P10 / Governing Complex Problems: Issues of Uncertainty, Time, Scale and Transformation

Topic : POLICY DESIGN, POLICY ANALYSIS, EXPERTISE AND EVALUATION

Chair : Margot Hurlbert (University of Regina)

Second Chair : Cheryl Camillo (Johnson-Shoyama Graduate School of Public Policy, University of Regina)

Third Chair : Murray Fulton (Johnson Shoyama Graduate School of Public Policy, University of Saskatchewan)

GENERAL OBJECTIVES, RESEARCH QUESTIONS AND SCIENTIFIC RELEVANCE

Although one of the oldest activities of the human race, governance has never been more complex or difficult (Dahlstrom et al. 2011). Governance arrangements effectively determine how decisions are made in society, how resources are distributed, which problems are solved and how, and, to some extent, how various voices are heard. Definitions of governance vary, but many refer to formal and informal rules, the interactions among formal and informal institutions, the political, legal, social, economic and administrative institutions that develop, manage, and distribute societal goods (water, health services, employment benefits, recognize some human rights, and not others) involving public, private, and civil society organizations that practice and implement norms, programmes, regulations, and laws.

21st Century problems are increasingly complex, wicked problems that defy complete definitions, for which there is not always one definite, accepted, immediate or ultimate solution. Often one problem is a symptom of another problem (Rittel and Weber, 1973). Uncertainty, unknown unknowns, and residual risk (the threat remaining after all efforts to identify and eliminate risk have been made) can be a barrier to evidence based policy and decision making. Normative judgments can be involved in these determinations. Risks may vary along spatial scales in relation to both human and natural systems with differing vulnerability and exposure in different areas and communities; Risks may vary in relation to current and future risks (with some events being slow onset, or chronic (drought and migration), some conflicts being covert, and other acute shocks or conflicts (extreme events of fire, flood, or security). Risks may cascade through sectors, regions, countries (such as the financial collapse of 2008, or potential for multi-bread basket failures as a result of ENSO events of drought, civil war) and there will be winners and losers both within and between countries.

The working hypothesis of governance research is that some governance arrangements are better than others at solving the problems facing a society. Traditional governance distinctions have focussed on formal and largely binary institutional structures—e.g., bicameralism versus unicameralism; presidential verses parliamentarism; proportional representation versus plurality. For governance theorists, these macro distinctions are important but no longer sufficient.A new set of distinctions have been including adaptive governance, collaborative cross-scale governance (Bodin 2017), inclusive governance, polycentric governance, multi-level, or global governance. They have been developed in close proximity to the complex problems of risk and uncertainty that they are intended to address. How best to respond to complex problems, what are the best governance arrangements, how these governance arrangements can be assessed and measured, becomes pressing social, academic and political questions. Do specific governance frameworks apply depending on the nature, sector, magnitude or some other feature of the complex problems, or depending on the demands of the citizenry?

Do measures of good governance align with the framework of governance? Are measures of good governance, including procedural, capacity, output measures, or dimensions of corruption, economic, political, democratic, or representative best in relation to the nature of the complex problem? How best can the frameworks and the measures be studied and analyzed?

This panel will explore theoretically and empirically what are the best frameworks of governance, and how governance might be studied, and evaluated.

CALL FOR PAPERS

We welcome submissions of papers that explore theoretically and empirically the best frameworks of governance, in the context of social and policy problems from a variety of sectors, countries, and contexts.

Implicit in the determination of the best frameworks is a consideration of the ontological and epistemological underpinnings of the framework, and how this informs the methodology of how one or several frameworks of governance might be studied and assessed. What methods can be used in studying and assessing governance and what methods specifically for studying governance in the context of complex social and political problems in the context of issues of risk (varying over time, scale and level of government) and uncertainty. How might governance be measured and evaluated and what indicators might best inform decision makers about whether good governance has been achieved, or improvements are required? Ultimately how can a solutions space be creating to address complex problems and achieve transformation required to address them?

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Session 1Complex problems and natural resources

Thursday, June 27th 08:00 to 10:00 (MB S1.105)

An institutional anlaysis method for addressing uncertainty and complex problems

Margot Hurlbert (University of Regina)

Situate within new institutionalism literature, this paper builds a complex system model of institutional analysis for adaptive governance and decision making in the context of deep uncertainty. This model combines Young's institutional environmental analysis method (2005), elements of subsequent environmental governance models, and ideas of multiple institutional levels and drivers, together with uncertainty science. The model identifies types of decision making for different degrees of uncertainty including complex, chaotic, and knowable causes and effects.

