



GOVERNANCE IN AREAS OF LIMITED STATEHOOD

EDITORIAL

Dear Ladies and Gentlemen,



Thomas Risse

maybe you have already noticed that much has happened in our Collaborative Research Center 700 (SFB)! During 2011, the second year of our second funding period we focused on field work. We are currently working on the evaluation of the results. In April this year the SFB 700 hosted a reception at the International Studies Association (ISA) Conference. Furthermore in the upcoming months we will focus on the preparation of the renewal proposal for the funding period 2014-2017. Results need to be summarized and the proposal has to be written.

In this issue of our newsletter we included an article by Marianne Beisheim on governance through partnerships and sustainable development which matches the overarching issue of the ongoing "Rio+20" Conference. Moreover, we added for you interesting short reports on the field work carried out by our research staff.

Yours,

Thomas Risse
Spokesperson of the SFB 700

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SFB 700: Reception at the ISA

The Collaborative Research Center 700 (SFB) "Governance in areas of limited statehood" presented at the ISA Annual Convention 2012 in San Diego with a poster exhibition, panel participation, and an info stall. The highlight of the SFB performance was the reception organized by the research center. The event was well received with 150 guests. Etel Solingen, the president of ISA Annual Convention 2013, visited the event and was very interested in getting information on our research center. After a brief opening speech of SFB spokesperson Thomas Risse the guests enjoyed the poster exhibition displaying impressions of the work done in the 18 research projects of the SFB 700. During the four-day con-

ference the twelve SFB members who traveled to San Diego presented and discussed their research results on various panels.



Messages



NEW RESEARCH PROJECT

Since January this year the Collaborative Research Center 700 (SFB) got a new research project! Under the leadership of Prof. Dr. Klaus Mühlhahn the project team B13 researches the transformation of governance institutions in China (1945-1957). The emphasis of the project lies on the development of institutions and forms of legitimate governance to address internal streams of refugees and migrants. The two northern Chinese cities of Tianjin and Qingdao are the project's regional focus. The work conducted in this research project is directed by Klaus Mühlhahn with the assistance of research associate Hajo Fröhlich.



Klaus Mühlhahn



WORKSHOP AT THE GERMAN INSTITUTE FOR INTERNATIONAL AND SECURITY AFFAIRS (SWP)

Representatives of several German federal ministries and scientists from the SFB 700 and the German Institute for International and Security Affairs (SWP) discussed "State-Building and Governance in Areas of Limited Statehood" in a workshop, jointly organized by the SFB and the

SWP and hosted by the SWP on 7 May 2012. The workshop explored the policy implications of a volume, entitled "Governance Without a State? Policies and Politics in Areas of Limited Statehood", edited by Thomas Risse (spokesperson of the SFB), published by Columbia University Press in 2011.



SFB 700 AT THE "LONG NIGHT OF THE SCIENCES"

What role do NGOs play in the protection of human rights? SFB 700 together with Human Rights Watch (HRW) organized a panel discussion on this topic at the "Long Night of the Sciences" on June 2, 2012. The panel included Wenzel Michalski (HRW), Andrea Liese (SFB 700), and Beate Rudolf (German Institute for Human Rights). As part of the event the research projects of the SFB 700 also presented a poster exhibition.



Topic for „Rio+20“: Governance through Partnerships for Sustainable Development

In June 2012, the UN Conference on Sustainable Development in Rio de Janeiro will call attention to the fact that pressing governance challenges in the context of sustainable development are unsolved. This includes, for example, the access to sustainable water, energy, and health services. Many countries' capacities tackle these issues in areas of limited statehood are weak. So who will take responsibility and master these tasks?

Partnerships as actors of governance

The Rio+20 conference takes place 20 years after the first Earth Summit in Rio 1992. Tangible outcomes in 1992 were the Rio Declaration



Partnership Clean Water Supply in Kibera, Kenya. Photo: privat

and Agenda 21 - action plans for sustainable development. Ten years later, at the Johannesburg Summit in 2002, a great implementation deficit on the part of many member states was found. The UN Secretary-General at that time, Kofi Annan, invited the business community and civil society to help implement the agreed objectives more rapidly by forming *partnerships*

for sustainable development.

Great expectations rested on these partnerships. They were to achieve a more effective implementation of sustainable development by disseminating knowledge, developing voluntary standards and certification tools, or financing and putting into practice independent projects. At the first Rio Conference in 1992 the UN Commission for Sustainable Development (CSD) was established with the intent to accompany and support the partnerships. Now ten years later, in 2012, these partnerships for sustainable development are to be "revived" at a parallel Partnership Forum in Rio. Why is that necessary and what action needs to be taken?

