

## CEE-277C: Environmental Governance

### What do people mean by “environmental governance?”

The term environmental governance has been defined in several ways. Here is a commonly used conceptualization due to WRI:<sup>1</sup>

*Environmental governance* “is the term we use to describe how we as humans exercise our authority over natural resources and natural systems.” It is about questions concerning “*how* we make environmental decisions and *who* makes them....”

Using this broad conceptualization, environmental governance involves much more than the work of governments. It “relates to decision-makers at all levels—government managers and ministers, business people, property owners, farmers, and consumers. In short, it deals with who is responsible, how they wield their power, and how they are held accountable.”<sup>2</sup>

In discussions of governance, three terms come up often:

- *Institutions*. In the context of governance, “institutions” can be thought of as the formal and informal rules that govern social interactions. Formal rules are illustrated by laws and regulations, and informal rules are illustrated by social norms.
- *Good governance*. This term is used to describe governance characterized by high levels of transparency, accountability, and fair treatment.
- *Civil society*. This term “refers to the arena of uncoerced collective action around shared interests, purposes and values. In theory, its institutional forms are *distinct* from those of the state, family and market, though in practice, the boundaries between state, civil society, family and market are often complex, blurred and negotiated. Civil society commonly embraces a diversity of spaces, actors and institutional forms, varying in their degree of formality, autonomy and power. Civil societies are often populated by organizations such as registered charities,

---

<sup>1</sup> WRI, 2002, “Environmental Governance. Whose voice? Whose choice?” *World Resources 2002-2004: Decisions for the Earth: Balance, voice, and power*, WRI, Washington, DC. P.1.

<sup>2</sup> WRI, 2002, “Environmental Governance. Whose voice? Whose choice?” *World Resources 2002-2004: Decisions for the Earth: Balance, voice, and power*, WRI, Washington, DC. P. 6.

development non-governmental organizations, community groups, women's organizations, faith-based organizations, professional associations, trades unions, self-help groups, social movements, business associations, coalitions and advocacy group.”<sup>3</sup>

In exploring the formal and informal rules that are fundamental in explaining behavior of groups who make decisions affecting the quality of the environment, this class will make reference to both theoretical arguments and empirical findings.

Participants in the course will explore the roles of governments, markets, and civil society in the management of natural and environmental resources. In exploring these roles, we will study aspects of environmental regulation, market-based incentives, and community-based resource management. In any particular context, these strategies may be used in a blended fashion.

### **Objectives**

This course introduces students to the main concepts and actors involved in addressing environmental governance issues at local, national and international scales. Specific objectives include the following:

- Enhancing students’ understanding of opportunities they have to contribute to environmental sustainability via their roles as citizens and as specialists in their fields.
- Allowing students to appreciate the ways in which the private and public sectors as well civil society interact in making decisions that affect governance for environmental sustainability.
- Providing students an introduction to key concepts linked to environmental policy design and implementation as well as environmental program evaluation.
- Using theory to characterize aspects of the environmental policy development process, and providing case studies (from both industrialized and developing countries and at local, national and international scales) illustrating various theories.
- Giving students opportunities to apply what they learned in the course to previously unstudied case studies pertinent to students’ own research interests.

---

<sup>3</sup> Website of the Center for Civil Society of the London School of Economics, [http://www.lse.ac.uk/collections/CCS/what\\_is\\_civil\\_society.htm](http://www.lse.ac.uk/collections/CCS/what_is_civil_society.htm) , accessed July 22, 2009. Emphasis added.

## **Grading for Course**

Course grades will be based on:

- Term paper (written) – 50%
- Term paper (oral presentation) – 5%
- Weekly assignments, including work with peer reviewers -- 25%
- Consistent attendance and attentiveness (i.e., no e-mailing, web surfing and texting during class) and active participation in class on a week-to-week basis (including, one 15 minute in-class group presentation to kick off one class session, and participation in class discussions) – 20 %

## **Special class sessions to be arranged (attendance is required):**

I am trying to arrange an opportunity with David Nieh, an planner and architect who is playing a lead role in the creation of a sustainable region in China: Dalian Tiandi. Much depends on Mr. Nieh's schedule, so I cannot be definitive at this point.

