



# ROMÂNIA DURABILĂ

Dezvoltarea cadrului strategic și instituțional pentru implementarea Strategiei Naționale pentru Dezvoltarea Durabilă a României 2030

## Administrație publică pentru dezvoltare durabilă

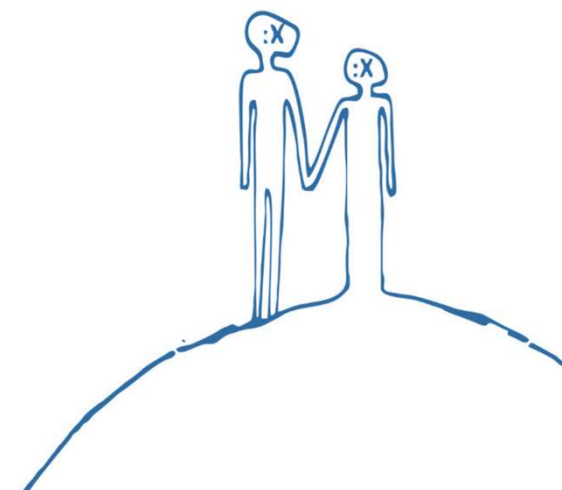
- Program de studii postuniversitare de formare și dezvoltare profesională continuă, înregistrat în Registrul Național al Programelor Postuniversitare cu nr. 338.
- Ocupația/ Grupa de bază din COR pentru care se organizează programul postuniversitar: "expert dezvoltare durabilă", cod COR 242232.
- Organizator: Academia de Studii Economice din București

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Proiect cofinanțat din Fondul Social European prin  
Programul Operațional Capacitate Administrativă 2014-2020, SIPOCA 613



[www.poca.ro](http://www.poca.ro)





## Modul 1. Management și administrație publică

- Tema 1. **Dezvoltarea durabilă, o viziune holistică - repere teoretice ale dezvoltării durabile; abordarea integrată a dezvoltării durabile: dimensiunile economică, socială și de mediu.**
- Tema 2. **Importanța sectorului public în dezvoltarea durabilă;**

**Material realizat de lector dr. Louis Meuleman.**

**(partea 2/3)**


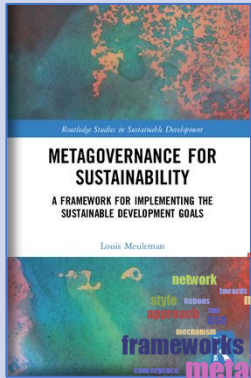


*Proiect cofinanțat din Fondul Social European prin  
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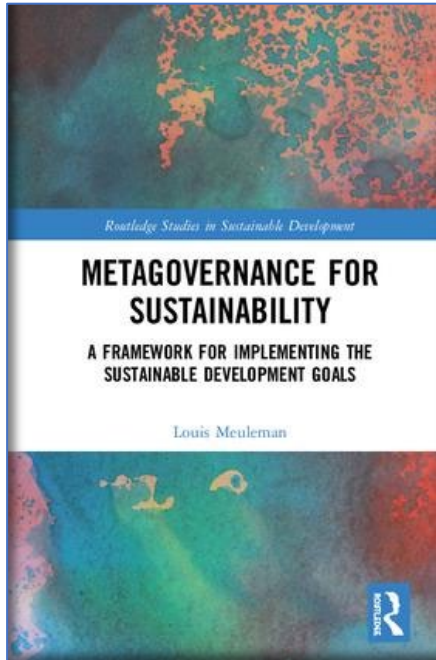
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**2 ROMÂNIA DURABILĂ**

## Structure of the course today:

<p><b>1. WHAT? The SDGs as comprehensive policy framework</b></p>	<p>Short break</p>	<p><b>2. HOW? (1)</b> Governance for sustainability is governance of complexity</p>	<p>Short break</p>	<p><b>3. HOW? (2)</b> An action perspective: Policy Coherence for Sustainable Development</p>
<p>70 min</p>	<p>15 min</p>	<p>70 min</p>	<p>15 min</p>	<p>70 min</p>
<p>Start: 1 pm</p>	<p>2:10 pm</p>	<p>2:25 pm</p>	<p>3:35 pm</p>	<p>3:50 pm End: 5 pm</p>
		 		



## Part 2.

# 2. HOW? (1) Governance for sustainability is governance of complexity



<https://www.routledge.com/Metagovernance-for-Sustainability-A-Framework-for-Implementing-the-Sustainable/Meuleman/p/book/9780367500467#:~:text=Metagovernance%20for%20Sustainability%20is%20relevant,Public%20Management%20and%20Capacity%20Building> (incl preview of Chapter 1)

# 1. Introduction

2. Principles of effective governance of sustainable development
3. A pragmatic, actionable definition of governance
4. Governance styles
5. Governance failure
6. Metagovernance for a meta-policy
7. Values, traditions, mind-sets
8. Metagovernance in practice
9. Mission-oriented Public-sector reform -> acceleration & transformation?
10. Wrap-up





- We live in turbulent times with great challenges
- The **UN Sustainable Development Goals (SDGs)** since 2015 are a 'meta-policy', guiding all policies towards 2030
- 17 Goals, 169 targets, and more than 200 indicators to tackle the big challenges of our time by 2030
- The SDGs are designed to be universal and holistic/indivisible -> nexus approach needed



Three lessons learned from Covid-19 in relation to public administration and governance:

1. Countries with a functioning public sector that caters for essential health services for all are better equipped to deal with the pandemic than others who have privatized health care.
2. Governance should be contextual, adaptive and resilient – successful Corona measures are different per country.
3. The third lesson is that rapid and unprecedented systemic transformation is possible in each country, provided that a problem is framed – and broadly felt – as a crisis.

Meuleman, L. 2020. **It Takes More Than Markets: First Governance Lessons from the COVID-19 Pandemic**. Guest article 7 April 2020 at [www.IISD.org](https://sdg.iisd.org/commentary/guest-articles/it-takes-more-than-markets-first-governance-lessons-from-the-covid-19-pandemic/). <https://sdg.iisd.org/commentary/guest-articles/it-takes-more-than-markets-first-governance-lessons-from-the-covid-19-pandemic/>







**SDGs 16 & 17 are the 'governance SDGs' - *Nothing happens without them.***

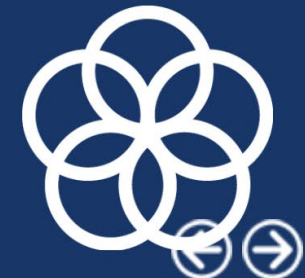
## **SUSTAINABLE DEVELOPMENT GOAL 16**

Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels

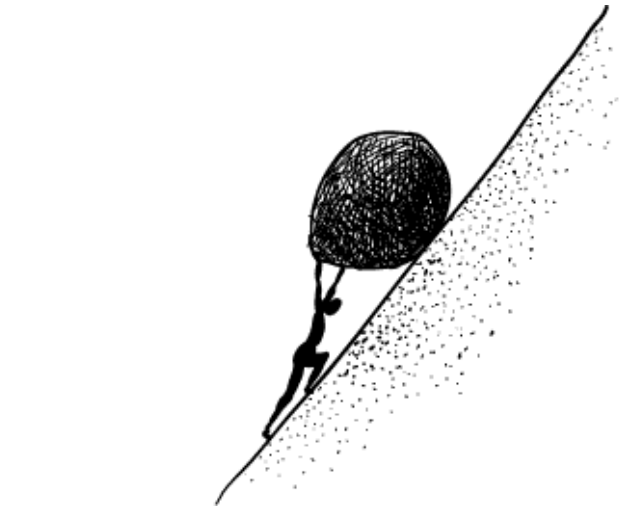


## **SUSTAINABLE DEVELOPMENT GOAL 17**

Strengthen the means of implementation and revitalize the global partnership for sustainable development

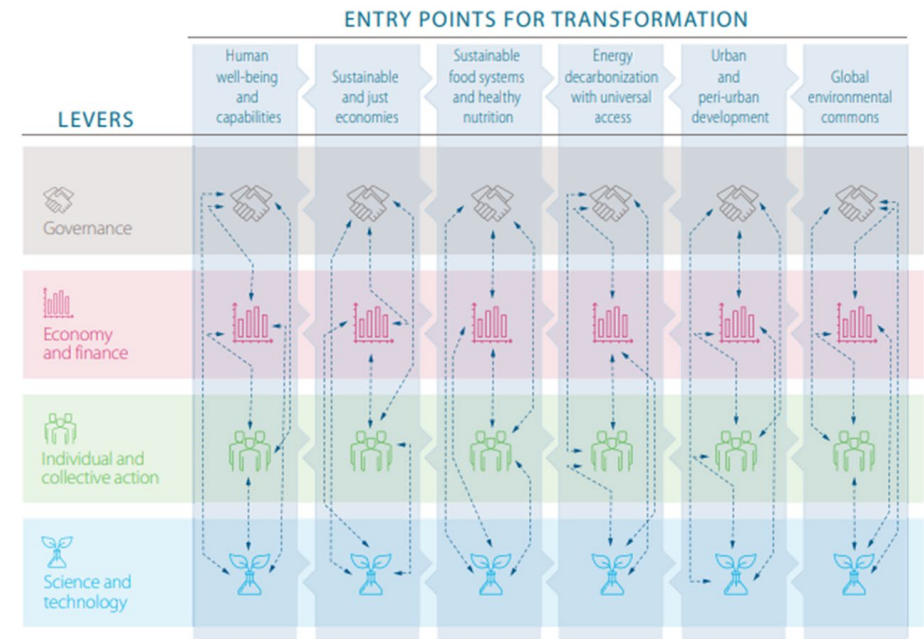


*But Ministries responsible for quality of public administration are often not much involved in SDG coordination...*



■ **Quality of public administration & governance is a key enabler for implementing the SDGs**

Global Sustainable Development Report 2019: **Governance is 1st of four 'levers' for transitions**



➤ **We know that there are no one-size-fits-all governance solutions: context matters a lot**

➤ **Important to have a joint mind-set/'language' for (sustainability) governance -> including principles**

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Members 2021-2025 ->

## The Committee of Experts on Public Administration (CEPA)

is an expert body of the United Nations that studies and makes recommendations to improve governance and public administration structures and processes for development -> with focus on the SDGs



Costa Rica



India



Germany



USA



Ghana



South Africa



UK



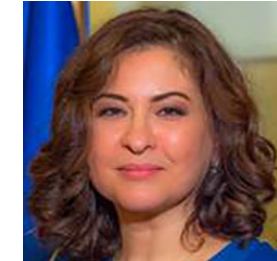
Kazakhstan



Philippines



Netherlands



Lebanon



Slovakia



Croatia



Republic of Korea



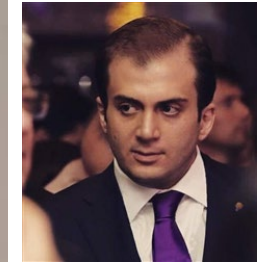
Brazil



Ecuador



France



Russian Federation



Sierra Leone



Egypt



Senegal



China



Morocco

## **Contribution by the Committee of Experts on Public Administration to the 2022 high-level political forum on sustainable development - 4 March 2022**

1. Building back after the COVID-19 pandemic requires building forward stronger, more effective, resilient and credible public institutions for achieving the SDGs
2. Countries should work together in making their public institutions, their societal and physical infrastructures, and their economies, more resilient and agile, not only against COVID-19 but also against all potential future shocks. This is in the interest of all nations.
3. There is a need to invest more in the public sector workforce to bring competences and values in line with the challenges ahead
4. Digitalization should be mindful of inclusiveness, sustainability, ethics, and humanity to be truly at the service of the people
5. Global institutional cooperation and solidarity are critical, and all countries should work together to fight the virus and ensure equitable vaccine distribution, while ensuring that no one – and no country - is left behind

**“Whereas social media are powerful tools to connect people and promote the SDGs, the growing role of unregulated social media in undermining democratic institutions calls for attention.”**

## Principles of Effective Governance for Sustainable Development

### Effectiveness

- » Competence
- » Sound policymaking
- » Collaboration

### Accountability

- » Integrity
- » Transparency
- » Independent oversight

### Inclusiveness

- » Leaving no one behind
- » Non-discrimination
- » Participation
- » Subsidiarity
- » Intergenerational equity



- 11 Principles of effective governance for sustainable development
- Proposed by the *UN Committee of Experts on Public Administration (CEPA)*
- Endorsed by *UN ECOSOC Council* in July 2018. Implemented by countries. In 2022 Strategic Plan UNDP
- **The 5 Inclusiveness principles are often the weakest part**



<https://publicadministration.un.org/en/Intergovernmental-Support/CEPA/Principles-of-Effective-Governance>

The 11 Principles are linked to **62 commonly used strategies** for operationalizing responsive and effective governance. Many of these strategies have been recognized and endorsed over the years in various United Nations forums, resolutions and treaties.

