

Polycentric Circles

WORKSHOP IN
POLITICAL THEORY
AND POLICY ANALYSIS

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Three WOWs and Still Counting!

by Mike McGinnis

The 30th anniversary of the Workshop was celebrated during the third installment of our once-every-five-years Workshop on the Workshop conference at IU Bloomington on June 2-6, 2004. As was the case for both of the earlier events, WOW3 combined professional panels with more informal meetings and reunion activities. Over 100 scholars and students participated in WOW3, from a total of 26 different countries. Even more would have been here, but a few who had planned to attend were unable to do so because of the increased difficulty that foreign scholars face in getting visas to visit the U.S.

Panels and other meetings were held in the Indiana Memorial Union (IMU) and in Workshop buildings on North Park Avenue. Most papers presented at the conference are available (for the next six months) in electronic format on the WOW3 website. In addition, a CD-ROM of all papers and presentations available to us at that time was distributed to participants on Saturday.

Each session was organized under the auspices of one or more of ten working groups. The coordinator or coordinators of working groups specified the number of papers their members would like to present as well as the number of other meetings they wanted to hold. In addition, rooms were made

available for spur-of-the-moment meetings. As the comments (see boxes on pp. 2-5) provided by several group coordinators demonstrate, a great deal of work was accomplished in these sessions.

Three general roundtable discussions were also held. Each attracted participants from different working groups. Two roundtables focused on the prospects for meaningful democratic reform in Africa and in Latin America. Participants in the Latin American panel evaluated the merits of two recently published manuscripts—a book by Carlos Forment and a World Bank report—both of which are entitled *Democracy in Latin America*. Saturday's plenary session was devoted to a discussion of the future of the Workshop (see story on p. 7).

All work and no play makes for a dull WOW, and this one included two official dinners and a relaxing Sunday brunch at the Ostroms' country home. The cicadas were in full bloom, so to speak, but were, for the most part, heard but not seen. The night before, after dinner at the IMU Tudor Room, three well-known Workshop dignitaries (Barbara Allen, Mark Sproule-

Jones, and Rick Wilson) regaled us with their humorous reinterpretations of crucial moments in Workshop history.

More serious comments were made by three official dignitaries from Indiana University before Wednesday's banquet at the Oliver Winery, which was held in a

pleasant wooded setting, with almost perfect weather. As the members of the audience waited in eager anticipation of getting in line for the food, Chancellor Kenneth Gros-Louis, Vice President Michael McRobbie, and Dean Patrick O'Meara each offered glowing evaluations of the contributions made by Lin and Vincent and by the Workshop more generally. Lin was embarrassed by all the praise, but not nearly as embarrassed as was Linda Smith. After dinner, Lin presented Linda with a gift in recognition of her upcoming retirement, after 19 long years of outstanding service to the Workshop. I think it's safe to say that Linda was relieved that Lin did not ask her to make a speech.

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Commons session

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Three WOWs (continued from p. 1)

Finally, I would be remiss if I did not conclude by noting that a special thanks is due to Gayle Higgins, who was primarily responsible for coordinating all aspects of WOW3. As a veteran of earlier WOWs, Gayle's guidance was absolutely critical this time around. There is simply no way this meeting could have been held without her. She was ably assisted by all of the Workshop staff and by a coterie of graduate-student volunteers (led by Pam Jagger). It is a credit to their skills and hard work that nearly everything went off without a hitch.



Welcome dinner, Oliver Winery

The only thing even close to a glitch occurred when the photographer failed to show up for the group photo session planned for Saturday morning. This crisis elicited a typical Workshop response, in that we decided to “coproduce” the group picture. After gathering at a location selected by members of the staff, several amateur photographers from amongst the group of participants took turns taking pictures of the group as a whole (minus the person taking that particular picture). The group picture (p. 6) was taken by Sarah Kantner, a Workshop staffer whose contributions extend well beyond her official title of secretary/receptionist.

Other pictures included in this issue of the newsletter were taken by Sarah and by other participant-photographers. We will be collecting pictures and archiving them in our records (<http://www.indiana.edu/~wow3/photos/>). Anyone who took pictures is encouraged to submit them to us at: wow3@indiana.edu

Mark your calendars: WOW4 will be held June 3-7, 2009!

Comments from WOW3 Working Group Coordinators

AMOS SAWYER, *Challenges of Governance in Africa*

This group organized three activities during WOW3: a roundtable, a panel of presentations, and a working session on a database project.