We will have a special session of the class to see a unique film: *An act of Congress: H. R. 6161*. This film provides an extraordinary look at the passage of a bill that eventually became the Clean Air Act Amendments of 1977.

## **Session Topics and Readings**

Below is the initial list of readings for the course. Please note that the weekly assignments and lists of weekly readings now on "Coursework" may be revised slightly throughout the quarter. Revisions will be posted to the Coursework site at least one week in advance of the relevant session.

All assigned readings are to be done *before* class, and all assignments are to be handed in at the *end of the relevant class session*.

### **Week 1 – September 21**

Introduction to the course  
Alternative definitions of environmental governance  
Institutions—formal and informal rules  
Institutions vs organizations  
Plurality of actors and their interactions  
State, markets, and civil society  
Brundtland Commission  
Agenda 21

## **Part One— Governance at Local and Regional Levels**

### **Week 2 -- Sustainable Cities and Regions**

Curitiba and Porto Allegro, Brazil  
Citizen participation in decision making  
Arnstein's "Ladder of Citizen Participation"

By browsing a few websites, particularly the videos, you will be able to gain a general background on the subject matter for this week: sustainable cities and regions. The main subjects for this week, the cities of Curitiba and Porto Alegre in Brazil provide sharp contrasts in terms of how citizens engage in city-level decision processes.

For your general information, note that the most widely discussed examples of North America "sustainable cities" include those on the Pacific coast, including, especially, Portland, Seattle and Vancouver. The websites below provide introductions to the sustainability approaches used in those cities.

Browse the following:

Sustainable Seattle <http://www.sustainableseattle.org/>  
Portland's Metro Council <http://www.oregonmetro.gov/index.cfm/go/>  
Metro Vancouver <http://www.metrovancouver.org/Pages/default.aspx>  
ICLEI—Local Governments for Sustainability <http://www.iclei.org/index.php?id=global-about-iclei>

And if you enjoy documentary TV, look at a sample show from:  
The Sustainable Cities TV Program  
[http://www.metrovancouver.org/region/tsr\\_tv/Pages/default.aspx](http://www.metrovancouver.org/region/tsr_tv/Pages/default.aspx)

*Required viewing:*

Watch the two short videos on Curitiba:  
<http://sf.streetsblog.org/2009/04/01/curitiba%E2%80%99s-brt-inspiring-bus-rapid-transit-around-the-world/>

<http://sf.streetsblog.org/2009/07/07/streetfilms-car-free-in-curitiba-brazil/>

*Required reading:*

Rabinovitch, J. 1992, Curitiba: towards sustainable urban development, *Environment and Urbanization*, 4 (2): 62-73.

Moore, S.A., 2007, *Alternative Routes to the Sustainable City: Austin, Curitiba and Frankfurt*, Lexington Books, Lang ham, MD, pp. 73-116.

Abers, R.N., 2000, *Inventing Local Democracy: Grassroots Politics in Brazil*, Lynne Rienner Pub. Inc., Boulder, CO, pp. 1-22.

Menegat, R., 2002, "Participatory democracy and sustainable development: integrated urban environmental management in Porto Alegre, Brazil," *Environment and Urbanization*, 14 (2): 181 -- 206.

Arnstein, S. R., Ladder of Citizen Participation, *Journal American Institute of Planners*, 35 (4): 216-224.

*Optional, recommended reading:*

Holman, N., 2009, "Incorporating local sustainability indicators into structures of local governance: a review of the literature," *Local Environment*, 14 (4): 365–375.

### **Week 3 – Water Governance: Serving the Urban Poor**

Millennium Development Goals

Water governance

Debates on public vs. private sector and public-private initiatives

Community-based initiatives and the "informal sector"

Corruption and its toll on the urban poor

*Required reading:*

McGranahan, G. and D. Satterthwaite. Governance and Getting the Private Sector to Provide. Better Water and Sanitation Services to the Urban Poor, pp. 1-16

Satterthwaite, D, McGranahan, G. and D. Mitlin, Community-driven development for water and sanitation in urban areas: its contribution to meeting the Millennium Development Goal targets, IEED, London, pp. 1-12 and 17-23.

