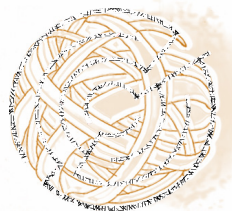# Who.Shapes.Complex.Futures?

2016 FREIBURG FORUM ON ENVIRONMENTAL GOVERNANCE

April 23rd, 2016 | Albert-Ludwigs-Universität | Freiburg, Germany

WHO.
SHAPES.
COMPLEX.
FUTURES?

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UNI FREIBURG

Welcome!

As students of the Environmental Governance Master Program there is something that is really keeping us awake at night. It is the realization: 'This world needs a transition to more sustainable forms of human life' – and consequently the question: 'How can this ever possibly happen and who is going to do it?"

This is why we dedicated this year's Freiburg Forum on Environmental Governance to the topic of success factors for change and personal mastery. The Forum is an annual event that is concertedly conceptualized and organized by students of the Environmental Governance Master program.

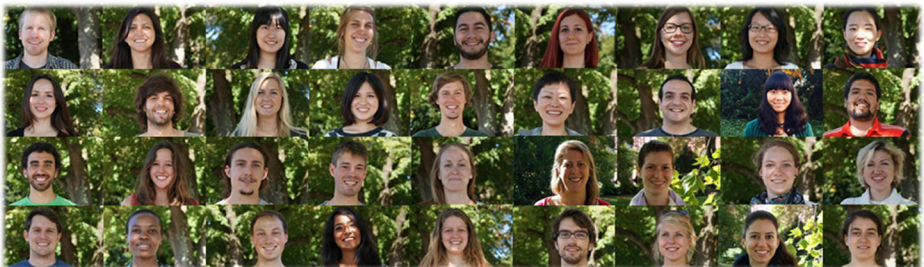We have invited local and international change makers who are wil-ling to share their experience and strategies that have been successful in instilling change.

The first and foremost resource for being an effective change maker is you: your vision, motivation, skills and energy. In the afternoon's workshop we will explore how we can use personal mastery and self-leadership to become an effective change maker.

We invite you to use this brochure as a „learning journal". It not only contains an essay on theoretical questions about change, but also guiding questions for your own reflections on today's topics.

We hope this will be a truly inspiring event.

10th generation of MEG students

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Program overview

Success factors for change

Identify key strategies and conditions to create change

Introspection

Reflect on your personal vision based on your values to be an impactful change maker
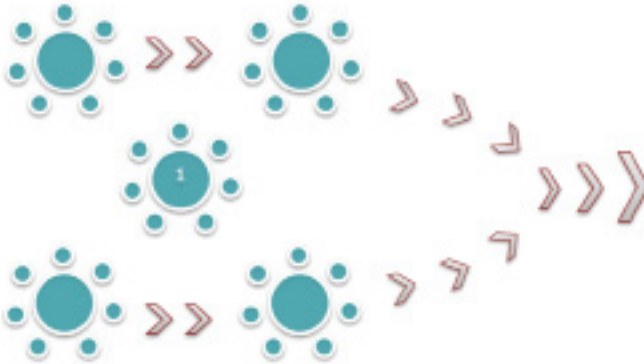
Networking, charisma or cooperation - what makes an individual succeed? We invite change makers from government and NGO who have successfully impacted their working environment, to share their strategies for change and key factors that helped them to succeed.

To be the change you want to see in the world, you need to know what drives you and in which direction you are going. Through the exploration of the relationship between your personal core values, your vision and sustainability goals, you can understand how all interact to influence your potential to deliver positive change.

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Time	Event	Location
9:00 - 9:30	Welcoming, Registration	KG I: Foyer
9:30 - 13:00	**Success Factors for Change**	
9:30 - 10:40	Presentation of the speakers and introduction to the theme of change	KG I: Lecture Hall HS 1199
10:40 - 11:00	Coffee and Tea break	KG I: Foyer
11:00 - 11:45	World Café Round I: Facilitated group discussions with one speaker at a table	KG I: HS 1142, 1140, 1139, 1137, 1136, 1134, 1132
11:45 - 12:30	World Café Round 2: facilitated group discussions with another speaker at a different table	KG I: HS 1142, 1140, 1139, 1137, 1136, 1134, 1132
12:30 - 12:40	Break	KG I: Foyer
12:40 - 13:00	Wrap-up by the moderators	KG I: Lecture Hall HS 1199
13:00 - 14:30	Lunch (will be provided)	KG I: Foyer
14:30 - 17:30	**Introspection**	
14:30 - 15:15	Personal Mastery: self-development, motivation, worldview	KG IV: Übungsraum 2
15:15 - 15:25	Coffee and Tea break	
15:25 - 17:30	Self-leadership: individual vision, core values, personal succsss factors	KG IV: Übungsraum 2
20:00 - 24:00	Celebration	Hofcafé Corosol

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Preparatory background

This essay is intended to frame the line of thoughts of participants for the discussions in the respective world café sessions. It is not claiming comprehensive coverage of the themes. It presupposes that participants are familiar with the terminology and classical authors referred to.

