Integrated Oceans Governance: Practicalities and Future Options
The learning journey of Piers Dunstan
With thanks to all the people who have taught me
Oceans Policy, Process and Tools

Integrated approaches can be broken down into three levels of activity.

1. **aspirational policy outcomes** – *What we want to achieve, and what limits we put on the outcomes.*

2. **being delivered through inclusive and transparent processes** focused on balancing often competing interests – *How we decide to make the policy work*

3. **implemented through appropriate management tools** for the values (economic, environmental and/or social/cultural) that will achieve the policy outcomes – *The things we will use to actually do something.*
Values, Knowledge, Rules

• Adaptive governance requires an understanding of how the societal context of a decision process influences decisions and how people can intentionally influence that context.
• The values held by different stakeholders
• The knowledge to support decision making.
• The rules by which decisions are made.

Goddard et al. (2016) http://dx.doi.org/10.1016/j.envsci.2015.12.004
Lessons from existing implementations
Lessons from Integrated Health Care

• “Integrated health services” can refer to multi-purpose service delivery points
• Integration can also refer to the vertical integration of different levels of service
• Supporting integrated services does not mean that everything has to be integrated into one package, or necessarily delivered in one place. It does mean arranging services so that they are not disjointed and are easy for the user to navigate
• Integration isn’t a cure for inadequate resources. Integrating two separate programmes may provide some savings, but integrating new activities into an existing system can’t continue indefinitely without the system as a whole being better resourced.
• There are many more examples of policies in favour of integrated services than there are of actual implementation. It involves a mix of political, technical and administrative action.

WHO Technical Brief No.1, May 2008
Ecosystem Approach to Fisheries: implementation challenges

- **Preparedness**: identification of likely obstacles early enough and preparing for them;
- **Boundaries**: definition and agreement on meaningful boundaries compatible both with the ecosystem functioning and the social institutions;
- **Capacity**: early development of an implementation capacity (skills, tools, institutions, resources, legislative framework; research capacity) including the capacity to adapt to change (flexibility), at the appropriate level of decentralization;
- **New policies**: re-orienting present policies, revisiting priorities, re-ranking objectives, redesigning strategies and action plans as well as on allocations of wealth (resources, costs and revenues);
- **Mainstreaming**: institutionalization of the implementation process, nesting it in adequate national policy and regulatory frameworks and reducing bureaucratic inertia;
- **Legislation and regulations**: simplification of the regulatory frameworks which have accumulated layers of complexity (and often contradiction) over the years;
- **Integration**: reduction of policy, sectoral, institutional and scientific fragmentation;
- **Participation**: ensuring adequate participation at an affordable interaction cost;
- **Scientific support**: improving data collection; integrating the best natural and social science available, collecting and validating informal knowledge; improving ecosystem modelling and developing systems of indicators.
- **Commitment**: improving governments’ willingness to delegate enough powers, e.g. to decentralized or regional fishery management institutions; and significantly improving flag and port states control;

Conditions for EAF sustainability

- Trained administration with sufficient and sustainable resources;
- Effective community/stakeholder participation and industry support;
- Effective support from leaders and institutions (national to local);
- Dedicated and sufficient research;
- Enabling environment for sustainable/responsible investments;
- Alternative livelihoods for fishers in excess of the system capacity;
- Economic and social incentives;
- Effective MCS and deterrent law enforcement;
- Policy and legal reforms (firm legal grounds and clear jurisdictions);
- Nesting of sectoral EA approaches in Nation-wide policy; and
- Minimum national environmental standards;
- Adaptive planning process and agreed EAF management plans;
- Regular performance evaluation: auto-evaluation and external, independent evaluation; and
- Early production of positive outcomes (success stories).

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<th>Governance issues</th>
<th>Insufficient funds</th>
<th>Human capacity</th>
<th>Conflicts of interest</th>
<th>Technical capacity</th>
<th>Poorly established goals</th>
<th>Insufficient enforcement</th>
<th>Compliance</th>
<th>Lack of shared vision</th>
<th>Insufficient stakeholder engagement</th>
<th>Corruption</th>
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**Number of MSP processes**

- Developed countries
- Developing countries

Moving from Planning to Implementation

Nine challenges in five broad areas:

• Governance
• Stakeholder engagement
• Communication and outreach
• Knowledge to support management
• Sustainable financing
Integrated Oceans Management as collaboration?

1. Factors Related to PARTICIPATING ORGANIZATIONS
   A. Mutual respect, understanding, and trust.
   B. Representative nature of the group.
   C. Members see collaboration as in their self-interest.
   D. Compatible missions and values.

