

# Polycentric Circles

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## WHAT'S INSIDE

Health commons, 3

Colloquia, 6

Tocqueville conference, 8

Visitors, 8

Delft and the SES club, 10

Publications, 11

In the news, 14

**Indiana University**

## Message from the director

Somehow, I have managed to survive the first of my two-year term as director of the Workshop. I could not have done it without the help of our tremendous staff and wonderful colleagues.

Although we decided to move to a single-director structure, we have definitely continued the Workshop's long-standing tradition of collaborative leadership. We created a position of Senior Research Director for Lin, and she continues to keep us all plenty busy. I have come to depend on the advice I receive at regular meetings with the Workshop Advisory Council (WAC), chaired this last year by Burney Fischer. Next year, the WAC will be expanded to include two Workshop affiliates from outside of the IU system. We recently established a three-person Colloquium Committee, and they have already filled virtually all of the slots for the fall semester. Claudia Brink has been doing incredible work as Assistant Director, and recent graduate Michael Cox is now a postdoc who has been helping to keep Lin's many projects moving forward.

It has been a full year. Most of the fall semester was taken up with extensive renovations to our main building (see photos on page 5). Disruption was minimized by the efforts of the many craftsmen involved in this process, and we are very happy with the results. We still need to have some landscaping done in the front of the building, but other than that we are good to go.

As usual, there are several research projects in the works around here. For example, Burney Fischer has

(Continued)

## POLYCENTRIC CIRCLES

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**WE WANT TO HEAR FROM YOU!** Send us information regarding research projects, publications, announcements, and/or photographs. For inclusion in the next issue, send your items to the editor, Claudia Brink ([cbrink@indiana.edu](mailto:cbrink@indiana.edu)), by October 21, 2011

To keep our address records up-to-date, please send e-mail and/or snail mail changes to [workshop@indiana.edu](mailto:workshop@indiana.edu)

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*(Message from the Director continued)*

been working with organizations in Indianapolis to investigate the results of tree-planting projects in urban neighborhoods. Lin and others are involved in grants supported by FORMAS, Sweden's equivalent of NSF, on social-ecological systems and by Templeton Foundation, on the effects of religion on social capital in community-based resource management. As of the time of this writing, it looks like NSF will be awarding funding to two new research projects by Workshop scholars: (1) Bill Bianco and Regina Smyth on roll-call voting in legislatures in transition countries and (2) Lin, Tom Evans, Dan Cole, and others on a comparative analysis of snow-melt irrigation systems in semi-arid lands in the western US and eastern Africa. Personally, I have been scrambling to get up to speed for our new research project on health care (see story on page 3).

In addition, we have started working on what could turn out to be a very major new enterprise. Lin has taken the lead in organizing a team to write a pre-proposal to NSF for a new Center for Sustainability in Social-Ecological Systems (CS-SES), which we hope will be funded under their Science and Technology Center (STC) program. This program has been in place for several years, but thus far no social science center has been established. The level of support could be substantial, and could cover as much as ten years if it all works out as planned. We are working with several colleagues on campus from CIPEC, SPEA, the School of Education, and CRES (Center for Research on Environmental Sciences). This center would include as partners several research centers from US institutions and the European members of the SES Club (see page 10). So far, we have survived the internal selection process at IU and are awaiting the evaluation of NSF. It is a long and very competitive process, with only a few centers likely to be selected for support beginning in the fall of 2013.

I am pleased to report that we weathered a few serious staff crises this year. The IU research administration cut our base budget by 20 percent, but much of that was covered by special funds provided by the president's office in recognition of Lin's Nobel Prize. In the fall, Nicole Todd left to work for a new VP, but soon decided that she preferred to work here. We were just about to begin the process of interviewing applicants for that position, and Lin was so relieved that Nicole decided to return! This spring, Carol Buszkiewicz decided to

(Message from the Director continued)

take advantage of an early retirement offer, and she has been working with Gayle Higgins to take up the mantle of managing our financial accounts. Claudia Brink, our new assistant director, will be handling other aspects of Carol's responsibilities, especially in the area of budget planning. We have just begun the process of filling Gayle's position as Events Scheduler. Overall, it should be a smooth transition.

A smooth transition is what I am hoping to accomplish in July 2012. That is when my term as director expires, and when I am due for my next (and final?) sabbatical leave. By then, we will have selected another Workshopper to take my place for a 3–4 year term. We have set up a procedure whereby Workshop Affili-

ated Faculty can nominate candidates, the Workshop Advisory Council makes recommendations to the vice-provost in charge of research at IU Bloomington, who will then make the final selection from their short list. Several faculty members are likely suspects for this position, and I am looking forward to working with whoever is selected, before I escape town on my sabbatical. One thing I know for sure is that we are going to have an outstanding team of staff members to help him or her adjust to the pleasures and challenges of directing such a dynamic and fascinating institution.

—Mike McGinnis

## Workshop investigates health commons

Each year, the delivery of health care services in the United States consumes ever-higher levels of economic and human resources, and some have come to wonder if we are in danger of running out of the money needed to keep this system in operation. Sounds like the kind of commons problem so familiar to Workshopers, doesn't it?

Shortly after Lin was awarded the Nobel Prize, we learned that several health care reformers had been exploring the potential relevance of her research for the US health care system. Donald Berwick, before he was appointed as director of CMS, made a major speech (<http://www.ihl.org/IHI/Programs/Audio-AndWebPrograms/BerwickForumKeynote2009.htm?player=wmp>) in which he described this system as a commons and warned about the long-term financial consequences of business as usual. Other scholars investigated communities such as Grand Junction, Colorado, which had been singled out for delivering higher-than-average quality care for lower-than-average cost, and some of these scholars suggested that the design principles identified by Lin might be in operation there as well.

