

# T14P10 / Policy Integration for Boundary-Spanning Policy Problems: Climate Change Mitigation and Adaptation Policy

**Topic :** T14 / SUSTAINABLE DEVELOPMENT, ENVIRONMENT AND POLICY

**Chair :** Robbert Biesbroek (Wageningen University)

**Second Chair :** Alexandra Lesnikowski (Concordia University)

**Third Chair :** Daniel Henstra (University of Waterloo)

## GENERAL OBJECTIVES, RESEARCH QUESTIONS AND SCIENTIFIC RELEVANCE

Mitigating climate change and adapting to its impacts requires coordinated responses across different administrative levels, policy fields, and sectors. As in other complex policy fields, coordinating policy efforts is critical to avoid fragmentation, duplication, problem displacement, high transaction costs and policy over- or under-reaction. In many countries, the State plays a critical leadership role in coordinating climate policy efforts and integrating climate change into bureaucratic and institutional structures to ensure timely and effective outcomes. Policy coordination and integration has several dimensions, including horizontal (between different departments, agencies or sectors), vertical (between different administrative levels), and diagonal (between different departments across different levels). However, States have responded differently to the governance challenge climate change poses. Whereas some have chosen a strong “mainstreaming” approach, whereby climate policy is integrated within existing structures and programs, others have created dedicated institutions to coordinate responses across levels and sectors. Recently, several novel, hybrid modes of governance have emerged that cross-cut traditional scales and policy fields, and involve diverse non-state actors.

Despite the role that policy integration processes play in climate action, there are few comprehensive studies that examine systematically how coordination and integration is taking place. Rather than critically engaging with existing theories to better understand why and how coordination and integration works, the climate change scholarship tends to use these concepts as descriptive tools to explain the structure of governing environments in which policy action takes place, vaguely referencing a lack of coordination as a barrier to successful climate policy actions and/or as a normative goal. More rigorous and theory-driven empirical assessment of policy coordination and integration across government levels, policy fields, and sectors is needed.

## CALL FOR PAPERS

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This session aims to bring together scholars working on climate governance topics at different levels and

scales. We are particularly keen on contributions that compare across multiple case studies (medium to large-n studies), and welcome contributions that apply novel methods for data collection and analysis. The papers should ideally cover one or more of the following themes:

- Theoretical: How does context matter for climate policy integration? Are particular aspects of institutional and political environments more important than others in shaping coordination approaches and integration outcomes? What is the influence of different administrative/state systems on how mitigation and adaptation is coordinated? How should we define and recognize 'successful' coordination and integration?
- Methodological: How can we empirically study coordination efforts for boundary-spanning policy issues like climate change in a systematic and comprehensive way? What novel research designs can be used for such analyses?
- Empirical: What (recurrent) mechanisms are used for coordination and how successful are they in different contexts? Are there differences between developed and developing countries? What lessons can we draw from comparing across different cases? Are there differences in coordination approaches or integration outcomes between mitigation and adaptation?

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## Session 1 Policy Integration and Climate Change Policy: Analytical Perspectives

Friday, June 28th 10:30 to 12:30 (MB 3.435 )

### Discussants

Robbert Biesbroek (Wageningen University)

Alexandra Lesnikowski (Concordia University)

### The Multi-Level Governance Challenge of Climate Change Adaptation Policymaking: Conceptual Considerations through the Lens of Multiple Streams

Dana Dolan (George Mason University, Schar School of Policy and Government)

Both scholars and practitioners point to extreme weather events as potential focusing events that can raise adaptation on the policy agenda. As the Multiple Streams Framework (MSF) suggests, how this increased attention translates into policy action (or inaction) depends on complex interactions among numerous factors, many of which are less objective and visible than climate-related disasters. If case studies overlook factors that influence the adaptation policy process, opportunities for policy learning will be limited, unnecessarily putting people, infrastructure, and ecosystems at risk. In line with recent state-of-the-art assessments of MSF, I pursue further conceptual development, drawing on a close reading of Kingdon's seminal work to elaborate these overlooked concepts. Specifically, I examine how local government interests influenced the Australian Commonwealth's adaptation policymaking dynamics leading up to adoption of the 2007 Water Act. I contrast Melbourne's anticipatory adaptation efforts with Adelaide's reactionary approach to show how local governments can influence the policy process at a national level, by shifting the balance of interests in the political stream. I argue that multi-level governance, a previously overlooked aspect of MSF's political stream, is a potentially important factor influencing agenda setting, alternative selection, and policy adoption. In conclusion, by closely examining Kingdon's original analysis of the political stream, this project sheds new light on the multi-level governance challenge of adaptation policymaking.

