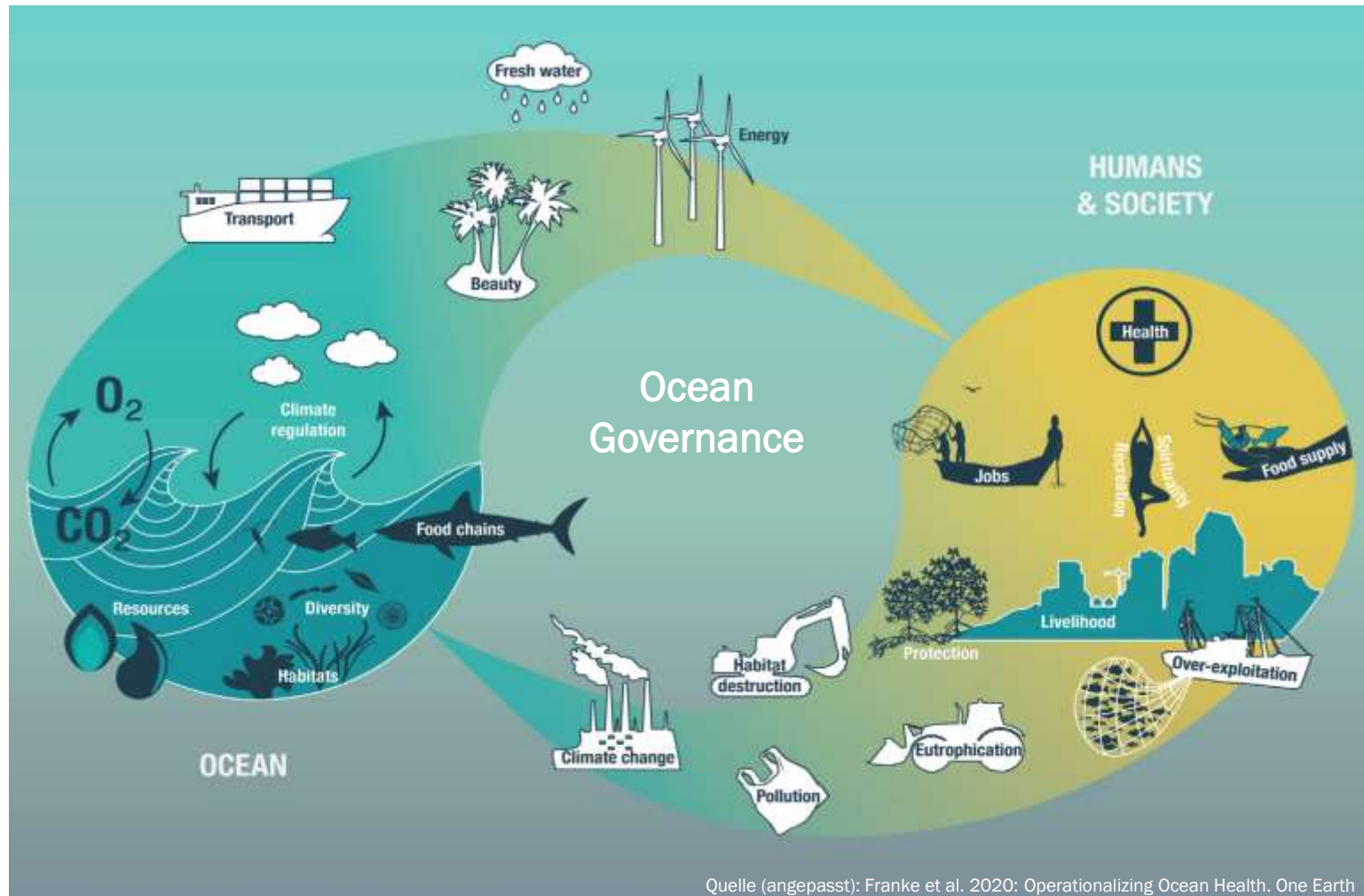IASS
POTSDAM

Transformative research on ocean governnance
Introduction to realist social science research
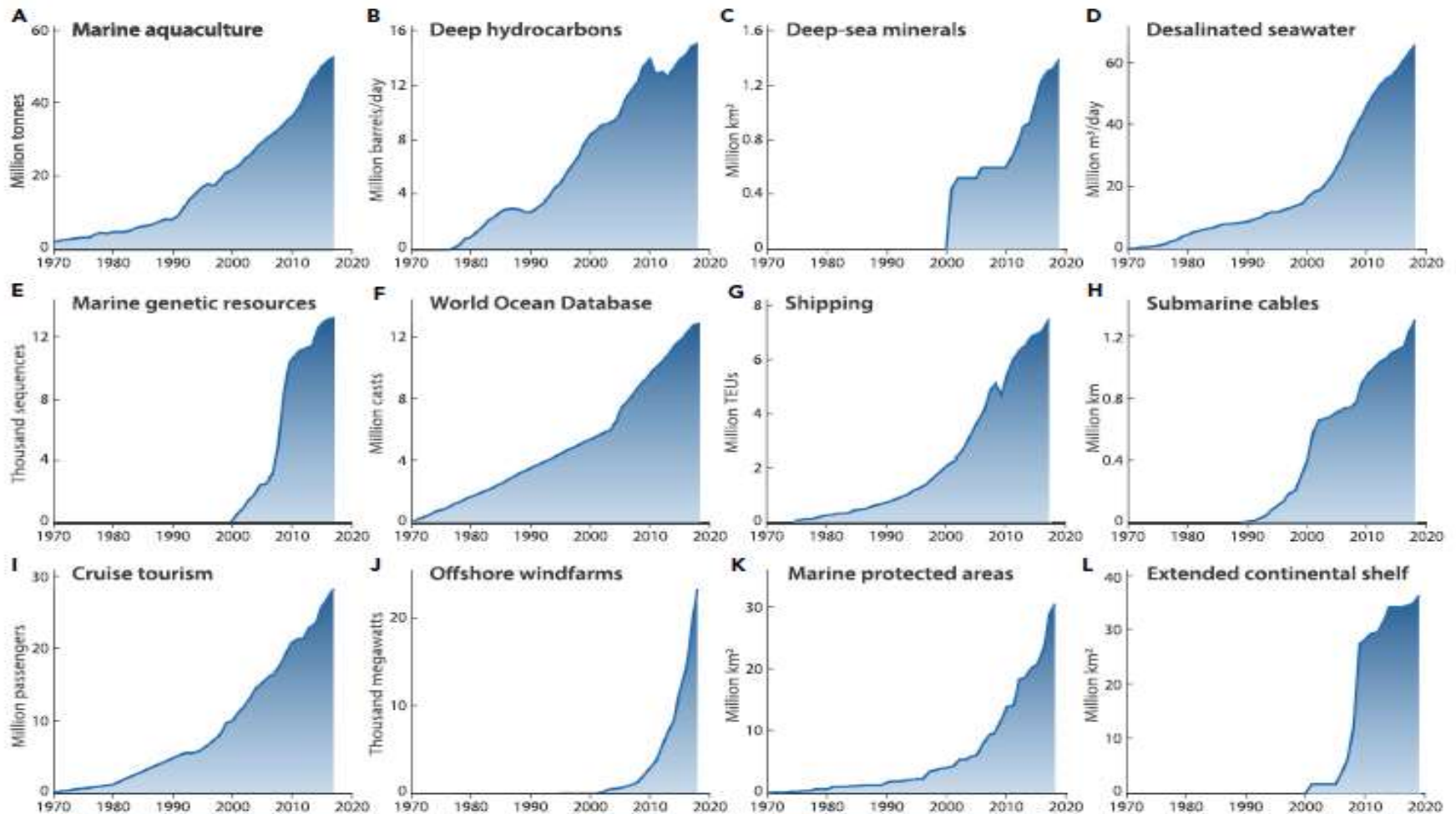
Sebastian Unger
Research Group Leader, Ocean Governance

Quelle (angepasst): Franke et al. 2020: Operationalizing Ocean Health. One Earth

„Blue Acceleration"

Baptiste, J-B. Jouffray 2020: The
Blue Acceleration (One Earth)

Transformative Ocean Governance Research

Areas Beyond National Jurisdiction (ABNJ)

71% of the planet are covered by oceans

~ **60%** of the oceans are high seas

Territorial Sea   **Exclusive Economic Zone (EEZ)**   **Areas Beyond National Jurisdiction**

