

Polycentric Circles

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Creating a Legacy: Charitable Gift Annuities and Other Planned Gifts

We all know it's true: the Workshop is a great place. For decades, its research has provided insight into the workings of societies and civilizations and helped us understand how to make the world run better. The nurturing, collaborative atmosphere at the Workshop is unparalleled, and fosters multidisciplinary research of the finest quality.

Who better to build on and sustain this legacy than the people who know the Work-



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shop best? The Workshop would like to encourage its most ardent supporters—its alumni, its friends, and its affiliates—to make a planned gift that will help ensure the vitality of the Workshop long into the future. Donors can contribute directly to the Tocqueville Endowment, set up an endowed fellowship for graduate students or visiting scholars, or contribute in any number of other ways to support the Workshop's activities.

Planned gifts can take many forms, and they can provide donors with an income stream, significant tax savings, and the satisfaction of providing the Workshop with vital long-term resources. Some examples include:

- *The charitable gift annuity.* You make a gift to the Indiana University Foundation and in exchange receive a fixed annual dollar amount for life. The principal remaining upon your passing would then benefit the Workshop.
- *The charitable remainder trust.* You create a trust, and income from the trust goes to the beneficiaries you specify. Beneficiaries receive income for life or for a specified number of years, and at the end of the trust term, the assets of the trust will benefit the Workshop.
- *Specific bequests* are used to make a gift of a specific dollar amount or specific assets through your estate plan.

- *Contingent bequests* will result in a gift to the Indiana University Foundation for the Workshop only in the event of the passing of other beneficiaries or the fulfillment of certain conditions described in your estate plans.

Supporting the Workshop can be as simple as placing a provision into your estate plan. For more complex gifts, a gift agreement may sometimes be necessary. Some endowed funds require careful structuring and technical expertise. Often an agreement specifying all the details is a useful addition to your estate planning to ensure that your intent is clearly stated.

How can you contribute to the legacy of the Workshop? What areas of the Workshop's research do you most want to see carried into the future? If supporting the Workshop's research, or paying back a much appreciated fellowship, or honoring the memory of a colleague is in your plans, it is never too early to speak with the Workshop directors or with our partners at the Indiana University Foundation.

If you are interested in exploring the possibility of a planned gift to the Workshop, please contact Jacqui Bauer at jacmbaue@indiana.edu or at 812.855.0443. For more information about the different types of gift options available, contact the IU Foundation directly at 800.558.8311 or online at <http://iufoundation.plannedgifts.org/>.

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Center for the Study of Institutional Diversity

The Workshop is delighted to announce an expansion of the family. Arizona State University is creating a research center with the working title “Center for the Study of Institutional Diversity” (<http://csid.asu.edu/>), which will be housed within the School of Human Evolution and Social Change. The purpose of the center will be to build on existing theories of institutional development and change in the context of linked Social-Ecological Systems (SES) and to test theories related to the interactions between different types of institutions and different classes of ecological systems. The center will eventually include faculty and graduate students who are skilled in diverse ethnographic and field work, archival activities, mathematical and agent-based modeling, and experimental research related to empirical studies of linked SES’s related to water, forests, pastures, and other resource systems. Elinor Ostrom has a part-time research professorship with Arizona State University and has agreed to be the Founding Director of the new center. Marty Anderies and Marco Janssen manage the day-to-day activities of the center. Amber Wutich and Abigail York will join CSID as faculty in the fall of 2007; Workshop alumni Ashok Regmi will join as a post-doc, also in the fall of 2007. The center will have numerous affiliates within Arizona State University and elsewhere.

The aim of the center is to undertake empirical and theoretical analyses of a diverse range of institutions in many contexts: urban dynamics in the Phoenix area, water institutions in the American West, and comparative, over-time analysis of diverse linked social-ecological systems around the world with a focus on institutional diversity and change. The field work will be combined with formal modeling and laboratory experiments to generate insight into the institutional configurations that may enhance decision making and governance capacities for sustainable development. In addition to research goals, there will also be a focus on teaching and curriculum development at ASU, especially in connection with the new graduate degree program in environmental social science.

A new postdoctoral research position at CSID has just been announced—see page 10 of this newsletter for details.

ANNOUNCEMENTS



■ For the first time, we have produced a simplified version of the Workshop’s Annual Report. The 2006 report is available online in PDF format at:

<http://www.indiana.edu/~workshop/about.html>

■ Mark your calendars! The next Workshop on the Workshop (WOW4) conference will be held June 2–7, 2009, in Bloomington, IN.

■ Elinor Ostrom recently delivered a seminar at the Stockholm Resilience Centre titled “Resilient Social-Ecological Systems: How Do We Achieve Them?” You can view her presentation at <http://www.stockholmresilience.se/pub/jsp/polopoly.jsp?d=5255&a=20950>.

Thank you to our wonderful supporters!

Building the Tocqueville Endowment is one of our priorities in order to ensure the future of the Workshop. We would like to extend a special thank you to the following people, whose contributions over the last two years have been so crucial in accomplishing this goal.