Sohail, M. and S. Cavill, 2008, "Water for the poor: corruption in water supply and sanitation," pp. 40-52 in Zinnbauer, D. and R. Dobson (eds.), *Global Corruption Report 2008, Corruption in the Water Sector*, Transparency International and Cambridge University Press, Cambridge, U.K.

Bakker, K., et al., 2008, "Governance Failure: Rethinking the Institutional Dimensions of Urban Water Supply to Poor Households," *World Development* 36 (10): 1891-1915.

*Optional, recommended reading:*

Shordt, K., Stravato, L., and C. Dietvorst, 2006, About Corruption and Transparency in the Water and Sanitation Sector, Thematic Overview Paper 16 , IRC International Water and Sanitation Centre, The Hague, The Netherlands, pp. 1-18 and 24-27.

#### **Week 4 – Common Property and Collective Action**

Hardin’s Tragedy of the Commons

Definition of common pool resources

Ostrom’s framework and managing common pool resources

Property rights strategies for managing common pool resource problems

Examples from forestry and groundwater management

*Required reading:*

Becker, CD and E. Ostrom, 1995, “Human ecology and resource sustainability: the importance of institutional diversity,” *Annu. Rev. Ecol. Syst.* 26, 113-133. Read only pp. 113-118.

Hardin, G., 1968, “Tragedy of the Commons,” *Science*, 162 (3859): 1243 – 1248.

Ostrom, E., 1999, Self-Governance and Forest Resources, Occasional Paper No. 20, Center for international Forestry Research, Bogor, Indonesia, pp. 1-15. Available at [www.cifor.cgiar.org/publications/pdf\\_files/OccPapers/OP-20.pdf](http://www.cifor.cgiar.org/publications/pdf_files/OccPapers/OP-20.pdf)

Libecap, G., 2009, “The tragedy of the commons: property rights and markets as solutions to resource and environmental problems,” *Australian Journal of Agricultural and Resource Economics*, 53 (1): 129-144.

Bromley, J., 2001, "Problems of sustainable groundwater management in an area of over-exploitation: the Upper Guadiana Catchment, Central Spain," *Water Resources Development*, 17(3): 379 -- 396.

*Optional, recommended reading:*

Ostrom, E., 2000, “Collective action and the evolution of social norms,” *The Journal of Economic Perspectives*, 14 (3): 137-158.

#### **Part Two – National and Global Environmental Governance and Climate Change**

##### **Week 5 – Domestic Environmental Governance: the United States and Climate Change Legislation**

Environmental policy formulation in the U.S.: participants and processes

How a bill becomes a law

The US EPA as an organization

Evolution of proposed U.S. climate change legislation: the Waxman-Markey Bill

Implementation as a post-legislation phase of policy debates  
Administrative Procedure Act, regulations and guidance

*Required viewing:* The class will meet for a special session, before the class session for week 5, to view the following film (59 minutes in length):

- *An act of Congress: H. R. 6161.* This film uses the Clean Air Amendments of 1977 as a legislative case study to illustrate the lawmaking process by actually filming our elected representatives as they struggle to translate the issues and the conflicting desires of the people into the law of the land. The film includes segments of committee hearings, strategy sessions, floor debate and joint House-Senate hearings, and follows the actions of key legislators. It also includes appearances by a very young Representative Henry Waxman (of the contemporary “Waxman Markey bill” on climate change). Waxman is now Chairman of the House Energy and Commerce Committee.
- *Interview with Representative Henry Waxman.* Students should view, on their own, the short segment of an interview with Representative Henry Waxman, in which he responded to several important questions about the creation of the Waxman Markey bill. The interview is at Website of Democracy Now! (<http://www.democracynow.org/>) The interview was part of the show hosted by Amy Goodman that aired on August 4, 2009. See the portion that starts at about 33 minutes into the show and ends at about 47 minutes from the start. (The preceding section of the tape is on health care reform.) Details on availability will be discussed in class during Week 4.