Presenters at the roundtable on Constitutional Reform in Africa were Johann du Pisanie (Professor of Economics, University of South Africa) and Julia Duany (an affiliate of the Workshop from Sudan). Professor du Pisanie argued that systems of monocentric government are more likely to promote rent-seeking activities than governance arrangements in which there are multiple centers of authority. In such an arrangement, not only do citizens have institutional options for problem-solving, but the existence of multiple centers of power also provides them essential opportunities to demand accountability of those who exercise power. Dr. Duany focused on approaches to conflict resolution in Sudan. A critical point brought out in her presentation was the need for post-conflict governance arrangements in Sudan that will recognize the vastness and diversity of the country and its people instead of imposing an arrangement that demands uniformity under a unitary theory of sovereignty. Unfortunately, ongoing peace negotiations between the Sudanese People's Liberation Army (SPLA) and the Sudanese government based in Khartoum may not be going far enough in establishing such a system. The discussion that followed the two presentations emphasized the importance of learning from the failures of monocentric government and pursuing constitutional reforms that are founded in the patterns of self-organization that can yield polycentric governance arrangements.

The two presenters on the panel of Local Governance and Development Strategies were Amos Sawyer (Associate Director of the Workshop) and James Wunsch (Professor of Political Science at Creighton University). Both presentations were concerned with the challenge of deepening democratic governance in Africa by building self-govern-

ing systems of local governance. Sawyer identified diverse networks and patterns of relationships used by ordinary people as coping mechanisms for conflict resolution and survival during the period of violent conflict in Liberia. He emphasized such patterns not only as a way of understanding how people engage in collective action, but also as a means of assessing local capabilities for establishing local foundations for bottom-up governance as an alternative to the overcentralized predatory governments whose failure and collapse are the cause of violence and human tragedies in many African countries. Wunsch discussed African initiatives of various levels of success in establishing and strengthening local governance through processes of decentralization. He asserted that questions of crafting arrangements for fiscal equivalency and increased participation of local communities remain significant challenges in establishing democratic governance in Africa. Understanding how these can be made to come about is an ongoing challenge to scholars.

The working session on the proposed database project for the study of community and local governance in Africa was organized to bring together members of the Consortium on Self-Governance in Africa (CSGA) who are collaborating in establishing the database to be able to undertake comparative analyses of local governance in Africa. The major task of the working session was to enhance the conceptual clarity of the project, review categories of information to be collected, advance some research hypotheses or questions that would guide the collection of data, and devise a strategy for data collection. Several researchers who are not members of the Consortium, but have undertaken work of similar nature, participated in the working session. Among them were Professors Allan Schmid (Michigan State University) and Ken Bickers (University of Colorado).

MARCO JANSSEN, *Historical Institutional Analysis on Robustness of Social-Ecological Systems*

We met during six sessions in which 12 papers were discussed, varying from the rise and fall of the Hohokam in the Phoenix area to wetland management in southern Sweden. While the motivation for this group is the increasing importance of concepts like resilience, robustness, and vulnerability in the study of social-ecological systems, there is a lack of a useful framework to analyze social-ecological systems from an institutional perspective. What are the institutional configurations that stimulate or deteriorate the functioning of social-ecological systems that are confronted with disturbances and stress? Anderies et al. (2004) propose such a framework, and we used this to analyze a number of cases with a historical record, varying from ten years to more than a thousand years (<http://www.ecologyandsociety.org/vol9/iss1/art18>).

We found that the framework was useful as a starting point, but that it can be improved by depicting dynamic processes at various levels of scale. Some useful suggestions to do this were made during the WOW3 sessions. We also found that the concept of robustness needs to be defined more precisely for a given stakeholder in temporal and spatial scales. Robustness of a social-ecological system is, in fact, not defined. For example, outstanding questions are: robustness of what, to what, for whom? Disturbances are necessary for the functioning of social-ecological systems, but disturbances at a small scale can avoid undesirable disturbances at a higher level of scale. Finally, leadership was found to be a key element in explaining transformations in social-ecological systems. But we lack a good concept on the typology of leadership that is functional in different roles during transformative processes.

The group decided to work on a special issue of a journal that will discuss a number of case studies and synthesize the lessons learned. Group members found the sessions during WOW3 such a stimulating experience that we will continue the discussion at least in the digital space.