2005 Donors		2006 Donors	
<p><i>\$20 - \$100</i> William Blomquist David & Sue Crawford Louise Fortmann & Emery Roe Tun Myint Susan Raines Thomas Stewart</p>	<p><i>\$501 - \$1,000</i> Anonymous Phillip Gregg In Kim</p> <p><i>\$10,000 – \$20,000</i> Marilyn Hoskins</p> <p><i>\$50,000 - \$100,000</i> Elinor & Vincent Ostrom</p>	<p><i>\$20 - \$100</i> Anonymous Robert Bish Roy Gardner Vernon Greene Michael McGinnis Ronald Oakerson David & Linda Porter Amy Poteete Eric Rasmusen Filippo Sabetti Robert Warren Donald Zauderer</p> <p><i>\$101 - \$300</i> Anonymous Brenda Bushouse & Charlie Schweik Barbara & Burney Fischer Tun Myint Thomas Stewart James Walker</p>	<p><i>\$301 - \$500</i> Jane & Jay Jorgensen Susan Wynne</p> <p><i>\$501 - \$1,000</i> Anonymous Spencer (Tai-Shuenn) Yang</p> <p><i>\$50,000 - \$100,000</i> Anonymous Elinor & Vincent Ostrom</p>

CONGRATULATIONS TO . . .

Krister Andersson, alumni, who has accepted the Giorgio Ruffolo Senior Research Fellowship in Sustainability Science at Harvard University. Krister will form part of an interdisciplinary research group within the Center for International Development (CID) called the sustainability science program. This is a one-year fellowship to study the Use of Biophysical Indicators in Comparative Policy Studies and its implications for Science, Policy, and Practice. Krister will be working with Professors William Clark (CID), Merilee Grindle (Kennedy School), Calestous Juma (Kennedy School), and Peter Rogers (Dept of Engineering) from September 2007 to June 2008.

Robin Humphrey (*photo right*), staff member, who retired from CIPEC/Workshop/Indiana University on May 18, 2007, after 26 years of service.

Patty Lezotte, publications director, who will celebrate her 30-year anniversary with the Workshop/Indiana University on August 22, 2007.

Evelyn Namubiru Lwanga, Ph.D. candidate, and her husband Mark Mwaura, on the birth of their son, Kirumba Curtis Kirabo Mwaura, on November 18, 2006.

Lauren Morris MacLean, affiliated faculty member, who received an internal IU grant from the Center on Philanthropy.

Esther Mwangi, alumni, who was recently accepted into the Harvard Environmental Fellows Program. She will leave her position as a post-doc at the International Food Policy Research Institute for Harvard in September for a two-year appointment.



Elinor Ostrom, who received an honorary doctorate from Uppsala University in Sweden in honor of the 300th anniversary of Linnaeus's birth. The degree was awarded in May 2007. Other degree recipients included Kofi Annan, Noam Chomsky, and James Watson. Lin also received an honorary doctorate from Humboldt University in Berlin in June.

Elinor Ostrom and Harini Nagendra, whose article "Insights on Linking Forests, Trees, and People from the Air, on the Ground, and in the Laboratory" received the Cozzarelli Prize, which recognizes recently published *Proceedings of the National Academy of Sciences (PNAS)* papers of outstanding scientific excellence and originality. The article appeared in the December 19, 2006 edition of *PNAS*. <http://www.pnas.org/cgi/content/full/103/51/19224>.

Elinor and Vincent Ostrom, who both appeared in a 20-year update of "The Political Science 400," a list of the most influential scholars in political science. The list appeared in the January 2007 edition of *PS Online*, published by the American Political Science Association. <http://journals.cambridge.org/action/displayAbstract?fromPage=online&aid=651820>

Short-Term Visitors

Barbara Allen, Department of Political Science, Carleton College, Northfield, MN, February 8-12, 2007

Julia & Wal Duany, Southern Sudan Legislative Assembly, Juba, Sudan, January 4-20, 2007

Ann Evans, Center for the Study of Institutional Diversity, Arizona State University, Tempe, May 13-16, 2007

Jae-Hyon Bae, Seung-uk Hur, Yeong-Chan Jin, Chong-myung Lee, Sooyoung Lee, & Eun-Young Ryu, Governance Program, Sungkyunkwan University, Seoul, South Korea, January 4-February 1, 2007

Myungsuk Lee, Department of Public Administration, Sungkyunkwan University, Seoul, South Korea, January 4-9, 2007

Diego Pacheco, La Paz, Bolivia, January 18-26 & March 16-29, 2007

Claire Tramm, Jackson, WY, April 20-May 9, 2007

George Varughese, The Asia Foundation, Shahr-e-Naw, Kabul, Afghanistan, May 16-19, 2007

Let us know what you're doing!