Conceptions of Change

Change is as an overarching theme in the social sciences. The basic question is: "What factors determine the structure of society and the nature of change?"[1] Does "change [occur] in the context of stability"[2][3] or rather stability in the flow of change?

There is a long standing tradition in the social sciences which deals with this theme under the notion of **social change**. The social refers to the relational character of human life, be it between individuals, groups, what is called societies, or humans and non-humans. Then, change taken most trivially

is something new in these relations in comparison to time. Some key terms are subsequently illustrated.

Theories explaining patterns of change can be grouped into three categories: linear, cyclical, and dialectical models.

The **linear model** is based on the idea of progress, or evolution, and was influenced by Darwin's theory of evolution. The concept of progress has become the most influential idea, especially since the Enlightenment movement of the 17th and 18th centuries. Many theories fall under this stream thought of social change as a linear process. Amongst those within this category include prominent figures such as Adam Smith, Auguste Comte, Herbert Spencer, Karl Marx. These "[e]volutionary theories were criticized on empirical grounds—they could be refuted by a growing mass of research findings—and
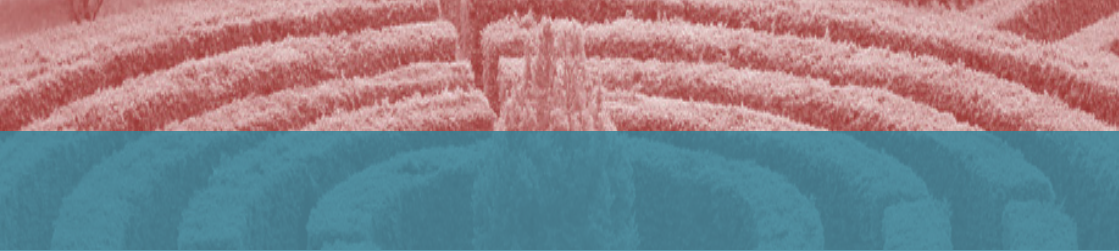
because of their determinism and Western-centred optimism. Theories of cyclic change that denied long-term progress gained popularity in the first half of the 20th century." [4]

Cyclic models differentiate between rather short-term cycles (day and night, business cycles) and long-term cycles (the rise and fall of civilizations, growth and decline in economies) and see short-term changes appearing within long term ones. Directionality is not necessarily seen as part of such changes.

Dialectical models contain elements of both linear and cyclical change where short-term change tends to be cyclic while long-term change tends to follow a direction. For example, production rates of industrializing countries exhibit the pattern of short-term business cycles occurring within long-term economic development.

Much of the development theme is in line with combined linear and cyclic pattern-based explanations. Subsequently the terminology of modernization and related debates has come to the forefront. Some popular examples are: modernization theory (e.g. Walt Rostow), dependency and world systems theory (e.g. Immanuel Wallerstein), reflexive modernity (e.g. Ulrich Beck), post-modernism (e.g. Baudrillard), or ecological modernization (e.g. Jänicke).

Three theoretical streams of explanation of social change have evolved. **Functionalist theories** try to explain change by the necessities of survival (of collective actors). **Conflict theories** approach social change by means of conflict among groups and classes within society over the control of valued and scarce resources. **Interpretive theories** stipulate that society as social interaction is an ongoing process

between people and groups where ongoing negotiation and revision of meanings, symbols, and social definitions constitute both society and change – and create negotiated order.

