

Comparative analysis of the governance of adaptation

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1 Description work package

1.1 Problem definition, aim and central research questions

This work package aims to ensure the scientific output of the programme and its embedding in the international discussion on climate adaptation. It will direct integrative analysis, comparative research and exchange of learning experiences across regional and national boundaries. All partners of the programme will contribute to the two projects that will be coordinated from this work package. The central research question is: *Which new scientific insights can be gained from comparatively analysing governance of adaptation across the boundaries of work packages, regions and countries?*

This work package comprises of two parts:

- ▽ integration across borders: international comparative analysis
- ▽ integration across work packages: integration of concepts and results

This work packages coordinates the collaboration with our international partners: the University of East Anglia (UK), the Stockholm Resilience Centre (Sweden) and the University of Oldenburg (Germany). Each of these partners is engaged in research that is connected to the consortium and each applies a similar hands-on approach to the governance of adaptation. Each of the partners has an extensive track

record of collaboration with the Dutch consortium partners, especially in EU funded research projects such as the completed Newater and ADAM projects and the newly funded Responses project that will start in 2010. The partners also have extensive experience in the common production of high calibre scientific work for publishers such as the Cambridge University Press, Edward Elgar, and journals such as Ecology and Society.

Our international partners play several important roles in our consortium:

1. Facilitation of scientific exchange. Dutch researchers involved in the consortium will study, with their foreign counterparts, adaptation efforts. If necessary for the purpose of comparative work (see for instance the research described in Work Package 2), Dutch researchers will be staying at the foreign partner institutes and offered a place to work from. The work will result in common scientific publications, which will use the comparative perspective to advance our scientific understanding of adaptation. Although this idea will need to be developed more fully, the Resilience Center has tentatively offered to open its PhD school to Dutch PhD students who work under the consortium.
2. Facilitation of exchange between Dutch practitioners and foreign counterparts. Through their knowledge of the situation in their home countries and specific regions, our international partners will be able to establish contacts with foreign regions from which the Dutch hotspots could draw insights. The University of Oldenburg is heavily involved in the attempt of the North-western part of Germany (NordWest 2050) to prepare for climate change, whereas the Tyndall Centre is involved in the adaptation efforts of the region of East Anglia. The Resilience Center is involved with the adaptation efforts in the city of Stockholm, the region of Kristianstadts Vattenrike, and in the Baltic region more generally.
3. Feedback and scientific peer review. Our foreign partners will be present at the various annual meetings of the consortium. There they will play a role in presenting some of the comparative work just described, but they will also play a review role in the sense that they will be asked to comment upon the progress of the consortium as a whole, new possible avenues for research, and peer review of individual scientific publications.

1.2 Interdisciplinarity and coherence between the projects

The aim of this work package is to ensure coherence, exchange and scientific output within the whole programme. It will do so in various ways through:

- ▽ organizing workshops between the foreign partners and the Dutch researchers, to enable comparative analyses that can contribute to the international scientific literature by means of various publications and presentations;
- ▽ involving all partners in the consortium in the production of articles, special issues and book projects;
- ▽ encouraging an integrated discussion of adaptation combining multiple disciplinary angles;

- ▽ involving all PhD students and other researchers in a reading club with the purpose of creating a level of common understanding of terms and concepts, to support integration and the production of common deliverables;
- ▽ exchange between Dutch practitioners and foreign counterparts.

1.3 Stakeholders

This work package supports the involvement of stakeholders in several ways:

- ▽ By stimulating and organizing the exchange between policy makers and stakeholders in Dutch hotspot areas with their foreign counterparts, a network of adaptation specialists can be initiated.
- ▽ By facilitating international scientific exchange, the Dutch debate on climate change adaptation will be enriched by greater understanding and knowledge of innovative approaches elsewhere.

2 Project 6.1 International comparative analysis and exchange

Project leaders: Dr. D. Huitema & prof. dr. F. Berkhout

2.1 Problem definition, aim and central research questions

This project aims at international scientific integration and exchange. This project will set up an international comparative research framework across national boundaries. It will stimulate comparison of the adaptation efforts in the Netherlands, Germany, the UK, and Sweden. With the facilitation of this project the academics in the programme will be linked with foreign counterparts working on similar issues. These exchanges should also stimulate comparative analysis. The results of this programme will be fed back into the international discussion by means of various scientific publications and presentations.