The November 2007 edition of the Workshop newsletter will focus on the activities of Workshop alumni, visitors, and affiliates. If you haven't sent us an update already, we'd like to know what you're up to! Please send a short description of what you're doing now, personally and/or professionally, to Jacqui Bauer (jacmbaue@indiana.edu) by **August 31, 2007**. We look forward to hearing from you!

COLLOQUIA

Amos Sawyer & Charlotte Hess, Workshop, “Workshop Collaborative Initiatives with Liberia and Mali,” 1/22.

Regina Smyth, Department of Political Science, IU, “Engineering Victory: Institutional Reform, Informal Institutions and the Formation of a Dominant Party Regime in the Russian Federation,” 1/29

Jeffrey Stake, School of Law, IU, “Just (and Efficient?) Compensation for Governmental Expropriations,” 2/5

Viktor Vanberg, Director, Walter Eucken Institut, Freiburg, Germany, “Rationality, Rule-Following and Emotions: On the Economics of Moral Preferences,” 5/12

Gustavo Gordillo, Workshop Visiting Scholar, “2006 Elections in Latin America: Is Populism Another Bad Word or a Shortcut for Babel?,” 2/19

Michael Gasser, School of Informatics, IU, “The Linguistic Digital Divide and Machine Translation,” 2/26

Elinor Ostrom, Workshop, “A Diagnostic Approach for Going Beyond Panaceas,” 3/5

Eric Coleman, Workshop, “A Strategic Model and Empirical Test of Common-Pool Forest Management,” 3/19

Robert Goldstone, Director, Cognitive Science Program, IU, “Competition and Coordination in Human Collective Behavior Experiments,” 3/26

Travis Selmier, Department of Political Science, IU, “The Politics of Cross-border Bank Acquisitions: Drafting a Model to Explain Macro-Variation of Banking Acquisitions in Developing Countries,” 4/2

James Walker, Department of Economics, IU, “Trust and Property Rights: Experimental Evidence,” 4/9

Beverly Stoeltje, Department of Anthropology, IU, “Legal Processes in Ashanti: Custom, Chieftaincy, and Politics in Modern Ghana,” 4/16

Michael McGinnis, Department of Political Science, IU, “Blending Faith and Strategy: The Political Maturation of Religious Organizations in the Horn of Africa,” 4/23

Maksim Barbashin, South Federal University, Rostov-on-Don, Russia, “Institutional Foundations of Ethnic Identity Studies,” 5/14.

George Varughese, The Asia Foundation, Shahr-e-Naw, Kabul, Afghanistan, “Afghanistan: Politics, Governance Pitfalls, and Public Opinion,” 5/18.

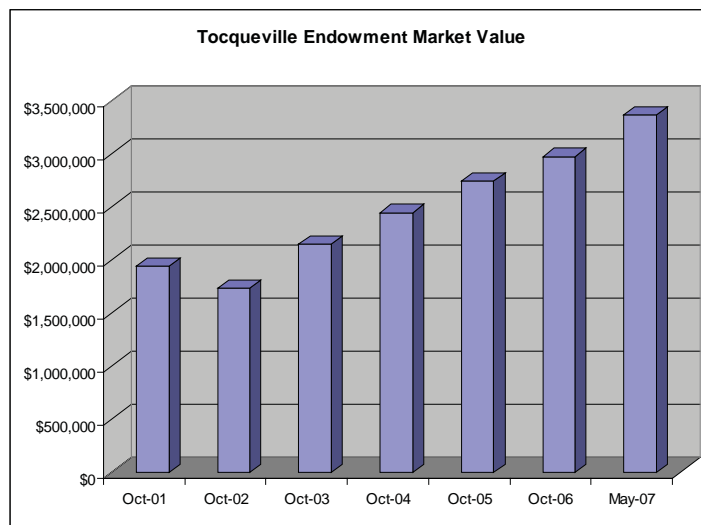
Papers are available online at:

<http://www.indiana.edu/~workshop/colloquia.html>

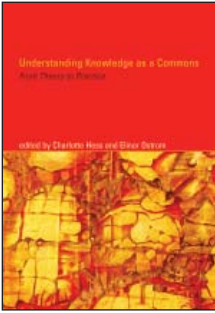


Tocqueville Endowment for the Study of Human Institutions

	Oct-01	Oct-02	Oct-03	Oct-04	Oct-05	Oct-06	May-07
Market value	\$1,936,410	\$1,730,004	\$2,146,899	\$2,443,920	\$2,737,665	\$2,967,214	\$3,357,789
Estimated income market value (loss)	\$108,036	\$105,438	\$102,283	\$106,115	\$110,851	\$135,419	



PUBLICATIONS: Books & Monographs

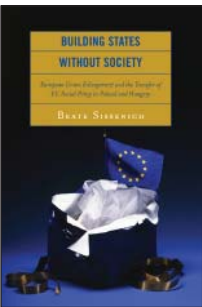
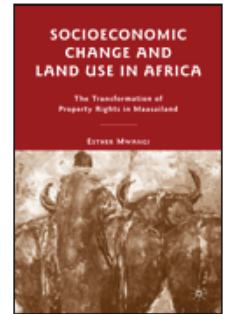


Hess, Charlotte, & Elinor Ostrom, eds. 2007. *Understanding Knowledge as a Commons: From Theory to Practice*. MIT Press. ISBN-10: 0-262-08357-4

Knowledge in digital form offers unprecedented access to information through the Internet but at the same time is subject to ever-greater restrictions through intellectual property legislation, overpatenting, licensing, overpricing, and lack of preservation. Looking at knowledge as a commons—as a shared resource—allows us to understand both its limitless possibilities and what threatens it. In this book, experts from a range of disciplines discuss the knowledge commons in the digital era—how to conceptualize it, protect it, and build it.

