

# How to study 'agency (beyond the state)'?

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# Transformations of World Sustainability Politics

- Increasing relevance of non-state actors;
- Increasing interaction between political and functional levels;
- Increasing variety of governance mechanisms.

# Defining agency (beyond the state)

- Agency results from the capacity of individual and collective actors to change the course of events or the outcome of processes.

# How to analyze agency beyond the state?

- Focus on the emerging arena of 'transnational sustainability governance'
  - "the arena in which 'the authoritative allocation of values in societies' now takes place increasingly reaches beyond the confines of national boundaries, and a small, but growing fraction of norms and rules governing relations among social actors of all types (states, international agencies, firms, and of civil society) are based in and pursued through transnational channels and processes" (Ruggie 2004).

# How to analyze agency beyond the state?

- “The transnational level is a space in itself where interactions take place and behavioural patterns get structured. This is particularly true and interactions are particularly dense in periods when cross-border processes of exchange, competition and cooperation intensify. As such, the transnational space is bound to give way to processes of institutionalization or institution building” (Djelic and Quack 2003).

Global Governance

Intergovernmental Sphere

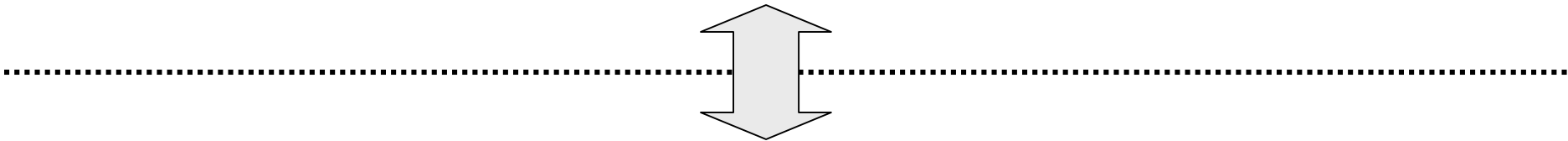
Transnational Sphere

Norms and Rules

IGOs

Norms and Rules

Transnat. Org's



Corporations

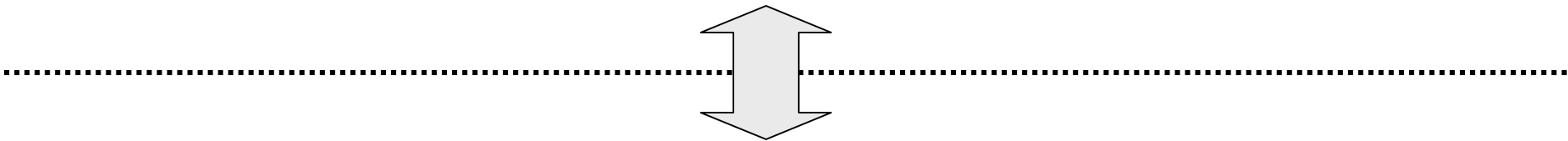
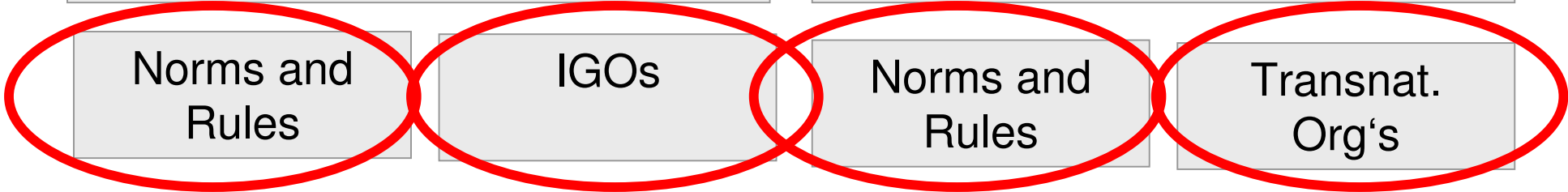
States