After fielding a few feelers from national and local experts on this topic, the Workshop began host-



MEMBERS OF IU HEALTH COMMONS RESEARCH TEAM (FROM LEFT): MIKE MCGINNIS, ELINOR OSTROM, KATHLEEN GILBERT, JOAN PONG LINTON, CLAUDIA BRINK. PHOTO BY CHRIS MEYER.

ing a small working group on health care policy in the spring of 2010. In fact, we first learned of Claudia Brink's organizational skills during this time period, as she volunteered to coordinate meetings even though she then had another full-time position at the Business School. Before long, a research proposal was taking shape, and we received funding from the Fannie E. Rippel Foundation (<http://rippelfoundation.org/>)

to undertake an 18-month action-research project. I have the distinct pleasure of serving as PI on this project, assisted by Claudia Brink (Workshop AD), Joan Pong Linton (English), and two graduate students: Carrie Ann Lawrence (HPER) and Ryan Conway (POLS). In addition, we have received invaluable advice from two other faculty members, Kathy Gilbert (HPER) and Lauren MacLean (POLS), both of whom are experts on qualitative research methods in their respective fields. We keep Lin in the loop, but she has not been able to devote much time to this particular project, given the many other demands on her time.

Although it was *Governing the Commons* that first caught the attention of the health care experts who initially contacted us, Lin and I soon realized that an even closer match could be drawn to the police studies completed back in the 1970s. In effect, health care constitutes a “public service industry” involving a complex network of actors from public, private, voluntary, and community organizations. So we began to think in terms of an exploratory study, focusing on a few communities where we already had access to top policymakers and could thus learn about this policy area more quickly and directly, and hope to follow it up with a later more comprehensive survey of a larger number of communities.

Members of this “Managing the Health Commons” research

team are currently interviewing health care professionals and community leaders in Grand Junction, CO, and Bloomington, IN. Later this summer, they will also interview similar leaders from Cedar Rapids, Iowa, another community with an exemplary past record but which is now facing difficult challenges in sustaining those positive results. We have met or scheduled a meeting with advisory boards in each community, and will be working with them to develop our ideas, establish contacts for interviews, and obtain reactions to our preliminary findings.

Our primary concern is to understand the processes through which community-level coordination of key decisions regarding the allocation of health care resources are (or are not) being made in these communities. Our basic premise should sound familiar to Workshopers: *delivery of health care services is fundamentally a local or regional affair*. Reform efforts may be focused at the national level, but when push comes to shove, policy implementation happens locally. And evidence has shown considerable variation in health outcomes and health care input measures across communities in different parts of the United States. We presume that this variation can be explained, at least in part, by the differing means of coordination among relevant stakeholders in different communities. Since collaboration among stakeholders with diverse interests and capabilities in such a complex policy

area is an inherently difficult process, we expect to observe both positive and negative influences in all three communities.

In one way or another, this research is likely to be incorporated into three dissertations, those to be completed by the two current students and by Claudia Brink, who has been admitted to the Joint PhD program in Public Policy, starting this fall. We are still working out the conceptual connection between commons research and health/health care policy, which involves a complex mixture of all four kinds of goods and services: private, public, toll goods, and common-pool resources. For this project, we are using the term “commons” more informally to encompass the full range of collective goods, rather than restricting our attention to those aspects that satisfy the formal definition of a CPR. It is a big challenge, but it sure has been a lot of fun so far. Stay tuned: I will be posting materials on my website at <http://php.indiana.edu/~mcginnis/healthcommons/mhchome.htm>.



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# before & after building renovations

{SEE WORKSHOP FACEBOOK PAGE FOR ADDITIONAL PHOTOS}



FRONT OFFICE



LIVING ROOM



TOCQUEVILLE ROOM



# Colloquia

## Spring 2011

1/24: "Tocqueville, Islam, and Democracy," Professor Alan Kahan, SciencesPo, Euro-American Campus, Reims, France, and the American Graduate School of International Relations and Diplomacy, Paris

1/26: "The Organization of Landscape Services Provision: A Conceptual Framework," Laurence Amblard, Researcher, Cemagref, UMR Métafort, France, and Workshop Visiting Scholar

1/31: "Networks of Adjacent Action Situations in Polycentric Governance," Michael McGinnis, Workshop Director and Professor of Political Science, IUB

2/7: "Property Rules, Liability Rules, and Unenforceability: A Three-Dimensional View of the Cathedral," Josephine van Zeben, PhD candidate, University of Amsterdam, Hauser Global Research Fellow 2010–11, New York University of Law

2/10: "Promoting Democracy and Peace in Asia: The Bali Democracy Forum Framework," Professor Ketut Putra Erawan, Executive Director, Institute for Peace and Democracy, Udayana University, Bukit Jimbaran, Bali, Indonesia

2/11: "On Political Liberty: Montesquieu's Missing Manuscript," Professor Annelien de Dijn, Institute for Advanced Study, University of Notre Dame, IN, and Assistant Professor in Political Theory, University of Amsterdam

2/14: "Building an Ontology for Diagnosing Social-Ecological Systems," Dr. Michael Cox, Workshop, IUB

2/16: "Social-Psychological Underpinnings of Self-Governance in the Commons," Dr. Daniel DeCaro, Department of Psychology, Miami University, Oxford, OH, and Workshop Visiting Scholar

2/21: "The Moral Foundation of Economic Behavior: A Framework for New Research in the Social Sciences," Professor David Rose, Department of Economics, University of Missouri-St. Louis

2/23: "The Rise, Expansion and Decline of a Transhumance System in Sweden 1550–1920," Dr. Jesper Larsson, Department of Economics, Agrarian History, Swedish University of Agricultural Sciences, Uppsala, and Workshop Visiting Scholar

2/28: "Toward an Integrative Microfinance Model for Communal Conflict Management," Dr. David Jones, Director, IU Center on Southeast Asia; Director, International Development; Associate Faculty, Department of Political Science; Office of International Affairs, IUPUI