Mwangi, Esther. Forthcoming October 2007. *Socioeconomic Change and Land Use in Africa: The Transformation of Property Rights in Maasailand*. Palgrave Macmillan.

This study investigates how and why a group ranch members in Kajiado District, Kenya, supported the subdivision of their collective landholdings into individual, titled units, and what outcomes resulted in this transition to individual rights. Viewed over a longer time scale, the author finds that politics is at the core of institutional change: land-owners seek increasingly exclusive rights in an effort to defend their land claims against threats of appropriate by the state, by Massai elite, and by non-Massai.



Sissenich, Beate. 2007. *Building States without Society: European Union Enlargement and the Transfer of EU Social Policy to Poland and Hungary*. Lexington Books. ISBN-10: 0739112236

Focusing on the 2004 enlargement of the European Union, *Building States without Society* highlights the real limits of cross-national rule transfer even when power is uneven between rule-makers and rule-takers. Tracing the role of labor and other non-state actors in transferring rules, Beate Sissenich shows the persistent relevance of national politics, specifically state capacity and interest organizations. Social network analysis demonstrates that even in a highly integrated Europe, state borders continue to structure communications.

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Andersson, Krister, Gustavo Gordillo, & Frank Van Laerhoven. Forthcoming 2008. *Decentralization and Rural Development: Local Governance Lessons from Latin America*. Tucson: University of Arizona Press.

Ostrom, Vincent. Forthcoming 2007. *The Intellectual Crisis in American Public Administration*. 3rd ed. Tuscaloosa: University of Alabama Press.

Ostrom, Vincent. Forthcoming 2007. *The Political Theory of a Compound Republic: Designing the American Experiment*. 3rd ed. Lanham, MD: Lexington Books.

Sabetti, Filippo, Mark Sproule-Jones, & Barbara Allen, eds. Forthcoming. *The Practice of Constitutional Development: Vincent Ostrom's Quest to Understand Human Affairs*. Lanham, MD: Lexington Books.

Sproule-Jones, Mark, Filippo Sabetti, & Barbara Allen, eds. Forthcoming. *The Struggle to Constitute and Sustain Productive Orders: Vincent Ostrom's Quest to Understand Human Affairs*. Lanham, MD: Lexington Books.

Webb, Edward, & Ganesh Shivakoti, eds. Forthcoming 2007. *Decentralization, Forests and Rural Communities: Policy Outcomes in South and Southeast Asia*. New Delhi: Sage India.