## *Example:*

**The principle of Competence** - **Commonly used strategies** to operationalize this:

- the promotion of a professional public sector workforce,
- strategic human resources management,
- leadership development and training of civil servants,
- performance management, results-based management,
- financial management and control,
- efficient and fair revenue administration,
- investment in e-government

Some [Strategic guidance notes](#) are also already available

African countries are frontrunners in applying the principles

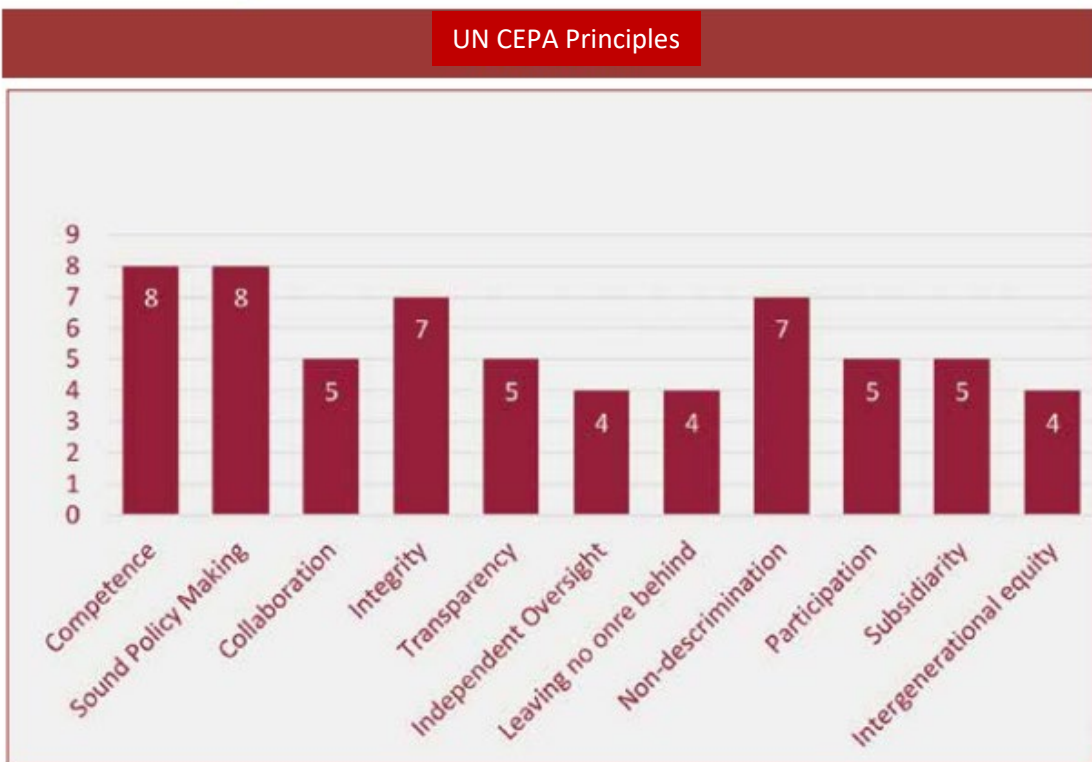
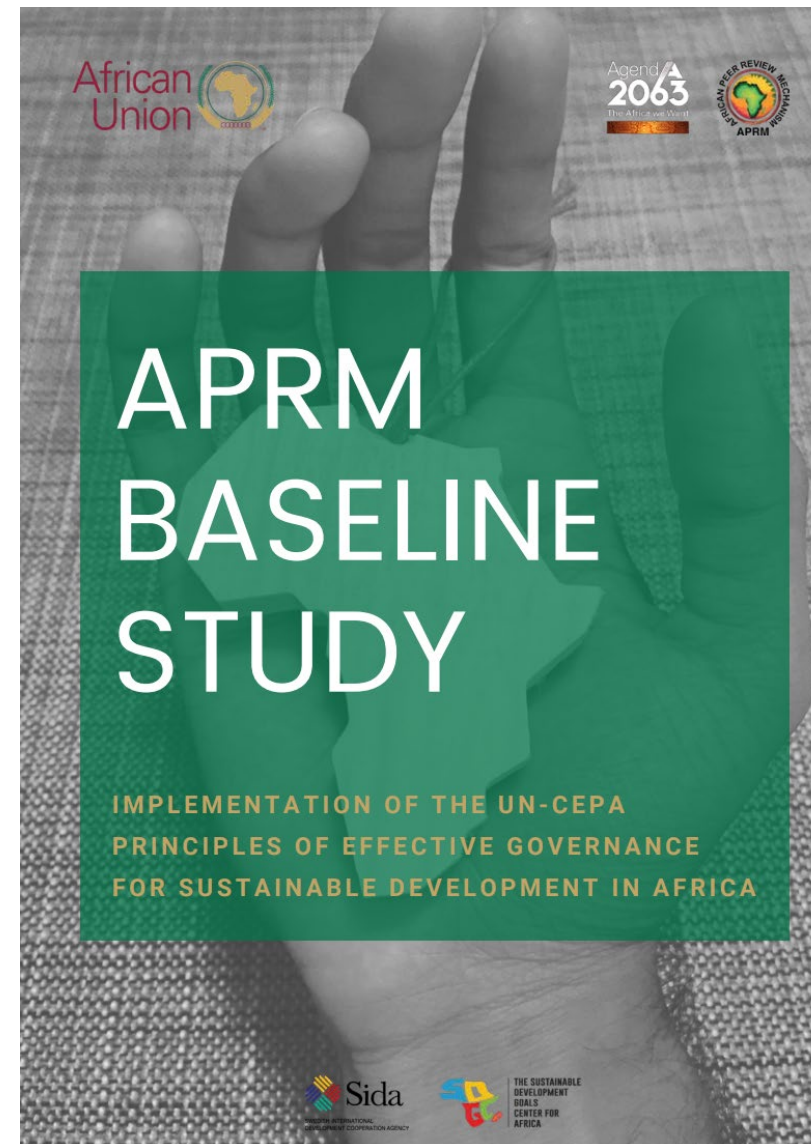


Figure 9: UN-CEPA Strategies





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# What is a useful definition of 'governance'?

Complexity and the need for taking into account different contexts, lead to the need of a broad definition which covers institutions, instruments/tools, processes, participation

**Governance is how public administration organisations and other stakeholders develop solutions and create opportunities for societal challenges** (Meuleman 2014)

- **Policy is WHAT we do and WHEN, but governance is HOW we do it, and by/with WHOM**
- **Many policy frameworks are weak on governance**

Governance has only a practical meaning when it is taylor-made for a specific situation:

**A 'governance framework' is a specific set of governance elements for a specific objective in a specific situation/context**  
(Meuleman 2014)

Institutions + instruments + processes + actor roles



**e.g. EU  
Plastics  
Policy:**

Single Use  
Plastics  
Directive

Plastics  
Strategy

Public  
consultation

Public awareness  
raising

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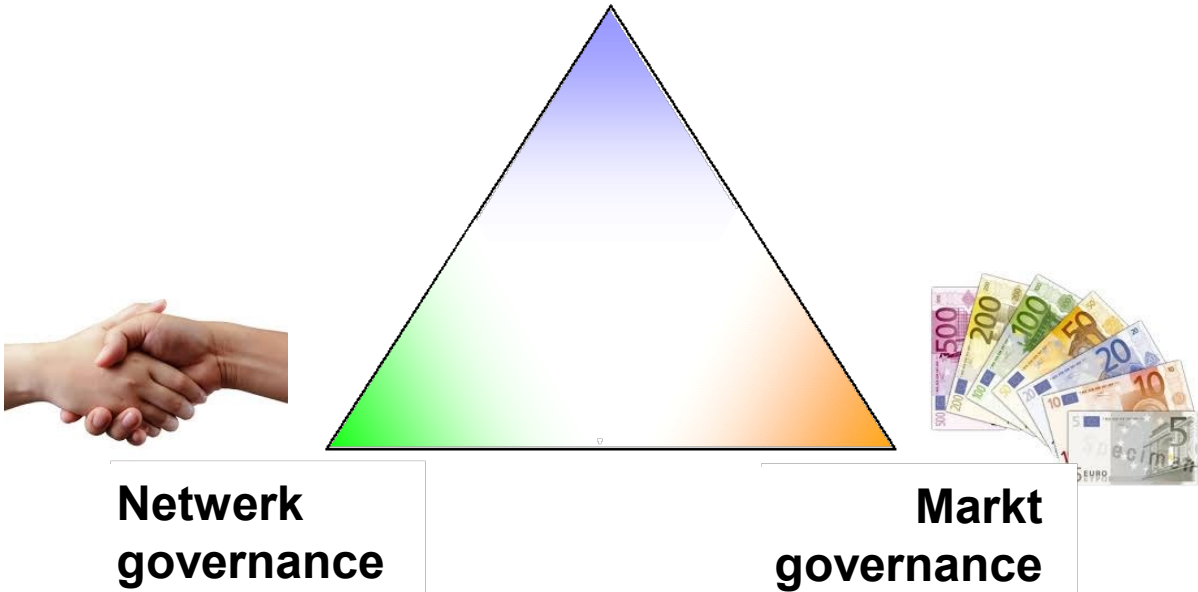
# Three basic governance styles and their hybrids

*More than three is too complex...*

“One chord is fine. Two chords are pushing it. Three chords and you’re into jazz”



**Hierarchische governance**



Lou Reed, musician



# Typical hierarchical governance tools



If you only have a hammer, every problem looks like a nail  
(A. Maslov)



# Typical network governance tools

If you have only trust, each problem looks like a trust crisis



# Typical market governance tools

If you have only money, each problem looks like a monetary problem





# Market-driven governance focus very much on efficiency – instead of effectiveness...



*Example: the most hygienic and efficient hospital (source: BBC - Yes, Minister)*

## The three styles have a convincing logic



Governance styles	Examples of typical features of the styles
Hierarchical governance	Rational, reliable, stability, legitimacy, justice, accountability, risk averse, government-centered, centralised, planning and design, authoritative, instructions, one-way communication, dependency, subordinates, obedience, rules-based, command and control
Network governance	Partnerships, collaborative learning, co-creation for innovation, informal arrangements, trust-based, harmony, communication as dialogue, process management, diplomacy, mutual dependence, mutual gains approach, consensus, voluntary agreements, covenants
Market governance	Rational, cost-driven, flexible, competition as driver for innovation, price, marketing, decentralised, bottom-up, individualist, autonomy, self-determination, empowering, services, contracts, incentives, awards and other market-based instruments

## 50 different features x 3 operational versions:

- A toolbox for analysing governance ex-post
- A toolbox for designing a governance framework
- A repertorium of possible tools and actions



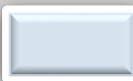
# “Fifty shades of governance”



Vision/strategy



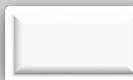
Institut./instrum.



Processes/actors



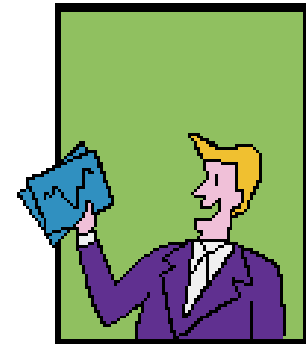
Problems/outcomes



1.Ways of life	11.Strategy styles	21.Control mechanism	31.Accountability style	41.Values civil servants
2.Relational values	12.Reply to resistance	22.Coordin. mechanism	32.Type of context	42.Key competences
3.Theor. background	13.Organiz. orientation	23.Transaction types	33.Process/project mgt	43.Mgt. developm. obj.
4.Key concepts	14.Actor perceptions	24.Degree of flexibility	34.Reform approach	44.Dealing with power
5.Mode of calculation	15.Selection of actors	25.Level of commitment	35.Innovation style	45.Conflict resolution
6.Primary virtues	16.Stocktaking of actors	26.Communic. styles	36.Relation types	46.Problem types
7.Common motive	17.Institutional logic	27.Roles of knowledge	37.Social interactions	47.Problem framing
8.Motive of actors	18.Dealing with silos	28.Science-pol. interface	38.Public manager roles	48.Governance failures
9.Roles of government	19.Policy instruments	29.Impact assessments	39.Leadership styles	49.Public procurement
10.Metaphors	20.Decisionmaking unit	30.Access to information	40.Empowerment	50.Output and outcome

# Communication styles

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
<b>26. Communication styles</b>	Communication about policy: giving information	Communication for policy: organizing effective dialogue, connecting	Communication as policy: influencing, incentives, PR campaigns



# Leadership styles

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
<b>39. Leadership styles</b>	Command and control	Coaching and supporting	Delegating, enabling

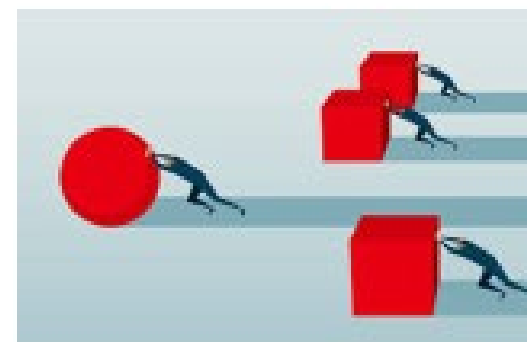


## Framing of problems

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
47. Framing of problems	A relevant problem is framed as disorder	A relevant problem is framed as lack of consent	A relevant problem is framed as inefficiency



Chaos. German Style.