3/2: "Researching the Scalar Organization of Resource Governance in Europe: The Cases of European Marine and Water Management," Dr. Andreas Thiel, Division of Resource Economics, Humboldt-Universität zu Berlin, Germany, and Workshop Visiting Scholar

3/4: "Benjamin Constant and French Pluralist Liberalism," Professor K. Steven Vincent, Department of History, North Carolina State University

3/7: "Development Programs, Global Markets, and Family Decisions: Cross-Scale Interactions and the Emergence of Social-Ecological Complexity in the Amazon," Professor Eduardo Brondizio, Department of Anthropology, IUB

3/9: "Understanding the Limits of Self-Governance: An Analysis of Inter-Community Cooperation in Rural Afghanistan,"



Dr. Jennifer Brick Murtazashvili, Graduate School of Public and International Affairs, University of Pittsburgh, PA

3/21: "Globalization and Contribution to a National Public Good," Eitan Adres, PhD student, School of Political Sciences, University of Haifa, Israel

3/23: "Vulnerability and Adaptive Capacity of Coastal Communities in the Face of Climate Change—A Comparative Study," Camilla Risvoll Godø, PhD candidate, Department of Sociology, University of Nordland, Bodø, Norway

3/28: "Overcoming the Odds: Creating a Community-Managed Protected Area on Disputed Land," Dr. Catherine Tucker, Department of Anthropology, IUB

4/4: "Conservation and Utilization of Coastal Wetlands in Ghana," Mr. Francis Gbogbo, Senior Lecturer, Department of Animal Biology and Conservation Science, University of Ghana, Legon-Accra; and Visiting Scholar, African Studies Program, IUB

4/6: "National Parks in Norway as Socio-Ecological System: Wildlife, Conflict in Use, and Community-Based Management," Gunn Elin Fedreheim, PhD candidate, Department of Sociology, University of Nordland; Researcher, Nordland Research Institute, Bodø, Norway; and Workshop Visiting Scholar

## COLLOQUIA

4/11: "Understanding Community from the Ground Up: Health and Facilitators of Health in Bedford, Indiana," Professor Kathleen Gilbert, Department of Applied Health Science, IUB

4/13: "Adaptation to Climate Variability and Land Use Change in the Mayan Forest," Claudia Rodriguez, PhD candidate, School of Natural Resources and Environment, University of Michigan, Ann Arbor, and Workshop Visiting Scholar

4/14: "Multiethnic Opposition Coalitions and the Control of Capital in Africa," Dr. Leonardo Arriola, Charles and Louise Travers Department of Political Science, University of California-Berkeley, and fellow, Kellogg Institute for International Studies, Notre Dame, IN

4/15: "Community Organizational Capacity and Leadership Networks: The Higher-Order Structure of the Unequal City," Professor Robert J. Sampson, Department of Sociology, Harvard University, Cambridge, MA

4/18: "Heterogeneous Endowments and the Impact of Enforced Minimal Contributions on Voluntary Public-Good Provision," Prof. Dr. Claudia Keser, Director, Göttingen Laboratory of Behavioral Economics, Georg-August-Universität Göttingen, Faculty of Economic Sciences, Chair of Microeconomics, Göttingen, Germany

4/21: "Does Water Scarcity Lead to Overuse? Evidence from Field Experiments," Dr. Esther Blanco, Department of Public Finance, University of Innsbruck, Austria

4/25: "On Other Regarding Concerns, Constitutional Rules, and Bounded Rationality," Professor Werner Güth, Director Strategic Interaction Group, Max Planck Institute of Economics, Jena, Germany

4/27: "Cadaveric Human Kidney as a Common Pool Resource," Prof. Dr. Hartmut Kliemt, Head of Legal Studies and Ethics Department, Institute for International Health Management, Frankfurt School of Finance and Management, Germany

4/29: "Cooperation and Collective Titling: Evidence from a New Property Regime in the Colombian Pacific Coast," Dr. María Claudia López, Department of Rural and Regional Development, School of Environmental and Rural Studies, Pontificia Universidad Javeriana, Bogotá, Colombia; and Visiting Research Scholar, Department of Public Finance, University of Innsbruck, Austria

6/8: "Causal Evidence on the Resource Curse," Andreas Leibbrandt, Workshop Visiting Scholar.

Colloquia papers are available online at:  
[www.indiana.edu/~workshop/colloquia/index.php](http://www.indiana.edu/~workshop/colloquia/index.php)



CLAUDIA BRINK

IN NOVEMBER OF LAST YEAR, Claudia Brink became Assistant Director of the Workshop. She joined the Workshop after volunteering as the coordinator of the Health and Healthcare Working Group that had been established in May of 2010. Her professional background includes experience in the private, public, and nonprofit sectors as well as academic administrative assignments related to clinical research and computing. A Masters in Public Administration and another in Business Administration have given Claudia the educational foundation necessary to support the organizations of which she has been a member. She feels that her doctoral studies in Public Policy will enable her to continually increase her contributions to the Workshop. Claudia is very pleased to have joined us and is thoroughly enjoying fulfilling her responsibilities, which include: serving as a coinvestigator for the Managing the Health Commons research project; identifying new health-related research areas; seeking funding for additional research and to support the sustainability of the Workshop; being the fiscal officer; and providing support for application efforts related to large-scale research proposals.

# WORKSHOP COHOSTS TOCQUEVILLE CONFERENCE

On March 5, 2010, the Workshop, along with the newly created Tocqueville Program ([www.indiana.edu/~tcqville/](http://www.indiana.edu/~tcqville/)), the Department of Political Science, the Office of the Vice President for International Affairs, and the Liberty Fund, cohosted the Tocqueville Conference. Workshop affiliate Aurelian Craiutu, director of the program, led the effort.

The conference was devoted mainly to the launch of the bilingual critical edition of *Democracy in America*, edited by Eduardo Nolla and translated by James T. Schleifer. The book was published by Liberty Fund. It contains all the preparatory notes for *Democracy in America*, preserved at Yale's Beinecke Library, in whose archives Professor Nolla worked for almost a decade in the 1980s. This bilingual edition supersedes and updates the previous critical French edition published by Vrin in 1990 (long sold out).

