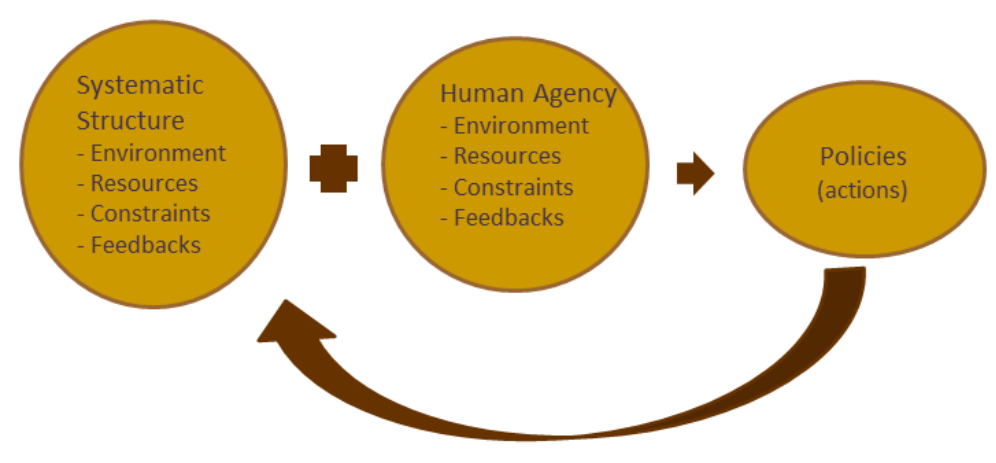
III. Science Integration, Science-Policy Interface and Latin American Politics

IV. Program overview

I. Why governance?

- **IAI has a solid portfolio of research & a science-policy dialogue in the Americas**
- **Yet its policy relevance and impact have been limited**
- **This is in part due to logic of many studies that perceive**
  - **Governance as a procedural 'black box'**
  - **Policy making as output of political system responding to inputs (e.g., information)**
  - **Don't account for mechanisms and internal workings of institutions, policy actions and governance**

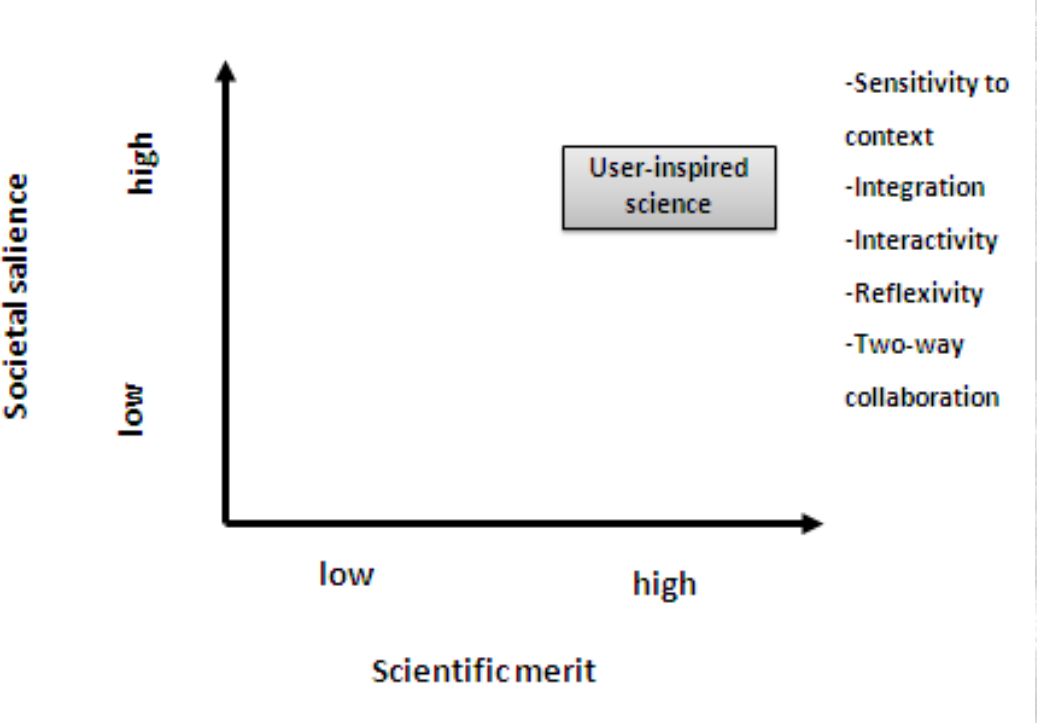
Structural Functional Logic of GEC Studies and Assessments