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# Governance styles: 3 problems



1. Governance stijlen can become a belief / ideology



2. Each governance style has typical weaknesses



3. Governance styles can undermine each other

**Non of the 3 styles is universally applicable**

# Problem 1: belief/culture/ideology



The 2 governance styles are sets of values, at personal and/or national level

*Hierarchy*  
*'Rechtsstaat' Model*  
*Germany, France*



*Network style*  
*Netherlands,*  
*Scandinavia*



*Market style*  
*Public Service Model*  
*UK, Ireland,*  
*USA, Australia, NZ*

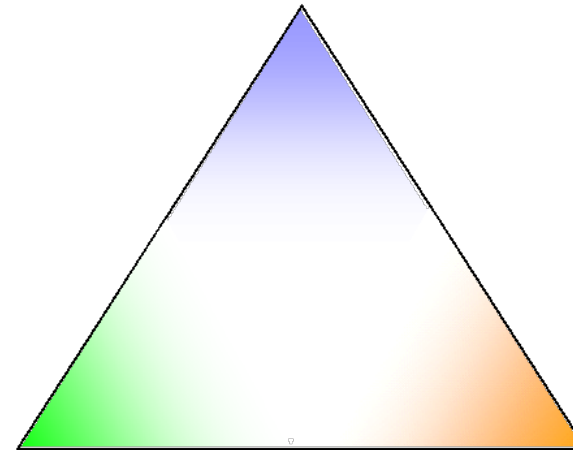


# Problem 2: typical weaknesses



**& Abuse of power**

**Hierarchical governance**



**& Manipulation**

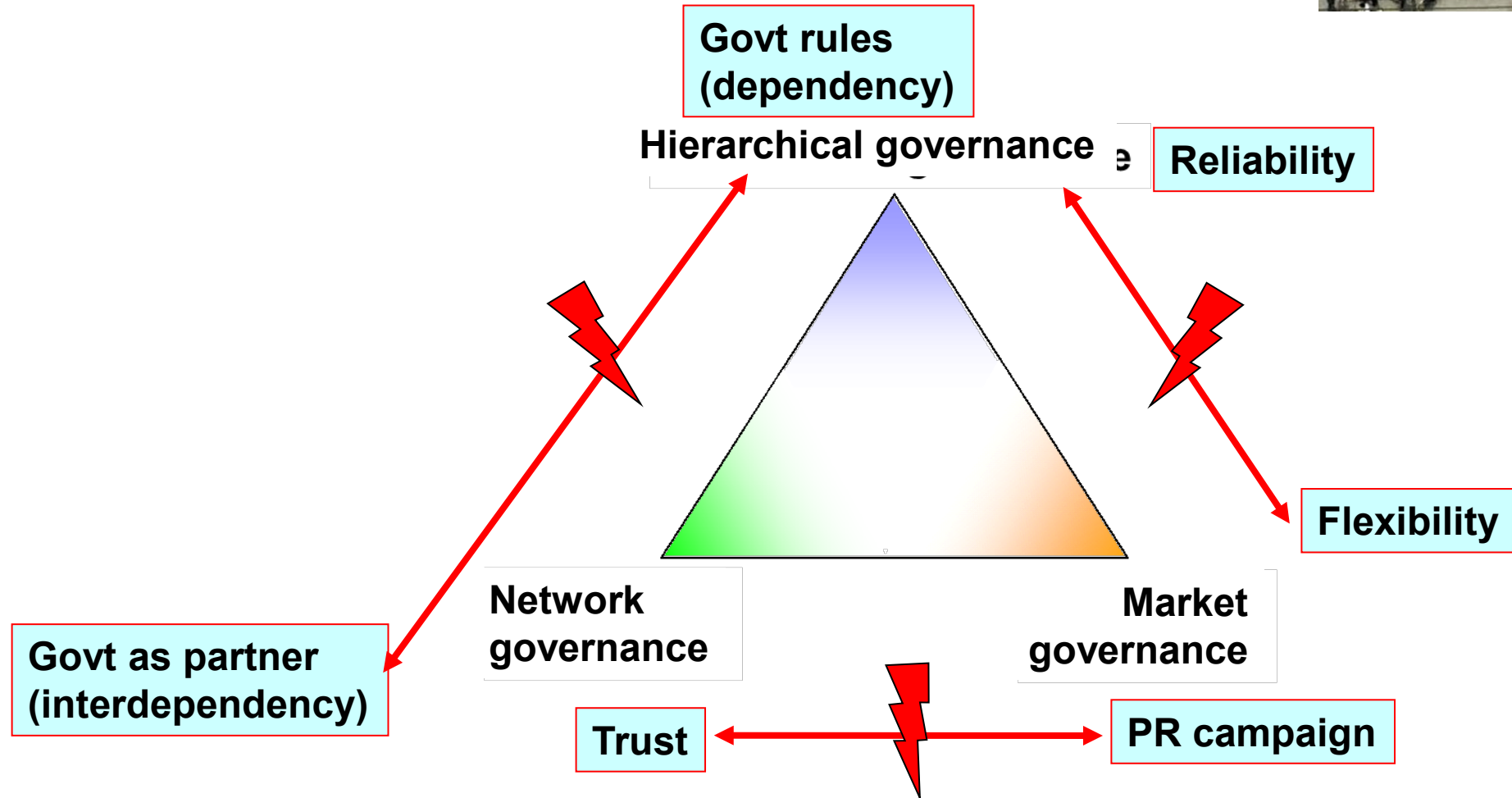
**Network governance**



**Market governance**

**& Corruption**

# Problem 3: Undermining behaviour



# Policy failure is more in the spotlight than governance failure

## Typology:

1. **Governance design failure** results from the mismatch of problem context and governance style; the governance style (combination) is incapable to address successfully a specific problem type.

2. **Governance capacity failure** results from the mismatch of governance style and governance capacity; the chosen governance style may be suitable to address a specific problem type, but governmental actors do not possess the necessary capacity (i.e. competences, skills, capabilities) to bring about results.

2. **Governance management failure**: failure resulting from ineffective management of governance frameworks. For example governance 'savviness' issues such as the mismatch of ambition, level of information, and ability to make good judgement beyond ideological.



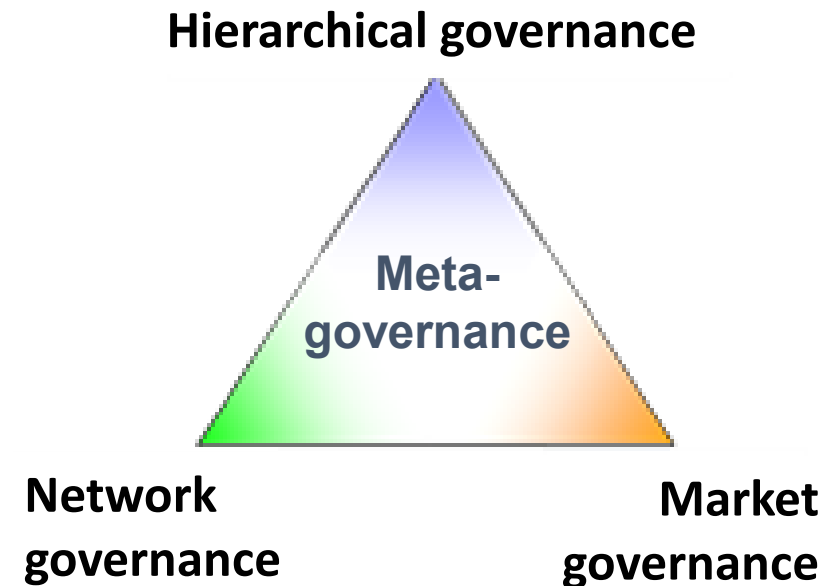
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**Metagovernance** (Jessop 1997) is designing and managing situational combinations of hierarchical, network and market governance (Meuleman 2008, PhD)

Metagovernance helps:

- 1) To prevent governance chaos resulting from dynamic adaptation to changing and specific circumstances
- 2) As analytical model to understand what went wrong or well
- 3) As design and management model:
  - Combining elements/features from the 3 styles
  - **Switching between styles if needed**
  - **Maintenance of a successful style mixture**



# Example metagovernance intervention

**Problem: Weak implementation EU environmental legislation costs around 50 billion EUR/year**

Governance framework has a stick and carrot approach:

- 'Stick' = legal (infringement) procedures and fines: **hierarchical governance**
- 'Carrot' = EU funds to invest in environmental infrastructure: **market governance**



Apparently, that was not sufficient. What was missing?

- The network **governance style** (dialogue, soft instruments).

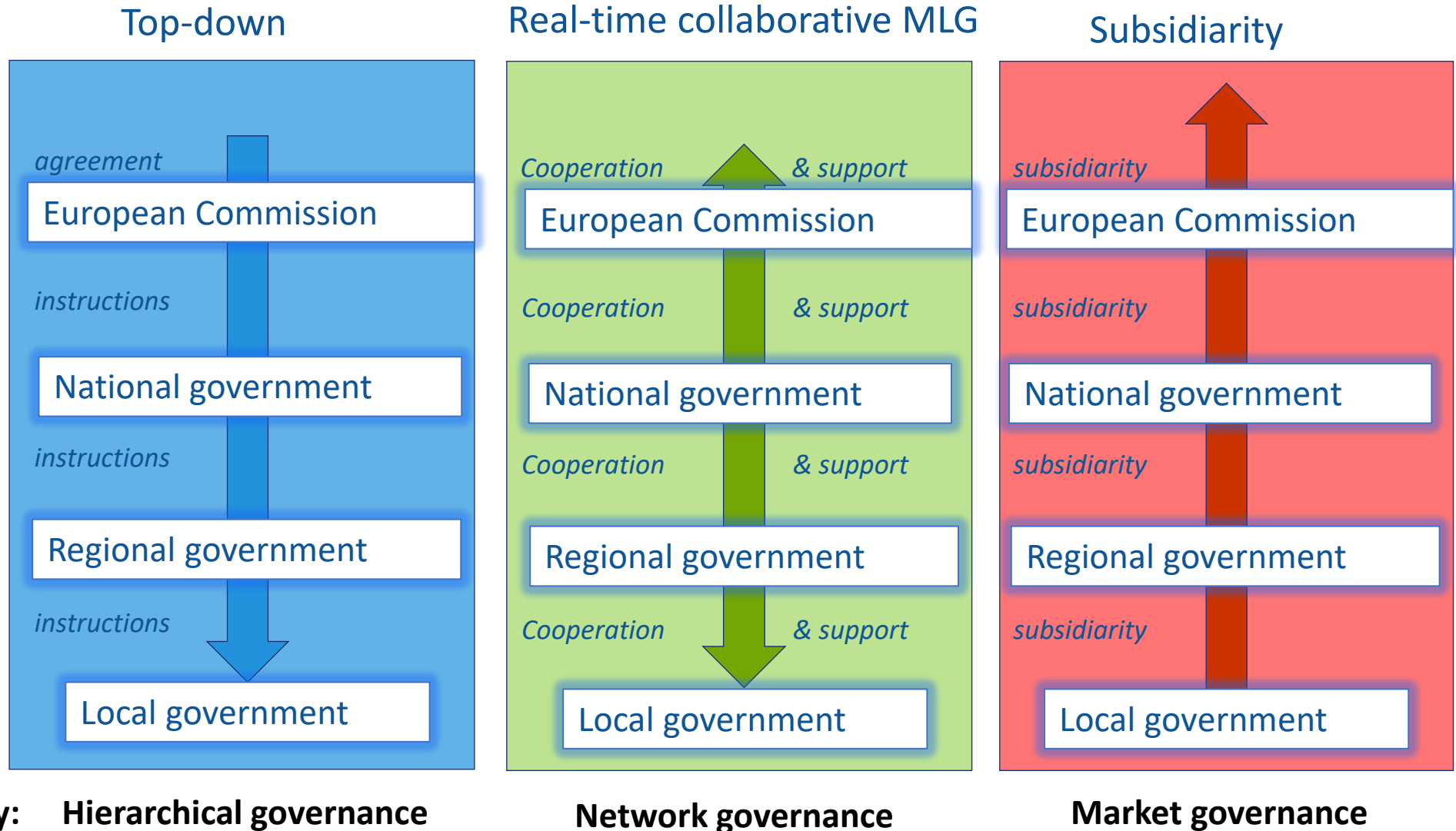
## **Solution:**

Introduction (2017) of **Environmental Implementation Review**, a two-yearly cycle of analysis (country reports) and dialogue, and a **peer to peer tool** (finances) to support the implementation.





