

# Polycentric Circles

WORKSHOP IN  
POLITICAL THEORY  
AND POLICY ANALYSIS

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## Building Social Capital and Self-Governing Capabilities in Diverse Societies

by Mike McGinnis

Plans for the third Workshop on the Workshop (June 2-6, 2004) are moving towards completion. As has been detailed in earlier newsletters, this meeting will not be a "normal" professional conference. Instead, our primary aim is to facilitate the plans of each of the separate working groups. We now have as many as nine working groups organizing their own plans for this meeting. Each of the groups is pursuing research on topics related, in one form or another, to the overall theme of "Building Social Capital and Self-Governing Capabilities in Diverse Societies."

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The final schedule remains to be worked out, but we are now in a position to lay out the overall structure of this meeting. As in the two previous incarnations of this new Workshop tradition, WOW3 combines serious scholarly interchange with informal interactions. The conference will begin on Wednesday evening, June 2nd, with a welcoming dinner at the Oliver Winery north of Bloomington. Thursday, Friday, and Saturday mornings will be devoted to working sessions, demonstrations, panel presentations, and roundtables (detailed below). Saturday afternoon and Sunday will be left open for informal gatherings at the Ostroms' home or at one of the local parks.

Both Thursday and Friday will be divided up into four time slots (plus time for lunch!). The first time slot is 8:30-10:00, and the second morning sessions runs from 10:30-12:00. After a two-hour break for a refreshing and healthy lunch, the third session runs from 2:00-3:30 and the final session from 4:00-6:00. The Saturday session will run from 9:00-11:00, plus some time afterwards for a group picture. Meetings will take place in several rooms we have reserved in the Indiana Memorial Union as well as rooms in the main Workshop building at 513 N. Park.

The nature of the activities that will be held in each time slot remains to be finalized. We are planning a mixture of the following four types of activities.

**1. Working Sessions.** Most working groups have asked for time for one or two working sessions restricted to the members of their groups. These small-group sessions will be especially useful in making more

detailed plans about future publications or collaborative projects.

**2. Tool Presentations.** We plan on setting up a few sessions that will provide participants with a sampling of some ongoing work in different areas. One session will introduce the major new Experimental Laboratory in Woodburn Hall, which the Workshop, in collaboration with other units on campus, has just established (see story on page 4). Depending on expressions of interest, we may also set up demonstrations of the potential capabilities of complex systems models and agent-based models of complex social and ecological systems. Computers in this lab are capable of handling data from GIS (geographic information systems), which is another set of tools we would like to demonstrate.

**3. Panel Presentations.** A few groups have expressed some interest in presenting papers to a more general audience, so we will probably have only a few of these sessions. The late morning time slot seems the most likely choice for these panels.

**4. Roundtables and Plenary Sessions.** We are planning three larger sessions in which participants in different working groups can interact with each other by focusing on more general topics. One session will consist of a lecture or discussion of a major scholar's work, probably on Saturday morning. We have a few people in mind, but we have not yet been able to finalize these plans. The other two roundtables will occur in the last time slot on Thursday and Friday. Both of the late afternoon roundtables will deal with

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broad issues of general interest related to the study of institutions, with one roundtable focused on macro-level issues and the other on more micro-level problems. We would like to have members of different working groups participate in these roundtables.

Among the questions to be considered at the macro-level roundtable are the following: Can self-governance be established in any cultural setting, or are there particular ideas or conceptualizations that are critical for the sustainable success of self-governance? We hope to include on this roundtable scholars familiar with these problems in the United States, Europe, Africa, East Asia, and perhaps the Islamic world. The other session would be directed at more micro-level concerns, although these questions may remain quite large in scope. In particular, what are the potential lines of communication among scholars focusing on resource management, urban governance, and experimental research? What have we learned about the crucial foundations of self-governance in each of these research traditions? What can each group of scholars learn from the others?

Our current plans are to devote the first time slots on Thursday and Friday to working groups meeting among themselves. We may not have enough rooms for all working groups to meet simultaneously, although the smaller groups should be able to meet informally. In addition, many individuals are participating in more than one working group, and we will try to take these overlaps of interest into account in setting up the final schedule. The fourth time slot in each day will be devoted to roundtables. The second and third time slots will be allotted to some combination of paper presentations, demonstrations of research facilities and methods, and additional working sessions for those groups who request multiple meetings.

So far, most of the working groups are planning on one or two working sessions. The IFRI Writing Workshop is the most ambitious, as well as the group closest to the goal of completing a publishable product. Members of this working group will be meeting all day on Wednesday, before the official start of WOW3, in order

to work on completing their manuscripts. Other working groups are making significant progress towards making the most of this opportunity to work together, and we look forward to helping out in any way. See the boxed area below for the current list of working groups. Please contact the coordinator of a working group if you are interested in joining that group, or if you want more information concerning that group's planned activities.

**Hotel Reservations, Registration, and Other Details.** We are in the process of putting all the necessary information on the WOW3 website (<http://www.indiana.edu/~wow3>), which will be available shortly. Here is the general overview.