- Ahn, T. K., Myungsook Lee, Lore Ruttan, and James Walker.** 2007. "Asymmetric Payoffs in Simultaneous and Sequential Prisoner's Dilemma Games." *Public Choice* [online]. <http://www.springerlink.com/content/x54t5231740q0w46/fulltext.pdf>
- Andersson, Krister, & Clark Gibson.** 2007. "Decentralized Governance and Environmental Change: Local Institutional Moderation of Deforestation in Bolivia." *Journal of Policy Analysis and Management* 26(1): 99–123. <http://www3.interscience.wiley.com/cgi-bin/jhome/34787>
- Auer, Matthew.** 2007. "The Policy Sciences in Critical Perspective." In *Handbook of Public Administration*, 3rd ed., ed. J. Rabin, W. Hildreth, and G. Miller, 541–62. New York: CRC Press.
- Blomquist, William.** 2007. "The Policy Process and Large-N Comparative Studies." In *Theories of the Policy Process*, 2nd ed., ed. Paul Sabatier, 261–89. Boulder, CO: Westview Press.
- Dolšak, Nives, & Maureen Dunn.** 2006. "Investments in Global Warming Mitigation: The Case of 'Activities Implemented Jointly'." *Policy Sciences* 39(3): 233–48. <http://www.springerlink.com/content/h721311610530p37/fulltext.pdf>
- English, R. & C.M. Schweik.** 2007. "Identifying Success and Tragedy of Free/Libre and Open Source (FLOSS) Commons: A Preliminary Classification of Sourceforge.net Projects." http://people.umass.edu/cschweik/pdfs/English_Schweik_FLOSS_Classification.pdf
- Hayes, Tanya.** 2006. "Parks, People, and Forest Protection: An Institutional Assessment of the Effectiveness of Protected Areas." *World Development* 34(12): 2064–75. <http://www.umich.edu/~ifri/Publications/THayesWDev-ParksPeopleandForests.pdf>
- Hess, Charlotte, & Ruth Meinzen-Dick.** 2006. "The Name Change; or, What Happened to the P?" *The Commons Digest*, no. 2 (December): 1–4. <http://www.iascp.org/E-CPR/cd02.pdf>
- Hess, Charlotte, & Elinor Ostrom.** 2006. "A Framework for Analysing the Microbiological Commons." *International Social Science Journal* 188: 335–49. <http://www.blackwell-synergy.com/doi/pdf/10.1111/j.1468-2451.2006.00622.x?cookieSet=1>
- Janssen, Marco, John Anderies, & Elinor Ostrom.** 2007. "Robustness of Social-Ecological Systems to Spatial and Temporal Variability." *Society and Natural Resources* 20(4): 307–22. <http://www.informaworld.com/smpp/content~content=a770971842~db=all~order=page>
- Janssen, Marco, & Elinor Ostrom.** 2006. "Adoption of a New Regulation for the Governance of Common-Pool Resources by a Heterogeneous Population." In *Inequality, Cooperation, and Environmental Sustainability*, ed. Jean-Marie Baland, Pranab Bardhan, and Samuel Bowles, 60–96. Princeton, NJ: Princeton University Press.
- Janssen, Marco, & Elinor Ostrom.** 2006. "Empirically Based, Agent-Based Models." *Ecology and Society* 11(2): 37. [online]. <http://www.ecologyandsociety.org/vol11/iss2/art37/>
- Kim, Kwanbo.** 2006. "New Institutional Arrangement for the Self-Governance of Korean Irrigation Systems: The Case of Farmers' Self-Governing Model District Program." *Korean Society and Public Administration* 8: 239–78.
- Miller, Andrew, & Nives Dolšak.** 2007. "Issue Linkages in International Environmental Policy: International Whaling Commission and Japanese Development Aid." *Global Environmental Politics* 7(1): 69–96.
- Mwangi, Esther.** 2007. "Subdividing the Commons: Distributional Conflict in the Transition from Collective to Individual Property Rights in Kenya's Maasailand." *World Development* 35(5): 815–34.
- Mwangi, Esther.** Forthcoming. "The Puzzle of 'Perverse' Property Rights: Explaining Property Rights Transitions in Kenya's Maasailand." *Development and Change* 38(5) (September).
- Ostrom, Elinor.** 2007. "Biography of Robert Axelrod." *PS: Political Science & Politics* 40(1): 171–74. <http://www.ap-sonet.org/imgtest/PSJan07AxelrodBio.pdf>
- Ostrom, Elinor.** 2007. "Institutional Rational Choice: An Assessment of the Institutional Analysis and Development Framework." In *Theories of the Policy Process*, 2nd ed., ed. Paul Sabatier, 21–64. Boulder, CO: Westview Press.
- Ostrom, Elinor, & Harini Nagendra.** 2006. "Insights on Linking Forests, Trees, and People from the Air, on the Ground, and in the Laboratory." *PNAS* 103(51): 19224–31. <http://www.pnas.org/content/vol103/issue51/?ck=nck> See also "Profile of Elinor Ostrom" by Nick Zagorski, *PNAS* 103(51) (2006): 19221–23.
- Ostrom, Vincent.** 2006. "Fondamenti costituzionali per una teoria delle comparazioni tra sistemi" (Constitutional Foundations for a Theory of System Comparisons). *La Rivista delle Politiche Sociali* (Italian Journal of Social Policy), no. 2, 127–43.
- Polski, Margaret.** 2006. "The Economic Organisation of Biomedical Research in the USA." *ISSJ* 188: 283–97.
- Potoski, Matthew, & Aseem Prakash.** 2006. "Institutional Design for EMS-Based Government Procurement Policies." *Global Environmental Politics* 6(4): 13–22. http://muse.jhu.edu/journals/global_environmental_politics/v006/6.4potoski.pdf
- Schlager, Edella.** 2007. "A Comparison of Frameworks, Theories, and Models of Policy Processes." In *Theories of the Policy Process*, 2nd ed., ed. Paul Sabatier, 293–319. Boulder, CO: Westview Press.
- Schweik, C.M. & R. English.** 2007. "Tragedy of the FOSS Commons? Investigating the Institutional Designs of Free/Libre and Open Source Software Projects." http://www.firstmonday.org/issues/issue12_2/schweik/index.html

(continued on p. 7)

Publications - Articles

(continued from p. 7)

Thoms, Christopher, Birendra Karna, and Mukunda Karmacharya. 2006. "Limitations of Leasehold Forestry for Poverty Alleviation in Nepal." *Society and Natural Resources* 19: 951–58. <http://taylorandfrancis.metapress.com/media/03x1mbrxmqcvtjntndtx/contributions/1/2/2/6/1226456747282361.pdf>

Tucker, Catherine, J.C. Randolph, & E.J. Castellanos. 2007. "Institutions, Biophysical Factors and History: An Integrative Analysis of Private and Common Property Forests in Guatemala and Honduras." *Human Ecology* 35(3): 259–74. <http://www.springerlink.com/content/m227255371131123/>

Turyahabwe, N., C. J. Geldenhuys, S. Watts, and A.Y. Banana. 2006. "Technical and Institutional Capacity in Local Organisations to Manage Decentralised Forest Resources in Uganda." *Southern African Forestry Journal*, Issue 208: 63–78.