# Metagovernance in practice: Multi-level governance



Link: article [‘Real-time multi-level governance’](#)



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# Values, traditions and mindsets

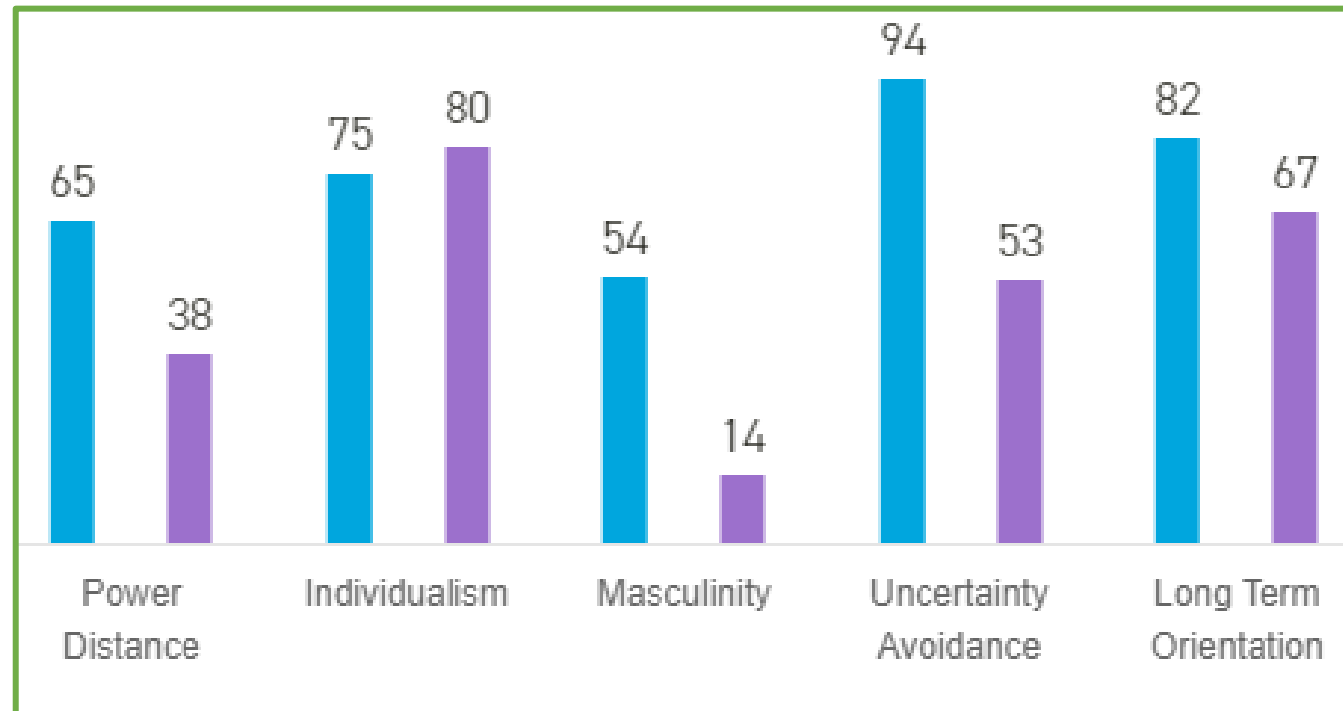
The cultural dimensions of Hofstede help understand why the Netherlands has a default network governance style, and Belgium a hierarchical style



Belgium

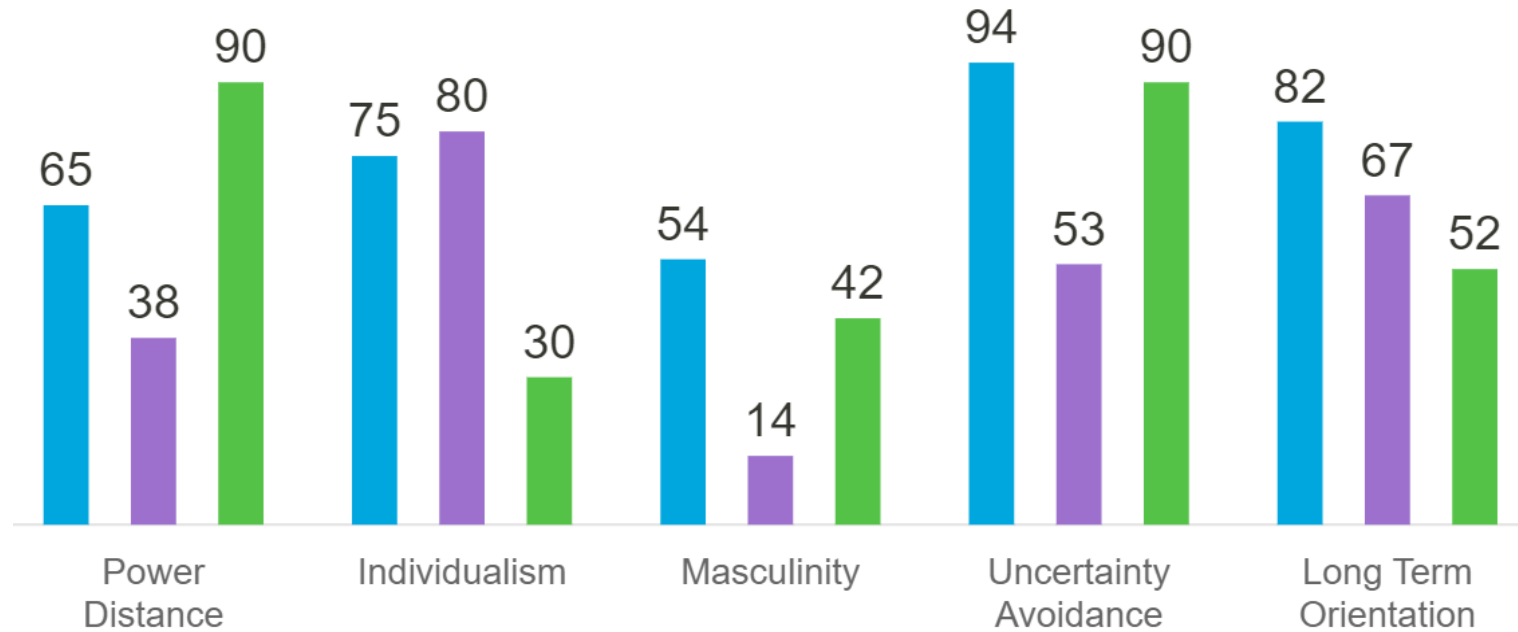
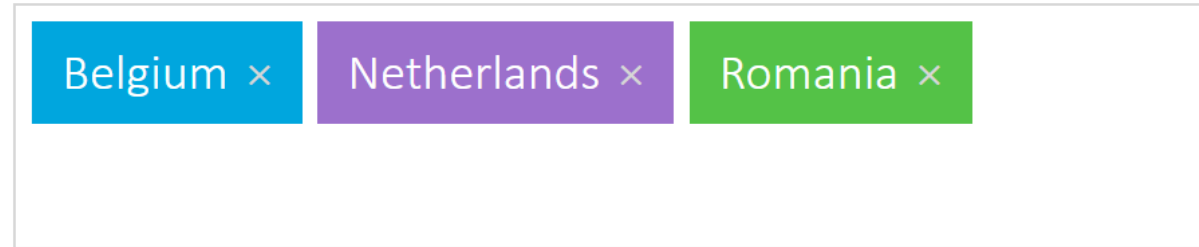


Netherlands



Source: <https://www.hofstede-insights.com/product/compare-countries/>

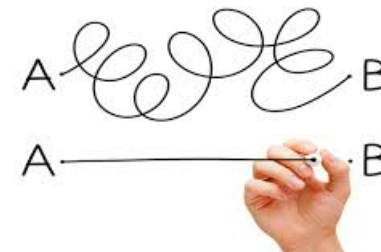
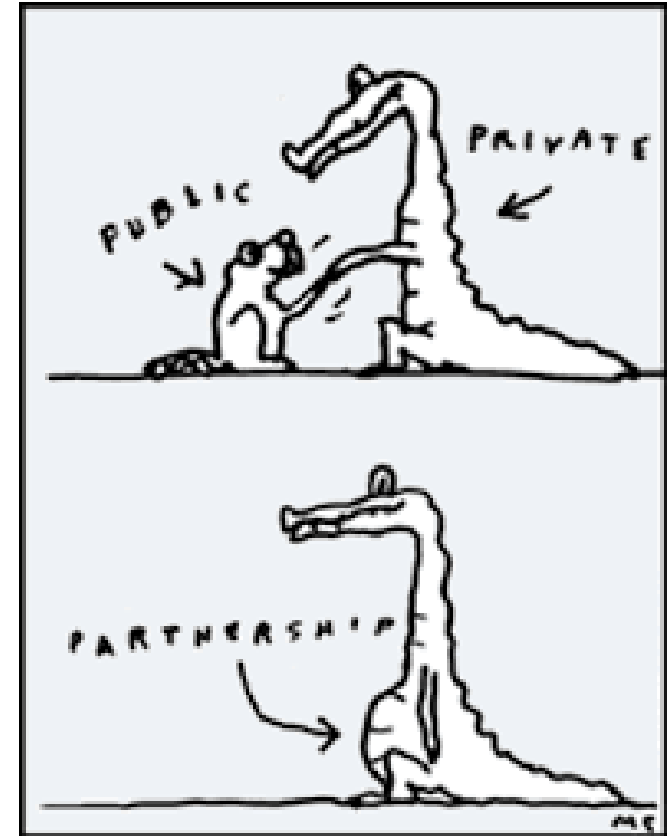
# Values, traditions and mindsets