Note: This paper builds on a portion of a manuscript that analyzes adaptation policymaking through the lens of the Multiple Streams Framework. I gratefully acknowledge financial support from George Mason University and the National Science Foundation (Grant No. 1310954). All opinions, findings, and conclusions are mine alone.

\*This paper is also suitable for the Topic T01 / POLICY PROCESS THEORIES, under the panel T01P06 / Ambiguity and Public Policy (chairs: Nikolaos Zahariadis - zahariadisn@rhodes.edu and Thomas Birkland - tabirkla@ncsu.edu)

### Social network analysis as a means of governing informal networks working toward climate change adaptation

Susan Usher (École nationale d'administration publique)

Marie-Christine Therrien (École nationale d'administration publique, Université du Québec)

Mathilde Jutras (Ecole nationale d'administration publique)

Research project and question

In this paper we explore social network analysis (SNA) as a means of network governance to coordinate climate change adaptation efforts across levels, fields and sectors. Our central question is: How to achieve governance in a wide and ill-defined field of organizations working toward a mutable objective such as climate change adaptation?

### Methodology

SNA describes a set of methods to systematically measure and interpret patterns of relationships between actors that contribute to a common effort (Mills et al, 2014).

This paper develops on findings from a SNA conducted in 2018 of the informal network of organizational actors working together on climate change adaptation on the territory of Montreal (Therrien, Jutras, Usher, 2018). We used a snowball method to identify organizations, then surveyed organizations about their relations. The resulting network mapping was later presented back to the organizations to find out how it might be used in strategic and operational activities.

We pursue these findings here to gain theoretical insight into governance mechanisms in informal networks, and to position SNA as a methodology for studying the evolution of 1) coordination between organizations towards climate change objectives, 2) network size and configuration over time to integrate new contributions, and 3) how climate change adaptation objectives are defined, as new possibilities and perspectives emerge in the network.

Network governance to achieve integration in boundary-spanning policy areas

Network governance is defined, in the most general terms, as a steering mechanism that exercises a "sphere of authority" to enable movement towards a goal (Bache and Flanders, 2005: 39). With complex challenges such as climate change adaptation, the view of network governance as a central body that actively coordinates joint action among a fairly defined set of actors (Provan and Kenis, 2007; Provan and Milward, 2001) risks excluding valuable contributions to this movement. "Once a broader set of relationships is taken into consideration, then a wider view of what is relevant (...) also emerges" (Rogers et al 2011, p. 2). Views of network governance as diffuse problem-solving among organizations (Hooghe and Marks, 2003), or a process that enables people to engage across boundaries (Emerson and Nabatchi, 2015) become more valuable as they allow for the expansion of membership and evolution of objectives in the network.

In this context, governance is, in effect, achieved through network learning, where organizations become aware they are part of a network working towards common objectives, then learn how to interact, share knowledge, and learn together (Mariotti 2005, p. 14; Argyris and Schon 1978).

In the study of Montreal organizations, we found that all stages of the SNA prompted network learning, increasing awareness of belonging to a network, of the range of contributions to climate change adaptation, and of unexploited possibilities for collaboration. By clarifying their position within the network, the SNA also enables boundary spanning, central and peripheral organizations to identify relationships they could facilitate or form to contribute to overall network development. We consider that the regular performance and dissemination of SNA may therefore provide a promising means of learning-based governance in informal networks on climate change mitigation and adaptation.

### **Policy integration, long term perspectives and community strategy: towards a new understanding of policy integration in adaptive governance**

kristof Van Assche (U of Alberta)

Drawing on Canadian case studies, we present an approach to the study of climate change adaptation policy which does not start from the analysis of existing climate adaptation policies and plans -an entirely legitimate approach- but rather from the analysis of governance paths. By analyzing governance paths, the dependencies and forms of policy integration which can be observed there, one can acquire insight in existing, desirable and possible forms of adaptation and adaptive capacity, and in potential forms of policy integration which might enable a more desirable form of adaptive governance.