*Required reading:*

Ortolano, L., 1997, *Environmental Regulation and Impact Assessment*, John Wiley & Sons, N.Y., pp. 44-62, 249-251 and 265-267.

Fiorino, D.J., 1995, *Making Environmental Policy*, Univ. of California Press, Berkeley, pp. 167 -196.

Rosenbaum, W.A., 2008, *Environmental Politics and Policy*, CQ Press, Washington, D.C., pp. 27-57.

Selected readings (**to be skimmed**) on House of Representatives HR. 2454, American Clean Energy and Security Act of 2009 (ACES, or the “Waxman Markey Bill,” or the “energy and global warming bill”). For the current status of the Waxman Markey bill, see <http://www.govtrack.us/congress/bill.xpd?bill=h111-2454>

- March 26, 2009. Information available to House members. Lashof testimony in context. Committee on Ways and Means

- March 26 2009. Cong. Testimony. Illustration of policy studies presented to House committees. Lashof, NRDC
- March 31. 2009. Waxman Markey. discussion draft
- March 31 2009. Press coverage of discussion draft Wall Stree Journal
- June 23, 2009. NY Times, Energy Bill Unfinished, but Vote Nears
- June 23, 2009. Press coverage as vote nears. NY Times, Energy Bill Unfinished, but Vote Nears.
- June 24 2009. “Blogosphere coverage.” From The opinionator-- NYTimes summary of blogs on Waxman Markey
- June 30, 2009 NY Times Op (Friedman) supporting Waxman Markey
- July 26 2009. Wall Street Journal. Op Ed (Dupont) opposing Waxman Markey

*Optional, recommended reading:*

Feldman, M. and A.M. Khademian “The continuous Process of Policy Formation,” in Ahmad, K. and E. Sanchez- Triana (eds.), *Strategic Environmental Assessment for Policies: An Instrument for Good Governance*, World Bank Press, Washington, D.C., pp. 37-59.

## **Week 6 – Global Environmental Governance (GEG)**

Organizations and institutions in GEG

Evolution of GEG from Stockholm Conference to Johannesburg Summit

Brundtland Commission and sustainable development

Agenda 21 and Millennium Development Goals

Multilateral environmental agreements, framework conventions, protocols, “soft law”

“Bretton Woods institutions”

*Required viewing:*

View the short video of an interview:

Global Environmental Governance: Fixing a troubled system - Dr. Adil Najam ,  
Frederick S. Pardee Professor of Global Public Policy at Boston University

Since environmental issues entered the international agenda in the early 1970s, global environmental politics and policies have been developing rapidly. Adil Najam talks about

the need for urgent reform of our system of global environmental governance—not because it has failed, but because it has outgrown its original design.

[http://www.iisd.org/governance/geg/reform\\_options\\_video.asp](http://www.iisd.org/governance/geg/reform_options_video.asp)

*Required reading:*

Speth, J.G. and P. Haas, 2006, *Global Environmental Governance: Foundations of Contemporary Environmental Studies*, Island Press, pp. 52-124.

DeSombre, E.R., 2007, *The Global Environment and World Politics*, Continuum Int. Pub. Group, London, pp. 11-14 and 23-34.

Esty, D. and M.H. Ivanova, 2001, “Making International Environmental Efforts Work: The Case for a Global Environmental Organization,” Yale Center for Environmental Law and Policy, Working Papers Series, Working Paper 2/1, New Haven, CN.

Najam, A., 2003, The Case against a New International Environmental Organization. *Global Governance*, 9: 367-384.

*Optional, recommended reading:*

Najam, A., Papa, M. and N. Taiyab, 2006, *Global Environmental Governance: a Reform Agenda*, International Institute for Sustainable Development, Manitoba, Canada.  
[www.iisd.org/pdf/2006/geg.pdf](http://www.iisd.org/pdf/2006/geg.pdf)

Najam, A., Christopoulou, I. and W. R. Moomaw, 2004, The Emergent “System” of Global Environmental Governance, 4(4): 23-35.