Effectiveness: large variation and no monitoring of results

Up to now, 349 partnerships applied for registration and were included in the CSD database. Opinions on their effectiveness differ. The invitation to the Partnership Forum in Rio 2012 describes partnerships as the „most participatory and effective mechanism to implement sustainable development.“ Critical NGOs on the other hand accuse many partnerships of greenwashing private-sector activities. Some studies come to the conclusion that more than half of the partnerships registered in the CSD database are inactive or dysfunctional and that the effectiveness of the active partnerships varies greatly. Empirical studies on 21 partnerships and their local projects in areas of limited statehood conducted by the D1 project of the SFB 700 also confirm this: the effectiveness of the partnerships ranges from some few initiatives which show good performance to a broad middle field up to total failure. But even the success of individual projects of the same partnership varies. The D1 project (www.sfb-governance.de/ppp) shows that institutional design in combination with good process management determines the success

of most partnership project. Beginning already on the transnational level, in the secretariats or boards of the partnerships, it is crucial to maximize binding commitments, to define precise rules, and to verify compliance. This is especially significant for partnerships that are facing collective action problems in the implementation of their projects. Partnerships developing and implementing voluntary standards and codes of conduct profit as well from this high degree of institutionalization and moreover, they need to involve all stakeholders from the very beginning on. Partnerships that aim at the exchange of knowledge may be successful with a comparatively low degree of institutionalization, however, they also require good process management.

On the local level, the institutional design of partnership projects becomes even more important. Their design needs to be robust and at the same time flexible enough to adapt and respond to the specific conditions in areas of limited statehood. Lack of capacity on the part of the local partners needs to be tackled or at least compensated, plus all projects need to be developed together with the target group. However, partnerships also reach their limitations in areas of limited statehood. Often they avoid regions that are infested with violence. Moreover, in areas where governmental and non-governmental partners have no capability to act, the implementation of projects is too difficult and thus not feasible. If partnerships become active in these kinds of precarious spaces, for the most part they can only attend very simple governance tasks.

„Rio+ 20“: Improved evaluation and better support for partnerships

In light of these results, the outcome of the „Rio+20“ Conference should recommend to improve the UN's guidance for and overview of the CSD registered partnerships for sustainable development. There should be precise criteria determining a selection process which partnerships to list and what minimum criteria their the institutional design and management should meet. Registered partnerships should then also be evaluated against these standards. Moreover, all CSD partnerships must be required to hand in a biannual report that is structured along selected criteria and published on the website with a comment function. Inactive initiatives should be contacted again and expelled in case of missing responses. Improved evaluations of the success and the institutional design of partnerships are essential in order to further develop the partnership concept to the desired model of success.

Marianne Beisheim directs together with Andrea Liese the research project D1 "Partnerships for Development in Asia and Africa". Marianne Beisheim is also scientific staff member of the research division "Global Issues" of the German Institute for International and Security Affairs (SWP). The author is currently participating at the "Rio+20"-Conference. The SWP recently published a study edited by Beisheim: Beisheim, Marianne / Dröge, Susanne: UNCSO Rio 2012. Zwanzig Jahre Nachhaltigkeitspolitik- und jetzt ran an die Umsetzung? SWP-Studien 2012/S10, Mai 2012. Further information and how to contact the project: www.sfb-governance.de/ppp.

Beyond Elitist Environmentalism

A Field Report from India

If you dig into environmental questions in India you will be confronted with two realities. In New Delhi, the capital, you find blocks upon blocks of the fancy offices of international organizations and environmentalist groups that would make any medium-sized company jealous. Here they discuss “green economy” and draft sustainability concepts according to which the ecological, economic, and political development goals are harmoniously aligned. The Indian Ministry of Environment likes the glossy brochures, at least when there are upcoming conferences that are internationally visible, or when funds are flowing.

But if you leave the capital and talk to the people who are affected by the implementation of these plans, reality usually looks completely different than the brochures. On site, the plans from Delhi are used to “develop” indigenous communities (Adivasi). These are people who have been familiar with the local flora and fauna for centuries and who have been practicing successful subsistence economy; now they are being instructed to produce for a market which does not actually exist given the prevailing poverty. For passing on their specialized knowledge to environmentalists or researchers, they are compensated with pedalpumps for which they have no need. Often the Adivasi are driven off their settlement space by forestry authorities under the pretext of

environmental protection. If they resist they are considered “naxalites” (Maoist terrorists) and encounter police repression, sometimes even torture and killing. Some NGOs and Catholic nuns defend the even constitutionally secured rights of the Adivasi but are then themselves often facing detention and eviction.

Is this all a misunderstanding? Back in Delhi I confront people with my experience in the rural area, but they seem unsurprised. They nod in agreement and refer to the next funding application which they are submitting to some international organization soon. Recently, they say, there has been more participation according to the directives. But of course, they then say, only in cases where the indigenous population shows a willingness to cooperate, and only if they are prepared to participate in development which is in line with official sustainability goals.

Thomas R. Eimer is scientific staff member of the research project D7 “Patent Protection in India and Brasil”, directed by Susanne Lütz. Further information and how to contact the project: www.sfb-governance.de/teilprojekte/projektbereich_d7/index.html.