Societal Groups

Global Governance

Intergovernmental Sphere

Transnational Sphere



Corporations

States

Societal Groups

# Actors and modes of steering

Actors involved	Public	Public-Private	Private
Steering modes			
<b>Hierarchical</b>	National policy; supra-national organization (EU climate policy)		
<b>Non-hierarchical I</b>	International society; bargaining (UNFCCC)	Delegation, corporatism, public-private partnerships (CDM, WSSD)	Private regimes; NGO-business institutions (CSR, off-setting); individual (PCA)
<b>Non-hierarchical II</b>	International society; arguing		

# Actors and Functions

Authority Gov Function	Public	Hybrid/ Shared	Private/Non-state
Information-sharing	The Nairobi Convention Clearinghouse and In-formation Sharing Sys-tem	Global Compact	Carbon Disclosure Project (CDP)
Implementation	National development agencies (e.g. USAid)	WSSD Partnerships (e.g. REEEP)	World Business Council for Sustainable Development (WBCSD)
Rule-making	Decision-making through Conference of Parties (e.g. climate COP)	World Commission on Dams (WCD)	Forest Stewardship Council (FSC)

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# Example I: Information-Sharing Organizations

- Global Compact
- Carbon Disclosure Project

# Example II: Implementation Partnerships

- WSSD Partnerships (type-2);
- *Partnerships* stood at the centre of the World Summit on Sustainable Development in 2002 in Johannesburg;
- More than 300 “Partnerships for Sustainable Development” were agreed around the Summit;
- Most are registered with the United Nations CSD;
- Today: 342

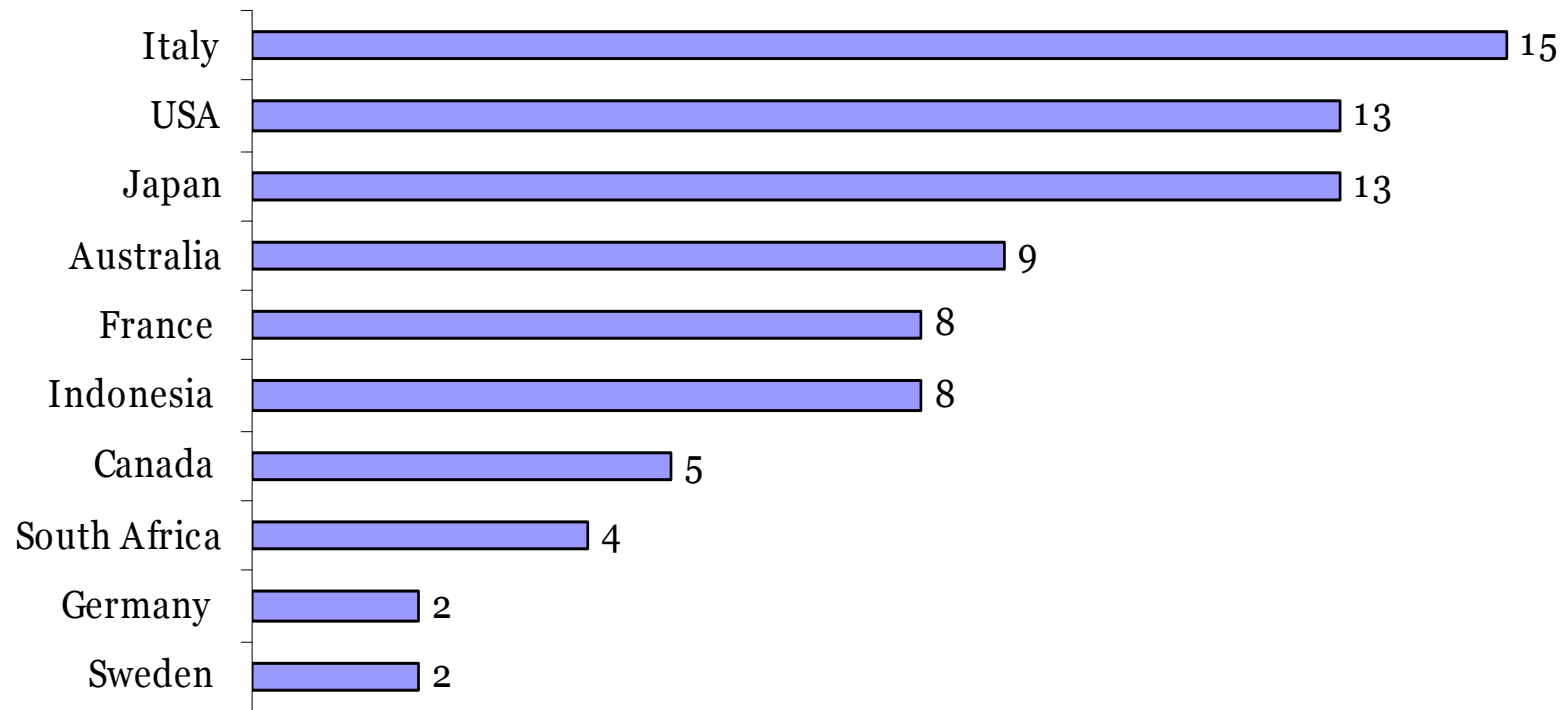
# Closing the participation gap?