We have reserved a block of hotel rooms in the Indiana Memorial Union for use by WOW3 participants. We are asking participants to make their own reservations by calling 1-800-209-8145 or by sending an online reservation request, which can be found on the IMU website at [http://imu.indiana.edu/hotel\\_conference\\_center/hotel\\_reservations.html](http://imu.indiana.edu/hotel_conference_center/hotel_reservations.html). When making your hotel reservation, you will need to note that you are coming for a conference and that the rooms are being held in the name of "Workshop in Political Theory." There will also be rooms available at Eigenmann Hall (on-campus residence housing) at a lower rate. If interested, contact Gayle Higgins for more details.

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## WORKING GROUPS



### **Challenges of Governance in Africa**

**Coordinators:** Amos Sawyer ([asawyer@indiana.edu](mailto:asawyer@indiana.edu))  
Sheldon Gellar ([sgellar@indiana.edu](mailto:sgellar@indiana.edu))

### **China in Transition**

**Coordinators:** Mao Shoulong ([maoshoulong@wiapp.org](mailto:maoshoulong@wiapp.org))  
Chen Youhong ([youhongc@tom.com](mailto:youhongc@tom.com))

### **The Evolution of East Asian Irrigation Institutions**

**Coordinator:** Wai Fung Lam ([dwflam@hku.hk](mailto:dwflam@hku.hk))

### **Historical Institutional Analysis on Robustness of Social-Ecological Systems**

**Coordinator:** Marco Janssen ([maajanss@indiana.edu](mailto:maajanss@indiana.edu))

### **IFRI Writing Workshop**

**Coordinators:** Arun Agrawal ([arunagra@umich.edu](mailto:arunagra@umich.edu))  
Kristen Andersson ([kanderss@indiana.edu](mailto:kanderss@indiana.edu))  
Amy Poteete ([apoteete@uno.edu](mailto:apoteete@uno.edu))

### **Tocquevillian Analytics**

**Coordinators:** Barbara Allen ([ballen@carleton.edu](mailto:ballen@carleton.edu))  
Vernon Greene ([vgreene@maxwell.syr.edu](mailto:vgreene@maxwell.syr.edu))  
Filippo Sabetti ([filippo.sabetti@mcgill.ca](mailto:filippo.sabetti@mcgill.ca))

### **Urban Politics and Policy**

**Coordinator:** Susan Baer ([sbaer@mail.sdsu.edu](mailto:sbaer@mail.sdsu.edu))

### **Voluntary Regimes of Self-Regulation**

**Coordinator:** Aseem Prakash ([aseem@u.washington.edu](mailto:aseem@u.washington.edu))

### **Watershed Management Institutions**

**Coordinator:** Tanya Heikkila ([th2063@columbia.edu](mailto:th2063@columbia.edu))

To help defray some of the costs of this conference, we are asking participants to pay a registration fee. This fee for those who pre-register (before a deadline of March 30) will be \$30 for faculty and \$15 for students. Late registrants will pay \$60 for faculty, \$30 for students. We will have a registration form available online by January. Payment will need to be made by cash or check. If by check, please make your check payable to Indiana University.

Those of you who have been to Bloomington should remember that to get to IU most people make airline reservations to arrive at the Indianapolis airport. We are asking participants to make their own travel arrangements, which include airline reservations and ground transportation. The website will include contact information for ground transportation (limousine and shuttle services) from the airport to Bloomington. If you encounter any problems, please contact us at [wow3@indiana.edu](mailto:wow3@indiana.edu).

Our funds for supporting travel are very limited. We would like to help cover at least some of the costs of airfare for those participants coming from outside North America. We have been able to arrange very limited funding for this purpose. We encourage Workshop colleagues who live in the U.S. to make contributions to enable our overseas colleagues to attend WOW3. (Checks should be made payable to **Indiana University Foundation** and sent to Linda Smith at the Workshop.)

Gayle Higgins is the contact person for all WOW3 activities. Many of you will recall the outstanding work she did on earlier WOWs, and I find it hard to even imagine how we might put this on without her steady coordination. For all questions relating to WOW3, please contact Gayle at [wow3@indiana.edu](mailto:wow3@indiana.edu) or (812) 855-0441. You may also hear from Pam Jagger, a graduate student who will be assisting Gayle on WOW3.

I look forward to seeing many of you again next June!



## THE VINCENT OSTROM COLLECTION

THE STORY OF A HUMANIST IN SEARCH OF A PHILOSOPHY FOR THE PUBLIC

by Minoti Chakravarty-Kaul

The papers of Vincent Ostrom as “A Collection” was the subject of a colloquium presentation that I gave on November 3, 2003. The setting of such an occasion was most appropriate, for the colloquium “sprouted,” as they say, from the intellectual “tap roots” of the Workshop when it was founded. This was like a forum or testing ground where “artisans” as it were, could chisel and refine agenda for institutional design. Indeed, such is the solidity of this open forum today, that we are likely to be caught “innocent” of the formidable hurdles that beset scholars in the academic world within any university.

A window to the origins of the Workshop is now open through the records housed in the Vincent Ostrom Collection. From one of the papers in this collection, the following passage appeared in a letter that Vincent wrote to Antoni Kaminski on October 16, 1991:

There are great ironies inherent in our efforts to live a civilized life amid the aspiring despots.... This is one of the most difficult dilemmas of a free society, because every lackey can become a yapping terrier prepared to bite when your back is turned.... This, in a small way, has been the story of my life. Even a commitment to autonomy and critical reflection can pose a threat to petty aspiring despots and their assortments of yapping terriers. The problem then, is how to keep your sight on what you want to accomplish.... Frankly, I do not know the answer. Our own effort was to withdraw into a hermitage and get on with our work striving to find productive colleagues in the larger community of scholars.... If I have learned anything from our efforts here in Bloomington, it is of basic importance to open inquiry to a critical but sympathetic pursuit that extends the frontiers of inquiry to take account of diverse approaches, but with an insistence that alternatives be clarified and be assessed for their empirical warrantability.