The conference also had panels devoted to two other books published by IU-related faculty: *Tocqueville on America after 1840* (Cambridge UP, 2009) and *Conversations with Tocqueville* (Rowman & Littlefield, 2009).

A final panel was devoted to reassessing the role played by Tocqueville in social sciences and humanities today.

# Visitors

## Visiting scholars

**LAURENCE AMBLARD** (Aug 2010–June 2011) is a researcher at Cemagref, a French public institute in the field of applied research in agriculture and environment. Prior to that, she completed a PhD in agricultural economics and worked on land tenure arrangements in Romania. Her current research activities focus on the institutional analysis of agri-environmental policies. At the Workshop, she will develop a conceptual framework to analyze the environmental policy instruments and the local governance for water management in European rural areas.

**CARINA CAVALCANTI** (acad. year) finished her PhD in 2010 in Environmental Policy and Economics at the Swiss Federal Institute of Technology Zurich. In her research, she investigates the determinants of cooperation among common-pool-resource users. In one of her studies, she finds that social networks play an important role to understand cooperation to a community resource management program. Carina is especially interested in applied work and has experience in implementing participatory processes in traditional fishing communities.

**DANIEL DECARO** (Aug 2010–Aug 2011) is a cognitive scientist specializing in the study of motivation and decision-making processes in institutional settings. His research investigates the role that social-psychological motives (e.g., desire for self-determination) and the perceived fairness of institutional administrative processes (i.e., procedural justice) play in individuals' motivational and decisional reactions to institutional policy. At the Workshop, Daniel hopes to engage in laboratory and field research examining the role that social-psychological motives play in stakeholders' willingness to voluntarily supply and maintain institutional policies.

**GUNN ELIN FEDREHEIM** (acad. year) is a PhD candidate in sociology at Bodø University College, and works as a researcher at Nordland Research Institute. Her main research interest is in policy design and implementation, and institutional changes in the environmental field. Empirically, she has focused her work on management of natural resources with a specific focus on the tensions between conservation and use of protected areas. At the Workshop, she will finish her dissertation, and looks forward to improving her work through actively participating in Workshop activities.

**ULRICH FREY** (fall 2010) Factors of success: How can common-pool resources be sustainably managed? My project (with my team) tries to answer the question about why some institutions established to manage common-pool resources (like forests, fish, pastures, or irrigation systems) prosper almost indefinitely while others collapse due to individual egoism or other problems. A set of possible success factors has been proposed. However, the complex interplay of these is at present unknown. Through the use of neural networks and other data-mining methods, we try to precisely determine each impact by building a quantitative model.

**CHRISTIAN KIMMICH** (fall 2010) is a PhD candidate at the Division of Resource Economics, Humboldt University, Berlin, and works on the project "Climate and Energy in a Complex Transition Process towards Sustainable Hyderabad." His research is on electricity governance for groundwater irrigation in Indian agriculture integrating a public choice perspective and a micro-level institutional analysis. At the Workshop, Christian will finalize findings of the public choice approach and analyze empirical data on cooperation and conflict at the micro level.



Y673 MINICONFERENCE PARTICIPANTS, FALL 2010

**JESPER LARSSON** (Oct 2010–Oct 2012), Department of Economics, Swedish University of Agricultural Sciences in Uppsala, received a PhD degree in Agrarian History in October 2009. In his research about agricultural systems, he has used theories about the management of common-pool resources. As a postdoc at the Workshop, he would like to develop the knowledge of commons and common-pool resources from a historical perspective.

**ANDREAS LEIBBRANDT** (acad. year) is a postdoc at the Economics Department, University of Chicago, and has a PhD from the University of Zurich. Thus far, he has studied the extent to which the economic preference approach is useful to understanding individual fishing resource exploitation, and whether economic preferences are shaped by different work environments fishermen face. At the Workshop, he plans to take the opportunity to broaden his horizon, and exchange ideas with researchers from different disciplines to hopefully conduct new interdisciplinary field experiments/studies.

**CLAUDIA RODRIGUEZ** (acad. year) is completing her PhD at the School of Natural Resources and Environment, University of Michigan. Her work focuses on the relationship between

adaptation to climate stimuli and conservation of environmental goods and services in and around protected areas in southern Mexico, northern Guatemala, and transboundary protected areas across the Americas. At the Workshop, she aims to enhance her understanding of the socio-ecological systems framework and delve into the analysis of the interrelation between livelihoods production, adaptation, and conservation in rural communities.

**LAURI SÄÄKSUORI** (fall 2010) is a PhD candidate in economics at the Max Planck Institute of Economics, Germany. He applies experimental methods to study individual and group behaviors in problems of collective action as well as neurobiological origins of human cooperation. While at the Workshop, he aims to put the last touches to his thesis and broaden his research horizon exchanging thoughts with fellow scholars.

**MAYYA SENGUPTA** (acad. year) received her PhD from the Department of Economics, Indiana University. Her areas of specialization are industrial organization, game theory, and experimental economics. While at the Workshop, she will be preparing papers from her dissertation for publication as well as advancing her ongoing research.

**CEREN SOYLU** (fall 2010) recently completed her PhD in Economics at the University of Siena, Italy. Her research is focused on promoting sustainable natural resources management through a self-governing structure that satisfactorily deals with collective-action problems, associated with both overexploitation of resources and political underrepresentation of those affected, with particular emphasis on the ways in which power relations among actors are manifested in this context. At the Workshop, she will continue to study on formal models of conflict and collective action, and she will try to incorporate the aspects of network theory to her research for a better understanding of cooperation among actors.

