

Potentials and pitfalls of coordination for addressing SDG interlinkages: insights from STEER project

GROW-Net event at World Water Week 2019
“SDG trade-offs and synergies: Innovative methods and tools for improved decision making”

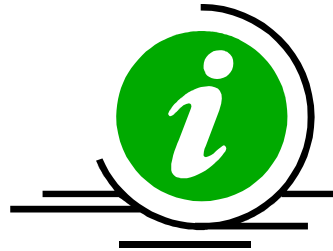
Andreas Thiel, University of Kassel, Germany
& STEER Consortium
25.08.2019

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*Achieving the objectives of Integrated Water Resources Management through **better cross-sectoral coordination & cooperation***

**Direct relevant to BMZ Strategy Paper (2019):
Practical implementation of the 2030 Agenda: Synergies and conflicts between water (SDG6) and other goals**

Context: Polycentric Governance - STEER focusses on coordination

- Interaction between many interdependent but autonomous actors
- **Coordination** means that different stakeholders (organizations) develop strategies, plans etc. separately, but take into account (inform and/or consider) the interests of other stakeholders
- **Cooperation:** work together
- **Distinct** from **implementation**

STEER's Objectives



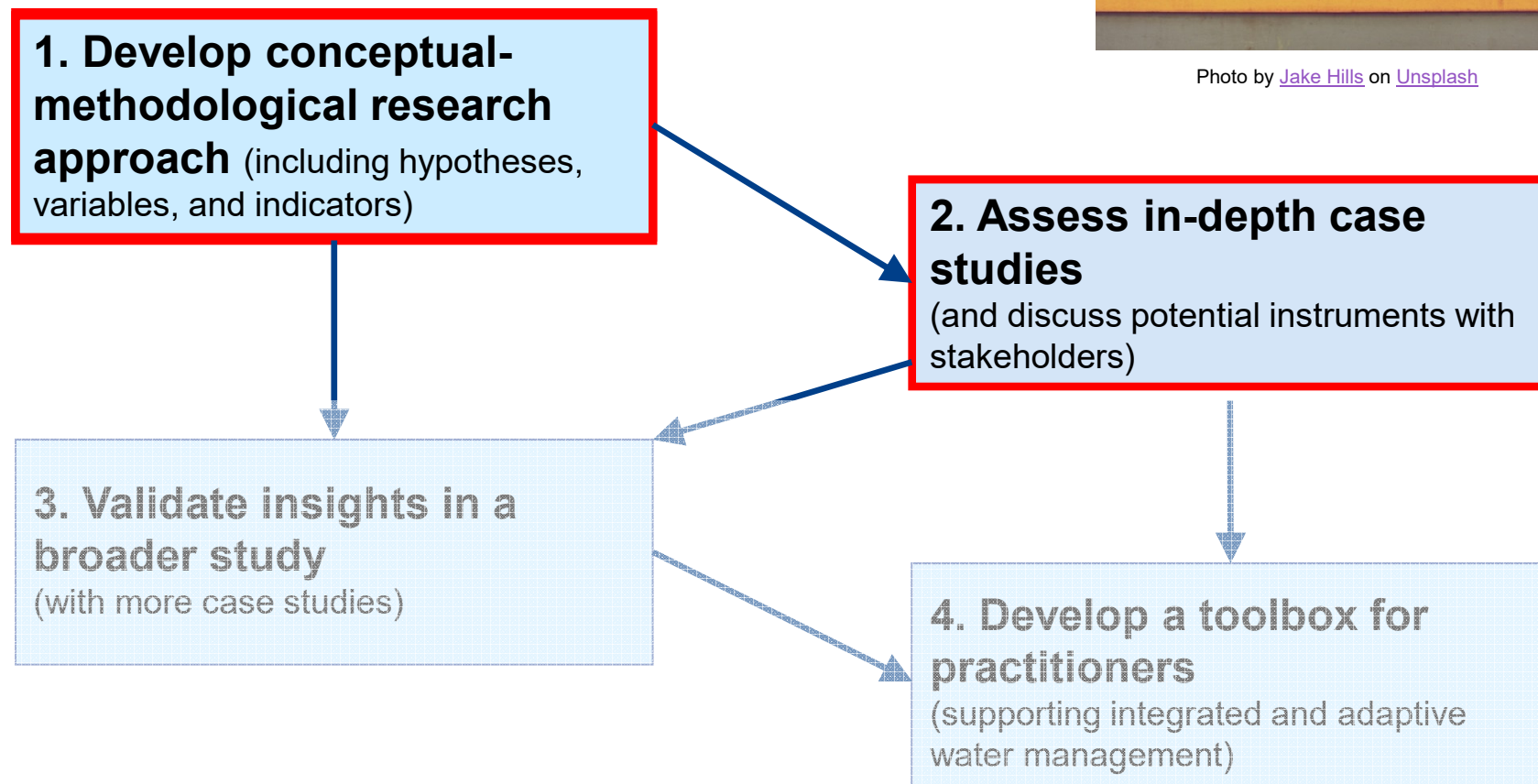
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- Development of a **diagnostic approach**
- Analysis of the **transferability** of elements of effective governance systems and of successful experiences to different contexts
- Elaboration of strategies to **support transformative change** towards improved water governance and management
- Support implementation of the **Sustainable Development Goals (SDGs)**