Source: Adapted from Wellstead and Howlett 2013

I. Why science integration (SI)?

- **Science and management agencies have invested in SI**
- **SI is touted as key, yet faces challenges**
  - **Bringing together decision makers and different disciplines**
  - **Deciding which stakeholders to involve**
  - **In what deliberative processes**
  - **Equity, unintended uses and positive or negative consequences to stakeholders**
  - **Little agreement on what SI actually is**



Romero-Lankao, Borbor-Cordova, Abrutsky, Günther, Behrentz, and Dawidowsky (2012)

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Many definitions of integrated science/assessments

- Regional integrated assessments (RIAs)
- Integrated Assessment Models (IAMs)
- Global Integrated Assessments (GCAs)
  - Collective deliberative processes
  - Review state of knowledge
  - Provide policy relevant information
  - Seek to combine
    - Salience to decision making
    - Legitimacy: fairness and impartiality, as perceived by all their users
    - Credibility: scientific and technical quality

- Science integration: RIAs seek to
  - Integrate knowledge from diff. disciplines, perspectives and approaches to confront complex environmental issues
  - Overcome disciplinary silos
  - Define project's goal, scope and audience
  - Maintain sustained iterative engagement
  - Communicate across disciplines and with decision makers and stakeholders
  - Develop metrics and evaluation of value added through integrated process

Source: Garfin, Romero-Lankao, Varady 2013

Many definitions of governance

- **Environmental governance:**
  - formal and informal institutions, policies, rules and practices
  - shaping how **actors** (decision makers and stakeholders) interact with the environment at all levels of social organization

- **Absence of coercive state power is the hallmark of governance**

- **Yet, governance is what governments (and customary resource users) do by**
  - performing functions of legislation, dispute-resolution, adjudication and administration of resources and/or associated environmental costs and benefits

Frameworks help simplify dynamics of environmental governance

Because environmental governance (EG) and policy process (EPP) entail:

- **Hundreds of actors**
- **Long time-spans**
- **Dozens of programs around a policy domain (e.g., climate change)**
- **Policy debates involving technical and political disputes**
- **And disputes involve:**
  - **Deeply held values/interests**
  - **Large amounts of money**
  - **Authoritative coercion**

Frameworks provide a method for unpacking common/specific components of EG & EPP

- **Have clear and consistent concepts**
- **Give rise to falsifiable hypotheses**
- **Are broad in scope**
- **Are subject to theoretical development and empirical testing**
- **Explore series of aspects of EG & EPP, e.g.,**
  - **Institutional arrangements**
  - **Use of information**
  - **Conflicting values and interests**
  - **Dynamics of socio-ecological systems**