If partnerships are effective in strengthening participation, they will have:

- (1) an at least balanced distribution of lead partners from the global North and South and of actors from developing countries in general;
- (2) an at least balanced distribution of lead partners from state and non-state actors; and
- (3) a sufficient participation of traditionally marginalized partners.

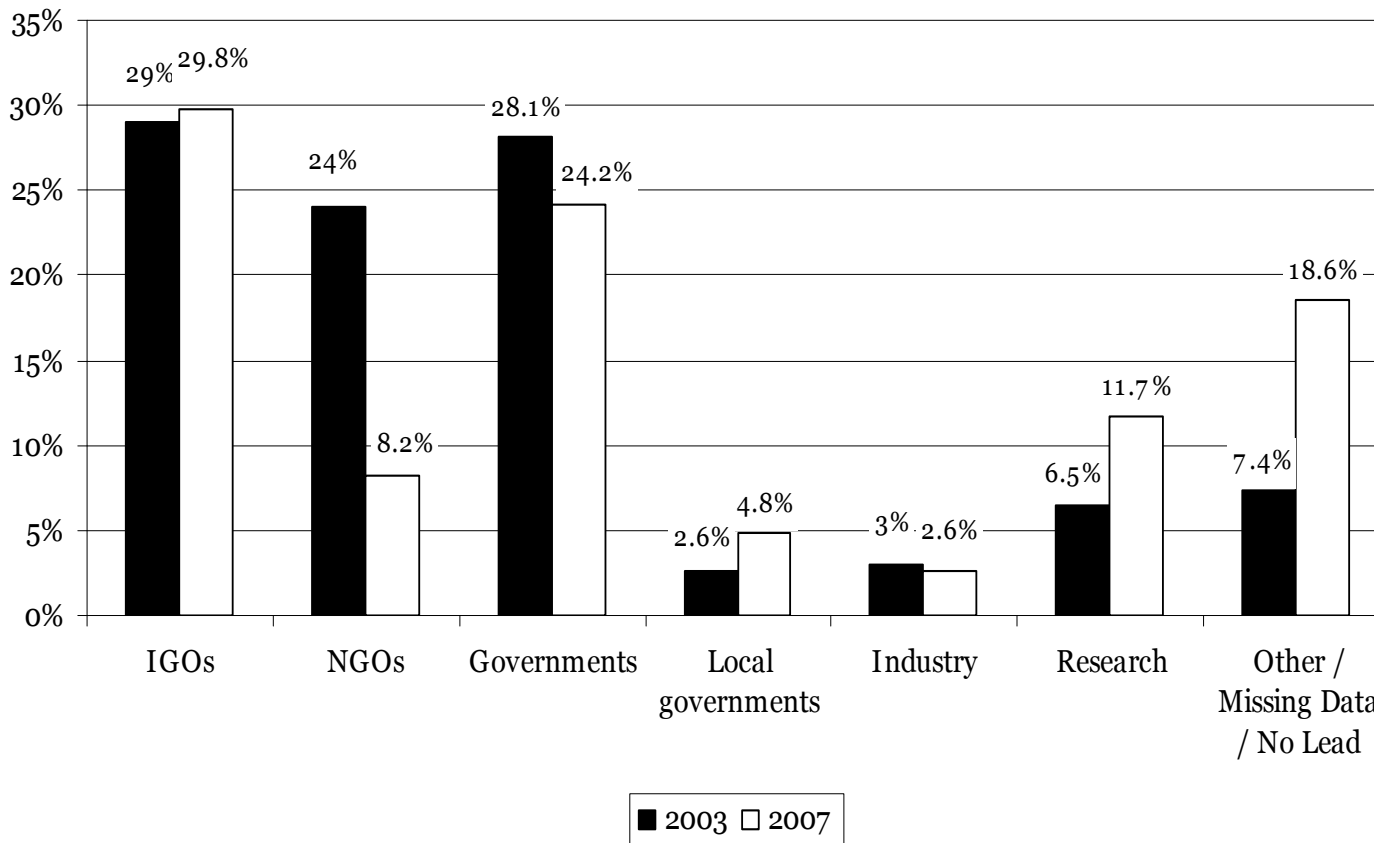
# Closing the participation gap?