In analyzing rigidities in the governance path, we distinguish between path dependencies, goal dependencies (impacts of images of the future on current governance) and interdependencies. For the issue of climate change adaptation, we consider one type of path dependencies of particular importance: material dependencies. We present a concise typology of material dependencies, both natural and man made, and briefly illustrate how they, in an interplay with other dependencies, can shape governance (including patterns of policy integration and adaptive capacity) and the possibilities for change (including towards new forms of policy integration enabling adaptive governance). Finally, we consider how analysis of governance paths can tell us how long term perspectives in governance are linked (or not) to an articulated strategy, and what the effects of previous strategies were. Moving towards more adaptive governance for climate change

adaptation will require undoubtedly new forms of policy integration, while also posing limits on integration, as this always comes with new rigidities and blind spots. The detailed analysis of a specific governance path can give strong indications as to the possibilities for policy integration (old and new) towards adaptive governance (including old and new forms and aspects of adaptation). In this analytic endeavour, it is worthwhile to keep in mind the diversity in possible forms, sites, scales, levels, processes and themes/foci of integration, as well as the possibility to combine highly integrated and weakly coupled sets of policies. Our perspective incorporates insights from evolutionary governance theory, critical management studies and interpretive policy analysis, and their respective sources.

## **Significance of integrating reproductive rights and environmental sustainability/climate action policies and movements**

Celine Delacroix (University of Ottawa)

This article examines the process and significance of integrating reproductive rights and environmental sustainability/climate action policies and movements. Based on the premise that population growth increases environmental impact, and that family planning triggers reduced fertility levels, we draw attention to the synergistic interests at play in these fields, their integration presenting significant opportunities for their respective advancements, and for global health equity. Integrating reproductive rights and environmental sustainability requires a normative and discursive change as these fields are currently operating in silos. We analyze the underlying factors and current trends at play in this dynamic. The article begins with an overview of the evolving framing of the population growth/environmental sustainability linkage since Thomas Malthus. The impact of the population control movement backlash on the dissociation, across disciplines, of the study of population size and environmental impact is addressed. Next, using social movement theory, the discursive and normative process of broadening and diversifying the ideological frame of reproductive rights is analyzed. I then argue that an ongoing paradigm shift is taking place, as the values, language and assumptions of the reproductive rights and environmental sustainability movements evolve to integrate population dynamics, thereby coalescing these fields. To illustrate this, examples such as the development of the Population, Health and Environment programmatic approach are provided. The omission of population dynamics in the Sustainable Development Goals is also discussed, as well as the fact that this international development framework constitutes an exceptional window of opportunity for the afore-mentioned paradigm shift to take place. Last, a conceptual model is put forward, providing a preliminary empirical assessment of the integration of the reproductive rights and environmental sustainability movements, based on population dynamics.

## **Public-Private Partnerships in Climate Change Adaptation**

Yumiko Takemae (Kyoto University)

Adaptation measures to climate change are essential in attempting to reduce its negative influence in the short to medium term, particularly in countries that are vulnerable to climate change. Recently, expectations are rising for the role of private enterprises to adaptation in terms of know-how, technology, funds, and so on (Agrawala et al., 2011; Pinkse & Kolk, 2012; Biagini & Miller, 2013). However, partiality in the selection of target sectors and regions is seen in projects conducted by private entities. Public Private Partnership (PPP), which is often found in mitigation measures, has come to be noted as a means to overcome the above problem (Agrawala et al., 2011; Biagini & Miller, 2013). Since PPP is a concept originally developed as one of the public infrastructure development and management techniques, there are many previous studies on public policy (Brinkerhoff & Brinkerhoff, 2011). Also, in recent years, many authors study PPP in climate change from the perspective of global governance. Especially, focusing on the impact of PPP on projects, many researchers mention enhancement of quality and efficiency and mitigation of barriers to entry. However, despite accumulation of research on PPP projects, there are only a limited number of attempts to examine adaptation measures. In addition, many PPP studies on the adaptation field are attempting case studies and few efforts have been made to examine how PPP affects the improvement of gaps in the target sectors and regions. The current paper seeks to compare the bias tendencies of target sectors and regions of adaptation across four project categories, public, private, PPP and others. By revealing the bias-reducing function of PPP projects in climate change adaptation, the paper aims to contribute to the discussion on PPP from a new perspective.

This paper begins by reviewing the issues concerning adaptation to climate change, especially focusing on the gap laid in target sectors and regions. Next, PPP which has been introduced in the field of climate change recently is overviewed, and benefits of PPP on projects are examined. Then, an outline of the database I created based on the information platform called Adaptation Knowledge Portal managed by United Nations Framework Convention on Climate Change (UNFCCC) secretariat is provided. Information from my research complements the database. In the process of analyzing the database, the breakdown of

target regions and target sectors and the bias difference are compared across four project categories. The paper concludes by describing how PPP will affect the improvement of the gap in target sectors and regions in adaptation.