12 nm

200 nm

Continental shelf

High Seas

Continental slope

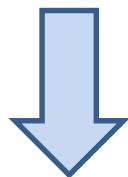Extended continental shelf   **The Area**

Supported by:

Federal Ministry
for the Environment, Nature Conservation
and Nuclear Safety

based on a decision of the German Bundestag

Research Example: „High Seas" Governance

Transforming High Seas Governance

Analysing the applicable governance framework

- Understanding legal and institutional interplay

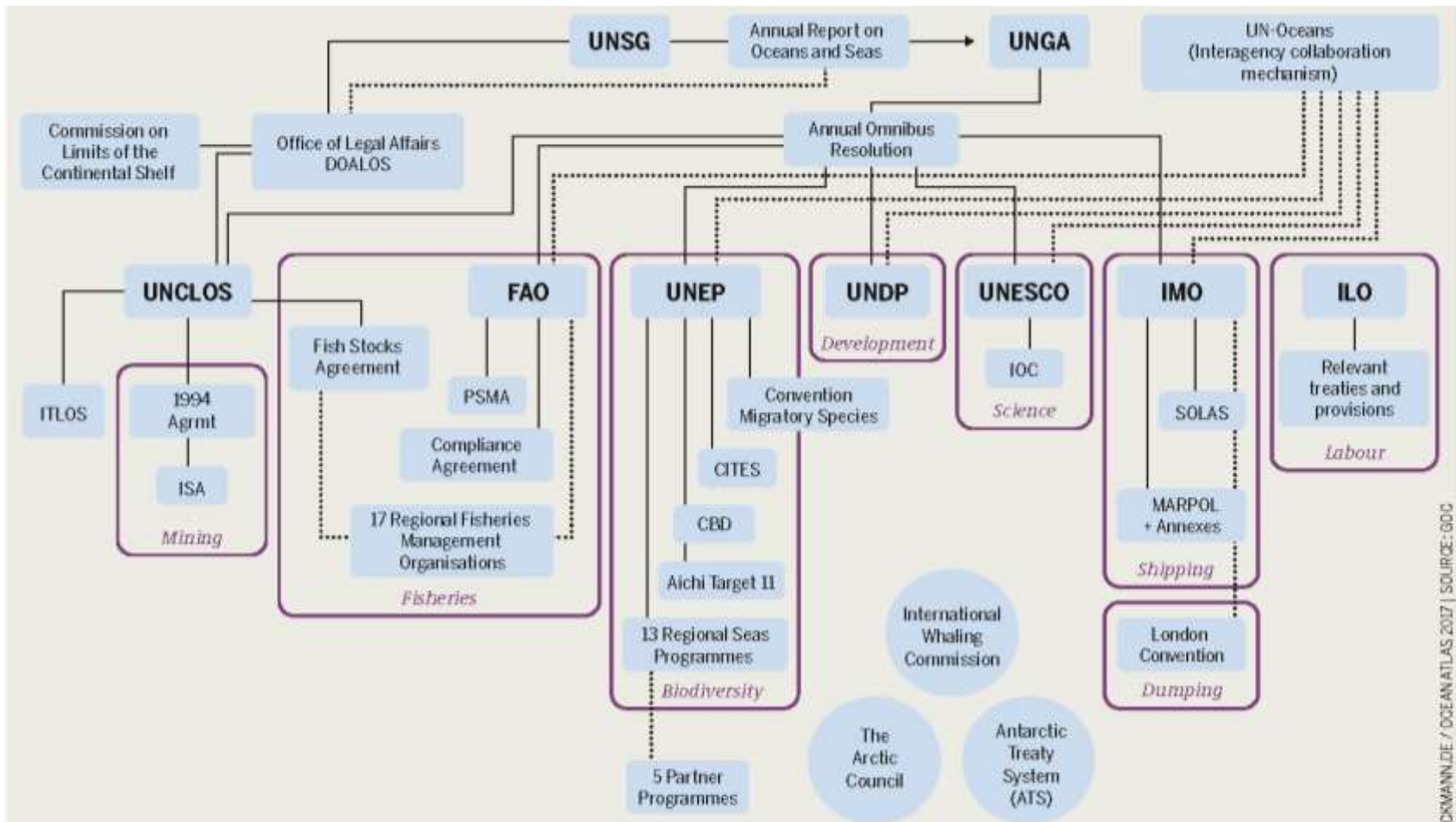**Supporting international efforts towards a new legally-binding BBNJ instrument**