**ANDREAS THIEL** (spring 2011) is Assistant Professor, Division of Resource Economics, Humboldt-Universität zu Berlin, Germany. His research interests are the social sciences and institutional economics of social-ecological systems with substantive work focussing on water and marine governance in Europe. While at the Workshop, he intends to work on a framework for explaining “re-scaling” of resource governance; a re-consideration of governance and the conception of the state in theories of institutional change; and an elaboration of the SES properties at play in the case of restructuring of marine and inland freshwater governance in Europe.

## Short-term visitors— spring 2011

**DR. ESTER BLANCO**, Department of Public Finance, University of Innsbruck, Austria [3/28–4/30]

**DR. NAMA R. BUDHATHOKI**, University of Illinois at Urbana-Champaign, USA, and Post-Doctoral Research Fellow, McGill University, Canada [5/16]

**DR. MARIA DAMON**, Public Policy and Environmental Studies, Wagner School of Public Affairs, New York University, NY [1/17–18]

**DR. JULIA DUANY**, Undersecretary for Ministry Parliamentary Affairs, Republic of Sudan, Government of Southern Sudan, Juba [3/5–13]

**HON. DR. WAL DUANY**, Member of Parliament, Republic of Sudan, The Southern Sudan, Legislative Assembly, Juba, Sudan [3/5–4/30]

**PROFESSOR WILLIAM FERGUSON**, Department of Economics, Grinnell College, Iowa [3/30–4/1]

**RUCHA GHATE**, Researcher, SHODH: The Institute for Research and Development, Nagpur, India [5/8–6/6]

**CAMILLA RISVOLL GODØ**, PhD candidate, Department of Sociology, University of Nordland, Bodø, Norway [3/21–25]

**PROF. DR. WERNER GÜTH**, Director Strategic Interaction Group, Max Planck Institute of Economics, Jena, Germany [4/22–28]

**YASHA HARTBERG**, graduate student, Department of Biological Sciences, Binghamton University, NY [1/23–25]

**CHARLOTTE HESS**, RESEARCH, COLLECTIONS, AND SCHOLARLY COMMUNICATION, SYRACUSE UNIVERSITY LIBRARY, NEW YORK, [6/1–7]

**PROFESSOR MOLLY JAHN**, DEPARTMENT OF AGRONOMY AND LABORATORY OF GENETICS, UNIVERSITY OF WISCONSIN-MADISON [6/6–7]

**DR. MARCO JANSSEN**, School of Human Evolution and Social Change, Center for the Study of Institutional Diversity, Arizona State University, Tempe [6/11–17]

**PROF. DR. HARTMUT KLIEMT**, Head of Legal Studies and Ethics Department, Institute for International Health Management, Frankfurt School of Finance and Management, Germany [4/22–28]

**THAMANA LEKPRICHAKUL**, Senior Project Researcher, Research Institute for Humanity and Nature, Kyoto, Japan [3/18]

**DR. MARÍA CLAUDIA LÓPEZ**, Department of Rural and Regional Development, School of Environmental and Rural Studies, Pontificia Universidad Javeriana, Bogotá, Colombia [4/16–5/4]

**PROFESSOR THOMAS STERNER**, Department of Economics, University of Gothenburg, Sweden [1/17–19]

**DR. CHIEKO UMETSU**, Research Institute for Humanity and Nature, Kyoto, Japan [3/18]

**PROFESSOR DAVID SLOAN WILSON**, Departments of Biology and Anthropology, and Director of EvoS, Binghamton University, NY [1/23–25]

**DR. SARA WONG**, Polytechnic University, Guayaquil, Ecuador [3/25–31]

**DAVID ZAKS**, postdoctoral scientist, Center for Sustainability and the Global Environment (SAGE), University of Wisconsin-Madison [6/6–7]



### DELFT AND THE SES CLUB

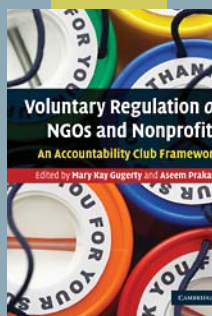
The cowinners of the 2009 Nobel Prize in Economic Sciences were reunited at the 13th Annual International Conference on the Economics of Infrastructures, Delft University of Technology, Delft, Netherlands, May 27–28, 2010. This particular event was entitled “The Governance of Next Generation Infrastructures: Readjusting the Political and Economic Institutions to Meet the Challenges of the 21st Century—In Honor of Elinor Ostrom and Oliver Williamson.” Long-time Workshopper and current Dean Theo Toonen managed to get a lot of work out of both Lin and Mike McGinnis:

Lin presented a paper with Michael Cox entitled “Applying a Social-Ecological System Framework to the Study of the Taos Valley Irrigation System Over Time” in a panel on “Water Governance: Competition and Collaboration in River Basins” and as presenter and interviewee in a panel on “Governance and Polycentricity.”

Mike served as discussant on a panel on “Radio Spectrum Governance: The Need for Collective Action” and as participant in a roundtable on “The Future of Infrastructure Self-Governance: Bringing Government Back In?”

Both Lin and Mike participated in a separate meeting of the SES (Social-Ecological Systems) Club on May 29, 2010, also held at the Delft University of Technology. The Workshop hosted the next meeting of the SES Club in Bloomington on November 30–December 1, 2010. Another long-time Workshopper, Audun Sandberg, recently hosted a meeting in Bodø, Norway, June 28–29, 2011, at which Lin and Michael Cox attended. Participants hope to publish several papers in a special issue of *Ecology and Society*.

# Publications



Gugerty, Mary Kay, & Aseem Prakash. 2010. *Voluntary Regulation of NGOs and Nonprofits: An Accountability Club Framework*. Cambridge University Press.

How can nonprofit organizations and NGOs demonstrate accountability to stakeholders and show that they are using funds appropriately and delivering on their promises? Many nonprofit stakeholders, including funders and regulators, have few opportunities to observe nonprofit internal management and policies. This volume examines a key instrument employed by nonprofits to respond to these challenges: voluntary accountability clubs.