## **Week 7— Diffusion of International Environmental Norms and Practices**

“World culture” and the diffusion of international environmental practices  
World Bank “mainstreaming” of environment into loan documents  
Equator Principles  
Environmental Policy Integration in the EU

*Required reading:*

Hironaka, A. (2000). “The Globalization of Environmental Protection: The Case of Environmental Impact Assessment,” *International Journal of Comparative Sociology*, 43: 65–78.

Busch, P-O., Jörgens, H., and K. Tews, 2004, "The Global Diffusion of Regulatory Instruments: The Making of a New International Environmental Regime," *European Integration online Papers* (EIoP), 8 (21); pp, 1-22. Available at: <http://eiop.or.at/eiop/texte/2004-021a.htm>,

Ibrekk, H.O., 2000, "Donor Survey of Environmental Aid Effectiveness," World Bank, Environment Department, Washington, D.C. **pp. 13-19 (only)**.

Schaper, M. 2007, "When implicit compliance monitoring and enforcement become the norm: NGOs and environmental policies in international finance." Paper presented at the International Studies Association Annual Convention, Chicago, IL, 1 March, pp. 1-17.

*Optional, recommended reading:*

W.M. Lafferty and E Hovden, 2003, "Environmental policy integration: towards an analytical framework," *Environmental Politics*.

### **Part Three: Non-Governmental Actors and Environmental Governance**

#### **Week 8 – Domestic and International Environmental NGOs**

Types of domestic and international environmental NGOs

**Activities and accomplishments of environmental NGOs in domestic and international environmental governance**

Ways in which NGOs assist in developing multilateral environmental agreements

Challenges to NGO legitimacy

NGO transparency and accountability

*Required reading:*

DeSombre, E.R., 2007, *The Global Environment and World Politics*, Continuum Int. Pub. Group, London, pp. 80-90.

Gemmill, B. and A. Bamidele-Izu, 2002, The Role of NGOs and Civil Society in Global Environmental Governance in Esty, D.C. and M. H. Ivanova, (eds.), *Global Environmental Governance: Options & Opportunities*, Yale Center for Environmental Law & Policy, Yale University, New Haven CN,  
<http://environment.research.yale.edu/documents/downloads/a-g/gemmill.pdf>

Ecologic Institute for International and European Environmental Policy and Foundation for International Environmental Law and Development, undated, "Participation of Non-Governmental Organisations in International Environmental Governance: Legal Basis and Practical Experience." Summary, pp. 3-16.

Farook, F., 2004, "NGO legitimacy: challenge and opportunity," From the website: Oneworld.net, <http://uk.oneworld.net/article/view/84482/1/> Accessed August 1, 2009.

Slim, H., 2002, "By What Authority? The Legitimacy and Accountability of Non-governmental Organisations," Paper presented at the The International Council on Human Rights Policy International Meeting on Global Trends and Human Rights — Before and after September 11, Geneva, January 10-12, 2002.

*Optional, recommended reading:*

Zarsky, L., 2001, "From Bystanders to Collaborators: New Roles for Civil Society In Urban-Industrial Environmental Governance in Asia." Prepared for the Working Paper series accompanying the Asian Development Bank's *Asian Environment Outlook 2001*.

### **Week 9 – Non-State Market Driven (NSMD) governance systems**

*Required reading:*

Barry, J., 2005, "Ecological modernization" (plus the introduction to the chapter by the editors), in Dryzek, J. and D.P. Schlosberg (eds.), *Debating the earth, the environmental politics reader*, second edition. Oxford University Press, Oxford, UK.

Prakash, A. and Kollman, K., 2004, "Policy modes, firms and the natural environment," *Business Strategy and the Environment*, 13: 107 -- 128.

Clapp, J., 1998, "The privatization of global environmental governance: ISO 14,000 and the developing world," *Global Governance*, 4: 295 -- 316.

Jiang, R.J., and P. Bansal, 2003, "Seeing the need for ISO 14, 001," *Journal of Management Studies*, 40:4, 1047 -- 1067.

*Optional, recommended reading:*

Boiral, O., 2007, "Corporate greening through ISO 14,001: a rational myth?," *Organization Science*, 18(1): 127 -- 146.

### **Week 10—Student Presentations**