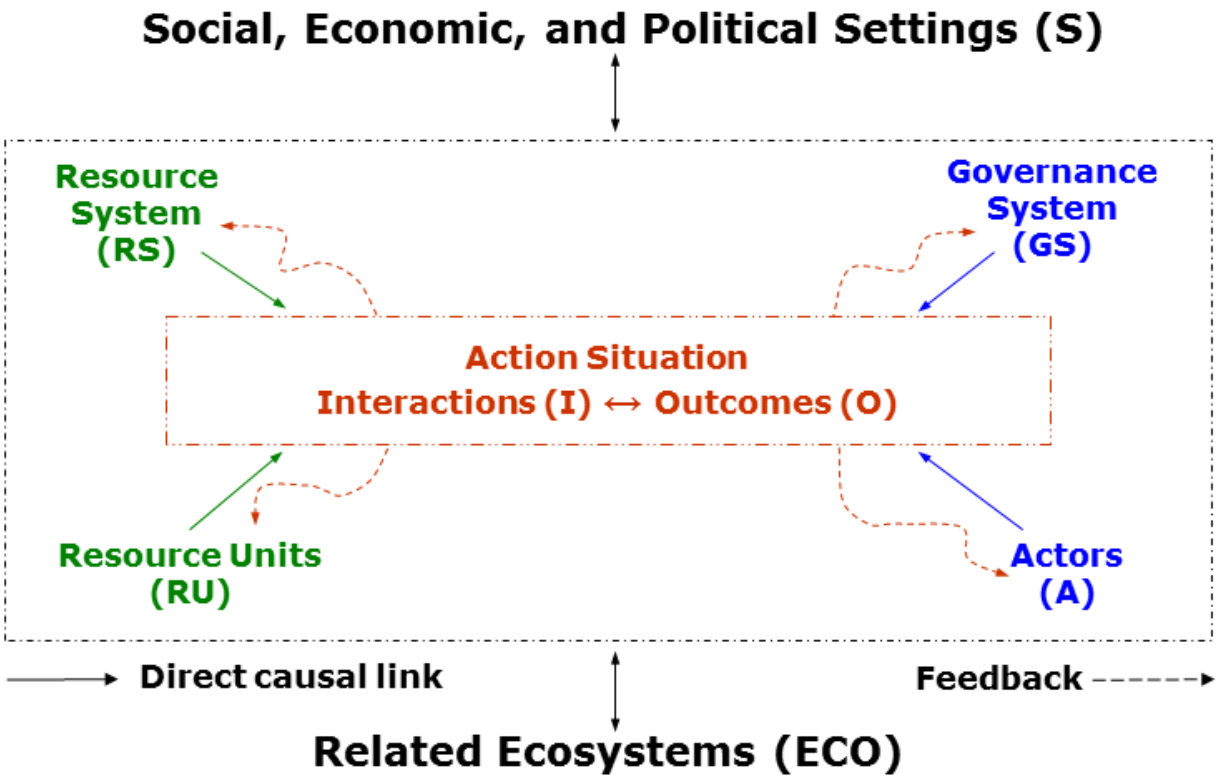
- How rules alter behavior of ***rational actors***

- What variables affecting **Action Situations** lead to what interactions and outcomes

