INSTITUTIONAL ANALYSIS & ICZM

factsheet

Bite-sized introductions to Sustainable Development themes

SMAP III Technical Assistance
www.smap.eu

This project is funded by the European Union

Environment & Sustainable Development in the Mediterranean Region

WHAT ?

Institutions govern individual and collective behaviour. They may be formal (e.g. legal systems, property rights, enforcement mechanisms); or informal (e.g. customs, traditions). They may operate at different levels – international (e.g. WTO rules), national (e.g. laws, constitutions), social (e.g. norms of conduct, status of women), family (e.g. inheritance rules). They may nest within larger institutions (e.g. village-based collective institutions nested within the policy institutions of government). A widely used definition of Institutions is that they "...consist of formal rules, informal constraints - norms of behaviour, conventions, and self imposed codes of conduct - and their enforcement characteristics". Organisations are the bodies that "manage" and institutions are the "rules" by which they operate (e.g. national legislation governing coastal zone regulation, local planning laws). Institutions can be seen as the over-arching framework upon which organisations are based.

In the context of ICZM, institutions form an intrinsic link between resource users and their environments, which establishes the organisation of management. Institutional Analysis (IA) can lead to identification of problems within the existing management regime and identify possible improvements. It involves examining current regulations and how they affect resources. This necessarily includes an examination of organisations with responsibility for implementing management.

IA centres on the current management framework and should include a review of the relevant legislation and policy in force. The reasons for this are, firstly, legislation effectively dictates management and prescribes what can and cannot be carried out in a particular area. Secondly, responsible institutions may be organised according to their legal responsibilities and not according to the geography of the coast.

WHY ?

ICZM is essentially a development planning and management process. A unique feature of many coastal systems is their ability to support multiple forms of human use. However, many forms of development seek exclusive access to and use of coastal areas. Governance systems designed to guide economic development are normally orientated to individual economic sectors such as agriculture, tourism or industry, represented by sectoral line agencies. This, combined with the concentration and complexity of human activities in coastal systems, can lead to conflicts and consequent adverse economic, social and environmental effects. IA maps inter-linkages between (1) what is supposed to be, and what is being, done, and (2) who is responsible for what and where. The outcome of IA is to determine how local resources are currently managed and how they might be better managed. This can benefit the potential of success of ICZM strategies by:

- Building legitimacy and policy ownership, a pre-requisite for sustainability.
- Contributing to capacity-building at the local level, by fostering an understanding of the institutions at work to support cooperation and coordination.
- Identifying how existing management capabilities can be used for more effective resource management for integration of policies, investment strategies and management plans that support IZCM.

One dilemma often experienced in coastal areas is that there is often a complex mix of formal and less formal institutions ranging from Intergovernmental Steering groups, to sectoral agencies and down to local NGOs and loosely formed fishermen's groups.

WHEN ?

IA can be used at any stage in the management process, however, it is particularly important at the *ex ante* pre-project and planning stage. At this stage it can be used to identify key partners, networks and information flows, and to decide on the appropriate institutional structure for the proposed activity. Analysis at this stage will also provide baseline information which can be used to monitor, review, make changes and evaluate change during the management process. Often IA is used where a problem in management has been identified. In the context of ICZM IA is best used before a strategy is developed as this will ensure the most effective management regime is in place to deliver successful ICZM with an appropriate lead institution.

WHO ?

The essential ingredient for any IA is involvement of all relevant stakeholders (i.e. decision-makers and resource users). This will help guarantee an accurate picture of the current management regime. Policy, statutory and regulatory bodies must be involved as their activity is ultimately needed to either promote and/or enforce compliance with management decisions. As the outcomes of management decisions will affect and perhaps constrain the activities of coastal resource users, it is important that society is involved in the process from the beginning.

HOW ?

Institutional Development is best viewed as a five stage process:

1. Analysis and Diagnosis of the Overall Institutional Framework.
2. Analysis and Diagnosis of the organisations associated with individual Institutions.
3. Design of an institutional development programme, including human resources development.
4. Implementation of the programme of actions designed to strengthen institutional capacities.
5. Monitor and evaluate the performance of the planned actions and to assess outcomes in respect to enhanced institutional capacities to support the development of a robust ICZM process.

Stakeholder identification, analysis and facilitation techniques provide a useful way to learn about the legal and organisational environment. Various matrices also exist to illustrate levels of governance and law and policy context, including outlining the relevant piece of legislation or policy, its main provisions and a list of its key impacts. This can then be discussed with the resource users in order to assess the way in which the different laws and policies influence their activities. A systems approach can be used to map linkages between institutions and for planning more integrated management approaches. Systems diagrams visually map organisations, their linkages and flows of information and resources.

Traditionally, IA is based on administrative boundaries. In the context of the coastal zone, however, this is not always appropriate given the range of activities practised there as well as the range of institutions with a management role. The role of government is especially important when dealing with the coast due to the fact that the marine element is usually a common property resource. For this reason the IA should take a wide approach and ideally be based on a watershed area. This approach is now visible at many governance scales and is likely to become the new 'norm' for environmental management.

WHERE ?

Institutional analysis is becoming increasing recognised as an important component in projects from regional (e.g. http://www.unepmap.org/index.php?module=content2&catid=001015) to sub-national level (e.g. http://www.balamand.edu.lb/english/IMAC.asp?ID=8763). Such studies are beginning to inform decision making in coastal zones.

SD LINKS

Stakeholder participation; Institutional Governance Reviews (IGRs); Social and Structural Reviews (SSRs), Problem analysis; Impact analysis and Open system models are additional instruments that can support and compliment IA. Also important is capacity building for human resources.

FURTHER READING

www.odi.org.uk/

http://www.idrc.ca/en/ev-1-201-1-DO_TOPIC.html

http://www.nri.org/publications/bpg/bpg11.pdf

http://www.ifad.org/sla/background/

http://www.ramsar.org/wurc/wurc_mgtplan_albania_karavasta1.htm

http://go.worldbank.org/KSW62698E0 and http://go.worldbank.org/069U0P2DT0