Given such an intellectual milieu, the collection would add yet another vantage point for all those scholars who have long been associated with the Ostroms and the Workshop but have not had the occasion to visit Bloomington personally. The papers in the collection provide a window into a half-century of American political thought replete with statements recommending interdisciplinary and intercontinental confluences of ideas and philosophies. It also reflects the struggles within the world of academia where education is the *beginning* perhaps, but not the *end* of real-world problems.

The significance of the collection grows beyond the volume of the papers it contains, for it challenges scholars, during the harried times in the new millennium, to renew their dedication to the core value—eternally the hallmark of scholarship, nay citizenship of “critical reflection as the basis of choice.” The collection reveals the life and works of Vincent Ostrom as one such exemplar. His papers also reflect continuity and change in the world of university education in the United States of America. Therefore, the collection heralds a challenge from the *past* for the *present* for it contains the story of enterprise and of a scholar who sought to uphold the right to craft his own freedom to inquire—and the result was the foundation of what we know today as “The Workshop.”

The papers archived are collated and classified according to a system that broadly follows the contours, as it were, of Professor Ostrom’s own ideas of classification. Specifically,

(Continued on Page 4)

Collection (Continued from Page 3)

there are two major divisions and these have been organized chronologically again in broad subcategories.

The first division relates to **communications**: like correspondence, memoranda, and statements made by Vincent Ostrom in his career spanning more than five decades of the twentieth century; **source material of/for**: teaching/research, consultation, advocacy, policy formulations, state constitutions, public administration, and conferences.

The second division consists of his research-related **compositions** and drafts and final documents of presentations in conferences, scholarly exchange, debates and publication and drafts of “ghost” speeches written for State governors.

It is important to emphasize that the collection is not just a matter of history to be relegated to the past. The papers clearly provide a window into a half century of political thought and conjures pictures of a yet unfinished struggle therein to reach out to interdisciplinary resolutions. Vincent himself will vouch that democracies are as vulnerable today as they were when Tocqueville first set foot on American soil. The collection is poised, then, to be yet another *beginning* that may be characterized (using John Bunyan’s title of his book the *Pilgrims’ Progress*) as “The Artisans’ Progress” in the straight and narrow path of democracy, both “to” *liberty* and “of” *freedom*.

And so will the life and work of this humanist, whom we know as Vincent, continue to inspire all those who join hands with him in search of a philosophy for the public.

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## NEW EXPERIMENTAL LABORATORY IN WOODBURN HALL

Many Workshopers have spent productive time working in Woodburn Hall during the past 25 years. They will be pleased to know that the space has been dramatically renovated and now houses one of the most advanced experimental laboratories in the country.



has been run (see below left), and a whole series of experiments will run then continuously into the future.

In August 2002, the National Science Foundation granted Indiana University \$847,000 of funds under its Major Research Initiative (MRI Program) to construct the new lab. Indiana University contributed the amount of \$98,500. The lab area was completely torn apart—new electricity, new heating, and new wiring were installed. The equipment for the new lab was installed in early October and we are starting to do dry runs to get the lab ready for running experiments. The first class to utilize the lab facilities will start in January, the first experiment



BEFORE

The laboratory will be devoted to research, instruction, and policy analysis on complex systems at multiple temporal and geographic scales. With it, we will develop new capabilities for spatially arrayed agent-based models, and three-dimensional (3-D) visualization of social systems, as well as for behavioral experiments and GIS technologies in social science research. The laboratory facility will provide the infrastructure for fostering stronger linkages between the behavioral scientists on campus, as well as creating opportunities for enlarging the community of scholars and students interested in frontier social science research incorporating spatial and temporal attributes of decision environments. The laboratory will enable faculty, graduate students, and undergraduates at Indiana University—and other universities and agencies—to participate in the testing of current social science theories in a careful and controlled environment as well as to develop new theories of social interactions over space and time.

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# SHARING A LIFETIME OF ACHIEVEMENT

by Mike McGinnis

The Atlas Economic Research Foundation Fund for the Study of Emergent and Spontaneous Orders presented Vincent and Elinor Ostrom with awards for lifetime scholarly achievement at George Mason University in Arlington, VA, on November 7, 2003. The award of \$50,000 will be deposited into the Tocqueville Endowment.

Papers summarizing different aspects of their scholarly work were discussed at an Academic Conference in Honor of the Work of Elinor and Vincent Ostrom. Peter Boettke stressed the origins of Workshop research in methodological individualism. Participants discussed tensions



between “thick” (highly contextualized) research on institutions and the origins of this research program in the “thin” (highly stylized) models of neoclassical economics. Discussion of Richard Wagner’s paper on self-governance, polycentrism, and federalism focused on the practical problems involved in implementing these goals, given the resistance of entrenched interests. In response to Thomas Dietz’s paper on the evolutionary foundations of her research on common-pool resources, Elinor clarified the distinction between institutions that change the distribution of altruism within society and those used to identify and sanction rule violators. Vincent pointed to the terrible legacy of the twentieth century as an era of unprecedented plunder and pillage, and challenged us all to contribute towards the achievement of more desirable outcomes.