In some ways, adaptation to climate change is an old policy domain. In other ways, notably in response to human induced climate change, it is a governance domain that is yet in its infancy. This is a consequence, in no small part, because of the taboo that has rested on adaptation, which has often been considered the inferior option when compared to mitigation. This has had several implications that potentially shape the future course of adaptation governance:

- ▽ A certain hesitation to engage in adaptation policy on part of governments, and therefore more emphasis on civil society and market initiative.
- ▽ Where governments have engaged with the topic, the initiative has been left to policy sectors such as land use planning, water management, and forestry rather than environmental policy in a strict sense.

In the programme Governance of Adaptation, we see the further development of the governance framework regarding adaptation as emerging from the interplay between structure and agency (see e.g. Jordan et al., 2010). Structure, the policies, organizations and legislation that has emerged surrounding

the issue of adaptation, has a 'sticky' character which creates certain lock-in effects. Agency, as in the actions of humans that seek to change, steer or mold the governance framework, is the moving element in the equation as humans engaged with the topic of adaptation all try to shape and mold the governance framework in the desired direction and change is subsequently occurring.

As stakeholders and policy makers interact within the current institutional context, and work to change the future institutional context, they need to address several governance dilemmas (Jordan et al., 2010). This list of such dilemmas (also summarized in the description of this programme) will serve as a productive analytical lens for comparative analysis of emerging governance frameworks and for productive international exchange of insights. These dilemmas emerge in the context of various normative principles, such as effectiveness, efficiency, legitimacy and predictability, which often point in different directions (here this WP will borrow from WP5). The dilemmas can be elaborated as following (Haug et al., 2009):

- ▽ The choice of what problems to address. Here the question is how important climate problems are for different groups and areas, and how the problem is framed by the groups involved. Here the interface between science and policy interface is of special interest, and methods that help arrive at shared understandings of the problems.
- ▽ The choice of what levels to act at. Climate adaptation is not a local problem only. Addressing adaptation will require an approach that stretches across levels on the jurisdictional scale and needs a fit between problems and institutions.
- ▽ The choice of how to act: here the issue is which modes of governance to adopt and which instruments to use: hierarchical, market or network modes of governance. It comprises the choice of who has to act.
- ▽ The choice of when and in what sequence to act: here the issue is to decide about the appropriate balance between adaptation and mitigation measures, but also about the timing of various adaptation measures. Which measures can or have be taken immediately, which measures are to be taken later?
- ▽ Choosing who wins and who loses: adaptation requires change that will sometimes affect established rights and creates new burdens and benefits. This includes the scale question at which level risks, burdens and benefits of climate adaptation can be pooled.
- ▽ Choosing how to deliver policy results: here the issue is how to guarantee that policies are implemented and enforced through the 'horizontal interplay' between governors located in the domains of the environment, water, agriculture and land use planning.

In sum, this project addresses the following central research question: *How are the dilemmas of climate adaptation governance handled in the various countries what are the advantages and disadvantages of doing so and what ideas does this comparison provide for the development of effective governance arrangements in the Netherlands?*

2.2 Approach and methodology

The approach in this project is obviously international comparative work. The basic idea in selecting Germany, the UK and Sweden was that these are countries that are comparable in many relevant ways (advanced economies, democracies, same climate zone and therefore sharing some of the climate change patterns) so that meaningful lessons can be derived and exchange is possible.

Through collaboration with our international partner universities in those three countries (East Anglia, Oldenburg, Stockholm), it will be possible to get a better understanding of adaptation governance in those countries, and especially the way the various dilemmas have been handled at the national level and possibly in some regions. Each of our foreign partners is engaged in research that is connected to the consortium and each applies a similar hands-on approach to the governance of adaptation.

Our international partners will write position papers (20 pages) on the handling of the governance dilemmas in those countries. These papers will be written on the basis of secondary literature review and on the basis of research that the partners have already undertaken. These position papers will subsequently be discussed at the annual meetings of the consortium and issues suitable for further analysis (such as the use of certain types of instruments, the use of experiments, the organization of multifunctional use of space, or leadership strategies) will be identified and targeted comparative research papers will be produced and published in leading journals such as *Climatic Change*, *Global Environmental Change*, etc. The methodology of such publications will be determined at a later stage, taking into account guidance from state of the art publications on international comparison such as Hopkin (2002). Given the practice oriented nature of the research which requires in-depth understanding, the emphasis on relative small numbers of Dutch hotspots and foreign counterparts, and (almost certainly) a high degree of empirical complexity, qualitative methodology will be called for quite often. However, where possible quantitative analysis will be applied. Such analysis will be possible for instance in project 2.1 where learning effects of experiments will be measured on the basis of existing scales (Haug & Huitema, 2009) and in project 3.2, where the benefits and efficiency gains from freshwater markets will be calculated.