## Balance between North and South



# Closing the participation gap?

## Participation of nongovernmental actors



# Closing the participation gap?

## Participation of marginalized groups



## Example III: Rule-making organizations

- Forest Stewardship Council (FSC)
- Marine Stewardship Council (MSC)
- The Coalition for Environmentally Responsible Economies (CERES)
- Marine Aquarium Council (MAC)
- Common Code for the Coffee Community (C4)
- Sustainable Tourism Stewardship Council

# The FSC

- Global certification system for sustainably managed forests;
- Founded 1993 by a coalition of timber traders, retailers, forest managers, environmental NGOs, trade unions and indigenous organisations;
- Established principles and criteria for forest management that are independently certified (3<sup>rd</sup> party certification).

# The influences of rule-making organizations

- FSC principles and criteria cover more than 100 Mio ha of forests in more than 80 countries;
- Over 6000 chain-of-custody certificates have been issued and 100 Mio cubic meters of certified timber reach the market every year;
- Raised the costs of forest management in developing countries;
- Changed existing market structures

# The influences of rule-making organizations cont'

- FSC fundamentally changed the conversation about sustainable forestry;
- Initiated learning processes among similar and dissimilar organisations;
- Initiated the diffusion of the regulatory model of certification within and across issue areas.

# The influences of rule-making organizations cont'

- Legalisation of functional spaces, e.g. through integration of ILO norms into private governance (downward integration);
- Endorsement by governments (e.g. through public procurement policies);
- Integration into public regulatory systems (e.g. Mexico, South Africa)

# Conclusion

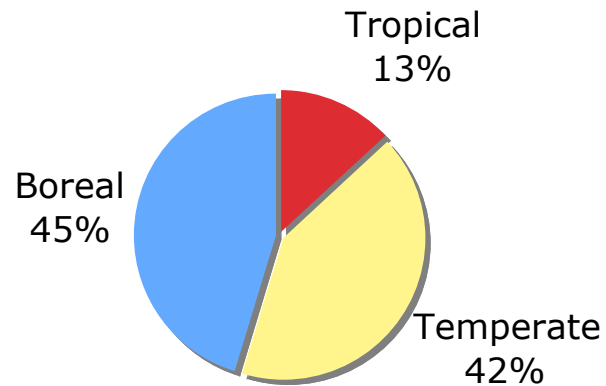
We can study agency beyond the state using the concept of an emerging arena of transnational sustainability governance in which actors and institutions, their functions and steering modes can be analyzed to understand their impacts (empirically) and implications (normatively).