- What variables do systems share; in which they differ

- Why are some systems not resilient

Institutional Rational Choice (SES) Frameworks



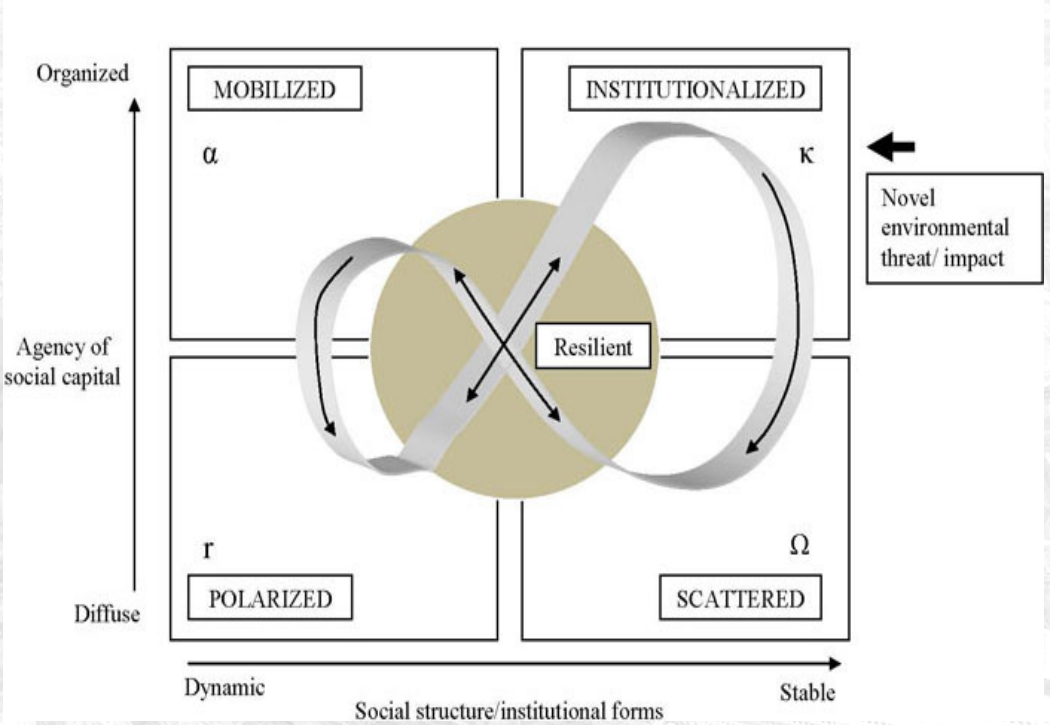
Ostrom 2007

Political Ecology frameworks

- **Conflict and contestation are inherent to decision-making**

- **Environmental governance**
  - **Revolves around access to, use or redistribution of resources**
  - **Only benefits some actors/places (winners and losers)**

- **Research questions**
  - **what actors and places are involved**
  - **where or with whom, power resides**
  - **what broader socio-environmental implications of decision-making are at play**
  - **whose voices and narratives remain unheard**



Pelling and Navarrete 2011

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"For my friends what they want; for my enemies the law"

Getulio Vargas, Brazil;

Benito Juarez Mexico and who knows who else

"A society so riven that the spirit of moderation is gone, *no court can save*; a society where that spirit flourishes, *no court need save*"

Judge Learned Hand 1942

"In Peru, we have very good laws but one is missing: a law that says that all the other laws should be complied with"

Nicolas de Pierola, Peru

Abide but not comply (*Acátese pero no se cumpla*) *Colonial, anonymus*

Governance, politics and Latin American legal institutions

- Most Latin American nations underwent transition to electoral democracy
- Yet, with notable exceptions, their legal institutions remain marred by deep-rooted authoritarian legacies
  - *Formal rules* are often ignored with impunity by powerful elites
  - Rather than facilitating cooperative behavior, *rules* generate mistrust
  - *Courts*, limited in their functions (resolve disputes, maintain broader social control), end up maintaining control over marginalized populations
  - *Caudillos* not constitutions provide order by relying on personal loyalty rather than law
- This *elitist liberalism* exerts profound influence on EG and can disenfranchise the majority while empowering the minority

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Governance and Knowledge Integration at the Science-Policy Interface

Goal

Provide frameworks, tools, methods, techniques, lessons learned to understand

- Mechanisms and internal workings of institutions, policy actions and actors in environmental governance (EG)

- Governance issues shaping knowledge integration at the science-policy interface in Latin America

Approach

- Plenary talks (20 minutes)
  - 20 minutes + 10 minutes for Q&A
- Round-table discussions
  - Each panelist 5-20 minutes per round
- Participants
  - 5 minutes, discussants (a reflection on what you heard)

Welcome!