- UN negotiations, IGC 1-4

Facilitating regional ocean governance

- Advancing regional cooperative approaches

Credit: IASS, IISD, Unger

Complex & fragmented institutional framework

CBD Convention on Biological Diversity; CITES The Convention on International Trade in Endangered Species of Wild Fauna and Flora; DOALOS Division for Ocean Affairs and the Law of the Sea; FAO Food and Agriculture Organization [of the United Nations]; ILO International Labour Organization; IMO International Maritime Organization; IOC Intergovernmental Oceanographic Commission; ISA International Seabed Authority; ITLOS International Tribunal for the Law of the Sea; MARPOL International Convention for the Prevention of Pollution from Ships; PSMA Agreement on Port State Measures to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing; RFMOs Regional Fisheries Management Organisations; SOLAS International Convention for the Safety of Life at Sea; UNDP United Nations Development Programme; UNEP United Nations Environment Programme; UNESCO United Nations Educational, Scientific and Cultural Organization; UNGA United Nations General Assembly; UNSG United Nations Secretary-General

Regime interplay in ABNJ. What are the challenges?

Policy, Legal and Environmental

- Regulatory and legal **uncertainty**

- **Lack of coordination** between sectors, governance levels and actors

- **Duplication** of efforts and high transaction costs

- Difficulty to achieve **policy coherence** and implement **integrated management**

- Difficulty to implement **cross-sectoral policy agendas** for sustainability such as the 2030 Agenda, ocean/climate, biodiversity

→ **But not all negative:** Potential to increase diversity, global learning processes and flexibility of the system

Source: Steve Cadman (2005), The United Nations Secretariat Building, used under CC BY-SA 2.0.

Different analytical problems

Understanding the issue

- **What type of interactions / fragmentation?**
    - Synergistic, cooperative, conflictive
    - Institutional, norm conflicts, actor constellations

- **What are the causes of fragmentation?**
    - Legal framework, sectoral approach
    - Path dependencies and more…

- **What are the consequences?**

- **How to improve institutional interplay** and manage fragmentation?

→ **Creating knowledge** for under-researched issue in sustainability science & to inform BBNJ process

Negotiation of a legally-binding BBNJ instrument

Marine Genetic Ressources

Environmental Impact Assessments

Area-based management, including MPAs

Capacity Development and Technology Transfer

BBNJ Working Groups	Preparatory Committee	IGC 1	IGC 2	IGC 3	Online consultations	IGC 4 (planned)	Agreement
2006-2015	2016-2017	2018	2019	2019	2020	March 2021	