**THANK YOU**

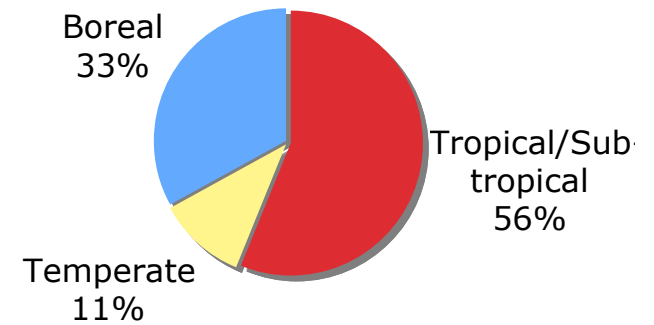
# Regional spread

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**Percentage of FSC certified area**

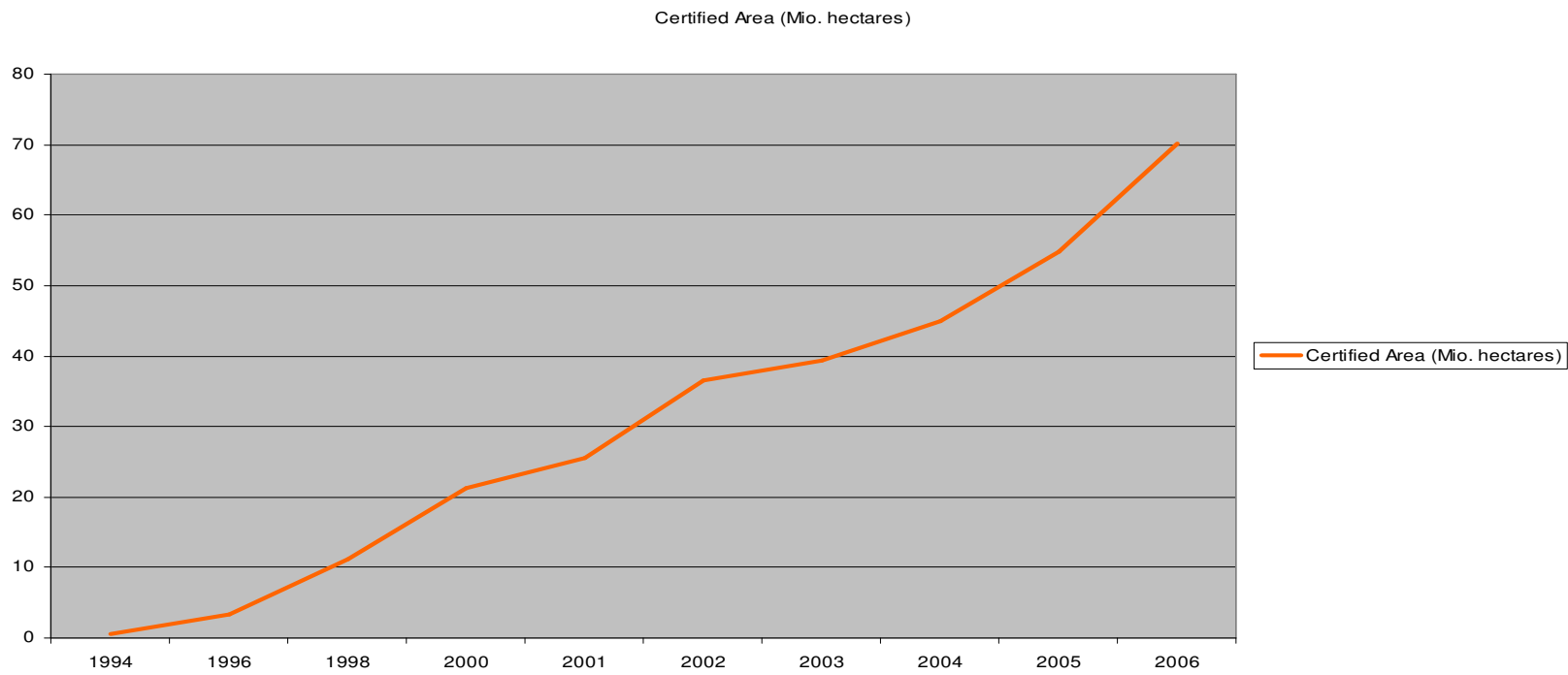