Ostrom, Vincent. 2011. *The Quest to Understand Human Affairs: Natural Resources Policy and Essays on Community and Collective Choice*, volume I. Edited by Barbara Allen. Lexington Books.

This book presents previously unpublished essays by Vincent Ostrom on the US government's environmental problems and resource governance and span the six decades of Ostrom's career in political science and public administration. Political theorist, Barbara Allen, has edited the work and provided extensive notes that provide context and identify key events and persons cited in the works.

Poteete, Amy, Marco Janssen, & Elinor Ostrom. 2010. *Working Together: Collective Action, the Commons, and Multiple Methods in Practice*. Princeton University Press.

This book examines how different methods have promoted various theoretical developments related to collective action and the commons, and demonstrates the importance of cross-fertilization involving multimethod research across traditional boundaries.

Sabetti, Filippo. 2010. *Civilization and Self-Government: The Political Thought of Carlo Cattaneo*. Lexington Books.

This book is the first systematic attempt to explicitly articulate the key elements of Carlo Cattaneo's pioneering attempt to advance freedom and self-government in nineteenth-century Europe. His public science combined two elements that constitute the two parts of this book: the study of incivilimento, and the art and science of self-governance.

## FORTHCOMING:

Ostrom, Elinor, Wai Fung Lam, Prachanda Pradhan, & Ganesh Shivakoti, *Improving Irrigation in Asia: Sustainable Performance of an Innovative Intervention in Nepal*. Edward Elgar.

Ostrom, Vincent, *The Quest to Understand Human Affairs: Essays on Collective, Constitutional, and Epistemic Choice*, volume 2. Edited by Barbara Allen. Lexington Books.

## TRANSLATIONS:

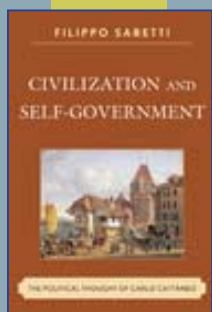
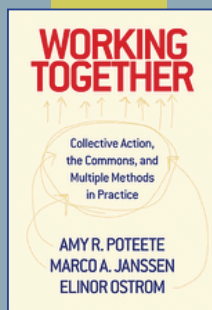
Hess, Charlotte, and Elinor Ostrom, eds. 2010. *Understanding Knowledge as a Commons: From Theory to Practice* [in Korean]. Trans. Minjoo Kim (Time Books of Seoul).

Ostrom, Elinor. 2010. *Gouvernance des Biens Communs: Pour une Nouvelle Approche des Ressources Naturelles* [Governing the Commons: The Evolution of Institutions for Collective Action] (Brussels, Belgium: Groupe de Boeck).

Ostrom, Elinor. 2011. *Was mehr wird, wenn wir teilen: Vom Gesellschaftlichen wert der Gemeingüter* [in German]. Edited and translated by Silke Helfrich. Munich: Oekom Verlag.

Ostrom, Elinor, Roy Gardner, & James Walker. 2011. *Rules, Games, and Common-Pool Resources* [in Chinese]. Trans. Ren Rui and Wang Qiaoling (Shaanxi People's Publishing House).

Ostrom, Vincent. 2011. *The Meaning of Democracy and the Vulnerability of Democracies: A Response to Tocqueville's Challenge* [in Chinese]. Trans. Li Mei (Shaanxi People's Publishing House).



# PUBLICATIONS

## Articles

**Ahn, T. K., Elinor Ostrom, & James Walker.**

2010. "A Common-Pool Resource Experiment with Postgraduate Subjects from 41 Countries." *Ecological Economics* 69(12): 2624–33.

**Akinola, S. R.** 2010. "Restructuring the Public Sphere for Social Order in the Niger Delta through Polycentric Planning: What Lessons for Africa?" *African and Asian Studies* 9: 55–82.

**Aligica, Paul Dragos.** 2010. "Elinor Ostrom—Nobel Prize in Economics 2009." *Economic Affairs* 30(1): 95–96.

**Basurto, Xavier, & Eric Coleman.** 2010. "Institutional and Ecological Interplay for Successful Self-Governance of Community-Based Fisheries." *Ecological Economics* 69(5): 1094–103.

**Blanco, Esther.** 2010. "A Social-Ecological Approach to Voluntary Environmental Initiatives: The Case of Nature-Based Tourism." *Policy Sciences*, Online First, November 12.

**Cole, Daniel, & Peter Grossman.** 2010. "Institutions Matter! Why the Herder Problem is not a Prisoner's Dilemma." *Theory and Decision* 69(2): 219–31.

**Cox, Michael, Gwen Arnold, & Sergio Villamayor Tomás.** 2010. "A Review of Design Principles for Community-Based Natural Resource Management." *Ecology and Society* 15(4): 38.

**Fischer, Burnell, & Tatyana Ruseva.** 2010. "What Is Happening In and Outside America's Private Woodlands?" *Journal of Forestry* 108(6): 304–306.

**Fleischman, Forrest, et al.** 2010. "Disturbance, Response, and Persistence in Self-Organized Forested Communities: Analysis of Robustness and Resilience in Five Communities in Southern Indiana." *Ecology and Society* 15(4): 9.

• For a "state-of-the-art" report on the Institutional Analysis and Development (IAD) Framework, see the February 2011 issue of *Policy Studies Journal*.

• See also these June 2010 Special Issues: "Elinor Ostrom and the Diversity of Institutions" (*Public Choice*) and "Celebrating Elinor Ostrom's 2009 Nobel Prize in Economic Sciences" (*Transnational Corporations Review*).

**Janssen, Marco, Robert Holahan, Allen Lee, & Elinor Ostrom.** 2010. "Lab Experiments for the Study of Social-Ecological Systems." *Science* 328(5978): 613–17.

**Lam, Wai Fung, & Elinor Ostrom.** 2010. "Analyzing the Dynamic Complexity of Development Interventions: Lessons from an Irrigation Experiment in Nepal." *Policy Sciences* 43(1): 1–25.