IASS
POTSDAM

# Strengthening Regional Ocean Governance for the High Seas (STRONG High Seas)

- To **strengthen regional ocean governance** for the **conservation and sustainable use of biodiversity**
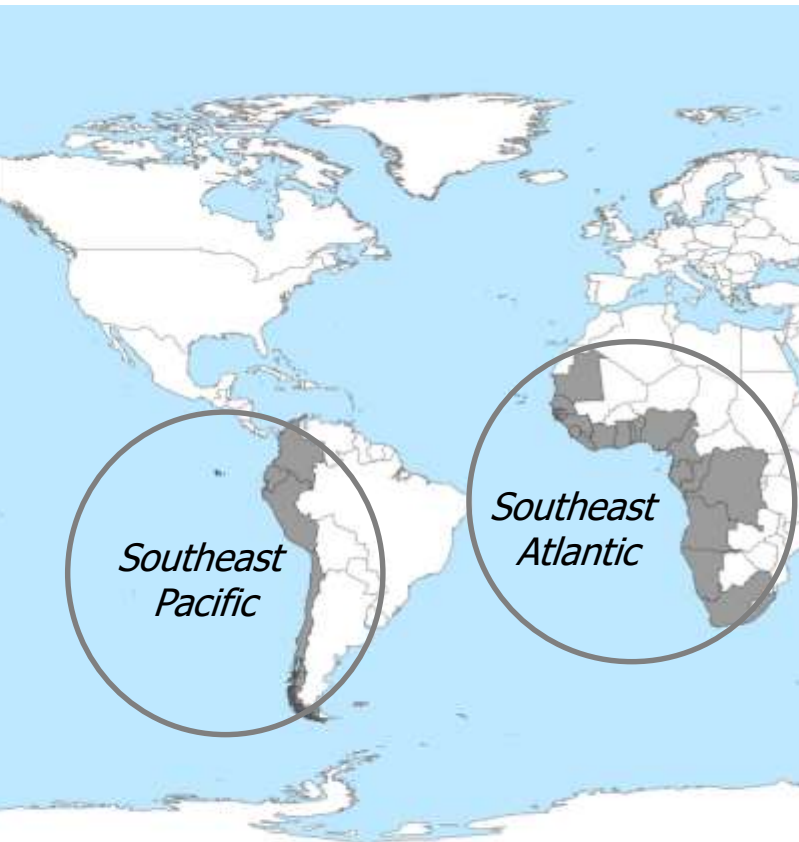
- To develop **integrated and ecosystem-based approaches**
  - within two focal regions
  - between marine regions
  - between regional & global level

STRONG High Seas Project

Enabling Regional Transformations

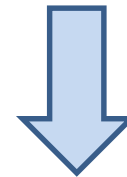*Southeast Pacific*

Southeast Atlantic
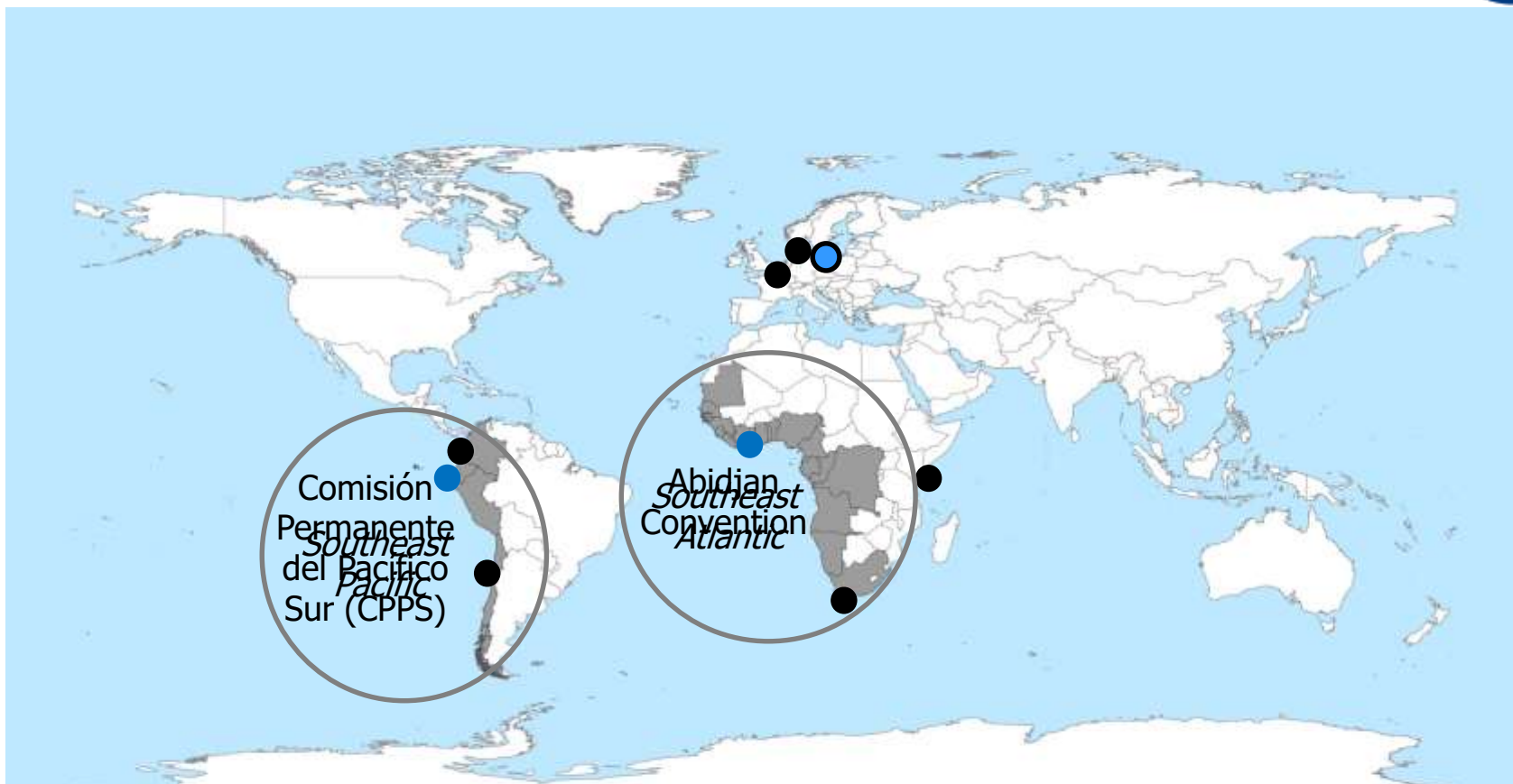
Scientific assessments

- Legal & institutional framework
- Ecological baselines & human pressures
- Socio-economic aspects
- Conservation measures