TODAY: approach and first analyses



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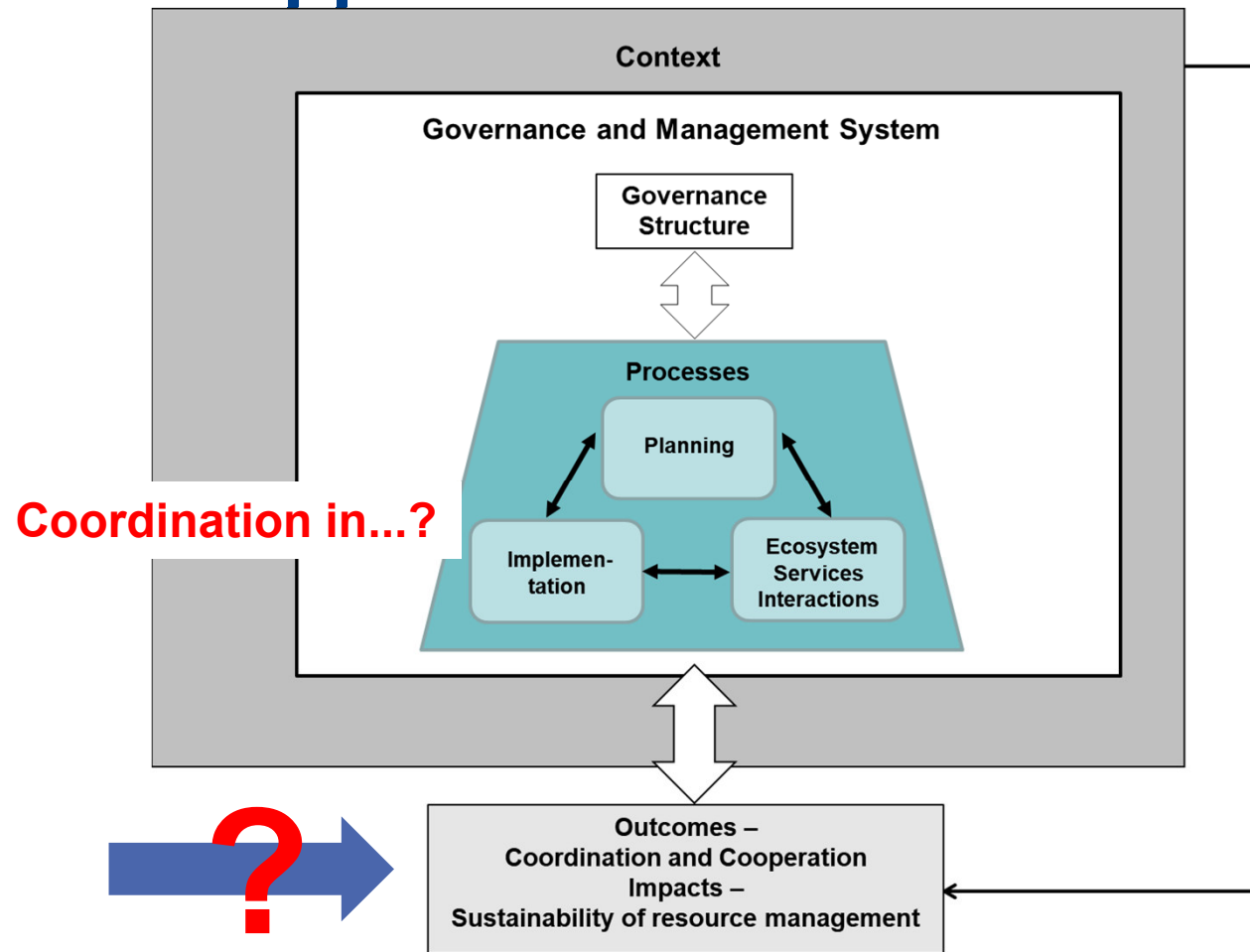
STEER Conceptual-method. approach

- *Panaceas („one size fits all“ recipes) ignore conditions of specific problem situations*
 - *Typical examples: privatization, water user associations, centralized waste water management*
- **STEER Diagnostic approach**
 - take into account the complexity of **governance systems, problems and context**
 - support context-sensitive analysis and transferability of insights among similar classes of problems and contexts