We contend there is the tendency of a non-deterministic understanding of social change – e.g. "modernization" being a human project. Besides various structural factors (such as the natural environment, demography, technological innovations, economic processes) agential factors have received attention and increasingly do so (such as Ideas, great individuals/leaders, social movements, political processes, revolutions). This leads to the theme of structure and agency, i.e. to what extent are humans capable of "making history" [5] consciously directing change? Ultimately, both factors are interdependent or even co-constitutive and not analytically separable. [6][7]
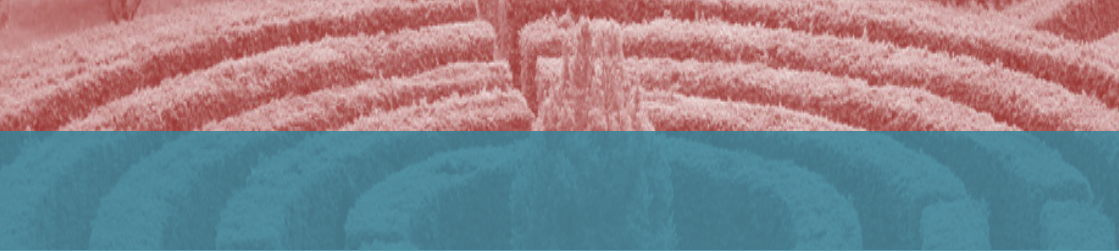
Success Factors for Change

In line with the invited speakers we tried to gather some success factors for change towards sustainability in order to give a more concrete picture on what this means in different contexts.

Context: International Organization *(Tarcisio Hardmann Reis, UNEP)*

Scholars have identified some success factors for regime formation and regime implementation, which are necessary preconditions for the functioning of international environmental regimes.[8]

Regime formation includes the negotiations among states, **regime implementation** includes the process of putting the regimes conditions into practice. Although these two steps are not sufficient to ensure effective ways to deal with environmental problems, these are preconditions for the functioning of these regimes.

Some important factors for **successful regime formation** for the structure of the problem include: high public concern for the problem, low regulation costs, scientific certainty and good collaboration.

On the other hand, important factors which can contribute to **successful negotiation processes in regime formation** are low negotiation costs, differentiation of rules and in case of high transaction costs and scientific uncertainty, an initial framework treaty followed by more precise agreements. If the environmental problem is considered urgent by a majority of actors, an initial informal agreement increases likelihood of regime formation.

It is important that states support the issue area and that a large asymmetry between powerful states is absent. Furthermore, the fewer the economic sectors needing regulation of an environmentally harmful activity, the more likely the chances of regime formation. Other important factors include the existence of a preceding international agreement dealing with the same or a similar problem, consensual scientific information by scientific advisory bodies and participation by stakeholders in decision-making.

Now, some success factors for **regime implementation** are: "precise rules" or a "strong secretariat", independent of the given context. Here it is also important to have good collaboration, low regulation costs, participation of high-level government representation in COPs, participation of all powerful and important states in a regime and and a minimal number of economic sectors needing regulation of an environmentally harmful practice. Under these conditions regime implementation is the most likely to be realized.

Also important are **regime mechanisms** that increase scientific knowledge generation and dissemination mechanism for regular reporting and implementation review, regimes with broad issue coverage, regime mechanisms that increase public awareness, sanction mechanisms within a regime, an autonomous standing decision-body and positive interactions with other regimes increase regime implementation. Finally, it is also important to have very precise, legally binding and differentiated rules as well as the existence of strong autonomous secretariat.[9]

Context: Global Development Cooperation Organizations *(Lorenz Petersen, GIZ)*
The following are a few general factors of success for development cooperations:

1. Legitimacy: Credibility of any international platform needs to be backed up by an inclusive membership. This includes "aid providers", "aid recipients" and emerging countries in their double role as "providers and recipients". Since the need to include non-state actors, for example civil society, private sector or academia, is becoming increasingly important, a global platform might also address non-aid-based ways of cooperation with stakeholders from other policy areas.

2. Effectiveness: A global development cooperation platform needs to provide a set of rules and standards that lead to tangible outcomes. Therefore, for the platform to be effective, there needs to be an accountability mechanism that improves the impacts of development cooperation. Additionally, the platform should maintain a concrete set of effectiveness indicators for those actors ready to commit to additional efforts, as well as a monitoring and evaluation tool for enforcement in the peer group.