Strategic dialogue with stakeholders

- Co-create new approaches for High Seas governance

Enabling regional transformations

Dialogue between Marine Regions
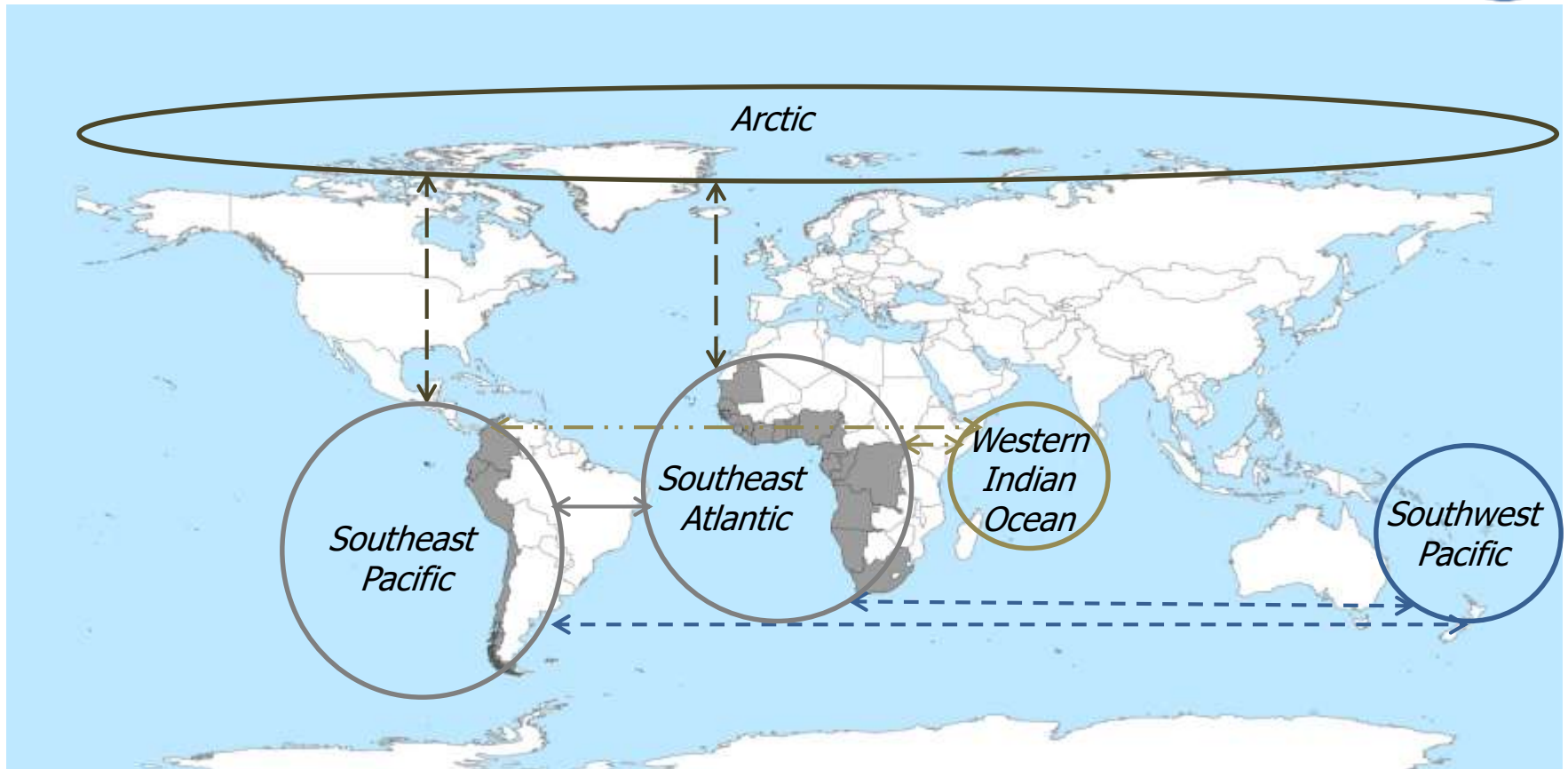
Linking Regional and Global Governance
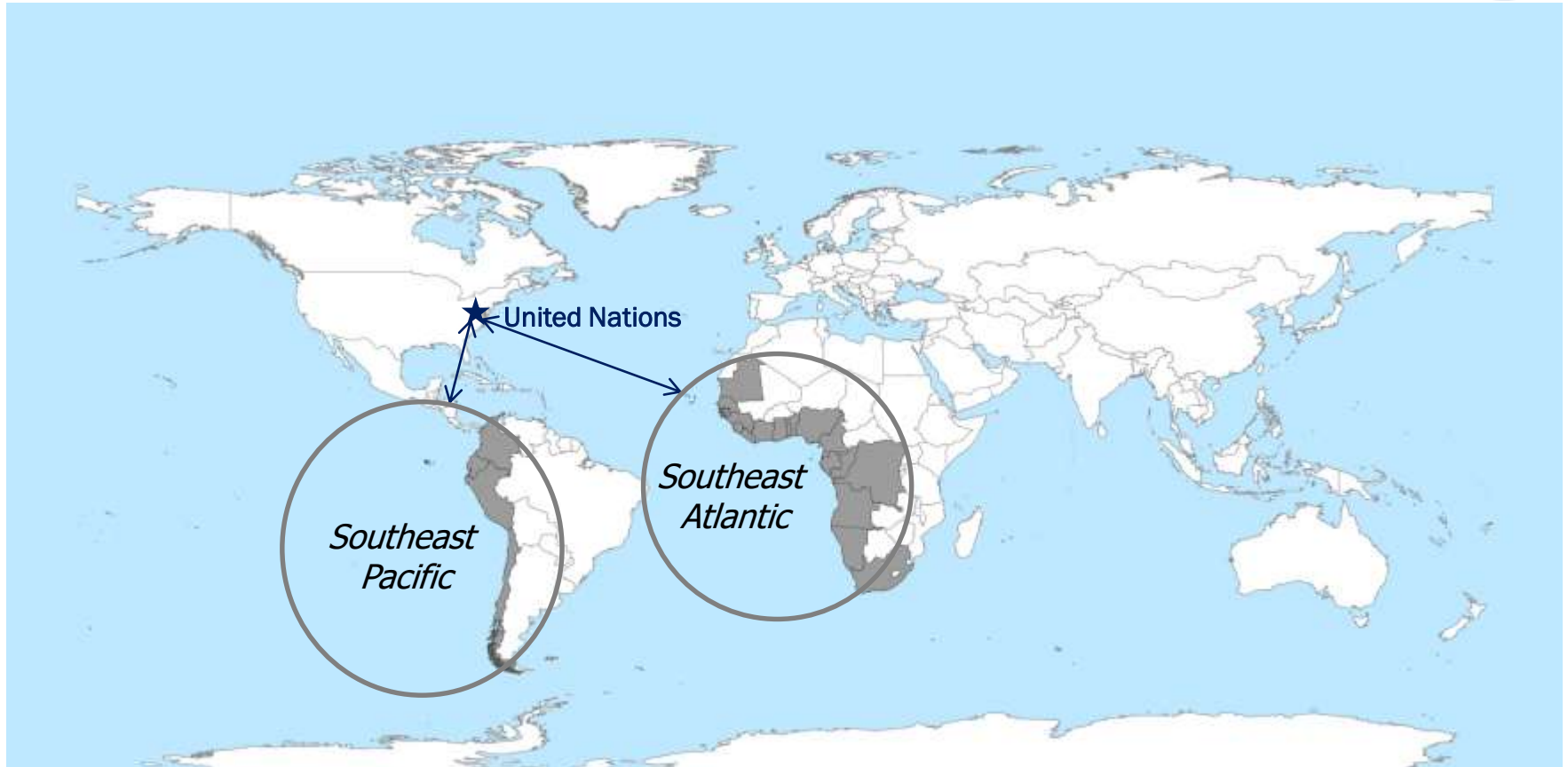