Source: <https://www.hofstede-insights.com/product/compare-countries/>

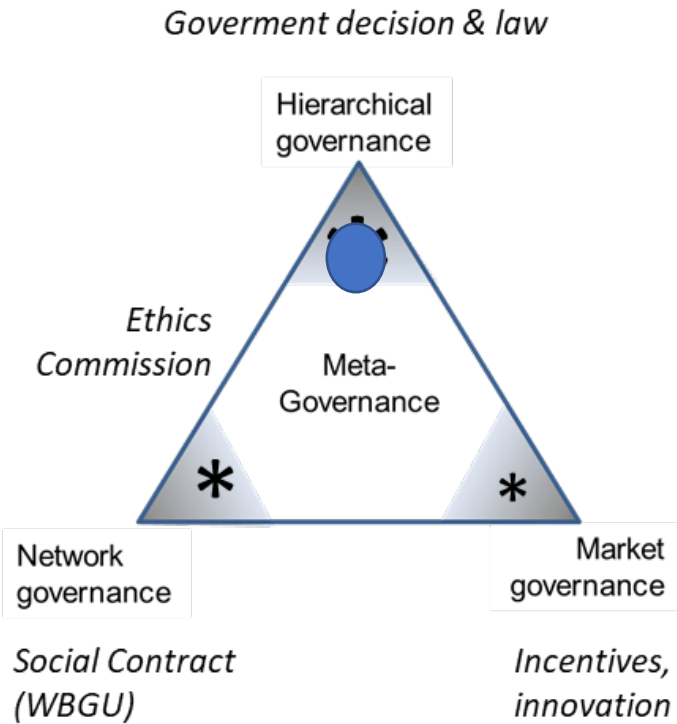
# Values, traditions and mindsets

## Mental frames (New Public Management)

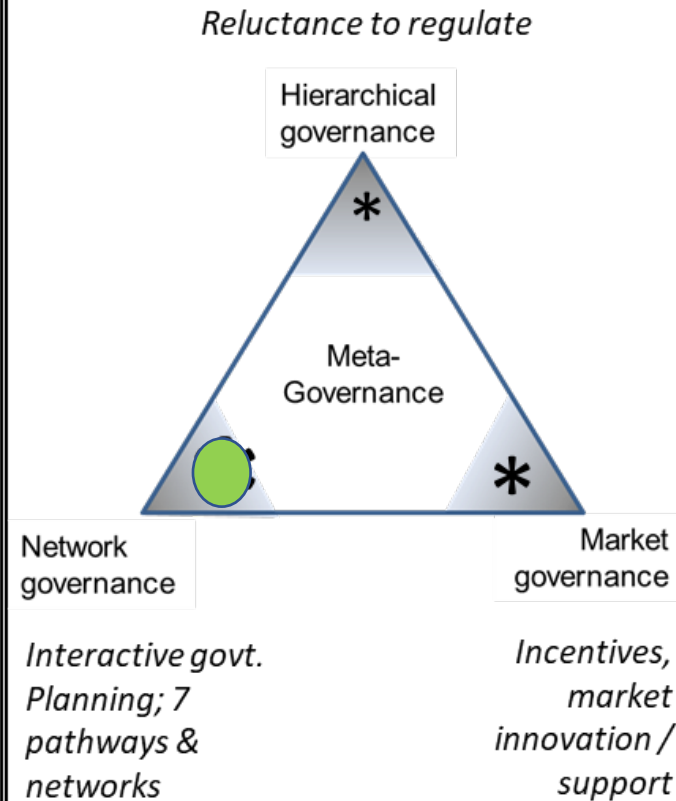


# Example: (national) culture matters

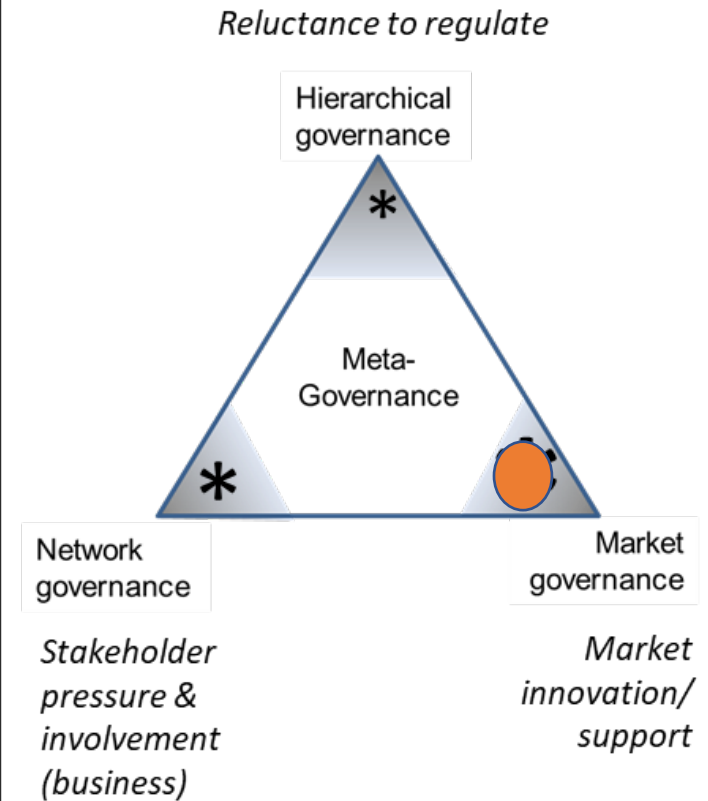
**Germany** - Main governance style: hierarchy. Example: Energy transition (Energiewende)



**The Netherlands** – Main governance style: Network. Example: Transitions NEP-4 (2001)

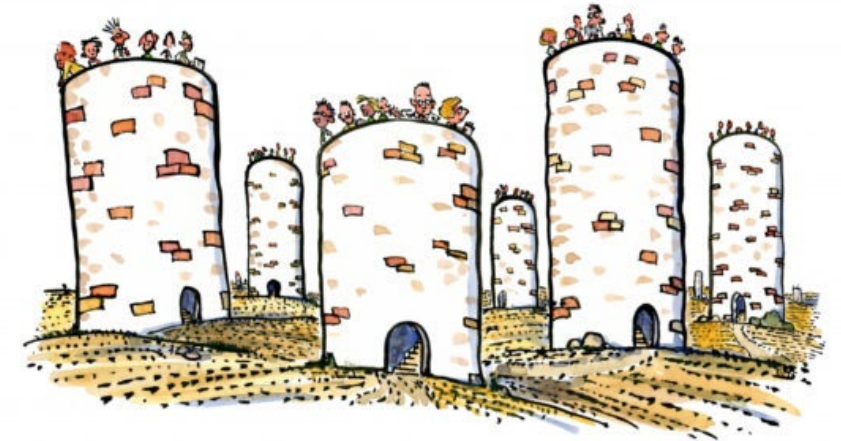


**United Kingdom** – Main governance style: Market. Example: Mobility Transition



# Mindset and behaviour: silo mentality

Three types of silos can be distinguished:



Frits Ahlefeldt

## 1. Political silos (macro level)

### What is bad?

- Competition between political leaders/ ministers
- Legal right/duty of ministers to be the sole responsible

### What is good?

- Political silos reflect the different values of political parties in a democratic system



Minister of Finance

Minister of Environment

Minister of Agriculture

Minister of Economics

# Mindset and behaviour: silo mentality

## 2. Institutional/organisational silos (meso level)

### What is bad?

- Lack of trust between the silos
- Contacts/communication between silos may be prohibited or must go via hierarchy

### What is good?

- Institutional silos provide structure, focus, protection against other departments; clarity, responsibility, transparency, accountability

## 3. Mental silos (micro level)

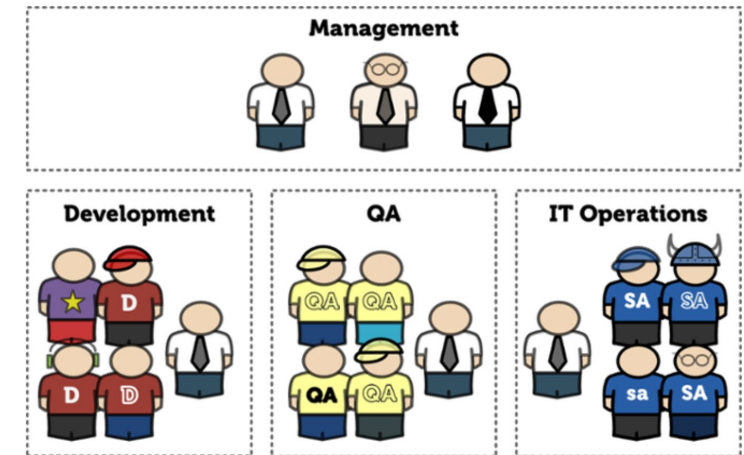
### What is bad?

- Lack of: common goals, joint responsibility, interest in other colleagues
- Not taking responsibility beyond the own job description
- Let 'monkey' (task) jump from your shoulder to another

### What is good?

- Mental silos provide identification ('this is who we are'); a 'safe' work environment, a 'home base' protected from external interventions

## Silos





# Mindset and behaviour: silo mentality



➤ Context matters! There is no one-size-fits-all solution

Feature	Hierarchical governance	Network governance	Market governance
18. Addressing organizational silos	Keep silos for structure	Teach silos to dance	Break down the silos

Silos are good!



Silos need connected



Flatten the organisation: we don't need silos



One of “Fifty shades of governance” in [‘Metagovernance for Sustainability’](#) (2018)

# Mindset and behaviour: How to address silo mentality?

## Institutional/organisational silos

- **Matrix organisation:** more flexibility while structure remains
- **Merging departments** helps – but not always
- If institutional silos are a strength, then don't break them down but “**teach the silos to dance**”



## Mental silos

- **Political** and **institutional** silos can be resistant to change if not top-down
- Changing a **silo mentality** may be easier:
  - **Communication and collaboration skills** can be learned, e.g. The *Harvard Mutual Gains Approach (MGA)* to negotiation
  - All can take part and make a difference
  - Start anytime, informally, bottom-up
  - **'Bureaucracy hackers'** and **'Boundary spanners'** can play a role

Organise 'movement'  
between the silos  
("teaching silos to dance")



'Beaulieu Cafe': Cross-sectoral Talk show & live band with dancing after-party in the European Commission

1. Introduction
2. Principles for effective governance of sustainable development
3. A pragmatic, actionable definition of governance
4. Governance styles
5. Governance failure
6. Metagovernance for a meta-policy
7. Values, traditions, mind-sets



## 8. Metagovernance in practice

9. Mission-oriented Public-sector reform -> acceleration & transformation?
10. Wrap-up



# Metagovernance challenges for the SDGs

**Each SDG requires a specific governance mixture, depending on**

- The type of challenges (e.g. complexity)
- The primary governance style in a country
- The governance style that may be preferred by the professional dealing with the issue

**For example:**

- **‘Technical’ SDGs (energy, infrastructure) may prefer market governance (and/or hierarchical governance)**
- **‘Legal’ SDG issues tend to link best to hierarchical governance**
- **‘Social’ SDGs have more affinity with the trust/cooperation/partnership ideas of network governance**



# Metagovernance as tool for governance evaluation

## Self test: which features characterise our organisation/department?

(selected dimensions from the list of 50)

Governance features		Hierarchical governance	Network governance	Market governance
<b>Vision, strategy and orientation</b>				
1	Cultures / 'ways of life'	Hierarchism <input type="checkbox"/>	Egalitarianism	Individualism
2	Relational values	Hegemonism <input type="checkbox"/>	Tolerance, pluralism	Indifference
3	Theoretical background	Rational, positivist <input type="checkbox"/>	Socio-constructivist, social configuration theory	Rational, positivist, public choice, principal-agent theory <input type="checkbox"/>
4	Key concepts	Public goods <input type="checkbox"/>	Public value <input type="checkbox"/>	Public choice <input type="checkbox"/>
5	Mode of calculation	Homo hierarchicus <input type="checkbox"/>	Homo politicus	Homo economicus
6	Primary virtues	Reliable <input type="checkbox"/>	High discretion, flexible	Cost-driven <input type="checkbox"/>
10	Metaphors	Machine, stick, iron fist <input type="checkbox"/>	Brain, sermon, word, dialogue	Flux, carrot, invisible hand
11	Strategy styles	Planning and design style; power style; compliance to rules and control procedures	Learning style; Chaos style: coping with unpredictability; deliberation	Power style; getting competitive advantage
12	Response to resistance	Use of power <input type="checkbox"/>	Persuasion of rebels <input type="checkbox"/>	Negotiated deals, using incentives
13	Orientation of organisations	Top-down, formal, internal <input type="checkbox"/>	Horizontal, informal, open-minded, external and internal	Bottom-up, suspicious, external and internal

<b>Institutions, instruments and tools</b>				
17	Institutional logic	Line organisation, centralised control systems, project teams, stable/fixed <input type="checkbox"/>	Soft structure, with a minimum level of rules and regulations	Decentralised, semi-autonomous units/agencies/teams; contracts
18	Typical policy instruments	Law-making, control mechanisms, penalties, fees <input type="checkbox"/>	Networks, stakeholder involvement <input type="checkbox"/>	Incentives, awards <input type="checkbox"/>
19	Addressing organisational silos	Keep silos for structure <input type="checkbox"/>	Teach silos to dance <input type="checkbox"/>	Break down the silos
20	Unit of decision making	Public authority	Group	Individual
21	Main control mechanism	Authority <input type="checkbox"/>	Trust	Price
22	Coordination mechanism	Imperatives; ex-ante coordination <input type="checkbox"/>	Diplomacy; self-organised coordination	Competition; ex-post coordination
26	Communication styles	Communication about policy: giving information <input type="checkbox"/>	Communication for policy: organizing effective dialogue, connecting <input type="checkbox"/>	Communication as policy: influencing, incentives, PR campaigns <input type="checkbox"/>
27	Roles of knowledge	Expertise for effectiveness of ruling; authoritative knowledge <input type="checkbox"/>	Knowledge as a shared good; agreed knowledge	Knowledge for competitive advantage; cost-effective knowledge
28	Type of science-policy interface	Chief scientist; embedded science model <input type="checkbox"/>	Partnership model: dialogue	'Speaking truth to power' model
<b>Problems, solutions and their linkages</b>				
46	Suitability for problem types	Crises, disasters, problems that can be solved by executing force <input type="checkbox"/>	Complex, unstructured multi-actor issues <input type="checkbox"/>	Routine issues, non-sensitive issues <input type="checkbox"/>
47	Reframing	A relevant problem is framed as disorder <input type="checkbox"/>	A relevant problem is framed as lack of consent	A relevant problem is framed as inefficiency <input type="checkbox"/>