2. Factors Related to PROCESS/STRUCTURE
   A. Clear decision making guidelines involving all levels.
   B. Members share a stake in both process and outcome.
   C. Clear roles and policy guidelines.
   D. Accountability standards.
   E. Resource allocation guidelines.
   F. Means of managing conflict and grievances.
   G. Appropriateness of the collaboration model.
   H. Flexibility.

3. Factors Related to COMMUNICATION
   A. Open and frequent communication.
   B. Established informal and formal communication links.

4. Factors Related to PURPOSE
   A. Specific, attainable goals.
   B. Shared vision.

5. Factors Related to RESOURCES
   A. Sufficient funds.
   B. Skilled convener.
Integrated Oceans Management is a form of collaboration?

• The human elements of IOM is a form of collaboration.
• Need to stop thinking of it as just policy and decision making.

• Lessons
  • Integration only when necessary – there is no reason to change management when effective management across the economic, social. Members see collaboration as in their interest.
  • Clear decision making guidelines involving all levels
  • Development of Trust in between Partners
  • Representatively of collaboration – respect for culture
  • Clear roles and policy guidelines
  • Resource allocation guidelines.
  • Language as a barrier between sectors - Open and frequent communication.
Inclusive and Transparent processes
A review of different management frameworks from different sectors

Systematic conservation planning

Ecosystem-based Fishery Management for the Northeast Continental Shelf

There is a broad agreement that we need to recognize both the many benefits derived from our connections to the sea and the many ways in which human activities affect the ocean in order to chart a sustainable course of action. This review addresses the need for a more comprehensive ecosystem-based management framework. It describes the methods and tools being used to develop an ecosystem-based management framework for the Northeast Continental Shelf. The review includes an analysis of the current state of knowledge and the challenges associated with developing an ecosystem-based management framework for the Northeast Continental Shelf.
Decision Making Processes at National, Regional and Global Scales – forming the basis of sustainable use and conservation

- Analysis of policy priorities and objectives – setting the domain
- Identification of environmental, social and economic values in the marine environment
- Integrated assessments of uses/benefits and pressures on values
- Management with appropriate strategies for sustainability
- Monitoring and Evaluation
- Underlying Information systems for transparent exchange of information to support processes.
A potential common framework for Decision Making

Iterative Decision Cycles

Priorities

Management

Benefits and Impacts

Economic
Social
Environmental
Benefits and Impacts

Planning
Implementation
Using tools within a Decision Making Process

Different tools can be applied by different agencies at each step – this can be a process for coordination between agencies with different sectoral responsibilities.

Dunstan et al. (2016) Using ecologically or biologically significant marine areas (EBSAs) to implement marine spatial planning. http://dx.doi.org/10.1016/j.ocecoaman.2015.11.021.
Linking to Theory of Change (or similar)

- Concepts around theory of change can be linked directly to adaptive management
  - STAGE 1: Analysing the context
  - STAGE 2: Defining the long-term change or development impact
  - STAGE 3: Sequencing of events
  - STAGE 4: Making assumptions explicit
- Theory of Change (and similar frameworks) are explicitly community based, participatory planning and decision making frameworks that produce flexible outcomes that can be monitored.
- Coming from social learning
- Different to the way its applied in project planning (ie from donors)
What could this look like?
Implementing Vanuatu Oceans Policy
The Downside
The Cognitive Trap of Integrated Management

- Experts in one domain assume that expertise transfers to new domains.
- Problem: Integrated management transcends domains.
The results of the Trap – Science Advocates

- Assumptions about expertise and ability to solve problems lead to “obvious answers”, issue advocacy and poor collaboration.
- All integrated management sits in areas with low values consensus and high uncertainty.
- Integrated management requires a conscious decision to acknowledge the breadth of expertise and decision making processes.

Figure 9.1 Reproil of flow chart illustrating the logic of roles for scientists in policy and politics.

Conclusions

• In order to achieve outcomes of sustainable development and conservation of biodiversity, reaffirmed in Rio+20 and numerous other treaties, conventions and agreements,
• an integrated approach to oceans management is required.
• Integration is difficult.
• As a general policy position it is recognised that there are benefits in terms of reduction of duplication, enhanced outcomes, coordination between sectors and reduction in conflicting regulations, but that high levels of integration are rarely achieved due to a lack of effective policy and management structures that promote integration.
• Building strong collaborations will support implementation
• Adaptive management is a cornerstone, but needs to be combined with participatory decision making.
Thank you

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