Way forward: Strengthening governance interplay
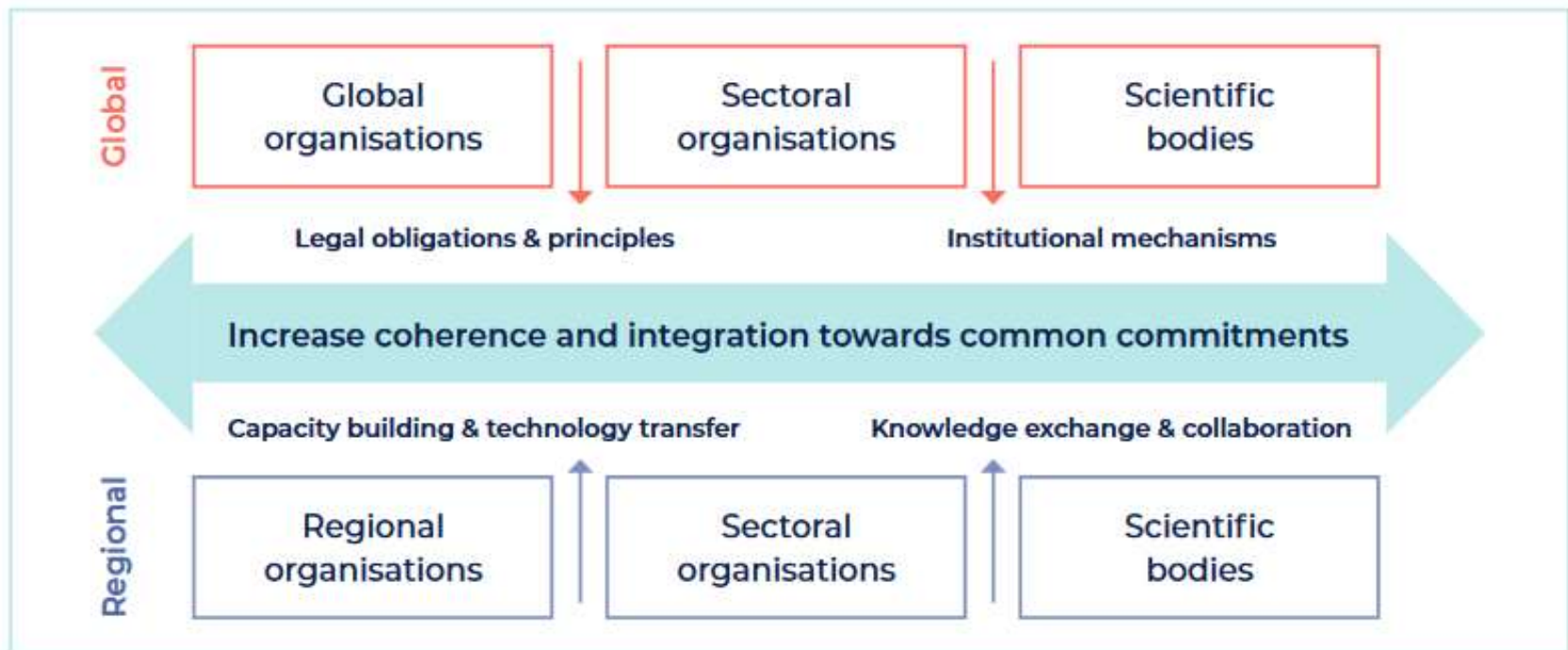
Figure 2: A new agreement will need to increase coherence and integration between and across regional and global institutions, both vertically and horizontally, to enhance the conservation and sustainable use of BBNJ.