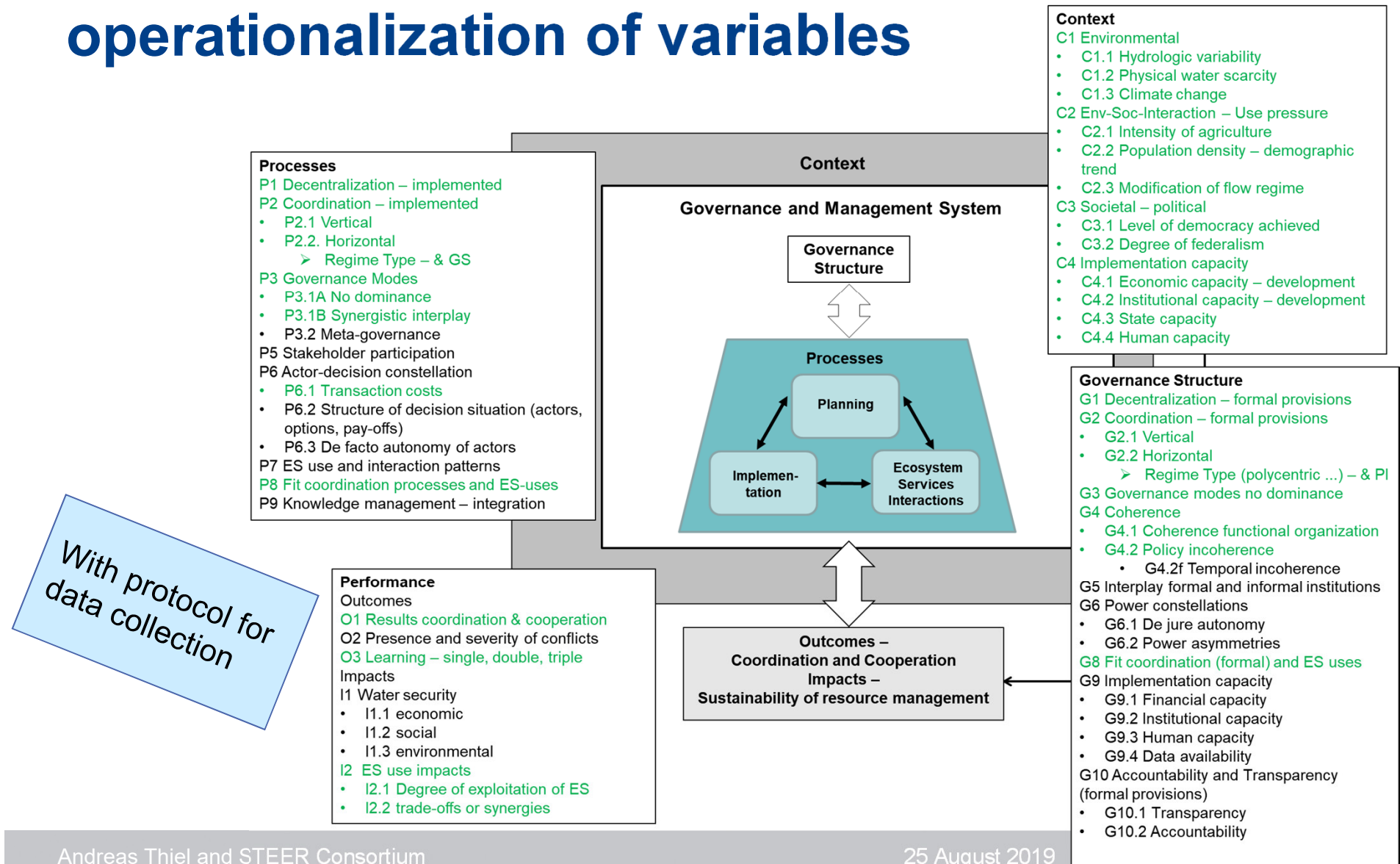


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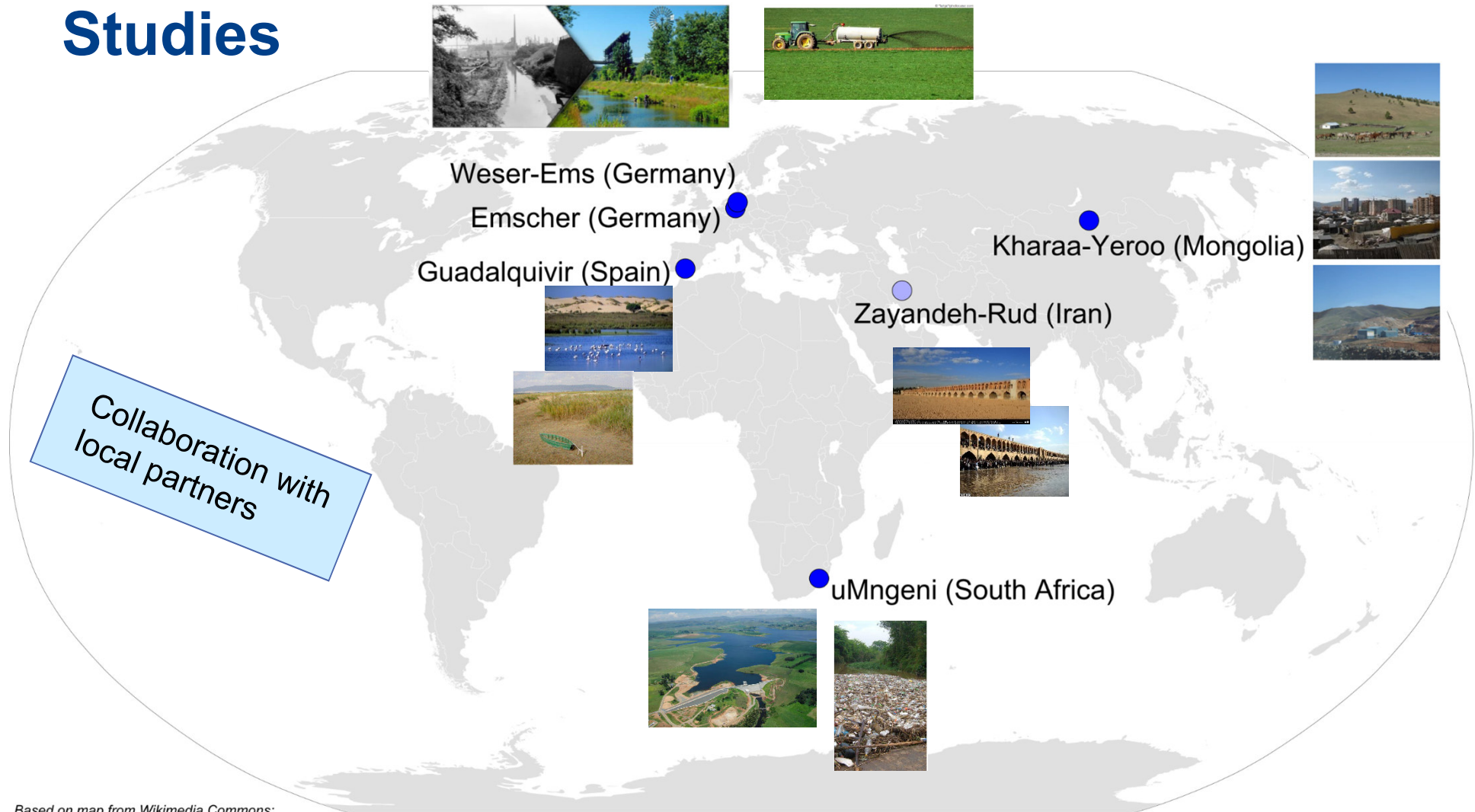
Step 1: Develop Conceptual-Methodological Research Approach – *Framework*



Step 1: Use Research Approach: operationalization of variables



Step 2: Approach applied to in-depth Case Studies



Based on map from Wikimedia Commons:
<https://commons.wikimedia.org/wiki/File:BlankMap-World6.svg?uselang=de> (accessed on January 29th 2019)