By applying the model, and based on qualitative semi-structured research interviews, policy instruments are identified that build agricultural producer livelihoods improving their adaptive capacity to respond to climate change and drought. In relation to three case studies in Canada, Chile, and Argentina, policy instruments that deliver co benefits to improve agricultural producer technological, social, human, economic, and natural capital include crop insurance, income stabilization instruments, farm water infrastructure grants, environmental farm planning (improving soil management), drought predictions and alerts, and watershed management plans. this paper identifies the logic and decision making surrounding each policy instrument in the context of uncertainty. This exploration of uncertainty shed lights on missing instruments including international instruments of mitigation and adaptation through disaster risk reduction, climate change mitigation instruments, and involvement of people in review and assessment of instruments in the context of climate change (iterative anticipatory governance). By combining decision making and uncertainty into the institutional model, proposals for missing instruments are made. The model allows for instrument redesign through interdisciplinary interaction with the agricultural and policy community, reviewing climate change scenarios, identifying strategies to reduce uncertainty, employ missing and buttress weak instruments in the context of adaptive governance.

Governing Complex Problems: Using Indicators to Improve Water Governance and Adaptation in the Great Lakes and Rio Grande-Bravo Regions

Carolyn Johns (Toronto Metropolitan University)

Debora VanNijnatten (Wilfrid Laurier University)

Policy implementation and evaluation in complex environmental governance systems continues to pose challenges for scholars and practitioners. New developments in complexity theory and adaptive governance theory increasingly highlight the difficulties associated with governance in complex, multi-level, multi-jurisdictional systems. Many systems must address new governance challenges with existing institutional and policy regimes which policy actors are attempting to push in innovative directions. Policy evaluation in these contexts is particularly challenging. While public policy and governance theory increasingly embrace complexity there has been a simultaneous move to use indicators to assess governance in hopes of improving progress and outcomes, and capturing these innovations. This paper uses two cases of transboundary and multi-level water governance – the Great Lakes region as a system of abundance and the Rio Grande-Bravo as a system of scarcity -- to outline how governance can be assessed and evaluated using indicators and how this approach may serve as a foundation for better

integrating scholarship and practice.

Explaining the barriers of forward-looking decisions in water governance: public-private interaction around a Dutch water pumping station

Wieke Pot

Grand challenges such as circularity, climate change, renewable energy, new technologies require water management organizations to invest in their water infrastructure in a forward-looking manner (Ferraro et al., 2015; Pot et al., 2018). In response to these challenges, organizations will for example need to adhere to long-term goals that are formulated at other governmental levels such as the EU; will need to formulate their own long-term goals; will need to find robust or flexible solutions that can cope with changing future circumstances; and will need to find governance arrangements that can facilitate their transformational goals and ideas (Dewulf and Termeer, 2015; Ferguson et al., 2013). Often such arrangements need to be innovate in itself, because of the many uncertainties involved in dealing with grand challenges. An example of such an innovative arrangement is the competitive dialogue (CD) procurement procedure that was introduced by the EU in 2004. The competitive dialogue facilitates the governance strategies of coordination, cooperation, and competition, and deciding upon the most suitable technical solution. The procedure is especially suitable when the project is complex and the government itself is unable to define the technical means that will satisfy their long-term objectives (Lenferink et al., 2013).

This paper aims to elucidate the contribution of the CD procedure for addressing grand challenges; and to focus on the specific barriers at play when governments aim to arrive at forward-looking decisions. With this aim, this paper makes three contributions: 1. To reveal tensions between water governance ideas and water management practice; 2. To discuss contributions of CD procedures and possible other public-private arrangements to facilitate governments to anticipate the future; 3. And to discuss the barriers, or ingrained patterns that impede water management organizations to anticipate the future. To do so, this paper investigates a specific case of a CD procedure that a Dutch regional water authority started to realize the ‘most sustainable water pumping station of the world’. The paper adopts a process-tracing research approach with visual mapping that results in a chronological narrative of events and a causal map (Bennett and Checkel, 2015; Langley, 1999). Results rely on observations of the entire CD procedure (i.e., market consultation, dialogue, submitting offers, and selection) between 2017 and 2019, as well as on documents (including decision documents), and conversational and in-depth interviews. The study finds that risk reduction, ambition specification, and fairness maximization interfere with governmental ambitions to address grand challenges.