Each award was presented by Atlas Executive Vice President, Leonard Liggio (shown in photos). Elinor and Vincent were introduced by Vernon Smith and Gordon Tullock. Vernon Smith said that he holds Elinor up to his students as a model of true scholarship: whenever the research question she was asking required her to learn a great deal about another field like anthropology or forestry resources, she did exactly that. Gordon Tullock began his remarks by comparing the Ostroms’ research on water resources management with Karl Wittfogel’s *Oriental Despotism*. Although each began from very different vantage points, he expressed amazement at their success in integrating these perspectives into a seamless whole, the Workshop itself, which continues to inspire the research of several generations of students and scholars.

At dinner, the Ostroms were regaled by informal toasts. Bob Bish and Mark Sproule-Jones shared some memories from the earliest cohort of Workshop graduate students. Barbara Allen, who first encountered the Ostroms as an undergraduate student, expressed special gratitude for helping her learn how to teach. Bobbi Herzberg remembered how Lin once said that if this political science thing hadn’t worked out, she and Vincent could have been perfectly happy making pottery. Candace Smith reminded us that Lin and Vincent are about to celebrate their 40<sup>th</sup> wedding anniversary. As a high school economics teacher, she found Lin’s *Governing the Commons* about the only way she could get through to her students on the topic of property rights. When she first mentioned this book to the man she was dating at the time, Vernon blurted out “I know Elinor Ostrom!” Candace thanked Lin for helping them find a common point of discussion, and for proving that couples can prosper in both love and scholarship.



## THANKSGIVING WEEK MEETING

Several Workshop colleagues working on Tocquevillian Analytics, the Democratic Transformation, and the Passage to Modernity are convening in Bloomington during the Thanksgiving recess to discuss manuscripts in progress that give us new vistas. Among the manuscripts are:

**Barbara Allen**, *Tocqueville, Covenant, and the Democratic Revolution*

**Sheldon Gellar**, *Democracy in Senegal*

**Mike McGinnis**, *Organizing for Rebellion and Peace in the Horn of Africa*

**Amos Sawyer**, *Plunder, Pillage, and the Challenge of the Future for Liberia*

**Sujai Shivakumar**, *The Constitution of Development*

Others who are planning to prepare manuscripts related to indigenous institutions among African societies include: S. R. Akinola, Samuel Joseph, Evelyn Lwanga, and Oyebade Kunle Oyerinde, who will also be participating in the discussions. The passage to modernity, to use Filippo Sabetti’s phrase, involves the nation-state, which has given way to pillage and plunder, to self-organizing and self-governing capabilities complemented by public entrepreneurship in creating complementarities in market and public economies through equity jurisprudence and analogous problem-solving processes.





## Colloquia - Fall 2003

**Tobias Haller**, Department of Social Anthropology, University of Zurich, and Workshop Visiting Scholar, "Contested Floodplain and Changed Rules: Institutional Change of Common Pool Resource Management & Conflicts among the Ila, Tonga and Batwa in Southern Province, Zambia." Sept. 15.

**Ganesh Shivakoti**, Associate Professor, Asian Institute of Technology, Thailand, and Workshop Visiting Scholar, "Facilitating Policies for Improved Governance and Management of Asian Irrigation Systems." Sept. 22.

**Karen Vella**, Post-Doctoral Fellow (Institutions for Sustainable Development), CSIRO Sustainable Ecosystems, Northern Futures Research Group, Townsville, Australia, and Workshop Visiting Scholar, "Assessing the Institutional Arrangements Governing Australia's Outback Resources." Sept. 29.

**James Acheson**, Department of Anthropology, University of Maine, Orono, "The Development of Territoriality: The Case of the Maine Lobster Industry." Oct. 6.

**Franz Gatzweiler**, Central & Eastern European Sustainable Agriculture, Humboldt University, Berlin; Workshop Visiting Scholar, "Economic Values, Institutions and Ecosystems—The Shift from Natural to Social Value and Why Culture Matters." Oct. 13.

**Konrad Hagedorn**, Chair of the Division of Resource Economics; Director of the Berlin Institute of Co-operative Studies, Humboldt University, Berlin, and Workshop Visiting Scholar, "Integrating and Segregating Institutions: A Concept for Understanding Institutions of Sustainability." Oct. 14.

**Hartmut Kliemt**, Interdisciplinary Center for the Humanities, Department of Philosophy, University of Duisburg-Essen, Germany, "Clubs and Reciprocity in Organ Transplantation: The Superiority of Private over Political Governance." Oct. 16.

**Albert Breton**, Department of Economics, University of Toronto, Ontario, Canada, "The Empowerment of Local Governments through Federalization." Oct. 20.

**Markus Hanisch**, Manager, Institute for Cooperative Studies, Humboldt University, Berlin, and Workshop Visiting Scholar, "The Role of Government in Transition—Lessons from Land Policies in Post-Socialist Bulgaria." Oct. 21.