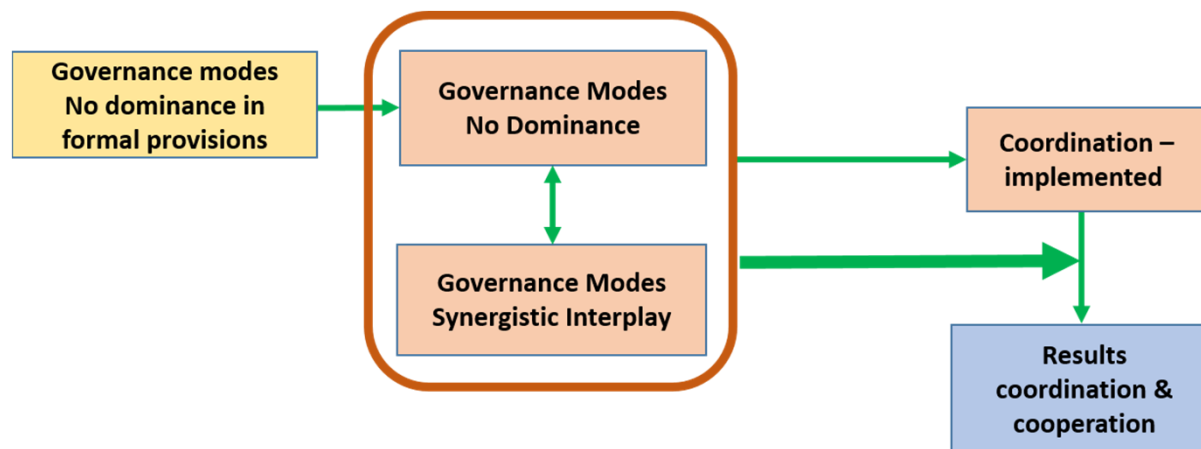
Issues in in-depth assessment and operationalizing the Diagnostic Approach

- Intercoder reliability (similar interpretations?)
- Analytical comparison of diverse cases - *but carefully evaluate comparability*
 - Take account of scales, contexts, meanings
 - Types of problems shape performance of governance modes
- Correlation \neq causality
- Often hypotheses start deeper discussion and development of hypotheses

Illustrating STEER analysis – Hyp.: Interplay Governance Modes and Coordination

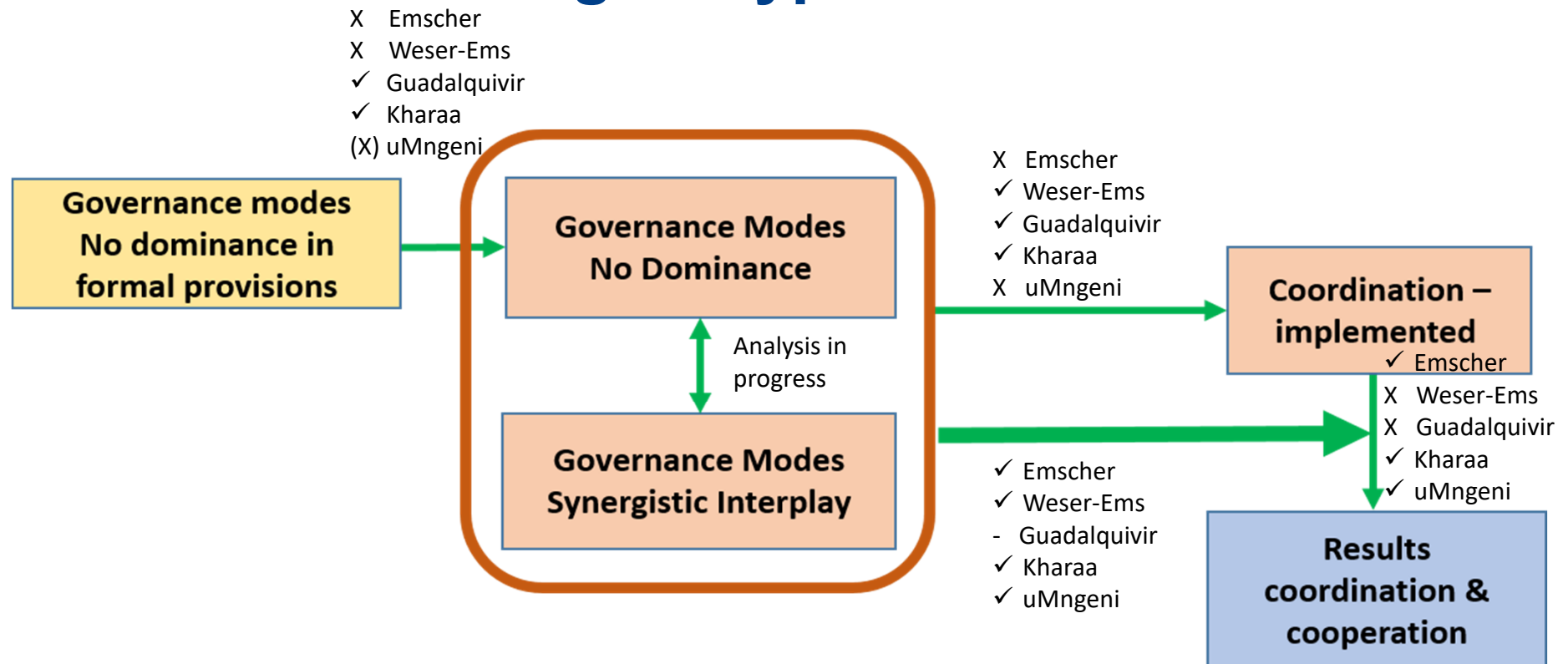
- Integrated Water Resource Management (IWRM) requires vertical and horizontal policy coordination
- Coordination in different governance modes
 - Hierarchy
 - Markets
 - Networks
 - *Hybrids*
- We witness interplay of governance modes (formal and informal)

Interplay Governance Modes and Coordination



- RQ: Under what conditions does the interplay of governance modes support effective policy coordination?
- Overarching Hypothesis: Synergistic interplay of governance modes rather than dominance supports coordination (detailed in graph)
- Analysis distinguishes between governance structures and processes as well as between coordination outputs and outcomes

Different components of systems' understanding of hypothesis confirmed



FM2

Bei den Folien für Incoherence hatten wir noch geprüft, für welche Beziehungen neben Korrelationen auch Kausalitäten etabliert werden können und diese Fälle fett markiert. Habt Ihr das hier schon geprüft oder sollten wir das noch machen?