3. Relevance: A global develop-

ment cooperation platform also needs to be able to connect to broader debates on development. The Millennium Development Goals (MDGs) strongly shaped the global agenda on aid and human development challenges. At the same time, a number of separate global platforms dealt with implementing the agenda or its parts, often leading to a disconnection between goal-setting and implementation. After 2015, a new set of universal sustainable development goals replaced the MDGs. These are likely to increase the scope and ambition for global cooperation and go beyond the narrow aid and MDG focus, thereby underscoring the need for more integrated approaches. Development cooperation – often termed the "how" of achieving these goals – will be one important part of such an integrated approach. The future platform therefore needs to be closely linked to the post-2015 agenda to ensure the platform's relevance.[10]

4. Strategic alliances: It is becoming increasingly important for development cooperations to form strategic alliances and networks among partners with compatible goals and interests as important factor for success. This aims at attaining development through joint efforts. These alliances must emerge from an evolutionary process of mutual learning and continuous adaptation. There must be commitment from both sides of the partnerships/ alliances.[11]

5. Adaptability: Due to the changing environment, Development cooperations need to continuously review their mission in light of their practical implementation and orientation towards the future.

Context: City Government and Administration *(Simone A. Pflaum, City of Freiburg)*
A city's **Political Culture and Community engagement** play a crucial role, i.e. its openness to

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groups that try to initiate or foster changes. **Institutional structures**, i.e. the city government structures and the powers given e.g. to the mayor or parliamentary bodies, can drastically influence opportunities and strategies. **Intergovernmental relations** between the city government and political-administrative levels below and above play a role. **Clarity over the role** of local government, both internally and externally with regard to the executive and legislative, is needed related to the ambitions and possibilities of changing structures and practices. Furthermore, **economic considerations** are important for considering **windows of political opportunity**: "When there is a conflict between economic development and sustainability concerns, the former are more likely to trump sustainability concerns in economically distressed cities than in prosperous cities."[12] **Technology and technological innovation** can also offer opportunities to combine a sustainability ambition with economic considerations (esp. relating to energy).

Context: Grassroots/Citizen-based Sustainability Initiatives
(Mumta Ito, Wholistic Law Centre & Luciano Ibarra, GartenCoop)
At the individual level it can be stated that a majority of bottom-up initiatives "is initiated and driven forward by individual change agents".[13] Individuals then typically have a clear image or vision of **why change is necessary, why one should get engaged, how change can happen** and are supported to act via interpersonal influences.

At the group level **organizational resources**, such as a recognized legal status of the organization, funding sources, size and diversity of their membership, trust, and leadership abilities are important. Furthermore, **group dynamics**, such as shared worldviews and social norms, openness regarding process and goal-setting, expectation management, and balan-

ced competencies and capabilities play a role.

At the societal level **external engagement,** from regional or national networks, contacts to other stakeholders, external communication and the external impression by others, as well as **societal framework conditions** (be it political or governance support), an enabling institutional framework, infrastructure, or windows of opportunity, constitute success factors for bottom-up initiatives.

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[1]   http://www.oxfordbibliographies.com/view/document/obo-9780199756384/obo-9780199756384-0047.xml, retrieved on 31.03.2016

[2] Marsh, D. 2010. Meta-Theoretical Issues. In: Marsh, D. and Stoker, G. (eds.) 2010. Theory and Methods in Political Science, pp. 212-231. 3rd edition. Basingstoke and New York, Palgrave Macmillan.

[3] Berkes, F., Colding, J. and Folke, C. 2003. Introduction. In: Berkes, F., Colding, J. and Folke, C. 2003. Navigating Social-Ecological Systems, Building Resilience for Complexity and Change, pp. 1-30. 1st edition. Cambridge, Cambridge University Press.

[4] http://www.britannica.com/topic/social-change, retrieved on 29.03.2016

[5] Sztompka, P. 1993. The Sociology of Social Change. 1st edition. Oxford and Cambridge, Blackwell, p. 179.

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[7] Sztompka, P. 1993. The Sociology of Social Change. 1st edition. Oxford and Cambridge, Blackwell.

[8] de Vos, M. G., Janssen, P. H., Kok, M. T., Frantzi, S., Dellas, E., Pattberg, P., Petersen, A.C. & Biermann, F. (2013). Formalizing knowledge on international environmental regimes: a first step towards integrating political science in integrated assessments of global environmental change. Environmental modelling & software, 44, p. 102.

[9] de Vos, M. G., et al (2013). Formalizing knowledge on international environmental regimes, p. 110-111.

[10] Janus, H., Klingebiel, S. and Mahn,T. (2014). How to shape development cooperation? The global partnership and development cooperation forum. German Development Institute. Briefing paper.

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[12] Saha, D. 2009. Factors Influencing Local Government Sustainability Efforts. State & Local Government Review, 41(1) (2009),p.42.