Yandle, Tracy. 2006. "Sharing Natural Resource Management Responsibility: Examining the New Zealand Rock Lobster Co-Management Experience." *Policy Sciences* 39(3): 249–78. <http://www.springerlink.com/content/n476500j11n2178w/fulltext.pdf>

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The next issue of *Polycentric Circles* will be published in November. We welcome information regarding research projects, recent publications, conference announcements, photographs, etc. **The deadline for submissions is October 19, 2007.**

Please submit items to the editor, Jacqui Bauer:
jacmbaue@indiana.edu

Thank you!

PUBLICATIONS: Working Papers

The working papers listed below are now available as PDF files on the Digital Library of the Commons (DLC) website at <http://dlc.dlib.indiana.edu/>. The DLC provides free access to an archive of international literature on the commons, common-pool resources, and common property.

We invite you to submit your papers to the DLC via the above website. While you will retain copyright for your work, papers will be available online on an open access basis. Because papers may be cited and used for educational purposes, they should remain a permanent document on the DLC.

Blomquist, William, and Elinor Ostrom. 2007. "Deliberation, Learning, and Institutional Change: The Use of Judicial Forums in Institutionally Diverse Settings." Paper presented at a conference on the new institutional economics approach, Washington University, St. Louis, May 4-5. http://dlc.dlib.indiana.edu/archive/00002197/01/W07-7_BlomquistEO_DLC.pdf

Gellar, Sheldon. 2007. "Varieties of Religious Doctrines and Institutions in Africa and Their Impact on Democratization Processes." Paper presented at the International Conference on Religious Ideas and Institutions and Transitions to Democracy in Africa, Los Angeles, CA, May 18-19. http://dlc.dlib.indiana.edu/archive/00002195/01/W07-9_Gellar_DLC.pdf

Janssen, Marco, and Elinor Ostrom. 2007. "TURFs in the Lab: Institutional Innovation in Real-Time Dynamic Spatial Commons." Submitted to *Rationality and Society*. http://dlc.dlib.indiana.edu/archive/00002196/01/W07-8_JanssenEO_DLC.pdf

Ostrom, Elinor. Forthcoming 2008. "Developing a Method for Analyzing Institutional Change." In *Assessing the Evolution and Impact of Alternative Institutional Structures*, ed. Sandra Batie and Nicholas Mercurio. London: Routledge Press. http://dlc.dlib.indiana.edu/archive/00002200/01/W07-1_Ostrom_DLC.pdf

Ostrom, Elinor. 2007. "Sustainable Social-Ecological Systems: An Impossibility?" Paper presented at the 2007 annual AAAS meetings, San Francisco, CA, February 15-19. A revised version of this paper will be the perspectives paper of a special feature of the *Proceedings of the National Academy of Sciences* (USA), forthcoming fall 2007. http://dlc.dlib.indiana.edu/archive/00002199/01/W07-2_Ostrom_DLC.pdf

Regmi, Ashok. 2007. "Water Security and Farmer-Managed Irrigation Systems of Nepal." Paper presented at the Nepal Water Security Forum, Uppsala, Sweden, March 27. http://dlc.dlib.indiana.edu/archive/00002198/01/W07-5_Regmi_DLC.pdf

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Has your email and/or mailing address changed?

If so, please send updates to:
workshop@indiana.edu

Elinor Ostrom Leads Ph.D. School in Germany

by Achim Schlueter

The Institute of Forestry Economics of the Albert Ludwigs University and the Walter Eucken Institute-Freiburg organised an interdisciplinary Ph.D. school with Elinor Ostrom from April 16 to 27, 2007, in Freiburg, Germany. The title of the seminar was “The Challenge of Self-Governance in Complex, Globalizing Economies: Responding to Walter Eucken’s Challenge.” The school began with a week of lectures—organized by Victor Vanberg (director of the Walter Eucken Institute), Elinor Ostrom, and Achim Schlueter—about “the Great Antinomy of Eucken.” Put in modern language, Eucken explained many decades ago with his Great Antinomy the need and fruitfulness within economics of multiple epistemological and methodological approaches. The second week of the seminar followed the mini-conference setting, where participants presented and discussed each other’s papers.