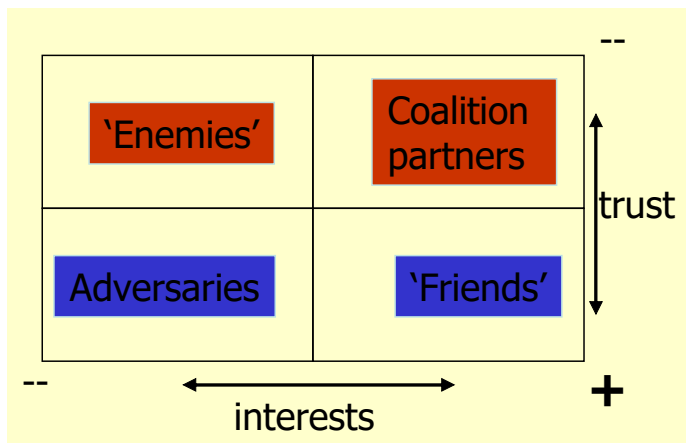
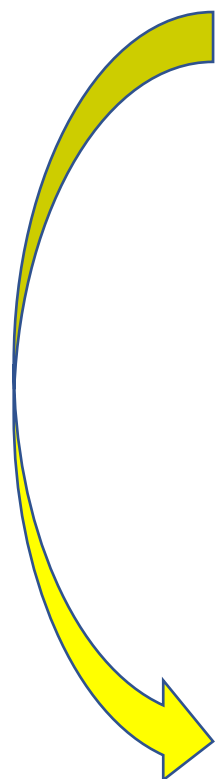
# Metagovernance in 7 steps

- 1. Mapping the governance environment:** Who are the relevant actors and which roles do they have? Existing constitutional, legal, political and administrative settings? Values and traditions that play a role?
- 2. Evaluation:** Analysis of the strengths, weaknesses, opportunities and threats (SWOT) **of the current governance approach**
- 3. Problem setting:** What are the challenges to be addressed and is there agreement on the problem definition? Need to **reframe**?
- 4. Formulating goals and policy options,** assessing their benefits and costs on environmental, economic and social parameters, and proposing targets, indicators and time frames.
- 5. Designing a governance framework,** based on a selection of elements (institutions, instruments, processes and actor roles) from different governance styles, which are not mutually undermining but enforce and complement each other.
- 6. Managing** the chosen governance framework, including application of principles like reflexivity, resilience, flexibility, allowing redundancy.
- 7. Reviewing of the governance frameworks**

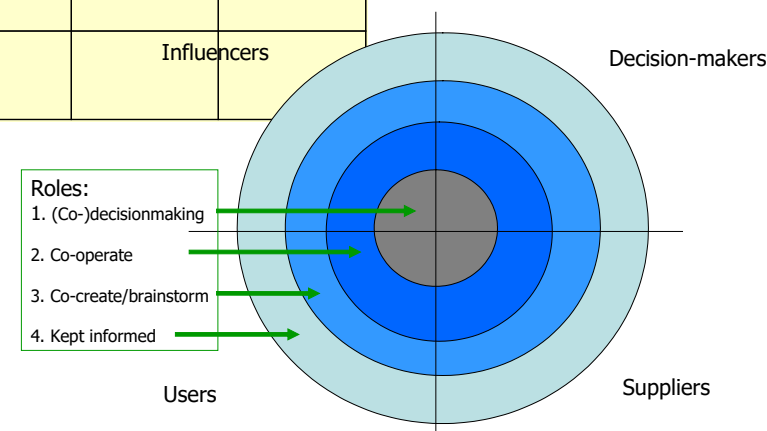
# Metagovernance in 7 steps

- 1. Mapping the governance environment:** Who are the relevant stakeholders and what roles do they have now? What are existing administrative, legal, political contexts, and which values and traditions could play a role?

For this, various methods are available – see for a description with examples Meuleman 2003: “The Pegasus Principle”



	Partij 1	Partij 2	Partij 3	Partij 4
Belangen				
Problemen				
Opties				
Voorkeuren			Influencers	



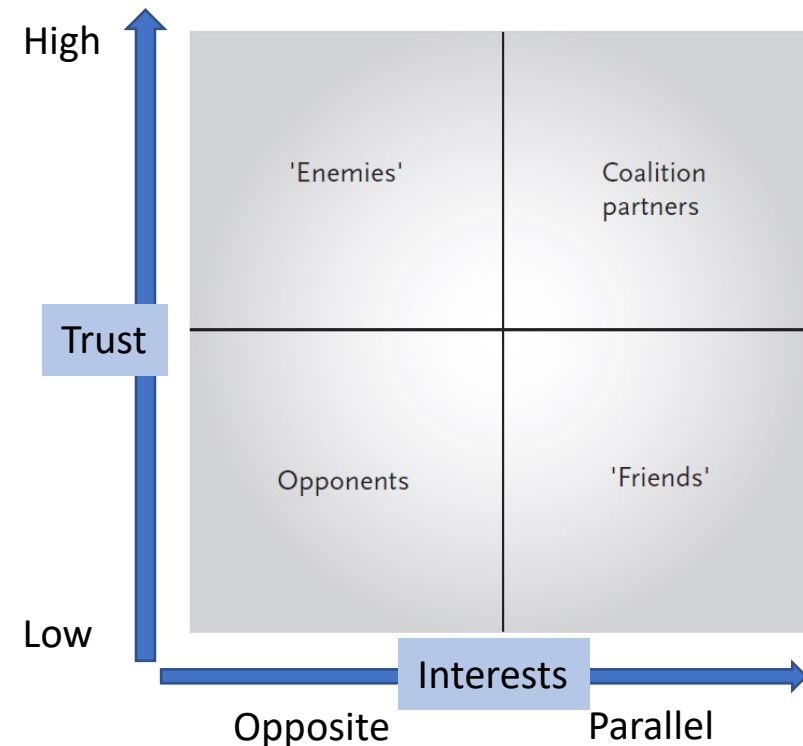
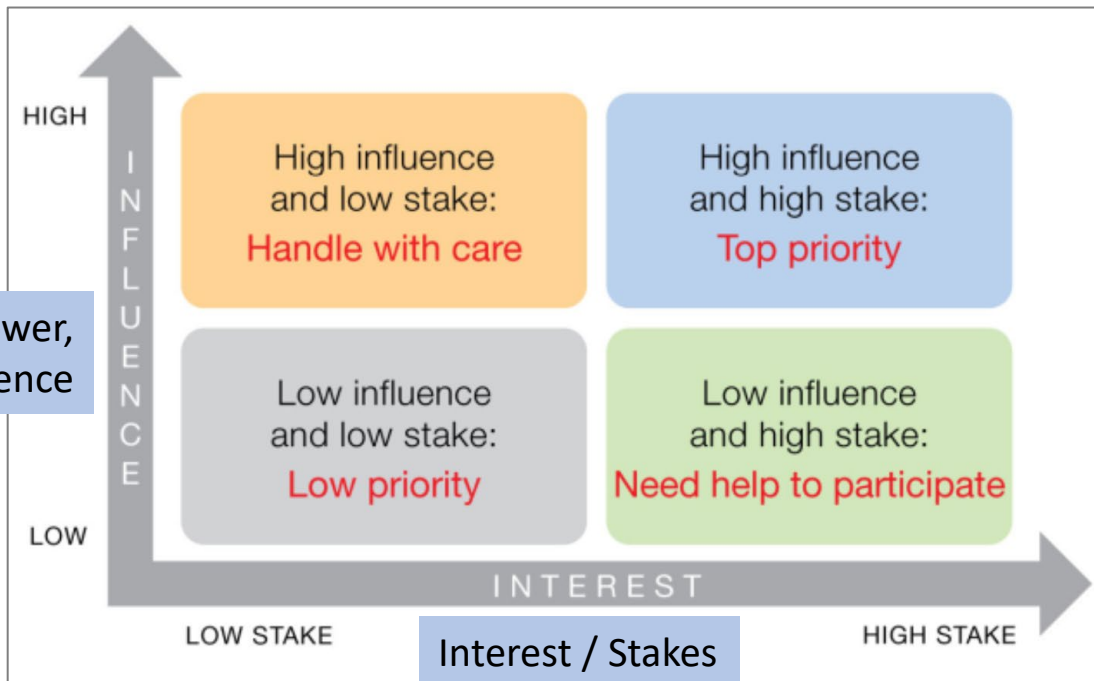
**-> download book:**

[http://www.ps4sd.eu/wp-content/uploads/2017/12/2003-The\\_Pegasus\\_Principle-book.pdf](http://www.ps4sd.eu/wp-content/uploads/2017/12/2003-The_Pegasus_Principle-book.pdf)



Governments map and engage with stakeholders with strategies based on the (perceived) interests/stakes and influence

*Alternative graph with 'trust' instead of 'influence' or 'power', in a culturally different context:*



Source:  **IAEA**  
International Atomic Energy Agency

Source: [The Pegasus Principle \(2003\)](#)

# Stakeholder engagement

**Different levels of stakeholder engagement, in different RIA stages, with different formats, and requirements for governments and stakeholders:**

	Weak ←----- Engagement -----→ Strong				
Participation type:	Information	Consultation	Co-operation	Co-design	Co-decision
		 <small>CONSULTATION STATUS: CLOSED Targeted consultation on international ocean governance Topics: Maritime affairs and fisheries Consultation period: 15 July 2020 - 15 October 2020</small>			



# Dealing with uncertainty: project- and process management

- Classical **project management** aims at controlling the project resources (people, time, money). This can result in ignoring the project environment and what happens there.
- **Process management** helps paying attention to the project environment, and should be **combined** with project management.

*Table 5.7 Differences between project and process management*

<i>Project management</i>	<i>Process management</i>
Focus on content Clear objectives; good plan	Focus on stakeholders Good process; objectives and plans result from this process
Push for action: quick and clear decision making creates better results	Keep options open: stakeholders must continue to find the initiative attractive
Communication with stakeholders is mainly explaining and convincing of the quality of the plan, and follows after decision making	Communication is a process of discussion and negotiating; decision making is the result
Focus on execution of the decision; dynamics make the execution difficult	Focus on generating a win-win situation, resulting in dealing with dynamics

(After De Bruijn et al., 1999)

# Metagovernance in practice: Soil protection policies (around 2000)

- Three countries, same problems
- All three tried first their ‘default’ governance style
- When that did not work well, they switched or combined:
  - **England: towards network governance**
  - **Netherlands: towards hierarchical governance**
  - **Germany: hierarchy strengthened with network and market governance**

Preference	Hierarchical	Network	Market	Reality	Hierarchical	Network	Market
England	**	*	****	England	**	****	**
Netherlands	**	****	***	Netherlands	****	***	**
Germany	****	*	*	Germany	***	****	***

# Who can apply metagovernance?

**Everybody who has some sort of coordinating/leading role can apply a metagovernance attitude**

Conditions:

- Willingness and knowledge to use, if needed, all available tools
- Understanding what your own preferred style is -> your bias
- Willingness to postpone judgement until the whole governance situation/environment is clear

1. Introduction
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7. Values, traditions, mind-sets
8. Metagovernance in practice



# 9. Mission-oriented Public-sector reform -> acceleration & transformation?

10. Wrap-up

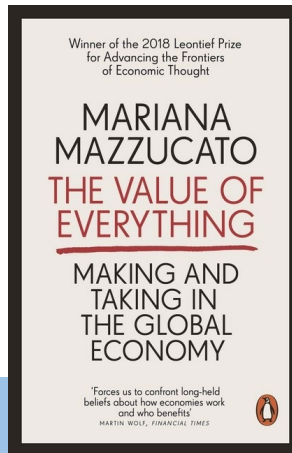


# Mission-oriented Public-sector reform?



- Public-sector innovation and reform are not per definition good
- Reform should have the mission to perform more effectively, not just more efficient
- The mission should be getting ready to implement the SDGs
- A metagovernance attitude/approach helps achieving more effective reform, coherence and capacity building

- Public administration and governance are often seen as 'overhead', like furniture costs
- However, without quality of institutions and governance (SDGs 16/17) all SDGs will fail
- Therefore, public administration and governance should be a strategic policy area itself







## 10. Wrap-up: Key takeaways on governance for sustainability

1. **Governance needs to be adapted to the specific situations: not one-size-fits-all; we need “Common But Differentiated Governance”**
2. **Governance failure is just as plausible as policy failure**
3. **Hierarchical governance remains important but network and market governance have a lot to add.**
4. **It is in any case smart to have all three styles in principle available**
5. **Metagovernance is bringing some coordination and logic in the governance frameworks**

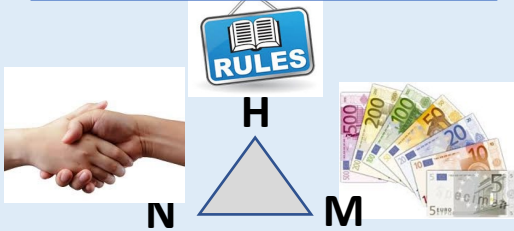
# “Metagovernance for Sustainability - A framework for implementing the SDGs”

## Concept

1. Why is Sustainability governance so difficult?




2. Which governance styles to distinguish?



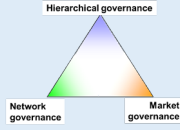
3. What governance failures?