[13] Grabs, J., Langen, N., Maschkowski, G. and Schäpke, N. 2015. Understanding role models for change: a multilevel analysis of success factors of grassroots initiatives for sustainable consumption. Journal of Cleaner Production xxx (2015), p.5.

Part I:
Success factors for change

Speakers

Tarcisio Hardmann Reis is the coordinator of the Environmental Network for Optimizing Regulatory Compliance on Illegal Traffic (ENFORCE), a partnership between governments, international organizations and networks on illegal traffic of hazardous wastes under the Basel Convention.

Simone Ariane Pflaum is head of the Executive Department for Sustainability Management of the City of Freiburg. As a member of ICLEI`s FutureCityLeader Initiative she was delegate to the UN Conference Rio+20. Simone is inaugural fellow of the Atlantic Council Millennium Leadership Program.

Luciano Ibarra is a filmmaker and activist. He is involved in community grassroots networks aiming for social and environmental justice. He is co-founder of the first CSA (community supported agriculture) cooperative in Freiburg and of the independent media collective Cine Rebelde.

Lorenz Petersen is Director of the Climate Change, Rural Development and Infrastructure Division of GIZ. Previously, he was GIZ Country Director in Mozambique and managed the GIZ Competence Center for Climate Change. He also worked as Campaign Coordinator for Greenpeace International.

Mumta Ito is founder of Rights of Nature Europe and the International Centre for Wholistic Law, and is Director of the Association for the European Citizens Initiative. Previously, in her career as a lawyer, she advised investment banks, multinationals, governments, as well as NGOs.

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Notes

You are invited to use this part as your „Learning journal". We prepared some guiding questions for you that you can use if you wish.

- What success factors for change can you identify from your own experience?
- What are your most pressing unanswered questions that you would like to address with the speakers?
- What are the most important success factors for change brought forward by the speakers in the different sectors?
- What are your main lessons learned from the World Café?
- How can the identified success factors for change support and impact your own work? Which factors are most useful for you?
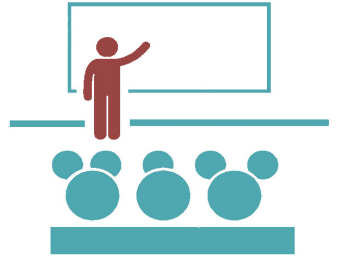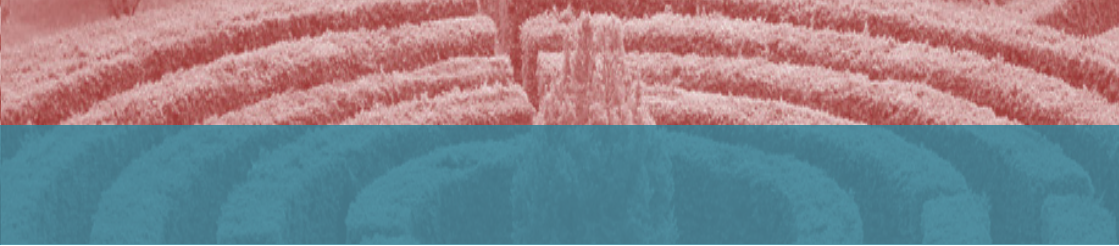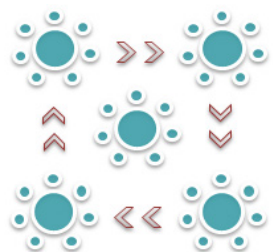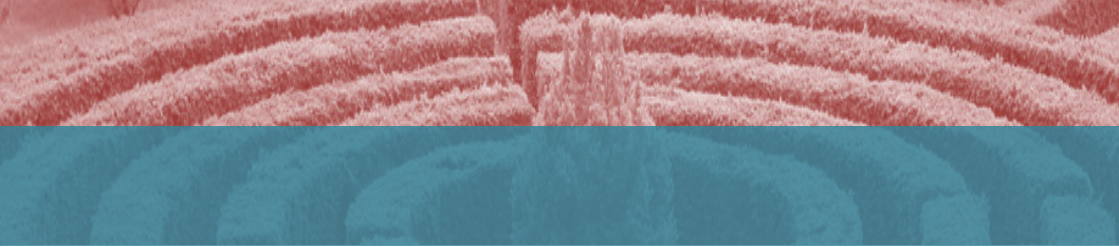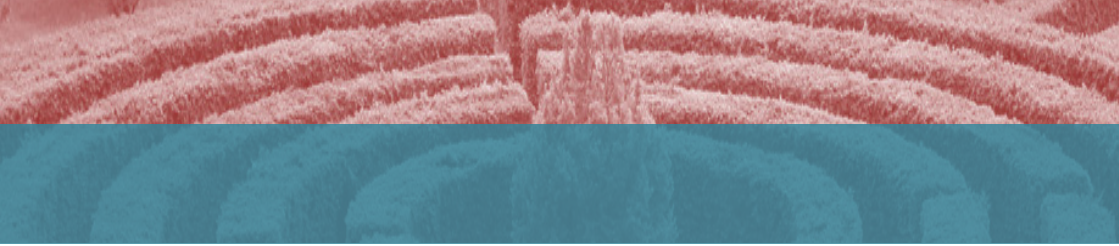
Part II:
Introspection