**Madrigal, Róger, Francisco Alpizar, & Achim Schlüter.** 2011. "Determinants of Performance of Community-Based Drinking Water Organizations." *World Development*, online March 5, doi:10.1016/j.worlddev.2011.02.011.

**McGinnis, Michael.** 2011. "An Introduction to IAD and the Language of the Ostrom Workshop: A Simple Guide to a Complex Framework." *Policy Studies Journal* 39(1): 169–83.

**McGinnis, Michael.** 2011. "Networks of Adjacent Action Situations in Polycentric Governance." *Policy Studies Journal* 39(1): 51–78.

**McGinnis, Michael.** 2010. "Religion Policy and the Faith-Based Initiative: Navigating the Shifting Boundaries between Church and State." *Forum on Public Policy* 2010(4) (Dec.) [online].

**McGinnis, Michael, & James Walker.** 2010. "Foundations of the Ostrom Workshop: Institutional Analysis, Polycentricity, and Self-Governance of the Commons." *Public Choice* 143(3–4): 293–301.

**Nagendra, Harini, and Elinor Ostrom.** 2011. "The Challenge of Forest Diagnostics." *Ecology and Society* 16(2): 20. [online] URL: <http://www.ecologyandsociety.org/vol16/iss2/art20/>.

**Ostrom, Elinor.** 2010. "Analyzing Collective Action." *Agricultural Economics* 41(S1): 155–66.

**Ostrom, Elinor.** 2011. "Askö 1994: Commentary by Elinor Ostrom." In *Bringing Ecologists and Economists Together: The Askö Meetings and Papers*, ed. Tore Söderqvist, Anna Sundbaum, Carl Folke, and Karl-Göran Mäler, 57–58. New York: Springer.

**Ostrom, Elinor.** 2011. "Background on the Institutional Analysis and Development Framework." *Policy Studies Journal* 39(1): 7–27.

**Ostrom, Elinor.** 2010. "Beyond Markets and States: Polycentric Governance of Complex Economic Systems." *American Economic Review* 100(3): 641–72; and in *Les Prix Nobel 2009*, The Nobel Foundation, 401–44. Västerås, Sweden: Edita Västra Aros.

**Ostrom, Elinor.** 2010. "The Challenge of Crafting Rules to Change Open-Access Resources into Managed Resources." In *Is Economic Growth Sustainable?*, ed. Geoffrey Heal, 168–205. New York: Palgrave Macmillan.

**Ostrom, Elinor.** 2010. "The Challenge of Self-Governance in Complex Contemporary Environments." *Journal of Speculative Philosophy* 24(4): 316–332.

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**Ostrom, Elinor.** 2011. "Honoring James Buchanan." *Journal of Economic Behavior and Organization*, online May 15, 2011, doi:10.1016/j.jebo.2011.04.002.

**Ostrom, Elinor.** 2010. "Institutional Analysis and Development: Elements of the Framework in Historical Perspective." In *Historical Developments and Theoretical Approaches in Sociology*, ed. Charles Crothers, in *Encyclopedia of Life Support Systems (EOLSS)*. Oxford, UK: EOLSS.

**Ostrom, Elinor.** 2010. "The Institutional Analysis and Development Framework and the Commons." *Cornell Law Review* 95(4): 807–15.

**Ostrom, Elinor.** 2010. "A Long Polycentric Journey." *Annual Review of Political Science* 13: 1–23.

**Ostrom, Elinor.** 2010. "A Multi-Scale Approach to Coping with Climate Change and Other Collective Action Problems." *Solutions* 1(2): 27–36.

**Ostrom, Elinor.** 2010. "Nested Externalities and Polycentric Institutions: Must We Wait for Global Solutions to Climate Change before Taking Actions at Other Scales?" *Economic Theory*, Online First, August 6.

**Ostrom, Elinor.** 2010. "Organizational Economics: Applications to Metropolitan Governance." *Journal of Institutional Economics* 6(1): 109–15.

**Ostrom, Elinor.** 2010. "Polycentric Systems for Coping with Collective Action and Global Environmental Change." *Global Environmental Change* 20(4): 550–57.

**Ostrom, Elinor.** 2011. "Reflections on 'Some Unsettled Problems of Irrigation.'" *American Economic Review* 101(1): 49–63.

**Ostrom, Elinor.** 2010. "Revising Theory in Light of Experimental Findings." *JEB* 73: 68–72.

**Ostrom, Elinor, & Xavier Basurto.** 2010. "Crafting Analytical Tools to Study Institutional Change." *Journal of Institutional Economics*, FirstView, August 16.

**Ostrom, Elinor, & Michael Cox.** 2010. "Moving Beyond Panaceas: A Multi-Tiered Diagnostic Approach for Social-Ecological Analysis." *Environmental Conservation*, FirstView, 1–13.

**Ostrom, Elinor, & Charlotte Hess.** 2010. "Private and Common Property Rights." In *Property Law and Economics, Encyclopedia of Law and Economics*, 2nd ed., ed. Boudewijn Bouckaert, 53–106. Cheltenham, UK: Edward Elgar.

**Ostrom, Elinor, & Harini Nagendra.** 2010. "Be Diverse." *Our Planet*, the magazine of the United Nations Environment Programme (UNEP) (May): 10–12.

**Ostrom, Elinor, & Harini Nagendra.** 2010. "Governing the Commons in the New Millennium: A Diversity of Institutions for Natural Resource Management." In *Re-Inventing Construction*, ed. Ilka and Andreas Ruby, 380–87. Berlin, Germany: Ruby Press.

**Persha, Lauren, Arun Agrawal, & Ashwini Chhatre.** 2011. "Social and Ecological Synergy: Local Rulemaking, Forest Livelihoods, and Biodiversity Conservation." *Science* 331(6024): 1606–1608.