Design  
Capacity  
Management




4. How to combine the three styles?

Governance of  
Metagovernance



## Context

5. Which governance tools per style?




6. Culture & traditions as context



Chaos. German Style.

7. Mindsets & mantras as context




8. Metagovernance for the SDGs?



## Practice


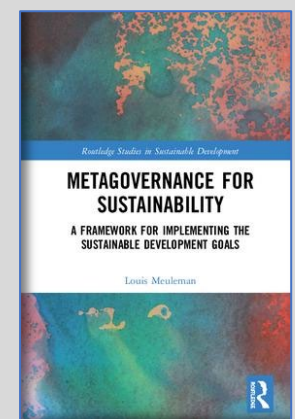
9. Towards a method for metagovernance




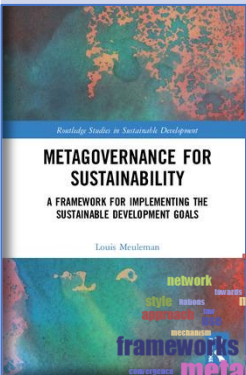


10. Reform, better coherence & capacity



11. Metagovernance as framework: Common but diff. governance

## Structure of the course today:

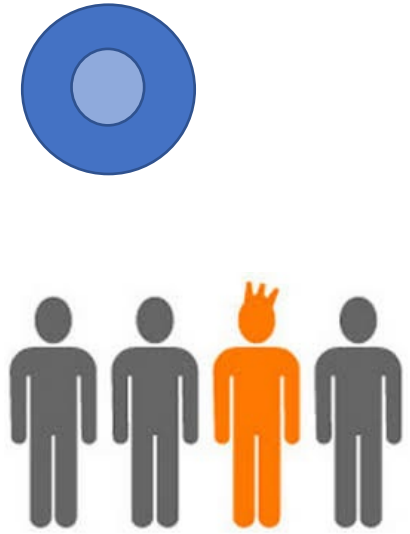
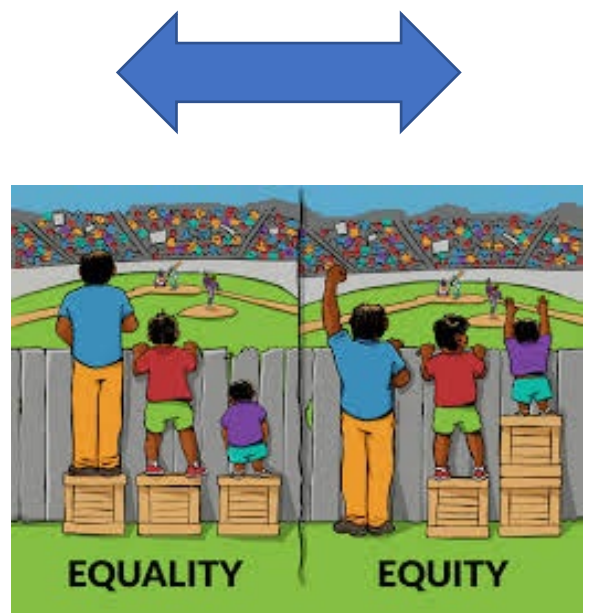
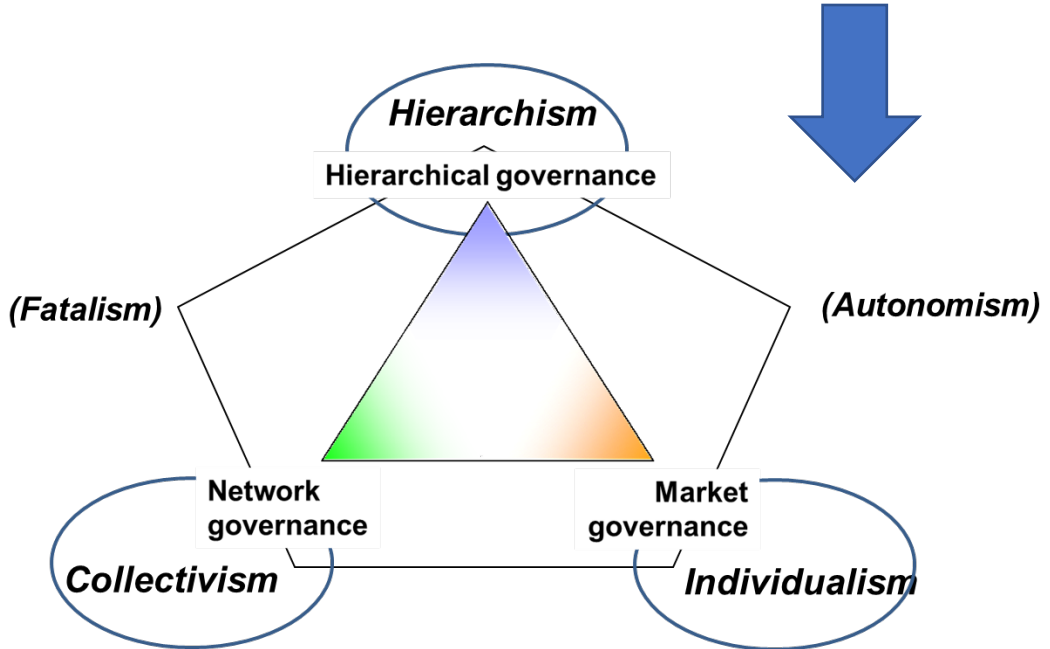
1. WHAT? The SDGs as comprehensive policy framework	Short break	2. HOW? (1) Governance for sustainability is governance of complexity	Short break	3. HOW? (2) An action perspective: Policy Coherence for Sustainable Development
70 min	15 min	70 min	15 min	70 min
Start: 1 pm	2:10 pm	2:25 pm	3:35 pm	3:50 pm End: 5 pm
		 		

## Annex: '50 shades of governance'

**Based on chapter 5 of 'Metagovernance for Sustainability'**  
(Routledge, 2019)

# Ways of life

Feature	Hierarchical governance	Network governance	Market governance
1. Cultures/‘Ways of life’	Hierarchism	Egalitarianism	Individualism



# Relational values

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
<b>2. Relational values</b>	Hegemonism	Tolerance, pluralism	Indifference

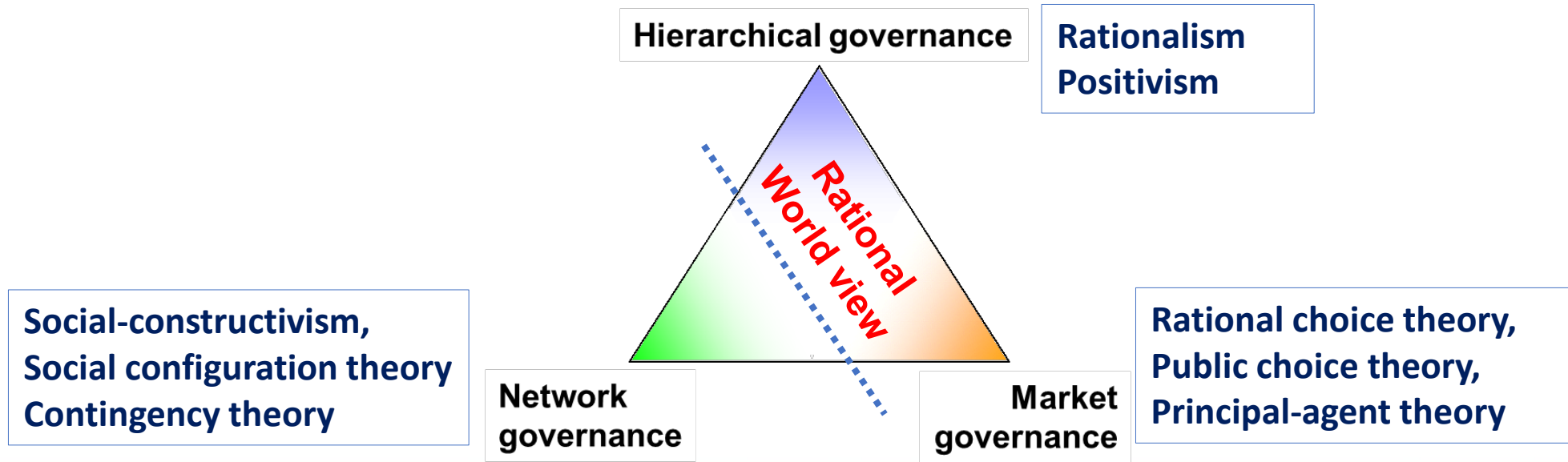
How do we value the values of other people?



My values are better.... and I destroy the others'    ...but I respect the others'    ....and I don't `really care...

# Theoretical background

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
3. Theoretical background	Rational, positivist	Socio-constructivist, social configuration theory	Rational choice, public choice, principal-agent theory



# Key concepts

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
4. Key concepts	Public goods	Public value	Public choice

“How should outcome of public governance be measured?”





# Mode of calculation

*Feature*                      *Hierarchical governance*    *Network governance*    *Market governance*

**5. Mode of calculation**    *Homo hierarchicus*                      *Homo politicus*                      *Homo economicus*

“How should we judge public-sector work?”



*Effective goal attainment*



*Reflexive dialogue on wisdom of action*



*Efficient resource allocation*

# Primary virtues

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
<b>6. Primary virtues</b>	Reliable	High level of discretion, flexible	Cost-driven

“Which virtues are appreciated by proponents of all governance styles?”



## Common motive

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
<b>7. Common motive</b>	Minimizing risk and predictability	Satisfying identity	Maximizing competitive advantage



# Motive of actors

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
8. Motive of subordinate actors	Fear of punishment	Belonging to group	Material benefit



# Roles of government

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
<b>9. Roles of government</b>	Government rules society	Government is partner in a network society	Government delivers societal services



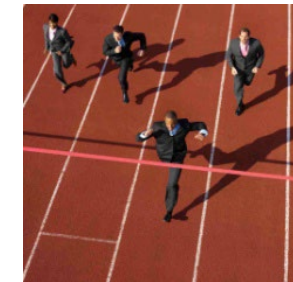
# Metaphors

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
10. Metaphors	Machine, stick, iron fist	Brain, sermon, word, dialogue	Flux, carrot, invisible hand



# Strategy styles

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
<b>11. Strategy styles</b>	Planning and design style; power style; compliance to rules and control procedures; state- and producer-centred	Learning style; chaos style: coping with unpredictability; deliberation; shaped by civil society	Power style; getting competitive advantage; market and customer-centred



# Response to resistance

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
<b>12. Response to resistance</b>	Use of power	Persuasion of rebels	Negotiated deals, using incentives

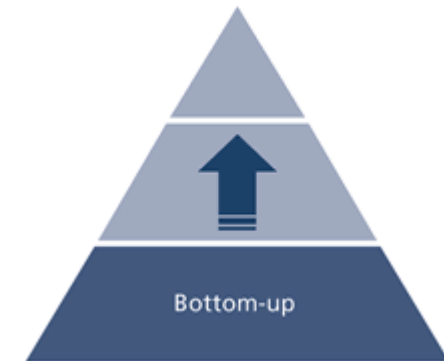
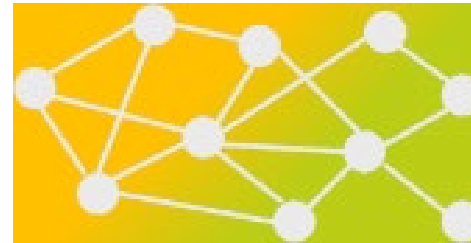
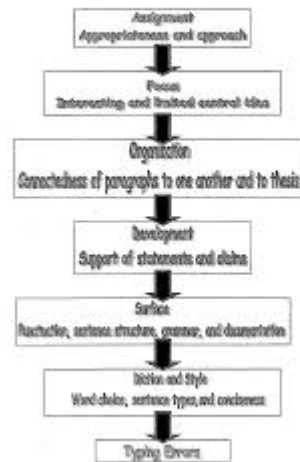