"The boundaries of free expression have shifted"

Field Work in Morocco and Jordan 2011

In the spring of 2011, only a few days after the protest movement in the Arab countries reached Morocco and Jordan, Anja Hoffmann (research focus Morocco) and Malika Bouziane (research focus Jordan) started their eight month field work on local governance and decentralization processes in Morocco and Jordan.

What was the research situation in the spring of 2011?

Hoffmann: The situation was tense. Everything seemed to be possible. In an authoritarian state like Morocco you don't know in which direction such an open situation develops. Some of my interview partners were suddenly shown on international media and were taking a visible role within the protest movement. Thus, my work became even more sensitive. For example, I was more careful now than during previous research trips in checking if I was putting my interview partners in jeopardy if somebody saw us together.

Bouziane: The atmosphere in Amman was strongly shaped by the protests, the sit-ins, and the demonstrations that took place every Friday after Friday prayer. One day after my arrival I was already in the middle of a spontaneous sit-in, observing how protesters that called for reforms and loyalists were attacking each other. Away from the protests I kept doing interviews as usual or did my research at the library. All interviewees were referring to the protests, also in those interviews that I was conducting partly in Ma'an, in the South of the country.

What has changed in these research areas since the beginning of the protests?

Bouziane: As part of our research we are analyzing the design of local governance institutions. In this context, the electoral laws changed and the constitution was modified in both countries. On a local level, for example, new municipal governments were appointed.

Hoffmann: Furthermore, I observed how the boundaries of free expression have shifted. All of a sudden you can voice criticism on the king. These voices are still low but they exist.

The “Arab Spring” also transformed the self-awareness of the citizens in relation to their political reality. In previous research projects the interviewees rarely talked about politics. Politics was considered something bad.

In contrast, during my research in 2011 I experienced how my interview partners' perception of politics was becoming more positive, seeing its power to effect changes.



Protests in Rabat. Photo: privat

Anja Hoffmann and Malika Bouziane are scientific staff members of the research project B6 of the SFB 700, directed by Cilja Harders. In the context of the Middle East Studies Association (MESA) in November 2012 in Denver, Colorado, USA the research associates organize the Panel „Rethinking Elections in Authoritarian States: Insights from the Peripher“. Further information and how to contact the project: www.sfb-governance.de/teilprojekte/projektbereich_b6/b6/.

New Publications of the SFB 700

Monographs and Volumes



Müller, Markus M. 2012: Public Security in the Negotiated State. Policing in Latin America and Beyond, in: Governance and Limited Statehood Series, Palgrave Macmillan: New York.



Risse, Thomas (ed.) 2011: Governance Without a State?: Policies and Politics in Areas of Limited Statehood, Columbia University Press: New York.



Beisheim, Marianne/Börzel, Tanja/Genschel, Philipp/Zangl, Bernhard (eds.) 2011: Wozu Staat? Governance in Räumen begrenzter und konsolidierter Staatlichkeit, Nomos: Baden-Baden.

SFB Working Paper Series

Draude, Anke/Risse, Thomas/Schmelzle, Cord 2012: Grundbegriffe der Governanceforschung. Ein Beitrag aus dem Teilprojekt A1. SFB-Governance Working Paper Series, Nr. 36, DFG Sonderforschungsbereich 700, Berlin.

Eimer, Thomas R. 2012: When modern science meets traditional knowledge: A multi-level process of adaption and resistance, SFB-Governance Working Paper Series, No. 35, Research Center (SFB) 700, Berlin.

Koetter, Matthias 2012: Non-State Justice Institutions: A Matter of Fact and a Matter of Legislation, SFB-Governance Working Paper Series, Nr. 34, DFG Sonderforschungsbereich 700, Berlin.

Koehler, Jan 2012: Social Order within and beyond the shadows of hierarchy. Governance-patchworks in Afghanistan, SFB-Governance Working Paper Series, Nr. 33, DFG Sonderforschungsbereich 700, Berlin.

Risse, Thomas 2012: Governance Configurations in Areas of Limited Statehood: Actors, Modes, Institutions, and Resources, SFB-Governance Working Paper Series, No. 32, Research Center (SFB) 700, Berlin.

You can find a list of all our SFB publications on our website at www.sfb-governance.com. All working papers are available for download.

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Research Program of the Collaborative Research Center 700

Governance has become a central focus within the field of research of the social sciences. The SFB 700 inquires into the conditions of governance in areas of limited statehood. This includes developing countries or those in transition, failing and failed states in troubled regions around the world, and, from a historical perspective, different colonial set-ups. How and under which conditions are efforts of governance performed in areas of leadership, security, welfare, and environment within regions of limited statehood? And what issues arise in this context? These are the key questions the Collaborative Research Center 700 (SFB), which is sponsored by the German Research Foundation (DFG), has been dealing with since it started its work in 2006.

Coordinators of the SFB 700

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Freie Universität Berlin

Universität Potsdam

Wissenschaftszentrum Berlin (WZB)

Stiftung Wissenschaft und Politik (SWP)

Hertie School of Governance (HSoG)