Example: Marine Regions Forum

Long-term Vision

2017 at the UN Ocean Conference (NY) and Our
Ocean Conferences (Malta)

Strives to **facilitate transformations** towards
integrated ocean governance for marine regions

Federal Ministry
for the Environment, Nature Conservation
and Nuclear Safety

Umwelt
Bundesamt

European Maritime
and Fisheries Fund

Transformation and Transformative Approach

What?

Transformative research
explicitly aims to be a driver of change <u>by advancing and facilitating processes</u> of societal change.

How?

Hosting participatory spaces e.g. Marine Regions Forum conference, workshops, stakeholder engagement processes.

Example: Marine Regions Forum

Transformation and Transformative Approach

What?

> Transform**ative** research
> explicitly aims to be a driver of change <u>by advancing and facilitating processes</u> of societal change.

> Transform**ation** research
> studies the <u>conditions, mechanisms and causes of processes</u> of social change. Generates descriptive or analytical knowledge.

How?

> Hosting participatory spaces e.g. Marine Regions Forum conference, workshops, stakeholder engagement processes.

> Assessment of the participatory spaces (Marine Regions Forum) through quantitative and qualitative research methods and self-reflexivity.

Marine Regions Forum Concept

- Applies **co-creative, transdisciplinary, and participatory approaches**

- Engages **multi-stakeholder and cross-sectoral** actors to strengthen cooperation and **trigger transformative change** at the **regional level**

Figure from: Neumann et al. : Marine Regions Forum: An international stakeholder forum to strengthen regional ocean governance. - Umweltbundesamt, Texte XX/2021, Dessau-Roßlau. In Press.

Transformative Research - Results
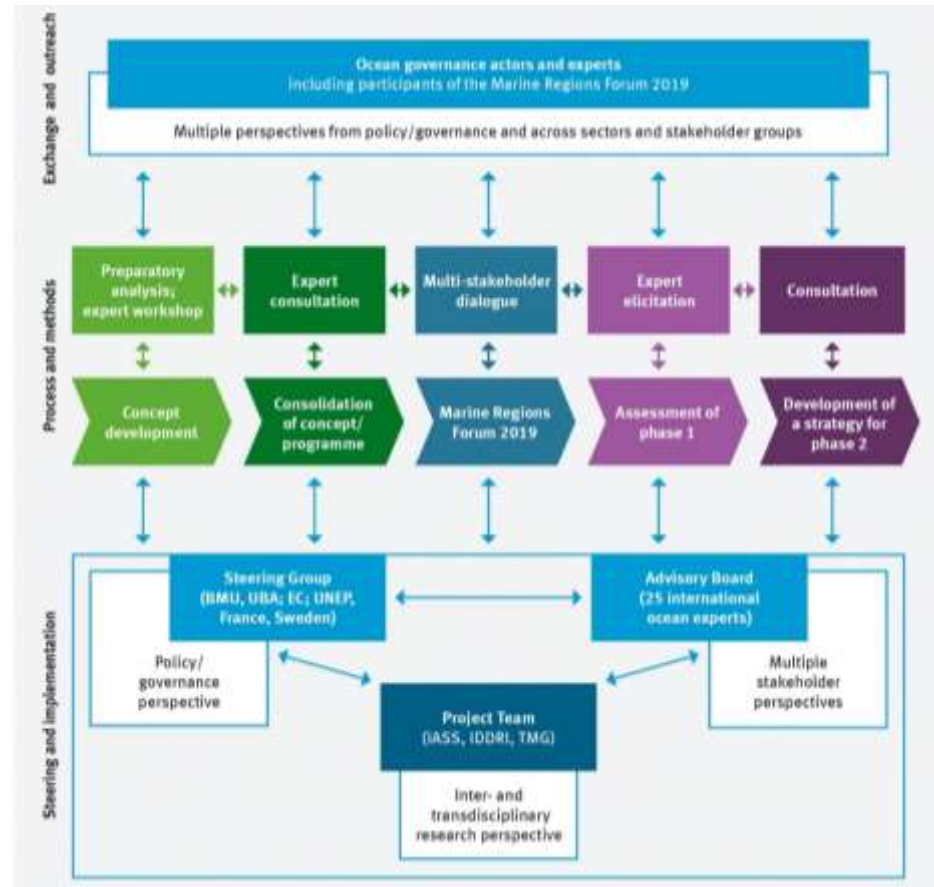
What did the Forum deliver?

IISD/ENB 2019

1. Conference outputs (short-term):

- Key Messages document
- Conference report
- IISD Reporting Services, Earth Negotiations Bulletin (ENB)

2. Outcome examples (mid-term):

- Recommendations submitted to the Stakeholder Consultation 2020, UN Ocean Conference
- Cooperation between WIOMSA and Seychelles Conservation and Climate Adaptation Trust (SeyCCAT)
- New cooperation between the Germany (BMU) and Caribbean Environment Programme
- German Sustainable Development Strategy