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## Session 2 Policy Integration and Climate Change Policy: Geographic Perspectives

Friday, June 28th 14:00 to 16:00 (MB 3.435 )

### Discussants

Daniel Henstra (University of Waterloo)

Alexandra Lesnikowski (Concordia University)

### Adaptation to climate change and policy interactions in Brazil's semiarid region

Carolina Milhorange (CIRAD)

Eric Sabourin (CIRAD & University of Brasilia)

Climate projections predict important changes in temperature and precipitation patterns for Brazilian ecoregions. Given the intersectoral nature of climate challenges, more integrated approaches to policy are considered fundamental to reduce social vulnerability and promote adaptive capacity to climate change. However, different systems have different sensibilities and disturbances and have an unequal potential to adapt to change; in addition, adaptation-led policy mixes take different forms and involve different sets of actors, depending on the territory in which they materialize.

Regionalized analyses of the formulation and implementation of climate policies are needed, including the different combinations of instruments that are implemented in each territory, the interactions between actors at different levels, and the mobilization of different narratives on climate adaptation. Brazil's northeast semiarid region represents an important case study on climate change. Although the occurrence of drought represents a chronic situation in the region, climate change is expected to increase precipitation variability and decrease groundwater recharge, which will likely generate a series of socioeconomic impacts. The most recent episode of extreme drought, which began in 2011, has been generating socioenvironmental and economic costs, such as reduced agricultural and livestock production, as well as reduced water levels in reservoirs for human supply, animal feed, and power generation. The problem of regulating the flow of discharges from hydropower dams in the São Francisco River has caused political struggles among the different sectoral actors.

This paper analyzes the emergence of climate adaptation agenda in Brazilian political scenarios, discussing its divergences regarding the climate mitigation program and the missed goal of the National Adaptation Plan to promote the integration of sectoral agendas. Moreover, drawing on extensive on-the-ground surveys and analyzing a significant number of institutional documents of the semiarid region of Pernambuco, the paper seeks to examine the combinations of policy instruments that have been contributing to the adaptation of rural populations to climate events. It also sheds light on the subsequent processes of translation and the re-signification of old policy strategies regarding "living in a semiarid climate" from earlier international climate adaptation paradigms.

The paper thus intends to provide methodological and empirical advances by presenting findings regarding the definition of the scope of adaptation policies in different contexts, and the representation and assessment of policy mixes at the territorial level. Furthermore, it seeks to provide tools for analyzing the multilevel governance of climate adaptation, including interactions among and within policy networks and the role of particular coordination mechanisms.

## The wicked problem of climate policy integration in Guadeloupe: between invisibility and grabbing

hrabanski marie (CIRAD)

Massardier Gilles (CIRAD)

Montouroy Yves (University of French West Indies)

Océane Biabiany (INRAE)

The communication aims enlightening the issue of climate-oriented public policy forms, scales and means of their implementation, as well as their limitations (Adelle and Russel, 2013; Howlett, 2014). Based on empirical case study in French West Indies (Guadeloupe), our study analyses the climate policy integration and urges greater consideration of the issue on the existence of so-called 'new' climate policies, thus fuelling debate on the potential emergence of a new climate-oriented public policy sector. Our discussions also foster analysis of the idea of mainstreaming international climate change governance concepts in national (Biesbroeck et al., 2010) and local (Wilbanks, 2003) policies. The Guadeloupean case study consequently focuses on analysing inter-level and -sector interactions, such that "transversal policies enhance the 'territorialization' process regarding public policy and activity areas, in turn challenging historically established sectoral boundaries" (Hassenteufel, 2011) regarding agricultural, tourism and economic policies. In Guadeloupe, the State plays a critical leadership role in coordinating climate policy efforts and integrating climate change into bureaucratic and institutional structures to ensure timely and effective outcomes, that is to say that climate policy is integrated within existing structures and programs. However, but that it is not a "strong" strategy because, first, policy instruments such as Climate and Agri-environment measures (CAEM) are grabbed by bananas sector. In this way, the banana sector deprives other agricultural sectors of activities that could allow them to develop a climate policy for Guadeloupian agricultural sector. Second, adaptation of climate change is forgotten in vertical climate policy integration with the European, national and regional policy level. Finally, Adaptation to climate change does not appear as a priority in the local agenda but finds relegated behind other themes (health, development, employment, Sargassum pollution...) and it is once dealt with the other emergencies settled.