Franziska Meergans; 9.8.2019

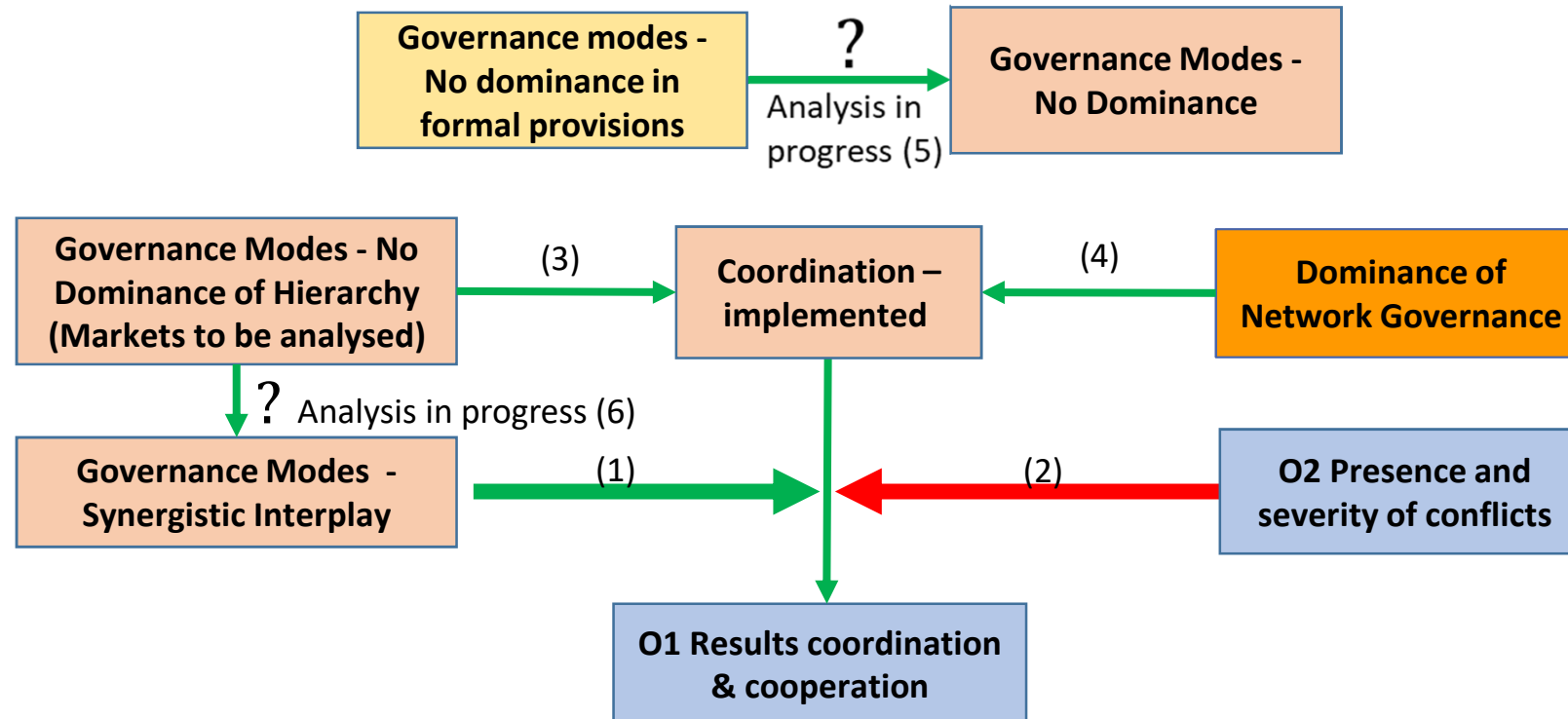
Early results (1): Need to differentiate between modes of governance

- Specifically dominance of hierarchical modes is problematic for coordination
- Dominance of network governance poses no problem
- No evidence yet on (dominance of) market instruments

Early results (2): Synergistic interplay of governance modes is no sufficient condition for coordination outcomes

- Synergistic interplay of governance modes may indeed facilitate coordination processes and outcomes...
- But other factors – like severity of conflicts – might undermine coordination outcomes.
 - In conflictual cases, calls for hierarchical governance
- We are now revising the hypothesis!