**Mark Kaplan**, Chair, Department of Philosophy, IU, "In Praise of a Modest Probabilism." Oct. 27.

**Minoti Charkravarty-Kaul**, Workshop Visiting Scholar, "The Vincent Ostrom Collection of Papers—A Quest." Nov. 3.

**Sam Joseph**, Development Practitioner & Trainer, Bangalore, India, and Workshop Visiting Scholar, "Working with People: One Practitioner's Toolbox from Somaliland and Rwanda." Nov. 10.

**Sue E.S. Crawford**, Associate Professor, Department of Political Science, Creighton University, Omaha, Nebraska, "Professionals, Principals and Public Health: Institutional Collective Action in Health Coalitions with Religious Partners." Nov. 17.

**S. R. Akinola**, Department of Public Administration, Obafemi Awolowo University, Ile-Ife, Osun State, Nigeria, and Workshop Visiting Scholar, "Resolving the Niger-Delta Crises through Polycentric Governance." Dec. 1.

**Oyebade Kunle Oyerinde**, Graduate Student, School of Public & Environmental Affairs and Department of Political Science; and Workshop Fellow, "The Constitution of Order among the Yoruba of Nigeria." Dec. 8.

Colloquia papers can be accessed at:

[http://www.indiana.edu/~workshop/colloquia/workshop\\_colloquia.html](http://www.indiana.edu/~workshop/colloquia/workshop_colloquia.html)

## CONGRATULATIONS!



**Mike McGinnis and Sheila Nickle** were married on September 20, 2003, in a sunset ceremony on a hill overlooking both Las Vegas and Lake Mead (behind Hoover Dam). <<http://mypage.iu.edu/~mcginnis/weddingpics/index.htm>>

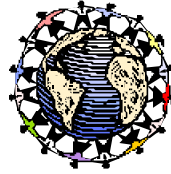


**Patty (Zielinski) and Bob Lezotte** were married on July 12, 2003, at an outdoor ceremony at Cascades Park in Bloomington.



A dinner was given in honor of **Vincent Ostrom** at the IASCP Northern Polar Conference on August 18, 2003, where he received the **Robert O. Anderson Sustainable Arctic Award** from the Institute of the North for his critical role in the drafting of the Natural Resource Article in the Alaskan Constitution. Photo: Lin Ostrom, Erling Berge, Vincent Ostrom.

## LONG-TERM VISITORS



**Shittu R. Akinola**, Registered Urban & Regional Planner and Lecturer, Dept. of Public Administration, Obafemi Awolowo University, Ile-Ife, Nigeria, hopes to write a book on *Self-Governing Institutions, and Local Economies in Nigerian Communities*. Using the IAD framework developed by the Workshop, he will be demonstrating the calamitous failure of the state vis-à-vis the relevance of Tocquevillian analytics to the survival of the self-governing potentials of the Nigerian people.

**Minoti Chakravarty-Kaul** is writing a book-length manuscript, “The Great European Debate of the 19th Century,” on common property and institutions of property rights and their impact on India and Ireland, while also working on the papers of Vincent Ostrom.

**Meritxell Costejà**, Ph.D. student, Autonomous University of Barcelona, Spain. Meritxell’s work is centered in the study of the long-term evolution of the Spanish institutional regime on water management and specific regime transitions at the river basin level. She is focusing on the study of the dynamics of institutional change relating to the use of common-pool resources.

**Sheldon Gellar** hopes to complete a book, *Tocquevillian Analytics in Africa: Democracy in Senegal*, that applies Tocquevillian analytics to Africa, and to work with Amos Sawyer to strengthen the Workshop’s network with African scholars and practitioners seeking to promote self-governance.

**Marilyn Hoskins**, an anthropologist, has recently directed the global community forestry program for the FAO, coordinating Forestry for Local Community Development and the Forests, Trees and People Program (FTPP). She hopes to write a monograph that brings more understanding to the different phases of that program through applying institutional analysis.

**Sam Joseph** is a development practitioner who works in both Asia and Africa. He plans to write up the experiences of nurturing collective action/group action in Somaliland through community initiatives; and in Rwanda and Sierra Leone through support to national government ministries tasked with creating national poverty reduction strategies for national debt relief.

**Kwanbo Kim**, Associate Professor of Public Administration, Catholic University of Korea. He will focus on researching the Korean irrigation institutions based on the Institutional

Analysis and Development (IAD) framework. He will write and present a working paper on “Governing the Korean Irrigation Institution: Farmers’ Self-governing Model District Program.”

**Myungsuk Lee**, Associate Professor of Public Administration, SungKyunKwan University, Seoul, Korea. He will focus on two projects: the first is the experimental study on the possibility of cooperation in social dilemma. The second is to conceptualize the New Governance as a new paradigm of Public Administration, especially focusing on its relationship with the Workshop approach—IAD framework, as well as Vincent Ostrom’s theory of democratic administration.

**Gad Levanon**, economics graduate student, Princeton University, is focusing on two projects: the influence of ethnic composition on government spending and political outcomes across U.S. states; and explaining income and occupational differences in Israel.

**Michael Price** received his Ph.D. in biosocial anthropology from the University of California, Santa Barbara. His dissertation research, conducted in the Ecuadorian Amazon and California, focused on psychological adaptations for collective action participation. He will use lab experiments and computer models to further study the evolution of collective action.

**Ganesh Shivakoti**, Associate Professor of Agricultural and Natural Resources Economics, Asian Institute of Technology, Bangkok, Thailand, is currently working on a book manuscript entitled “Facilitating Policies for Improved Governance and Management of Asian Irrigation Systems.”