Participants included fifteen Ph.D. students from Germany, England, France, Sweden, and the United States. Considering Eucken’s claim in the Great Antinomy and following the Workshop’s tradition, the group of students was truly interdisciplinary (economics, forestry, political science, social anthropology, geography) and applied a multiplicity of methods (agent-based modelling, field experiments, anthropological approaches, etc). We had a beautiful time in sunny Freiburg, which was at least this April affected positively by climate change. We learned a lot and hope that our discussions created a sustainable and diverse network of Ph.D. scholars.

Research Update: The Influence of Parties and Institutions on Legislatures

Workshop affiliated faculty member William Bianco (Indiana University), along with Christopher Kam (University of British Columbia), Itai Sened (Washington University – St. Louis), and Regina Smyth (Indiana University), has obtained a grant from the National Science Foundation for a research project titled “System and Party Influence on Legislatures Outcomes.” The grant is for \$180,000 and will run for 18 months. Professor Bianco provides a description of the project below.

Our research begins with a fundamental question about legislatures: when do parties and party systems matter for legislative outcomes? The conventional wisdom is that in a parliamentary system, a majority party or coalition that controls which proposals are considered, what amendments are allowed, and how voting proceeds can secure whichever outcomes it wants. However, while agenda power is important, it is not decisive. There are well-known cases where parties or coalitions appear to control their chamber, but could not secure their desired outcomes. These examples suggest there are fundamental limits on what a majority party or coalition can achieve. What are these limits, and why do they arise?

Our research starts from the assumption that legislative institutions shape outcomes, but focus on a more fundamental constraint: the limits on legislative action created by party preferences. The premise of our research is that the potential for agenda power is shaped by the party system—the number, size, and ideological distribution of parties in the legislature, including the preferences of minority parties.

Our analysis aims at understanding the relationship between preferences, rules, and outcomes. For example, if agenda control conveys an advantage, changes in who holds this power will alter outcomes, even if preferences stay the same. If agenda control is irrelevant, then changes in agenda power will have little or no effect on legislative outcomes. Outcomes will instead be sensitive to changes in party preferences. Thus, attempts to explain legislative outcomes must distinguish between the impact of institutions and the role of variation in parties and coalitions.

Building on our previous NSF-funded work, we propose a unified analytic approach, focusing on the one thing shared by all legislatures: majority rule. The point is not that the U.S. House is the same as the British Parliament or the Russian Duma. Rather, we aim at understanding why these legislatures operate so differently, why parties and coalitions are seemingly

(continued on p. 9)

powerful in some legislatures but not others, and why party or coalition influence in some countries varies over time.

The core of the project is an innovation in formal modeling: a technique for estimating legislative uncovered sets. The uncovered set describes the set of possible outcomes in a legislature, allowing us to measure party or coalition influence while controlling for observability. It also allows us to move beyond one-dimensional models of the legislative process to multi-dimensional versions—while avoiding problems of multiple equilibria and explicitly testing dimensionality assumptions.

Specifically, we will characterize party and party coalition influence in a wide range of established and new democracies. Our hypothesis tests utilize a wide range of data and techniques, from roll calls to expert surveys to analytic narratives. Besides untangling important empirical puzzles, this work will address key theoretic debates over the relative importance of preferences versus institutions in shaping the outcomes achieved under majority rule.

The broader impact of our work lies in its focus on fundamental questions of democracy and majority rule. When we observe democracy in action, whether as scholars or as citizens, our conclusions about the fairness of the process as well as our evaluations of why things happened as they did are based on assumptions about the role of parties, institutions, and strategies in creating these outcomes. Our goal is to develop a better set of expectations and insights to guide both scholars and citizens in their roles as observers and as participants in the democratic process.

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First Intensive IAD Training a Success

by Tun Myint

Between January 8 and 31, 2007, the Workshop conducted training in the Institutional Analysis and Development (IAD) framework for six students from Sungkyunkwan University (SKKU) in Seoul, Korea. Professor Myungsuk Lee of SKKU selected one masters student and five doctoral students from SKKU to participate in the training in Bloomington. The SKKU students attended two sessions per week during their training period, including regular attendance at the Y673 Seminar, which focused on Institutional Entrepreneurship and Changing Orders. The training was designed to increase participant understanding of institutions and institutional diversity, and to show how the IAD framework can help organize their research methods, designs, and models so as to advance theory building and testing.

Students were introduced to the IAD framework by way of exploring their research interest and proposals. As an assignment, each student provided a two-page proposal describing (1) a policy or governance problem of interest, and (2) research questions they wanted to pursue within their selected problem.

The SKKU students struggled with various types of social dilemmas and definitions. Their proposed research projects will examine (1) conflicts of interest involved in the construction of local roads that connect residential areas, shopping malls, public housing, hospitals, and governmental offices; (2) the definition of societal phenomena that highlight people's problem-solving mechanisms outside the boundary of governmental authority and legitimacy; (3) factors that explain why people volunteer; (4) processes and outcomes of different structures of organizations; and (5) the relationship between "enjoyment of life" and the "cultural level" of people in a metropolitan area of Seoul.