**% Global forest cover**



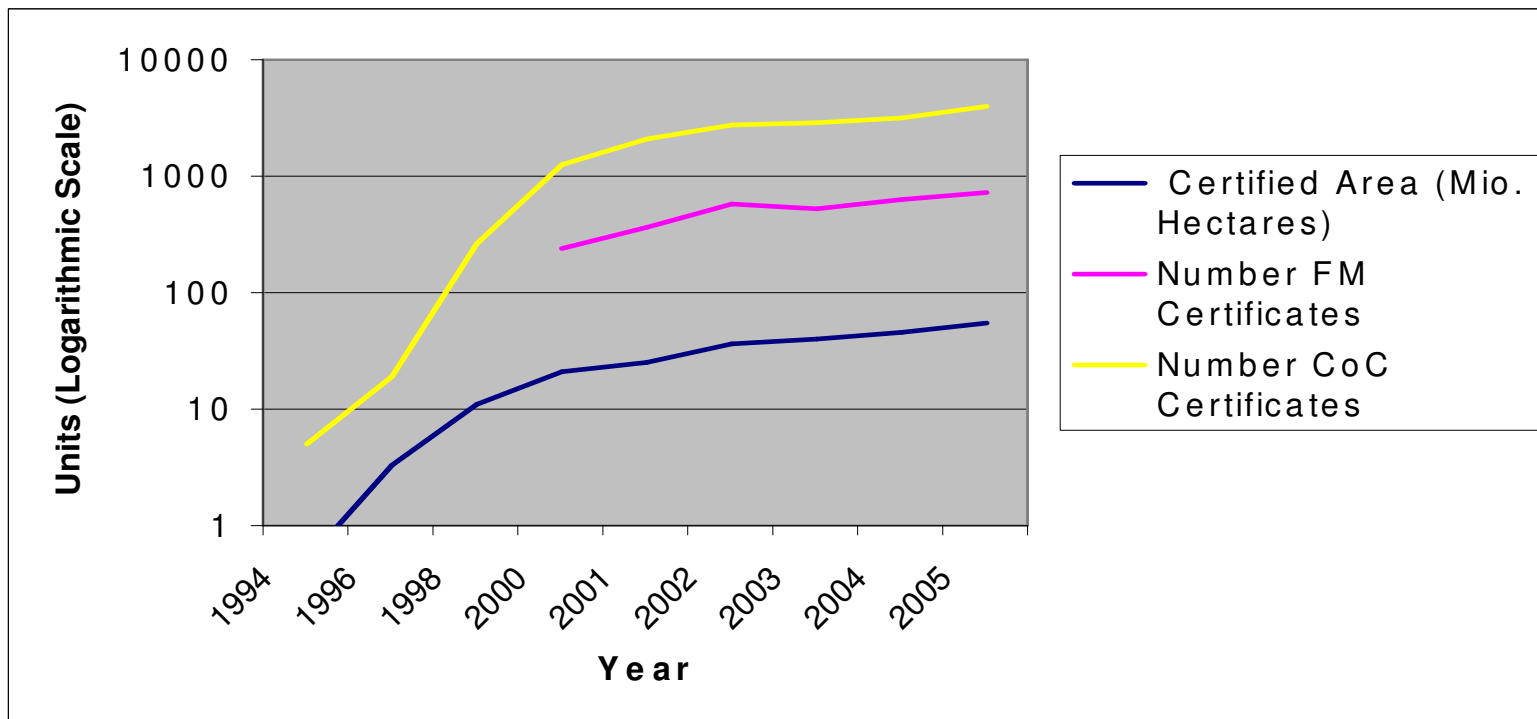
# Increase of FSC certified area

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# Increase of FSC Certification