Multi-level and democratic governance, to co-produce 21st century public policies

Pierre Bauby (European institutions)

Multi-level and democratic governance, to co-produce 21st century public policies

Pierre Bauby

How to meet the increasingly complex and uncertain challenges of the 21st century?

It can no longer be done with mechanisms based on exclusivity and extreme centralization of public authorities and essentially top-down governance.

The communication will aim, both theoretically and from empirical situations in France and in the European Union, to explore another governance based on the one hand on the combination of different levels of public authorities - from territorial to Europe - (multi-level), on the other hand, on the democratic participation of all the actors concerned:

- The systematic organization of the expression of the needs of each citizen and user and their evolutions, including their complaints - which makes it possible to fill somewhat the information asymmetries which exist between them and the public authorities - by using in particular the extraordinary interactive means of digital;

- Organize public debates on the different public policies and organizational solutions to address the issues raised;

- Determine the relevant area and the most suitable mode of definition and organisation of each public policy (organizing authorities, who are responsible for clearly define the objectives and missions of each public policy, the specific rules and standards to which they are subject, developing interactions with other levels of public action and ultimately deciding) ;

- Organize the democratic evaluation of effects of public policies in order to have a feedback and to make

the necessary adaptations.

These initiatives and responsibilities, to be carried out successfully, require commitment to the complementarity of "top-down" and "bottom-up" approaches, to democratic participation, co-definition, co-production.

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Session 2Democracy and Trust in the 21st C

Thursday, June 27th 10:30 to 12:30 (MB S1.105)

Designing Effective Anti-Corruption Policies for Combating Corruption and Restoring Public Trust in Governance of Anti-Corruption Institutions: An Empirical Analysis

Dr. Biswajit Bandyopadhyay (Independent Researcher)

In the twenty first century, corruption emerges as one of the biggest wicked problem both in developed and developing countries resulting to decline the level of trust in the government. United Nations Convention Against Corruption (UNCAC) in its Article 5 mentioning “effective and coordinated anti-corruption polices” as a necessity to the fight against corruption. The Sustainable Development Goals (SGDs) were signed by head of the governments of 168 countries after replacing the Millennium Development Goals, in which goal number 16 has clearly highlighted to substantially reduce corruption and develop effective, accountable and transparent institutions at all levels. In India, a series of acts, laws, anti-corruption strategies have been promulgated and multiple anti-corruption agencies created at national and sub-national levels to tackle corruption. Transparency International Annual Corruption Perception Index (CPI) for 2017 ranks India 81 out of 180 countries with a CPI score of 4 out of 10 reflecting high degree of corruption among politicians and public officials. The major challenges before the state is corrupt behaviour of the individuals working in government institutions. The purpose of this research paper is to measure the level of satisfaction and trust among different groups of general public towards anti-corruption institutions in the state of Himachal Pradesh, where the police officials are responsible for dealing with the matter of corruption cases and implementation of anti-corruption policies. The research questions arises are: (1) How far Anti-corruption Institutions are performing their role and functions effectively and efficiently at regional and grass root level in accordance with the expectation of the citizens? (2) What key challenges facing by the general public and police officials of Anti-Corruption Insitutions in the State (3) Is there is an effective way to facilitate public trust in the governance of anti-corruption institutions to achieve both administrative efficiency and policy innovation for combating corruption? The study finds that satisfaction and trust among general public was low towards Anti-Corruption Institutions in the state. On analysis of data, it is revealed that unethical behaviour of police officials, unawareness about rules, regulations and anti-corruption policies among general public, lack of political will for creation of separate independent anti-corruption institutions free from political interference and low level of people participations have proven the most serious risks for eradication corruption and implementation of an effective anti-corruption polices. Further, the weak civil societies and independent media are the major challenges for combating corruption. The study also recommended remedial measures to re-design anti-corruption policies for combating corruption and restoring trust among citizen’s towards anti-corruption institutions.