Joohyung Kim, an Indiana University doctoral student who was registered for the Y673 for credit, assisted me with translation and discussion during the Thursday morning trainings. While I thought I would need Mr. Kim's help to clarify some of the more complex aspects of my lectures, I found that all of the SKKU students were able to understand without much translation by Mr. Kim. In addition, their enthusiasm about the reading materials and their insightful input helped enormously during discussion.

Professor Elinor Ostrom conducted a special lecture at the end of the training. In that lecture, SKKU students were introduced to "A Multi-Tier Framework for Analyzing Linked Social-Ecological Systems," an upcoming research project being undertaken by the Workshop and the Center for Institutional Diversity at Arizona State University.

Based on my experience leading this training, I learned that reaching a shared understanding of the terminologies central to the IAD framework is best achieved when real world problems are brought into the theoretical discussion in a classroom. The SKKU students in particular were very enthusiastic about theories that relate to real world problems they identified. After all, that is what is best about many excellent presentations done at the Workshop colloquia, seminars, and research meetings—that they link theory to the real world. We hope that this training, initiated at the request of SKKU, will be the first step in developing additional training efforts, and that it will contribute to the continued development of a network of Workshop-affiliated centers across the globe—in Africa, Asia, Europe, Latin America, and North America—that will help us understand human institutions and their impacts on the biogeophysical world.

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Postdoctoral research position available



Center for the Study of Institutional Diversity

Focus:

Agent-based modeling, common pool resources and experimental data

Location:

School of Human Evolution and Social Change, Arizona State University, Tempe

Position description:

At the Center for the Study of Institutional Diversity we study the co-evolution of institutional arrangements and ecological dynamics in a range of social-ecological systems. We combine quantitative modeling with laboratory and field experiments, and comparative case study analysis. We are looking for a talented scholar, skilled in agent-based modeling, with experience in applying this tool to the analysis of social-ecological systems and common-pool resources.

For more information:

See <http://csid.asu.edu> or contact Marco Janssen (Marco.Janssen@asu.edu).

The appointment could start either in Fall 2007 or Spring 2008. Salary and benefits will be based on ASU rates.

If interested, please email your current CV and a brief statement of interest to Ann Evans (Ann.Evans@asu.edu).

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Workshop on the Workshop conference (WOW 4)

Request for working group proposals by September 10, 2007

Gayle Higgins began our planning for WOW4 the day after WOW3 ended, when we were savoring its success. WOW4 is scheduled for June 2–7, 2009 and we have reached the point in our planning where we need to consult about working groups you may wish to establish or continue. You will recall that a range of very interesting and productive working groups were organized for WOW3. Many have stayed together and have been able to advance their work. Some have had publications. We also have had indications that a number of colleagues are interested in organizing new working groups for WOW4. Charlotte Hess is organizing one such group on the information commons.

In order to plan ahead for WOW4, we are requesting colleagues to share with us the following information about working groups.

(1) Do the working groups established for WOW3 still exist, and will members want to meet and present a panel at WOW4? If so, please let us know whether they will have the same chair(s) or whether there will be a new chair.

(2) For those of you pursuing new research agendas, would you like to assemble a new working group for WOW4?

We will need to limit the number of working groups. If you are interested in either reassembling an existing working group or starting a new one, please submit a proposal to Gayle Higgins (ghiggins@indiana.edu) by September 10, 2007. Proposals can be short and simple, and should at a minimum include the name of the proposed working group, a general idea of what the working group will focus on, and, for existing working groups, a short summary of your activities since WOW3. We are aware that plans are likely to be revised as you work through the details, so we will be getting in touch with you for periodic updates. We do, however, want to get off to an early start in planning for working groups.

Working groups and coordinators established during WOW3 are:

Challenges of Governance in Africa, Amos Sawyer (asawyer@indiana.edu) and Sheldon Gellar (sgellar@indiana.edu)

China in Transition, Mao Shoulong (maoshoulong@vip.sina.com) and Chen Youhong (youhong@gmail.com)

Diverse Approaches to Fisheries Governance, Tracy Yandle (tyandle@emory.edu)

The Evolution of East Asian Irrigation Institutions, Wai Fung Lam (dwflam@hku.hk)

Historical Institutional Analysis on Robustness of Social-Ecological Systems, Marco Janssen (marco.janssen@asu.edu)

IFRI Writing Workshop, Arun Agrawal (arunagra@umich.edu), Krister Andersson (krister.andersson@colorado.edu), and Amy Poteete (amypoteete@gmail.com)

Tocquevillian Analytics, Barbara Allen (ballen@carleton.edu), Vernon Greene (vgreene@maxwell.syr.edu), Filippo Sabetti (filippo.sabetti@mcgill.ca), and James Wunsch (jwunsch@creighton.edu)

Urban Politics and Policy, Susan Baer (sbaer@mail.sdsu.edu)

Voluntary Regimes of Self-Regulation, Aseem Prakash (aseem@u.washington.edu)

Watershed Management Institutions, Tanya Heikkila (th2063@columbia.edu)

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