**Poteete, Amy.** 2010. "Analyzing the Politics of Natural Resources: From Theories of Property Rights to Institutional Analysis and Beyond." In *Environmental Social Sciences: Methods and Research Design*, ed. Ismael Vaccaro, Eric Smith, and Shankar Aswani, 57–79. New York: Cambridge University Press.

**Sääksvuori, Lauri, Tapio Mappes, & Mikael Puurtinen.** 2011. "Costly Punishment Prevails in Intergroup Conflict." *Proceedings of the Royal Society B*, doi:10.1098/rspb.2011.0252.

**Schlüter, Achim, & Insa Theesfeld.** 2010. "The Grammar of Institutions: The Challenge of Distinguishing between Strategies, Norms, and Rules." *Rationality and Society* 22(4): 445–75.

**Theesfeld, Insa.** 2010. "Institutional Challenges for National Groundwater Governance: Policies and Issues." *Ground Water* 48(1): 131–42.

**Toonen, Theo.** 2010. "Resilience in Public Administration: The Work of Elinor and Vincent Ostrom from a Public Administration Perspective." *Public Administration Review* 70(2): 193–202.

**Tucker, Catherine.** 2010. "Learning on Governance in Forest Ecosystems: Lessons from Recent Research." *International Journal of the Commons* 4(2): 687–706.

**Van Laerhoven, Frank.** 2010. "Governing Community Forests and the Challenge of Solving Two-Level Collective Action Dilemmas—A Large-N Perspective." *Global Environmental Change* 20(3): 539–46.

**Vitale, Tommaso.** 2010. "Società locali e governo dei beni comuni: Il Nobel per l'economia a Elinor Ostrom." *Aggiornamenti Sociali* 61(2): 91–101.

**Vollan, Björn, & Elinor Ostrom.** 2010. "Cooperation and the Commons." *Science* 330(6006): 923–24.

## IN THE NEWS

ARUN AGRAWAL is one of 180 recipients of the 2011 Guggenheim Fellowship. Arun will use the fellowship support to complete a book on *Poverty and Adaptation*.

JACQUI BAUER was named the first Sustainability Coordinator for the city of Bloomington, IN, on April 22, 2010.

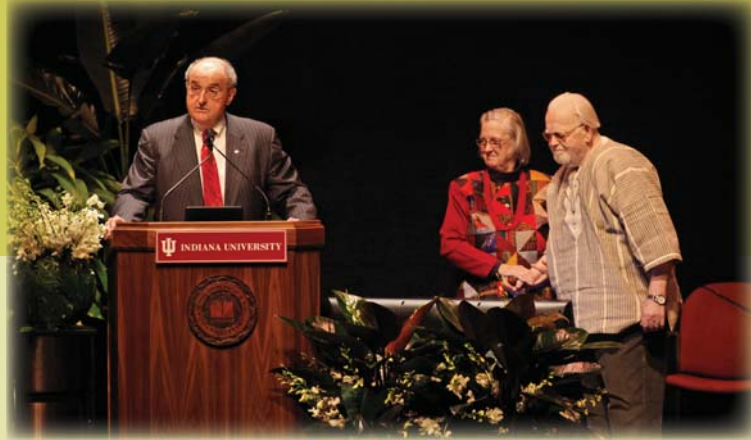
CAROL BUSZKIEWICZ, administrative assistant/fiscal officer, retired from IU/Workshop on June 30, 2011.

ROBERT HOLAHAN accepted a post-doc fellowship in Environmental Policy at Washington University in St. Louis, beginning fall 2011.

PRAKASH KASHWAN has accepted a tenure-track position in Comparative Environmental Politics at the Department of Political Science, University of Connecticut, beginning fall 2011.

JESPER LARSSON was featured in the March 2011 issue of IU's International Services Scholar Newsletter. See Scholar Profile at: <http://www.indiana.edu/~intlerv/scholars/j-1/newsletter/2011/march.php>.

LAUREN MACLEAN'S book, *Informal Institutions and Citizenship in Rural Africa: Risk*



VINCENT & LIN RECEIVING IU'S UNIVERSITY MEDAL FROM PRESIDENT MCROBBIE ON FEBRUARY 16, 2010. PHOTO BY AARON BERNSTEIN.

*and Reciprocity in Ghana and Cote d'Ivoire* (Cambridge University Press, 2010), has been selected as the winner of the 2011 Sartori Award. Lauren will be honored at the 2011 APSA meeting by the Qualitative Methods Section.

TUN MYINT was named a fellow of the National Asia Research Program for Scholars by the National Bureau of Asian Research and the Woodrow Wilson International Center in 2010. The appointment lasts for two years.

LIN OSTROM was elevated to the rank of Distinguished Professor and received IU's Office for Women's Affairs Living Legend Award, Distinguished Faculty Award (College of Arts and Sciences), and Herman B. Wells Visionary Award in 2010.

ARMANDO RAZO has been awarded a W. Glenn Campbell and Rita-Ricardo Campbell National Fellowship at the Hoover Institution for his research on "Relational and Spatial Dimensions of Social Policies in Latin America (1995–2010)." Armando will spend 2011–12 at Stanford University, combining this award with his post-tenure sabbatical leave.

### Recent PhDs:

Michael Cox (2010), Robert Holahan (2010), Prakash Kashwan (2011), Lilian Marquez (2011), Brian Steed (2010)

### Birth announcements:

Iretioluwa (born 3/4/10 to Kunle & Sarah Oyerinde); Alizaya (born to Michael & Lyrna Schoon); Lorenzo (born 1/25/10 to Carina Cavalcanti & Andreas Leibbrandt); Jakob (born 1/9/11 to Frank & Tasja van Laerhoven)

### Mark your calendars!

WOW5 will take place June 18–21, 2014.



### In Memory Of

Professor Roy J. Gardner  
MAY 21, 1947 — JAN. 10, 2011

Gary (Bucky) Higgins  
DEC. 29, 1945 — DEC. 20, 2010