Refined Hypotheses on Governance Modes and Coordination

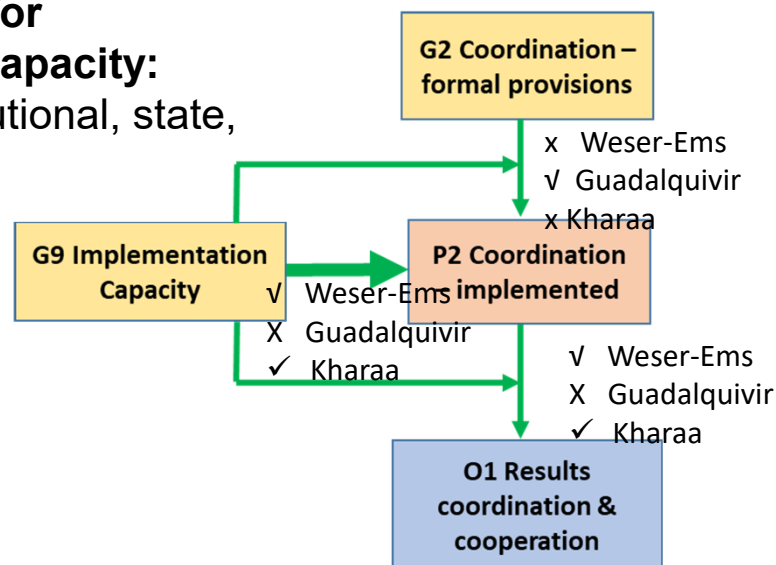


- Synergistic interplay between governance modes increases the effectiveness of coordination processes (1).
- The presence of severe conflicts reduces the effectiveness of coordination processes (2).
- Hypothesis that no dominance in governance modes supports de facto coordination could be confirmed only for hierarchies (3).
- Dominance of network governance is supportive of coordination (4) and synergistic interplay in governance processes (4).
- Causal effect between formal provision of governance modes and governance procedures could not be confirmed – analysis still needed (5)
- Hypothesis that “no dominance of governance modes” is supportive of synergistic interplay could not be confirmed - analysis still needed (6)

2nd Illustration: Implementation capacity > Coordination - *Guadalquivir, Weser and Kharaa*

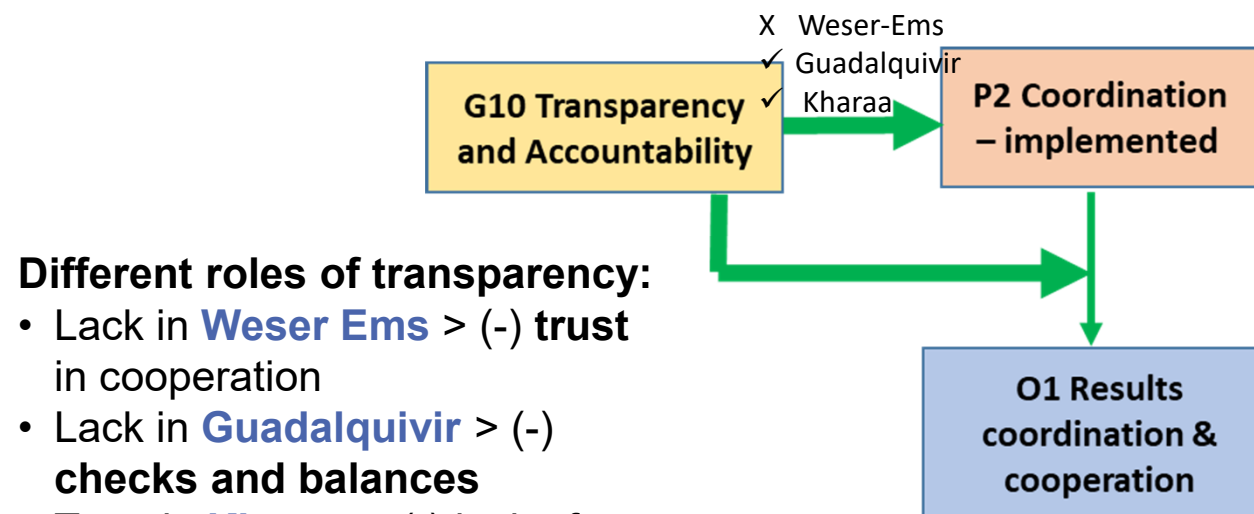
Context matters for implementation capacity:

- Economic, institutional, state, human capacity



- **Implementation capacity** affects **coordination in process**, often not outcomes
- **Better assessment**, need to **disaggregate**
 - distribution of governance functions and actors' resources

3rd Illustration: Transparency & accountability > coordination *Guadalquivir, Weser and Kharaa*



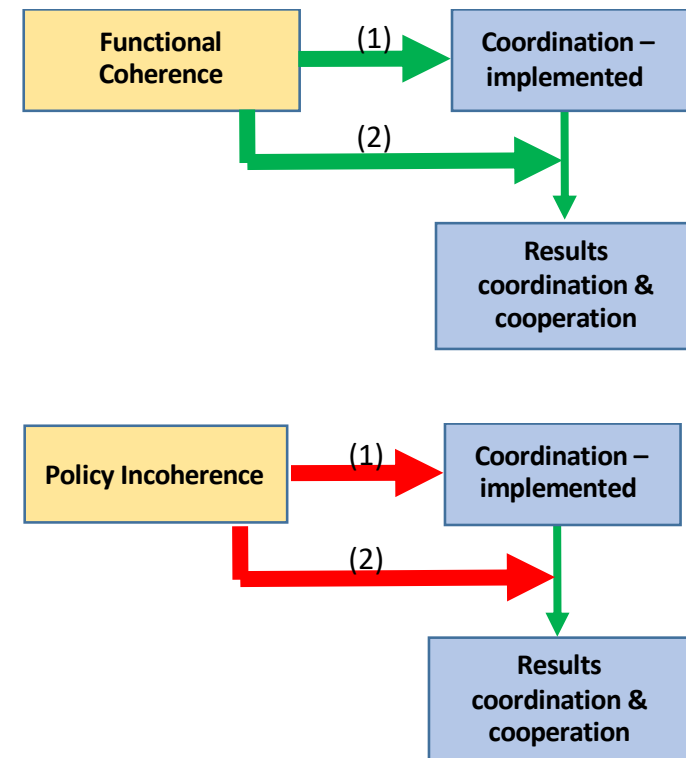
Different roles of transparency:

- Lack in **Weser Ems** > (-) trust in cooperation
- Lack in **Guadalquivir** > (-) checks and balances
- Trust in **Kharaa** > (-) lack of implementation (informal networks)

Implication: account for effects of information for mode of governance

4th Illustration: role of coherence of policies and governance functions?