Personal Mastery

„Personal Mastery involves learning to keep both a personal vision and a clear picture of current reality before us. It teaches us not to lower our vision, even if it seems as if the vision is impossible. [...] And, paradoxically, it teaches us that the content of the vision is not important in itself. „It is not what the vision is", says Robert Fritz. „It's what the vision does." [...] Mastery means the capacity not only to produce results, but also to „master" the principles underlying the way you produce results. If someone can create great work only with constant struggle, we wouldn't call him or her masterful. In mastery, there is a sense of effortlessness and joyousness. It stems from your ability and willingness to understand and work with the forces around you."

Senge, Peter M. (1990): The Fifth Discipline. The Art & Practice of
The Learning Organization. Doubleday/Currency, New York.

Facilitator: Prof. Dr. Heiko Röhl

Heiko is management consultant at the Kessel und Kessel GmbH. In his past, he worked as a project manager in the future research department of the DaimlerChrysler AG, as program leader at the Nelson Mandela Foundation on behalf of the German government, and as head of corporate development at the GIZ. He authored numerous books in the field of change management and organizational learning. In Freiburg, Heiko teaches students of the MSc. Environmental Governance program.

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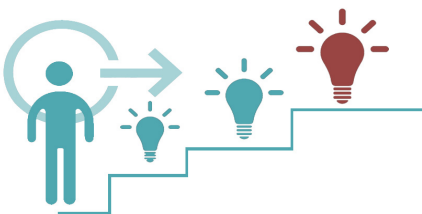Albert-Ludwig University Freiburg
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Guiding questions

- What is your motivation to be a change maker?
- How sustainable is your way of engagement? How do you access your sources of energy?
- What did you learn about your values, inner driving forces and visions and what do you need to move towards them?
- What are the main lessons learned from this workshop for you? What can be next steps to transfer them into your daily life and practice?
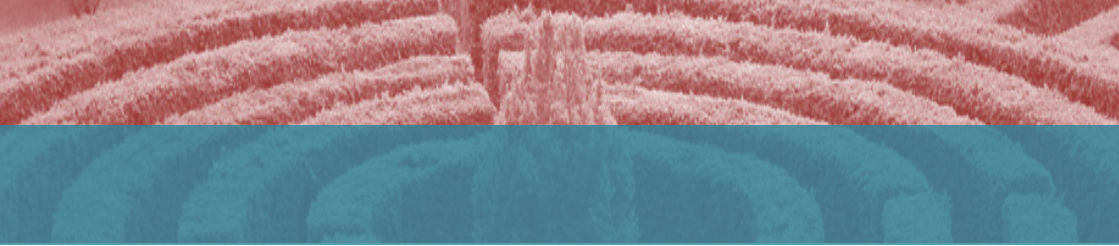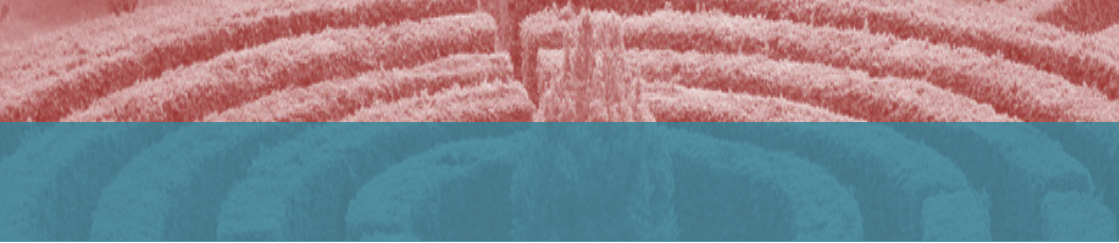
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