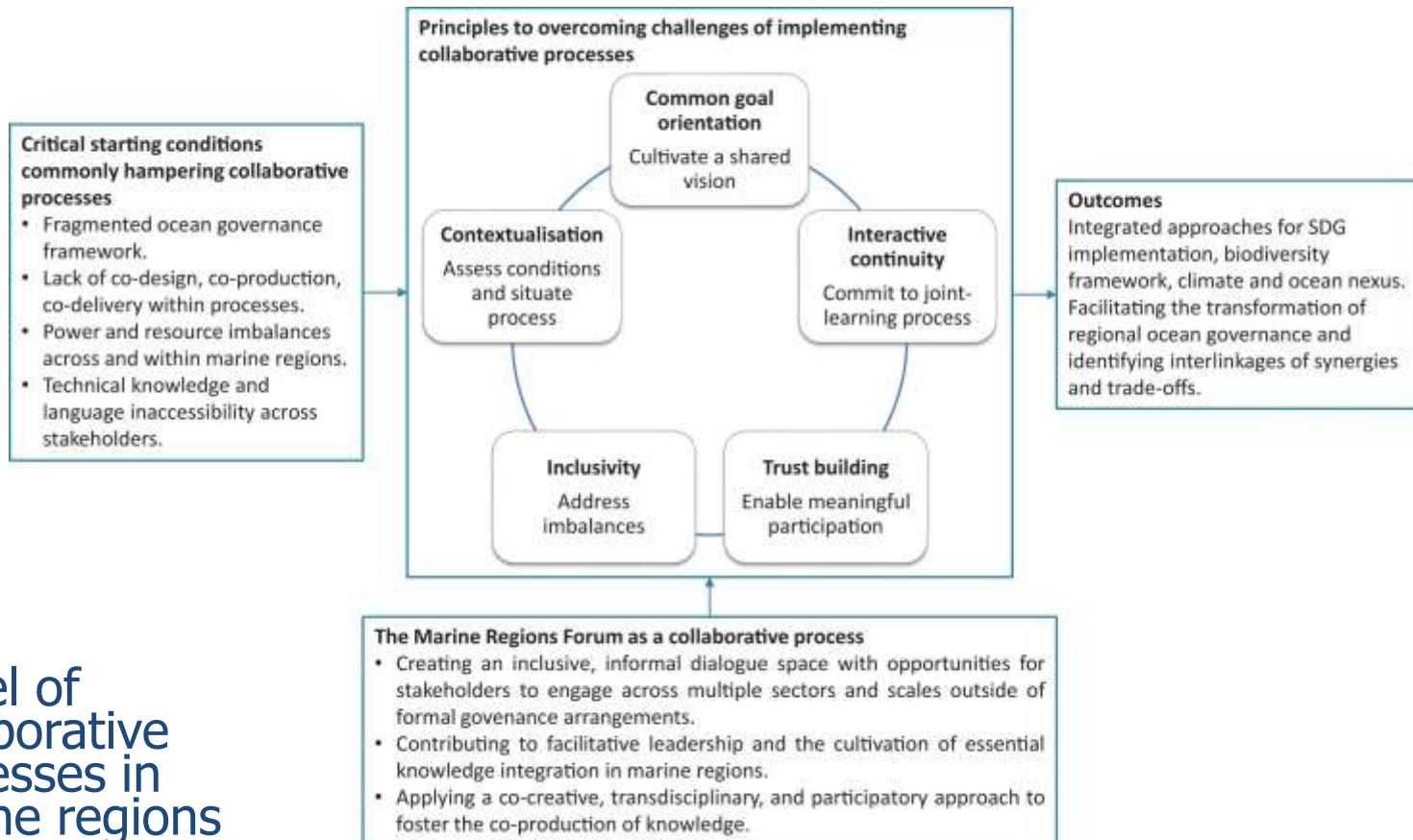# *Transformation* Research - Results

Initial State → Tranformative process → Desired state

Critical starting conditions commonly hampering collaborative processes
- Fragmented ocean governance framework.
- Lack of co-design, co-production, co-delivery within processes.
- Power and resource imbalances across and within marine regions.
- Technical knowledge and language inaccessibility across stakeholders.

Principles to overcoming challenges of implementing collaborative processes

Common goal orientation — Cultivate a shared vision

Interactive continuity — Commit to joint-learning process

Trust building — Enable meaningful participation

Inclusivity — Address imbalances

Contextualisation — Assess conditions and situate process

Outcomes
Integrated approaches for SDG implementation, biodiversity framework, climate and ocean nexus. Facilitating the transformation of regional ocean governance and identifying interlinkages of synergies and trade-offs.

The Marine Regions Forum as a collaborative process
- Creating an inclusive, informal dialogue space with opportunities for stakeholders to engage across multiple sectors and scales outside of formal govenance arrangements.
- Contributing to facilitative leadership and the cultivation of essential knowledge integration in marine regions.
- Applying a co-creative, transdisciplinary, and participatory approach to foster the co-production of knowledge.

Model of collaborative processes in marine regions

Source: Weiand, L., Unger, S., Rochette, J., Müller, A., & Neumann, B. (2021). Advancing Ocean Governance in Marine Regions Through Stakeholder Dialogue Processes. Frontiers in Marine Science, 8:

Vielen Dank!

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www.iass-potsdam.de/de/forschungsgruppe/governance-der-ozeane

Added value of the Marine Regions Forum

1. Regional contextualisation of global frameworks

2. Foster facilitative leadership and support knowledge integration across sectors

3. Support of cross-sectoral, joint learning as a matter of practice - utilising knowledge within rather than for processes

4. Recognition of the need for common (regional) goals and collective harmonised action

Foto: Unsplash

Lessons learned from the Marine Regions Forum

- Transformative potential lies within the co-creative and transdisciplinary approach

- New exchanges, perspectives, arrangements, and cooperation that allow for working fundamentally differently

- Orientation of collaborative landscapes available and how to engage in them, especially as such efforts and practices are still uncommon

Foto: Unsplash