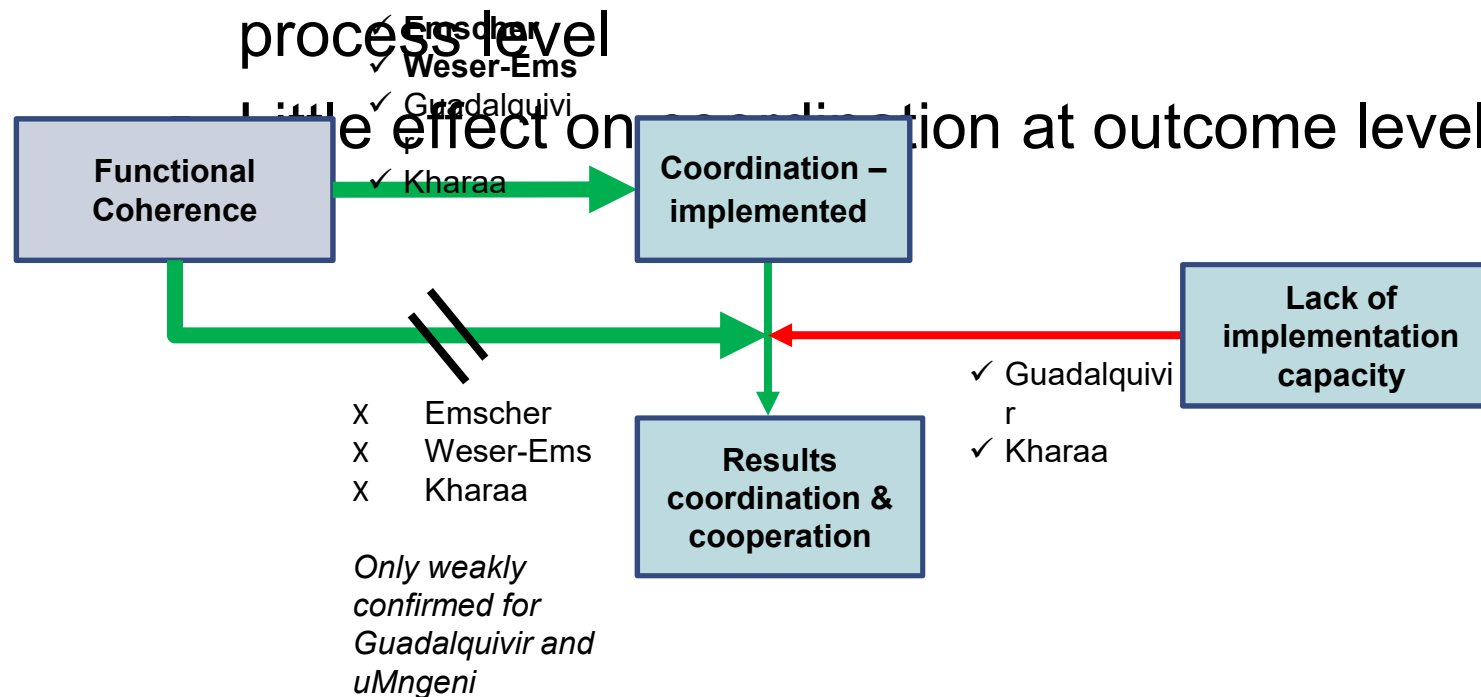
- **RQ 1:** How does **coherence of governance functions affect coordination** at process (1) and at outcome level (2)?
- **RQ 2:** How does **incoherence of policies affect coordination** at process (1) and at outcome level (2)?



Ich habe "Coherence functional organization" in "functional coherence" umbenannt, damit es einheitlicher ist mit dem Titel
Franziska Meergans; 7.8.2019

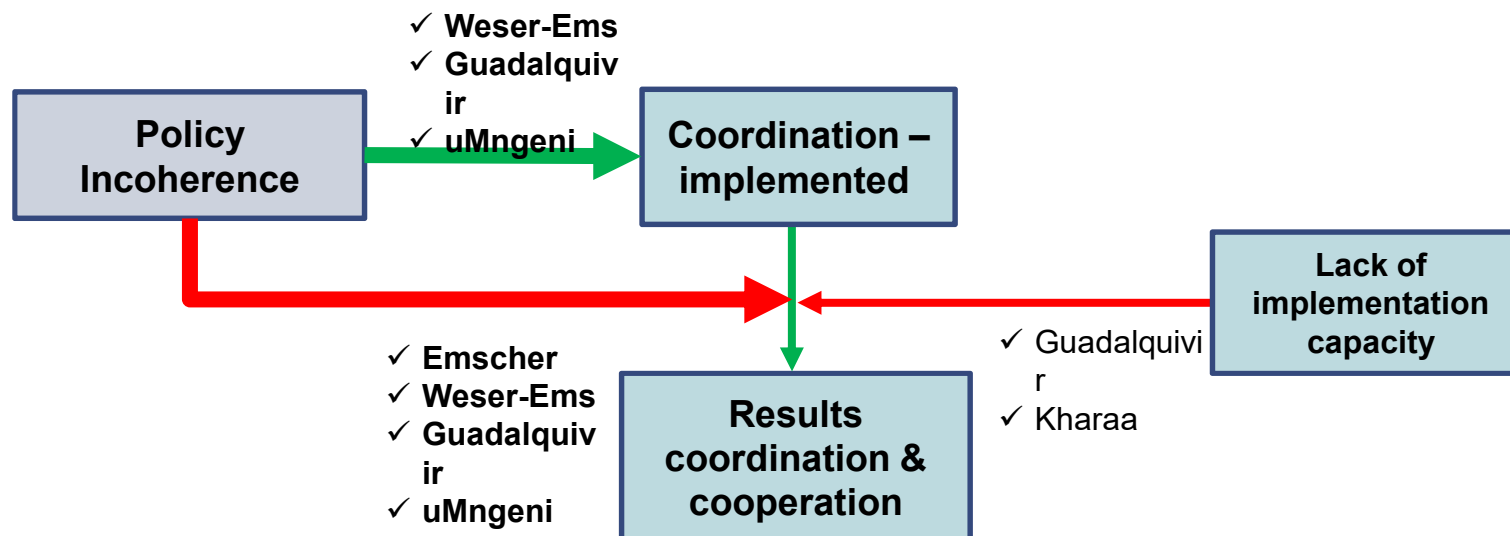
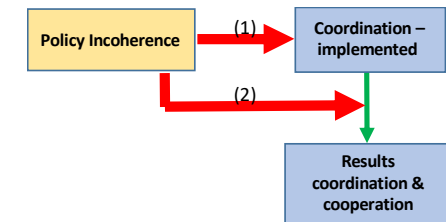
First results: functional coherence