**Rama Shivakoti**, Senior Lecturer of Nepali Literature, Tribhuvan University, Nepal. Rama’s work will be centered on the analysis of cultural and institutional basis for development of characters in a novel based on two contemporary Nepalese novels.

**Karen Vella** is a Post-Doctoral Researcher, CSIRO Sustainable Ecosystems, Townsville, Australia, whose research interests include adaptive institutional arrangements, self-governance, institutional evaluation, and frameworks for undertaking audits of governance systems. She is presently working on a major research project into the institutional arrangements governing multiple land use in arid and semi-arid regions across Northern Australia.



## SHORT-TERM VISITORS

**Professor Arun Agrawal**, School of Natural Resources and the Environment, University of Michigan, Ann Arbor, 9/17-9/18.

**Professor Benito Arruñada**, Department of Economics and Business, Universitat Pompeu Fabra, Barcelona, Spain, 10/2.

**Bettina Blümling**, Academic Assistant, Institute of Environmental Systems Research, University of Osnabrück, Germany, 9/22-9/25.

**Monika Gruter Cheney**, Executive Director, Gruter Institute for Law and Behavioral Research, Portola Valley, California, 10/2.

**Professor Oliver Goodenough**, Vermont Law School, South Royalton, VT, 10/2.

**Konrad Hagedorn** (10/8-11/2), Head, Division of Resource Economics; Director, Berlin Institute of Co-operative Studies, Humboldt University, Berlin. Hagedorn has outstanding experience in agricultural and environmental policy research as well as political economy studies and concentrates on research questions related to institutional economics and resource economics, environmental policies, and transformation issues.

**Tobias Haller** (8/31-10/5), Social Anthropologist, University of Zurich, Switzerland, has been a lecturer at the Department of Social Anthropology, University of Zurich. He is currently leading a comparative research project on the institutions managing common-pool resources in African floodplain areas in Mali, Cameroon, Tanzania, Botswana, and Zambia and working on his post-doc.

**Markus Hanisch** (10/8-11/2), Manager, Institute for Cooperative Studies, Humboldt University, Berlin. Hanisch’s research interest focuses on ownership transformation and land market development in post-socialist countries and on the more general issue of co-ownership.

**Stephen Peck**, President, Flèche, Palo Alto, CA, 5/22-5/23.

**Dr. Sujai Shivakumar**, Board on Science, Technology, and Economic Policy, National Research Council, The National Academies, Washington, DC, 6/1-6/3.

**Tom Thomas**, Praxis-Institute for Participatory Practices, New Delhi, India, 10/19-10/20.



**Alicia Castillo**, Associate Researcher, Center for Ecosystems Studies, National University of Mexico. Alicia's work has been related to understanding how rural communities take decisions regarding tropical dry forests in Mexico. She is in the IFRI course to learn about institutional analysis and the IFRI research program.

**Isolda Fortin**, Assistant Professor of Medical Anthropology, Universidad Francisco Marroquin, Guatemala, and social researcher, Environmental Research Center, Universidad del Valle de Guatemala. Isolda's main interest in the IFRI program is to apply this methodology to studying forest resource use among Chorti communities who suffered a famine during the last few years.

**Franz Gatzweiler**, Agricultural Economist, Humboldt University, Berlin. Franz studied forest garden values in Western and Eastern Indonesian Kalimantan and later did research on the change of institutional arrangements and policies for the sustainable management of agri-environmental resources during the transition and accession period of 12 central and eastern European countries. His work focuses on institutions for biodiversity preservation in agricultural and forestry systems. While at the Workshop, he will be joining the IFRI course.

## IFRI VISITORS



Front row:

Yolanda Lara, Alicia Castillo, Frank van Laerhoven

Back Row:

Franz Gatzweiler, Elinor Ostrom, Jackie Schofield,  
Lauren Persha, Isolda Fortin, Alejandro Flores,  
Birendra Karna, Krister Andersson

**Gordon Sigu**, scientist with the Kenya Forestry Research Institute (KEFRI), Nairobi, received a Ford Fellowship to do a Research Write Up at the Workshop from July 14-September 10, 2003.

**Birendra Karna**, Coordinator, Nepal Forest Resources and Institutions (NEFRI) Research Program, Nepal, is working to understand the relationship between three conceptual units: human beings and their actions in forests, the biological system that is affected by humans, and the socioeconomic and institutional factors that affect human action in relation to forests. While at the Workshop, he is writing papers on "Limitation of Leasehold Forestry for Poverty Alleviation in Nepal: Analysis of Two Cases" and "Examining the Impact of Leasehold Forestry on Forest Conditions in Nepal."

**Yolanda Lara**, agricultural engineer from Oaxaca State of Mexico, is working in an NGO called Rural Research and Peasant Consultation (ERA). She and others have been involved in a project focused to enhance local community rules to sustainable management of natural resources. This work has been developed in a region of Oaxaca called Sierra Norte. Cultural values and local institutions permit communities to separate forest areas with different objectives: wildlife protection, timber production, fuelwood production, bioprospection, and others. The communities and ERA are analyzing the possibility to incorporate wildlife areas to the National System of Natural Resource Ministry but with the communities maintaining control over the land.