The study also recommended remedial measures to re-design anti-corruption policies for combating corruption and restoring trust among citizens towards anti-corruption institutions. The present study is based on primary data. Secondary data has also been used. The sample size for the study comprised of 360 public respondents which includes students, government employees, businessmen, agriculturists, advocates and journalists were selected on the basis of stratified random sampling. Apart from public, 85 police officials from different ranks and positions who are directly investigating the corruption cases in the state, have been included in the sample.

A structured questionnaire was prepared based on five-point likert scale. Data was collected through interview with the respondents, personnel observations and occasional informal discussions. Out of twelve districts, three districts were selected for this study on the basis of highest number of registered corruption and trap cases in the State Vigilance and Anti-Corruption Bureau (SV&ACB) in the State. Descriptive statistics and non-parametric test (Chi-square) have been applied to test the hypotheses. Though the

findings of this study may not have universal applicability in different cultural contexts, however, the challenges facing by the general public at regional and local level in the governance of anti-corruption institutions are relevant among all the developing nations.

Key words: Anti-Corruption, Building Trust, Citizen Satisfaction, People Participation, Political Will

Government Reputation Index as a tool for measurement and improvement of municipal public policies.

Joanna Margarita Moreno Manzo (Municipal Planning Institute, Morelia)

José Cesar Lenin Navarro Chávez (ININEE, Universidad Michoacana de San Nicolás de Hidalgo)

The low levels of approval from both governments and authorities around the world reflect a problem of political legitimacy. The success of an organization relies partially on its reputation, on how the organization is perceived by its stakeholders, however, while reputation is an intangible that has been measured in the private sector for a long time, in the public sector and particularly the government reputation is a trend.

Government reputation is defined as the collective assessment of multiple stakeholders towards a government, based on personal experiences, perceptions or mediated experiences, therefore, it is communicable, government reputation is also based on the stakeholders´ expectations about the government; it is a continuous intangible because it depends on past, present and future experiences or perceptions, it implies a comparison with other governments and generates attitudes and behaviors of the stakeholders towards the organization.

Considering government reputations as a tool that measures local governments and provides information for those involved in the decision-making process, the problem posed by this paper is the absence of model to measure government reputation applicable to municipal governments in Mexico, in addition, factors of government reputation are not determined for Mexican reality and therefore there are no indicators or any index to measure those factors and their incidence in reputation.

The objective of the paper is to discover the main elements of government reputation and to present the Local Government Reputation Index. The methodology to establish the values of the index is based on the analytical hierarchy process (Saaty´s Algorithm). This methodology was implemented based on the literature review, including more than 30 papers and verified through a process of interviews and focus groups in Mexico.

It has been found government performance, ethical behavior, the leadership of the authorities and government communication as the most influential variables of government reputation.

Governing Complex Problems: Institutational Facilitation of Communication and Engagement After Decision-Making

Cheryl Camillo (Johnson-Shoyama Graduate School of Public Policy, University of Regina)

While first identified over 50 years ago, wicked problems, which are characterized in part by their endless and changing nature, expansive scope and numberous stakeholders, may be becoming increasingly challenging as across the globe minimalist democracy continues to win out over maximalist, thereby reducing the participation of citizens and civil society in problem solving to electing representatives and attempting to influence their policy decision-making respectively (Cheema and Maguire, 2002).

After briefly surveying the sociocultural, economic, and technological landscapes of western democracies, this paper will summarize case studies of intractable health policy problems in two countries with distinct systems of government--Canada, which employs the Westminster system, and the United States, which employs the presidential model. Next, building on the work of Rittel (1972), Roberts (2000), Knapp (2008), and others, it will theorize that wicked problems can be contained or better managed via the constant collaborative participation of the public and policy communities throughout the implementation, evaluation and monitoring, and problem reidentification steps of the policy cycle. Afterwards, using the example of Canadian pharmacare, which is once again on the national decision-making agenda, it will describe enhanced communication and public engagement strategies that government institutions and their partners can deploy to foster ongoing participation in problem-solving. These proposed strategies could be added to Health Canada and the Public Health Agency of Canada Guidelines on Public Engagement (2016). Finally, the paper will propose measures of process and scope to be used in determining whether the strategies have been effective in addressing wicked problems.