# Organizational orientation

Feature	Hierarchical governance	Network governance	Market governance
13. Orientation of organizations	Top-down, formal, internal	Horizontal, informal, open-minded, external and internal	Bottom-up, suspicious, external and internal

## The Top-Down Approach



# Perception of actors

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
14. How actors are perceived	Subjects, voters	Partners	Clients, customers



# Selection of actors

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
<b>15. Selection of actors</b>	Controlled by written rules (instructions)	Free, ruled by trust and reciprocity	Free, ruled by price and negotiation



# Stocktaking of actors

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
16. Aim of stock-taking of actors	Anticipating protest/obstruction/opponents	Involving stakeholders to get better results and acceptance	Finding reliable contract partners, know competitors



# Institutional logic

*Feature*

*Hierarchical governance*

*Network governance*

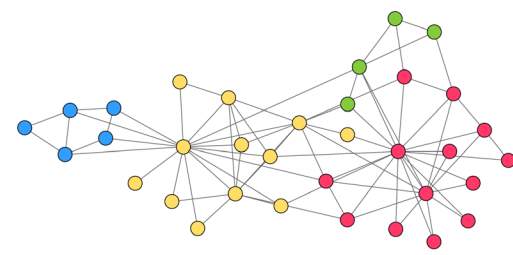
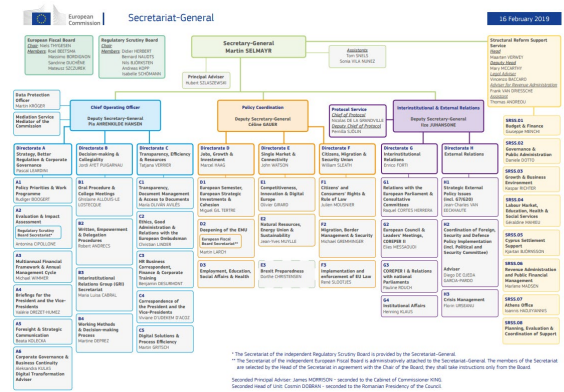
*Market governance*

17. Institutional logic

Line organization, centralized control systems, project teams, stable/fixed

Soft structure, with a minimum level of rules and regulations

Decentralized, semi-autonomous units/ agencies/teams; contracts



# Dealing with silos

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<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
18. Addressing organizational silos	Keep silos for structure	Teach silos to dance	Break down the silos

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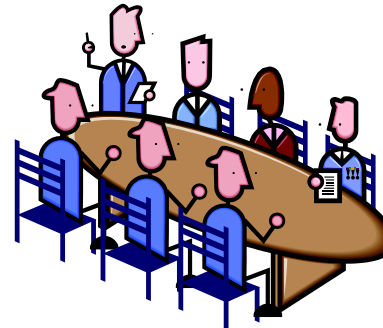
# Policy instruments

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
19. Typical policy instruments	Law-making, control mechanisms, penalties, fees	Networks, stakeholder involvement	Incentives, awards



# Decision-making unit

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
20. Unit of decision making	Public authority (person, institution)	Group	Individual





# Control mechanism

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
21. Main control mechanism	Authority	Trust	Price



# Coordination mechanism

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
<b>22. Coordination mechanism</b>	Imperatives; ex-ante coordination	Diplomacy; self-organized coordination	Competition; ex-post coordination



## Transaction types

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
23. Transaction types	Unilateral	Multilateral	Bi- and multilateral



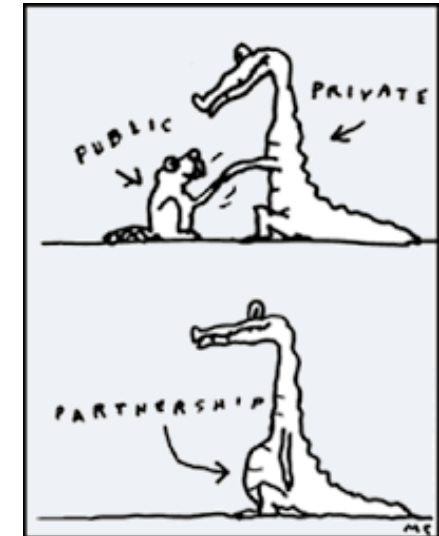
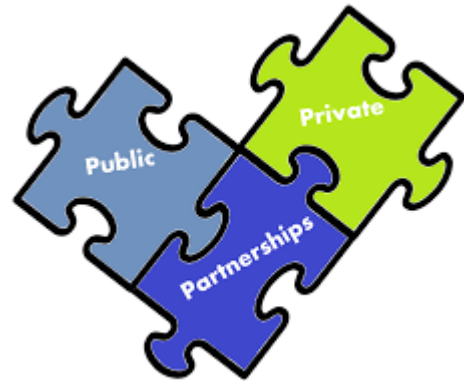
## Degree of flexibility

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
24. Degree of flexibility	Low to medium	Medium	High



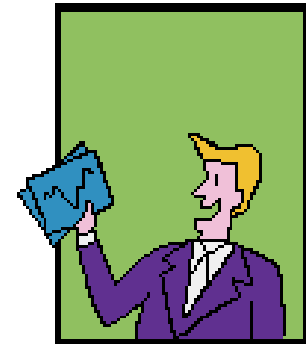
# Level of commitment

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
<b>25. Commitment among parties/ partnerships</b>	Moderate to high/ public-private partnerships	Moderate to high/ multi-stakeholder partnerships	Low/public-private partnerships



# Communication styles

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
<b>26. Communication styles</b>	Communication about policy: giving information	Communication for policy: organizing effective dialogue, connecting	Communication as policy: influencing, incentives, PR campaigns



# Roles of knowledge

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
27. Roles of knowledge	Expertise for effectiveness of ruling; authoritative knowledge	Knowledge as a shared good; agreed knowledge	Knowledge for competitive advantage; cost-effective knowledge



# Science-policy interface

Feature	Hierarchical governance	Network governance	Market governance
28. Type of science-policy interface	Chief scientist; embedded science model	Partnership model: dialogue	'Speaking truth to power' model



*Courage begins with one voice. It's that simple.*



# Impact assessments

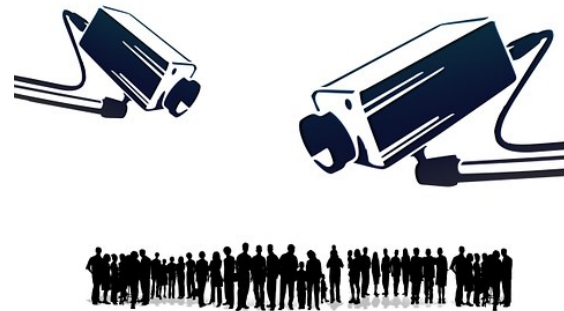
<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
<b>29. Approaches to impact assessment</b>	Evidence-based policy making	Inclusive assessment of policy options	Cost-benefit analysis





# Accountability style

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
31. Accountability style/tools	Order and observance	Interactive persuasion, participation and co-working	Market competition



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# Type of context

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
<b>32. Context</b>	Stable	Continuously changing	Competitive

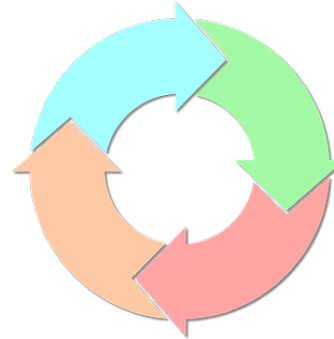


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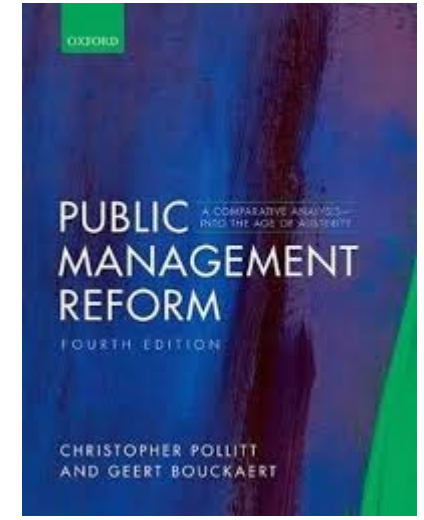
# Process/project management

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
33. Process and project management	Project management (control)	Process management (contextuality)	Project management (flexibility)



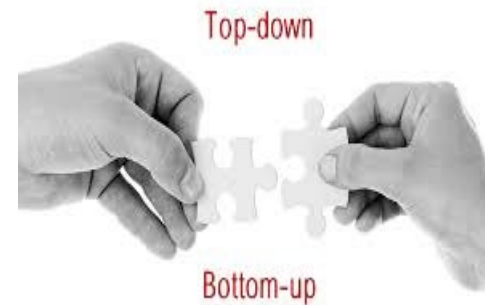
# Reform approach

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
34. Public sector reform approach	Top-down	Inclusive	Outsourced expertise



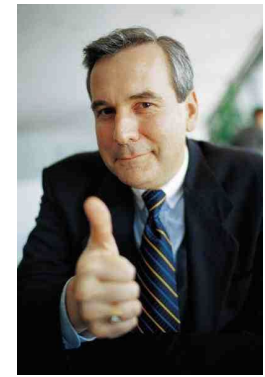
# Innovation style

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
<b>35. Innovation</b>	Large-scale, national and universal innovation	Innovation at both central and local levels	Innovations in organizational form more than content



# Relation types

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
36. Relation types	Dependent	Interdependent	Independent





# Social interactions

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
<b>37. Societal interactions</b>	Interventions	Interplays	Interferences



# Public manager roles

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
<b>38. Roles of public managers</b>	Clerks and martyrs	Explorers producing public value	Efficiency and market maximizers



# Leadership styles

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
<b>39. Leadership styles</b>	Command and control	Coaching and supporting	Delegating, enabling



# Empowerment

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
40. Degree of empowerment inside organizations	Low	Empowered lower officials	Empowered senior managers



# Values civil servants

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
41. Values of civil servants	Law of jungle	Community	Self-determination



# Key competences

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
42. Key competences of civil servants	Legal, financial, project management, information management	Network moderation, process management, communication	Economy, marketing, public relations



# Management development objectives

*Feature*

*Hierarchical governance*

*Network governance*

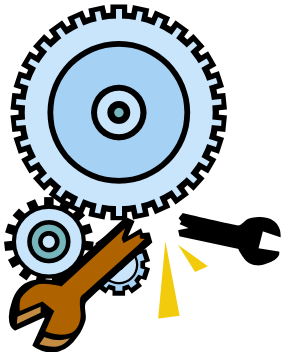
*Market governance*

43. Objectives of management development

Training is an alternative form of control over subordinates

Training helps 'muddling through'

Training helps making more efficient decisions



# Dealing with power

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
44. Dealing with power	Coercion	Manipulation	Competition, lobbying





# Conflict resolution

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
<b>45. Conflict resolution types</b>	Classical negotiation, power-based (win-lose)	Mutual gains approach to negotiation (win-win); diplomacy	Classical negotiation, competition-based (win-lose)



## Problem types

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
46. Suitability for problem types	Crises, disasters, problems that can be solved by executing force	Complex, unstructured, multi-actor issues	Routine issues, non-sensitive issues

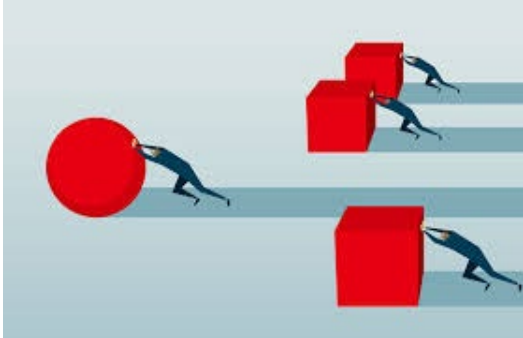


# Framing of problems

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
<b>47. Framing of problems</b>	A relevant problem is framed as disorder	A relevant problem is framed as lack of consent	A relevant problem is framed as inefficiency



Chaos. German Style.



# Governance failures

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
48. Typical governance failures	Ineffectiveness; red tape	Never-ending talks, no decision, undemocratic	Economic inefficiency, market failures, efficiency killing effectiveness



# Public procurement

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
<b>49. Role of public procurement</b>	To establish stable relations with suppliers; use as leverage for government policy	To stimulate innovation partnerships	To stimulate competition among suppliers; create new markets



Suppliers



# Output and outcome

<i>Feature</i>	<i>Hierarchical governance</i>	<i>Network governance</i>	<i>Market governance</i>
50. Typical output and outcome	Laws, regulations, control, procedures, accountancy reports, decisions, compliance	Expert networks, consensus, voluntary agreements, covenants	Services, products, contracts, outsourcing, voluntary agreements