## ANNOUNCEMENTS

### Dusty Becker writes:

The IFRI site—called Loma Alta in western Ecuador—has recently been declared an Important Bird Area by Birdlife International, and various NGOs in Ecuador. The people there hope that birdwatchers and researchers interested in self-organization for protecting nature may take time to visit Loma Alta. The community will be hosting the first Christmas Count of birds this December 20-22.

**Mike McGinnis**, Professor of Political Science, will hold the position of Co-director at the Workshop for two years beginning July 1, 2003.

**Vincent Ostrom**, Professor Emeritus of Political Science, moved to his new position as Founding Director of the Workshop on July 1, 2003.

**Branko Smerdel** has been elected Dean of the University of Zagreb Law School, Croatia, for the 2004-05 academic year.

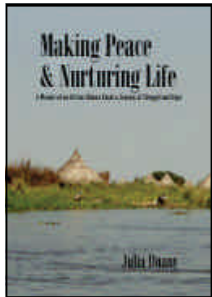
*Polycentric Circles* is published biannually, in MAY and NOVEMBER. We welcome information regarding new research projects, recent publications, announcements, photographs, etc. The deadline for submitting items for the May 2004 issue is **April 12, 2004**. Please submit your items to the editor, Evelyn Lwanga, at: [nlwanga@indiana.edu](mailto:nlwanga@indiana.edu)

For email and/or address changes, send to: [workshop@indiana.edu](mailto:workshop@indiana.edu)

# PUBLICATIONS

## Books

Duany, Julia Aker. 2003. *Making Peace & Nurturing Life: A Memoir of an African Woman About a Journey of Struggle and Hope*. Bloomington, IN: 1stBooks. ISBN: 1-4107-6282-3



A brutal war has been raging in the Sudan for the past 20 years, largely pitting Northern Arab Islamic people against Southern black traditional and Christian African people. The Sudanese conflict has taken 2 million lives, displaced 4 million people, stopped healthcare, and has caused more than one generation to grow up without education.

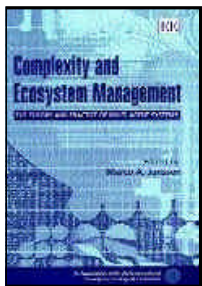
The purpose of this book is to focus on women's experiences. I wanted to be able to understand and find factors that shape social structure, and look at the way it affects women's lives in what might be called a "real situation." The theme in *Making Peace and Nurturing Life* is centered in family life, religion, culture and gender in a multicultural, war-ravaged country. In a narrative that carries through the Nilotic way of life, we are helped to understand the Sudan's cultural and political complexities.

Gardner, Roy. 2003[1995]. *Games for Business and Economics*. 2d ed. New York: Wiley. ISBN: 0-471-23071-5

This innovative book shows students how to set up and solve games, particularly those in economics and business, using game theory. Gardner's unique approach helps students develop strong modeling skills by using proven applications and examples of setups. The book also features a variety of examples, including many from business, politics, economics, and history.



Janssen, Marco A., ed. 2003. *Complexity and Ecosystem Management: The Theory and Practice of Multi-Agent Systems*. Northampton, MA: Elgar. ISBN: 1843760614



The quality of ecosystems is affected by the actions of different stakeholders who use them in a variety of ways. In order to understand this complex relationship between humans and nature, it is vital to understand the complexity of the interacting agents. The authors in this book attempt to do this by applying multi-agent systems to the problems of ecosystem management.

The multi-agent approach to ecosystem management is a relatively new and rapidly developing field which takes a formal computational approach towards the interaction of humans with their environment. The authors highlight some of the promising new methodologies which are emerging in the field from disciplines such as computer science and computational social science. They move on to address a number of important topics including diffusion processes, common-pool resources, land use change and the participatory use of models, in an attempt to solve contemporary management issues. They clearly demonstrate the potential utility of multi-agent systems in the context of theoretical problems and practical case studies.

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## Published Articles



Becker, C. Dustin, and Kabita Ghimire. 2003. "Synergy Between Traditional Ecological Knowledge and Conservation Science Supports Forest Preservation in Ecuador." *Conservation Ecology* 8(1):1. Online: <<http://www.consecol.org/vol8/iss1/art1>>

Brown, John R. 2003. "Whiskey's fer Drinkin'; Water's fer Fightin'! Is it? Resolving a Collective Action Dilemma in New Mexico." *Natural Resources Journal* 43(1): 185-221.

Duany, Julia Aker. 2003. "People-to-People Peacemaking: A Local Solution to Local Problems." In *Artisans of Peace: Grassroots Peacemaking among Christian Communities*, ed. Mary Ann Cejka and Thomas Bamat, 196-225. Maryknoll, NY: Orbis Books.

Gautam, Ambika, Edward Webb, Ganesh Shivakoti, and Michael Zoebisch. 2003. "Land Use Dynamics and Landscape Change Pattern in a Mountain Watershed in Nepal." *Agriculture, Ecosystems and Environment* 99:83-96. Online: <<http://www.gisdevelopment.net/application/environment/overview/envo007.htm>>

Janssen, Marco, T. A. Kohler, and M. Scheffer. 2003. "Sunk-Cost Effects and Vulnerability to Collapse in Ancient Societies." *Current Anthropology* 44(5):722-28.

Ostrom, Elinor. 2003. "How Types of Goods and Property Rights Jointly Affect Collective Action." *Journal of Theoretical Politics* 15(3):239-70.