International exchange will also be organized between Dutch practitioners and foreign counterparts. Through their knowledge of the situation in their home countries and specific regions, our international partners will be able to establish contacts with foreign regions from which the Dutch hotspots could draw insights. This project will also be the platform from which the overall results of the consortium's work will be shared with the international scientific community. To this end, the work package (project 6.1 and 6.2) will initiate a final book project showcasing project results from all work packages.

2.3 Scientific deliverables and results

Month 12

Deliverable 6.A: General position paper about the handling of the governance dilemmas in Sweden, the UK, and Germany. Comparative analysis with the Dutch hotspots (finished at the end of year 1).

Month 36

Deliverables 6.1.1 and 6.1.2: Targeted comparative research papers for issues that are deemed of importance by the hotspot partners. These papers will contain recommendations for improvement in Dutch practice.

Month 48

Deliverable 6.B: Book published with an international publisher, highlighting the overall results of the consortium.

2.4 Integration of general research questions with hotspot-specific questions

Especially after the first year, when the handling of the governance dilemmas has been described, there will be space for hotspot partners to express an interest in more detailed comparative analysis of the way some of the dilemmas have been handled abroad. With the international partners, comparative research papers will be produced, outlining how several countries have creatively dealt with some specific dilemmas.

Hotspot-specific questions will also be addressed in the international exchange between Dutch practitioners and foreign counterparts.

2.5 Societal deliverables and results

Month 24

Exchange visits between Dutch practitioners and foreign counterparts.

The goal of this project is largely scientific, but the research results will, as much as possible be translated in recommendations for Dutch practice.

2.6 Most important references

1. Haug, C., & D. Huitema (2009). Leren van een beleidsexercitie. *Bestuurskunde*, 18(3): 36-46.
2. Haug, C., Rayner, T., Jordan, A., Hildingsson, R., Stripple, J., Monni, S., et al. (2009). Navigating the dilemmas of climate policy in Europe: evidence from policy evaluation studies. *Climatic Change*, 1-19.
3. Hopkin, J. (2002), Comparative methods. In D. Marsh and G. Stoker (Eds.), *Theory and methods in political science* (2nd Ed.), pp. 249-270. Houndsmills, UK: Palgrave McMillan.
4. Jordan, A., D. Huitema, F. Berkhout, and H van Asselt (Eds.) (2010). *Climate change policy in the European Union. Confronting the dilemmas of mitigation and adaptation*. Cambridge: University Press.

3 Project 6.2 Integration and exchange between work packages

Project leaders: Prof.dr. C. J.A.M. Termeer and Dr. Art Dewulf

3.1 Problem definition, aim and central research questions

This project aims to ensure the synergy in the programme. It will direct integrative analysis, comparative research and exchange of learning experiences across the work packages. All partners of the programme are involved in the project.

The central research question is: *How can the results and concepts across the different work packages be integrated in order to answer the central question of the programme: what governance arrangements can contribute to realizing adaptation options, and to increasing the adaptive capacity of society?*

3.2 Approach and methodology

First, this project will support the development of integrative approaches and the achievement of coherence. It will do so by organizing exchanges between professors, seniors, post-docs and PhD's. The idea is to start with bimonthly meetings with all PhD students. This will also facilitate the creation of a common level of understanding and shared sense of purpose within the programme. It will help the integration and the production of common deliverables.

Second the project will facilitate the development of synthesizing products across the different projects and work packages.

Finally it organizes the presentation of programme outcomes in national and international platforms such as the IPCC meeting and the World Water Forum.

3.3 Scientific deliverables and results

Month 12

Deliverable 6.A: General position paper about the handling of the governance dilemmas in Sweden, the UK, and Germany. Comparative analysis with the Dutch hotspots (finished at the end of year 1).

Month 36

Deliverables 6.2.1 and 6.2.2: Targeted comparative research papers for issues that are deemed of importance across work packages.

Month 48

Deliverable 6.B: Book published with an international publisher, highlighting the overall results of the consortium.

3.4 Integration of general research questions with hotspot-specific questions

This project focuses on integration across the work packages. Hotspot actors will be invited to participate in integrative sessions.

3.5 Societal deliverables and results

Workshops for stakeholders will be organized about the results.