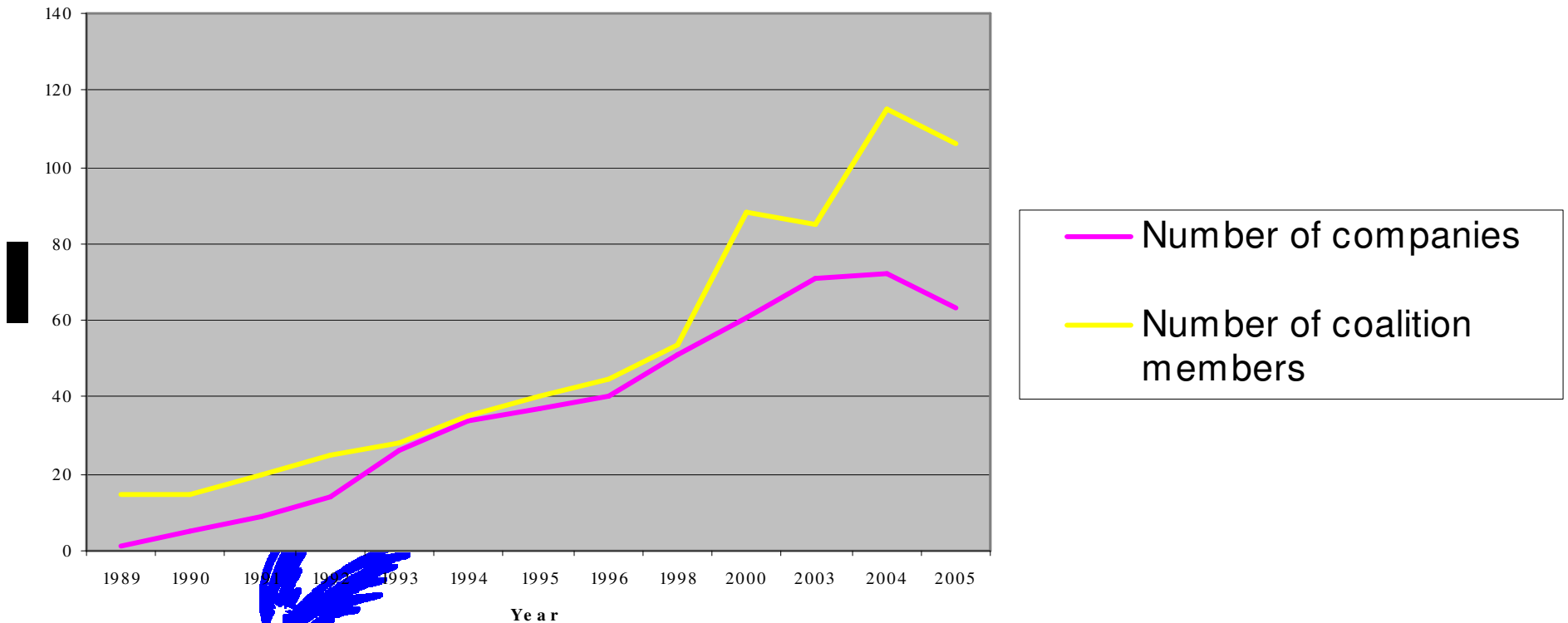
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# Growth of CERES: Firms and Coalition Members

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CERES Growth 1989-2005



# Finances CERES

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Annual revenues 1998-2004