## Integrating Climate Change Adaptation in the European Union

Robbert Biesbroek (Wageningen University)

Jeroen Candel (Wageningen University)

**Background:** With the impacts of climate change being felt throughout Europe, the European Commission has started to push Member States to ensure timely action through their Green Book and White Book on climate change adaptation. Their ambitions and goals to make Europe more climate resilient has become one of the main items on the Commissions agenda. However, the Commission has limited competences to force Member States to take action. They rely on two main instruments: the Open Method of Coordination, and integration of climate change adaptation concerns into areas the Commission has competences. Most studies so far have looked at the OMC as tool; the deliberative governance of the Commission to negotiate, stimulate and persuade Member States to take action. Several cases have looked, for example, at the influence of the EU White Book on developing National Adaptation Strategies and plans. However, no studies exist to date that have looked at how the Commission is integrating climate change impacts in their existing rules, directives, rulebooks and guidelines to ensure climate action in areas the Commission does have formal responsibility (e.g. Cohesion policy, Agricultural policy).

**Aim:** this article aims to systematically analyse the ways through which the Commission is trying to integrate adaptation in its existing policies and institutions. By taking a processual perspective, we assess progress since 2001 along four dimensions of policy integration: 1) the framing of the problem, 2) the DGs involved in tackling climate change impacts, 3) the explicit goals and target formulated, and 4) the subsequent instruments used by the Commission to integrate adaptation.

**Method:** We make use of secondary data for each of the four dimensions to get a comprehensive sense of what the commission is actually doing in terms of integrating adaptation. These include coding and analysis of speeches of key representatives of DGs and Commissioners and EU documents and reports.

**Results:** The work is still in progress, but a picture is emerging of a complex portfolio of policy actions proposed by the Commission to integrate climate changed adaptation in key domains. Based on the findings so far, we see substantive evidence of policy integration and very few patterns of policy disintegration. Our



findings raises new questions of vertical policy integration – i.e. how climate change concerns in these domains are translated into climate actions by Member States.

## **Beyond the buzz of new urban climate governance spaces : capturing the institutionalization process for more integrated urban climate adaptation**

Sophie Van Neste (INRS-UCS)

Hélène Madénian (INRS)

Geneviève Cloutier (Université Laval)

By Helene Madenian (INRS-UCS), Sophie L. Van Neste (INRS-UCS) and Geneviève Cloutier (Université Laval)

Many have argued that cities are strategic scales to implement and analyse climate actions. This proposal seeks to analyse how coordination and integration are taking place in the urban context. Urban political spaces would be particular for their less rigid character and the greater reliance on non-state actors; they would also be particular sites for social learning and experimentation (Evans, Karvonen and Raven 2016, Voytenko et al. 2016). Bulkeley and her colleagues have even suggested that while typical comprehensive urban policy processes suffer from little capacity and have low substantial impact on climate mitigation and adaptation, « governing as normal » in this field actually occurs through experimentations (Bulkeley and Broto 2013 : 363, also in Hoffman 2011).

This proposal is focused on a specific subset of urban climate experiments : living labs. Living labs are here defined as initiatives where urban professionals, actors in strategic position in the urban development process, civil society and 'experts' interact to co-define levers of climate change adaptation in specific urban contexts and projects. One of the key objective of climate living labs concerns the integration and coordination of a diversity of actors (in different parts or outside the local state) and forms of knowledge for more effective climate governance. The proliferation of climate living labs in cities poses the question of their embeddedness and maintenance in the policy regime and urban governance structure. To use the categories proposed in the call for papers, a crucial question is whether they are designed as ad hoc and temporary initiatives, as first steps toward new dedicated institutions on climate governance or as ways to 'mainstream' climate policy in the urban governance structure. What are the main factors leading to one of these three paths?

The presentation will first present a review of existing literature in regard to these three different paths of (non) institutionalisation of climate living labs in urban governance (ad hoc initiatives, dedicated institutions, mainstreaming). Second, we present the case study of a Climate adaptation living lab in Montreal. The latter, to which the three authors are associated, offers ground to reflect on the challenges and trade-offs of integration and coordination of a wide variety of stakeholders. Our findings concerns the intentions of the actors involved, the meanings they share, the policy frames they value, and how their practices are tied to street-level bureaucracy (Kornov et al. 2015) and strategic urban development politics. Starting from the first phase of the in-depth participatory and ethnographic study of the Climate adaptation living lab of Montreal, we aim to identify key factors for a « processual understanding of policy integration » (Candel and Biesbroek 2016) in regard to the institutionalization of living labs in the urban context.