Ostrom, Elinor, and T. K. Ahn. 2003. "Soziales Kapital und kollektives Handeln: Eine sozialwissenschaftliche Perspektive auf soziales Kapital" (A Social Science Perspective on Social Capital: Social Capital and Collective Action). In Enquete-Kommission "Zukunft des Burger-

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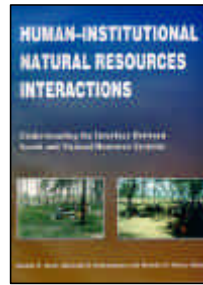
schaftlichen Engagements,” Deutscher Bundestag (Hrsg.): *Burgerschaftliches Engagement von Unternehmen*. Schriftenreihe: Band 2. Opladen, Germany: Verlag Leske + Budrich.

Poteete, Amy. 2003. “When Professionalism Clashes with Local Particularities: Ecology, Elections and Procedural Arrangements in Botswana.” *Journal of Southern African Studies* 29(2) (June): 461-85.

Schmidt, David, Robert Shupp, James Walker, and Elinor Ostrom. 2003. “Playing Safe in Coordination Games: The Roles of Risk Dominance, Payoff Dominance, and History of Play.” *Games and Economic Behavior* 42(2) (February): 281-99.

Shivakumar, Sujai. 2003. “The Place of Indigenous Institutions in Constitutional Order.” *Constitutional Political Economy* 14(1) (March): 3-21.

Thoms, Christopher, Mukunda Karmacharya, and Birendra Karna. 2003. “Exclusion Isn’t Easy: Lessons from a Leasehold Forest.” *Journal of Forest and Livelihoods* 2(2) (February): 48-54.



Kanel, Keshav, Mukunda Karmacharya, and Birendra Karna, eds. 2003. *Human-Institutional Natural Resources Interactions: Understanding the Interface Between Social and Natural Resource Systems*. Proceedings of a Seminar held in Pokhara, Nepal, March 27-28, 2002. Kathmandu, Nepal: Nepal Forest Resources and Institutions; Bloomington, IN: Indiana University, Workshop in Political Theory and Policy Analysis. ISBN:99933-53-47-7

Ostrom, Elinor, and T. K. Ahn, eds. 2003. *Foundations of Social Capital*. Cheltenham, UK: Edward Elgar Publishing Ltd. ISBN: 1-84064-827-9

‘As theoretical paradigms develop, there comes a time when they need careful synthesis, deep reflection and wise criticism. It is now that time for the arguments regarding social capital. Political scientists are fortunate that a scholar as pre-eminent as Elinor Ostrom, and her able student T.K. Ahn, have taken the lead in undertaking this task. They have pulled together a fine collection of essays and added an insightful and pedagogically sound overview. The collection is likely to find its place in the book bags of all scholars concerned with the contributions of this literature to our discipline.’ – Joe Oppenheimer, Univ. of Maryland



Polski, Margaret M. 2003. *The Invisible Hands of U.S. Commercial Banking Reform: Private Action and Public Guarantees*. Boston, MA: Kluwer. ISBN: 1-4020-7462-X

*The Invisible Hands of U.S. Commercial Banking Reform* shows how to analyze incentives for economic and institutional change and then demonstrates how incentives shape beliefs and choices. Contrary to commonly held assumptions, U.S. commercial banking is governed by a closely integrated combination of markets and governments and large-scale adaptation appears to require both relatively unfettered private action and government guarantees.

## FORTHCOMING ARTICLES

Acheson, James, and Roy Gardner, “Strategic Decisions, Conflict, and the Emergence of Territoriality.” *The American Anthropologist*.

Ahn, T. K., Elinor Ostrom, and James Walker, “Heterogeneous Preferences and Collective Action.” *Public Choice*.

Andersson, Krister, “Who Talks With Whom? The Role of Repeated Interactions in Decentralized Forest Governance.” *World Development*.

Gautam, Ambika, Ganesh Shivakoti, and Edward Webb, “Forest Cover Change, Physiography, Local Economy and Institutions in a Mountain Watershed in Nepal.” *Environmental Management*.

Janssen, Marco, and Elinor Ostrom, “Adoption of a New Regulation for the Governance of Common-Pool Resources by a Heterogeneous Population.” In *Inequality, Collective Action and Environmental Sustainability*, ed. Jean Marie Baland, Pranab Bardhan, and Samuel Bowles. New York: Russell Sage Foundation.

Mwangi, Esther, “Subdividing the Commons: Distributional Conflict in the Transition to Individual Property in Kenya’s Maasailand.” Research paper. Bozeman, MT: Political Economy Research Center.

Ostrom, Elinor, “Doing Institutional Analysis: Digging Deeper Than

Markets and Hierarchies.” In *Handbook for New Institutional Economics*, ed. Claude Menard and Mary M. Shirley. Norwell, MA: Kluwer.

Ostrom, Elinor, “Policies That Crowd Out Reciprocity and Collective Action.” In *Moral Sentiments and Material Interests*, ed. Herbert Gintis, Samuel Bowles, Robert Boyd, and Ernst Fehr. Cambridge, MA: MIT Press.

Ostrom, Elinor, and Vincent Ostrom, “The Quest for Meaning in Public Choice.” *American Journal of Economics and Sociology* 63(1) (January 2004).