- Functional coherence supports coordination at process level



First results: policy incoherence

- Increased coordination at process level to compensate for policy incoherence
- Policy incoherencies increase coordination problems at the outcome level

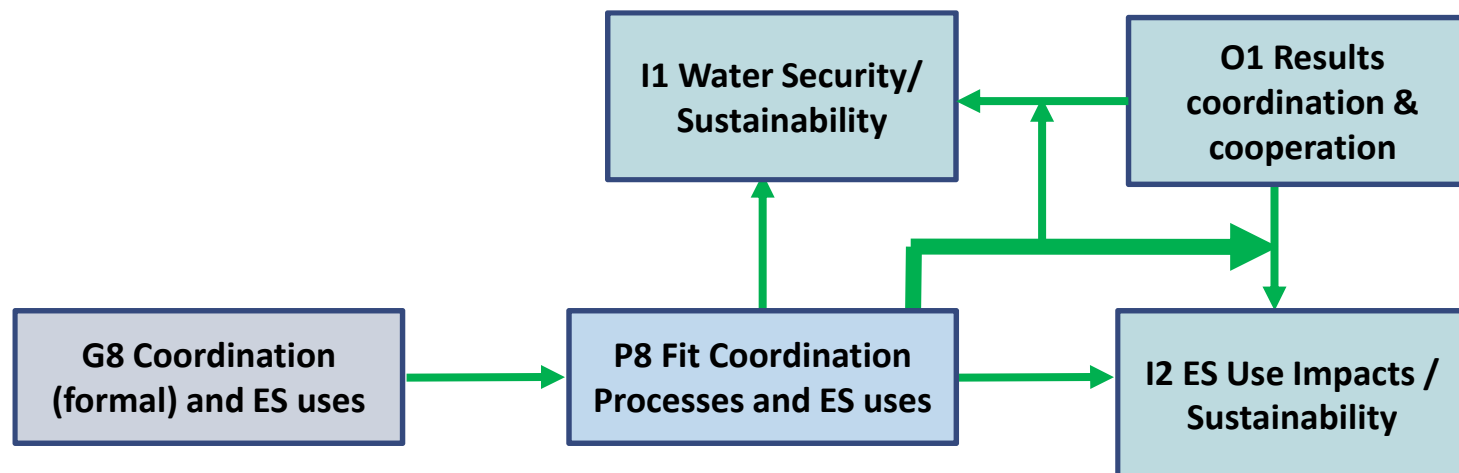


Discussion coherence of policies and governance functions

- Policy incoherence explains low coordination at outcome level, BUT also: lack of implementation capacity
 - Coordination at process level to compensate for incoherence, but not sufficient to overcome it
 - Coherence of functional organization may explain coordination at process, but not at outcome level
-
- Limitations
 - Only one case (Emscher) where outcome coordination positive
 - Establishing causalities challenging

Further question: Misfit > Coordination and ES Uses

HP6(G,P): Misfit between interdependencies among ecosystem services (resource) uses and coordination (structures and processes) leads to **sustainability deficits**.



Results selected cases

JT1

Variable	Emscher	Weser-Ems	Umgene
G8 Fit coordination (formal) and ES-use	Rather high	Rather low	Low
P8 Fit coordination processes and ES-uses	Rather low	Rather high	Rather low
I2.1 Degree of exploitation of Ecosystem Services	Rather low	Rather high	High
I2.2 Degree of synergies (Degree of synergies)	Rather high	Rather high	Rather low

Relation	Emscher	Weser-Ems	uMngene
G8 > P8	Strongly confirmed	Not confirmed	Weakly confirmed
P8 > I1	Strongly confirmed	Strongly confirmed	Strongly confirmed
P8 > ~ I2	Strongly confirmed	Not confirmed	Strongly confirmed
O1 > I1	Strongly confirmed	Not confirmed	Strongly confirmed
O1 > I2	Strongly confirmed	Strongly confirmed	Strongly confirmed

This table need to be updated.

Jenny Tröltzsch; 13.8.2019

Conclusion on measures

- In Weser-Ems one can already build on existing processes and ES-use types that could increase synergies. Potential should be mobilized – need to increase awareness and identify innovations that lead to “win-win” situations. However, one has to be aware that formal institutions do not encourage - promote such change. Hence it might be required to overcome formal barriers and incentives cannot be found in complying with formal regulations.
- In the Umgeni one is in quite an unfortunate situation. Efforts need to be devoted to capacity building and identification of synergies as there is not yet sufficient potential that could be mobilized.
- In the Emscher there is no need for urgent action. However, available synergies could be mobilized by building capacity at the process level. Formal institutions should support such activities.

Conclusions – STEER Early Assessment

- Coordination as highly differentiated phenomenon, determined by complex systems' characteristics
- Contingent **causation at system level**, account for context, overlapping causes and interactions
- careful case interpretation needed, in comparisons
- Further issues addressed by STEER
 - polycentric governance, decentralization, policy incoherence, interplay formal<>information institutions, institutional fit, stakeholder participation, knowledge integration
 - *effects on coordination*

Thank you

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Overview



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- Research project, running from 2017 to 2020
- Funded by the German Ministry of Education and Research (BMBF)
- 6 German consortium members from water research, consulting, and practice



- Associated partner: Isfahan University of Technology