Patricia Romero-Lankao

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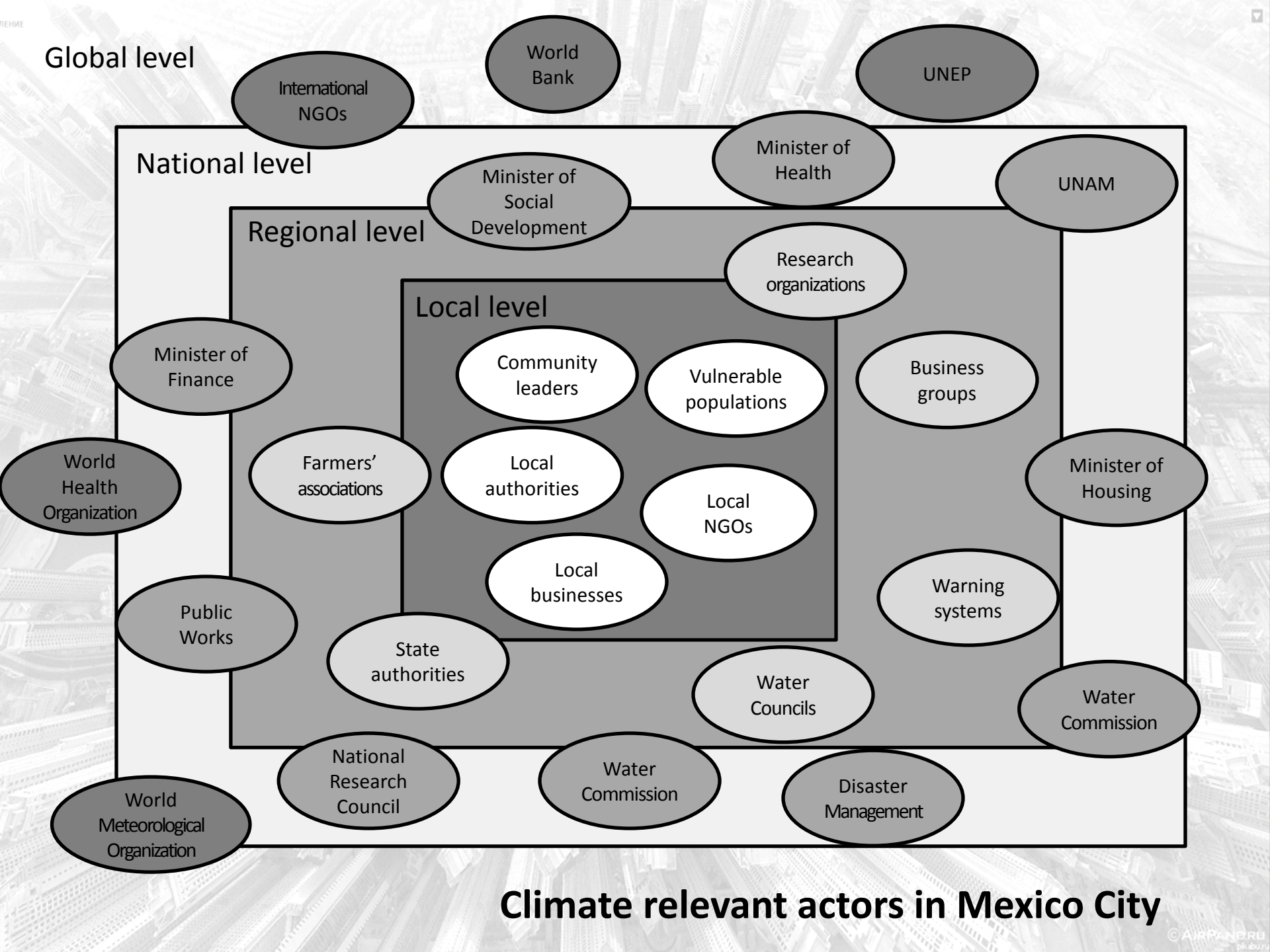

Climate relevant actors in Mexico City

Criteria for a successful GCAs process, IPCC a paradigmatic case-study

- *Salience:* perceived relevance of information: Does GCA provide information decision makers think they need, in a timely and useful form?
- *Credibility*: perceived technical quality of information. Does GCA provide valid, accurate, "true" information?
- *Legitimacy*: has GCA the interests of the user in mind? Is it not simply a vehicle for pushing the agendas of some actors?

Source: Brasseur et al., 2007 National Academies

Strengths:

- Well developed organizational structure
- Strong ties to stakeholders at multiple levels
- Widely considered credible source of information
- Attempts to present different points of view
- Well defined role for scientific community and governments
- Excellent multifaceted communication process

Weaknesses:

- Coordination among working groups
- Sometimes appears to be on autopilot
- Tremendous burden on scientific community
- Uneven treatment of uncertainty
- Faced with deeply held values/interests