Urban Politics session

Banquet at Tudor Room



Plenary session

MAO SHOULONG, *China in Transition*

Our group completed the Project of Chinese Social Scientific Foundation, consisting of two parts: (1) a translation of *Local Government in the United States* was published by Peking University Press in 2004, translated by Jing Min and Chen Youhong and (2) an initial draft of a project report “Changing of Governance in China’s Urban Area: A Perspective from Bottom Up,” which should be published in two years. The most exciting thing for our group was that Vincent Ostrom and other colleagues at this conference recognized the significance of our work about community self-governance in a time of transition in China. We plan to focus subsequent work on (1) designing nested institutions and effective arrangements of constitutional, collective, and operational-level processes for community development; (2) identifying factors that affect the success or failure of community self-governance; (3) institutional initiatives on conflict resolution among civil society, governments, and economic corporations; and (4) integrating the perspectives of Confucius and Tocqueville on community self-governance. Our group began a collaborative research project with Susan Baer on comparative research about homeowners’ associations. Vincent suggested we should also include other areas such as Canada and Israel. In addition, Shu Kexin plans to visit the Workshop in 2005, so he can write up his experiences as a public entrepreneur in today’s China.

BARBARA ALLEN, *Tocquevillian Analytics*

The members of the Tocquevillian Analytics group met in two panel sessions and a roundtable. In the first session, we discussed the overall meaning of Tocquevillian Analytics guided by a wonderful overview paper from Sheldon Gellar. Aurelian Craiutu used Gary Wills' recent criticisms as an opportunity to examine Tocqueville's real methodology. Both papers opened up important avenues of discussion. In a second session, Sue Crawford took on the topic of Tocqueville's analysis of mores, suggesting in her "An Institutional Grammar of Mores" how we can think more analytically about values and norms. In my paper, I applied Tocqueville's thoughts to contemporary problems in the context of the American civil rights movement. One of the highlights was the roundtable on Carlos Forment's *Democracy in Latin America, 1760-1900*, chaired by Krister Andersson, with comments from Filippo Sabetti, Vincent Ostrom, and Gustavo Gordillo de Anda. Comments focused on the adaptation of Tocquevillian Analytics to the situation of Mexico, Peru, and Latin America more generally. The panelists concurred that even when Forment's understanding of Tocqueville differed from their own interpretation, Forment's approach was a model of how we might think about Tocquevillian Analytics in new contexts.

TANYA HEIKKILA, *Watershed Management Institutions*

The Watersheds Working Group focused its discussions on the diverse institutional arrangements governing watersheds around the world. Our participants reflected that diversity, with members from Australia, Canada, Costa Rica, India, and all regions of the U.S. The Watersheds Group met once for a private roundtable session, and twice for open panel sessions to present some of our research to other WOW attendees. One of the common themes that came out of our discussions and papers was the importance of developing theories to explain how resource users and government agencies can effectively deal with problems that cross multiple scales—physical and institutional. Our group also acknowledged that these scale issues are complicated by the multiple uses for watershed resources and the diversity of actors and stakeholders in a watershed. To summarize the common themes we discussed, our group plans to draft two articles for the *CPR Digest*, which will be a first step in our future collaborative efforts. One article will evaluate where we collectively see the theory going and the other will draw upon the various case studies presented in our sessions to identify the potential application of the theoretical issues.

TRACY YANDLE, *Diverse Approaches to Fisheries Governance*

We focused on the application of co-management in both developed and developing nations. I found that the mixing of theoretical expertise (particularly from Nives Dolsak, our discussant) and the case detail in the papers and presentations led to rich discussions both during our formal session and afterwards in a working session. Inclusion of a working session in addition to the formal papers presentation session was an important addition to the standard conference, allowing extended discussion that would not otherwise have been possible. Additional insight was gained from Antonio Oviedo screening the 20-minute CD-ROM "Sustainably Managing the Amazon's Fisheries: The Experience of Projeto Varzea." (Anyone interested in obtaining a copy of the CD-ROM can contact Antonio at Antonio@wwf.org.br.) Finally, all participants benefited from the intimate nature of the conference, and the many opportunities it allowed for both meeting and networking with new colleagues, and re-connecting with old friends.

**Analyzing the Effects of
Decentralization Reform in
Developing Countries:
Report from the IFRI Writing
Workshop during WOW3**

by Krister Andersson



One of the main objectives of the International Forestry Resources and Institutions (IFRI) research program is to carry out policy-relevant research that can inform policymakers and forest users engaged in forestry policy making. During the past two decades, widespread decentralization reforms have changed the nature of national forestry policy in many countries, aiming at the reorganization of the formal structures of forest governance.

Several studies point to the advantages of decentralized forest governance regimes as it is supposed to bring the decision making down to a level that is closer to the forest users. Recent empirical evidence, however, shows extremely mixed outcomes from the reforms. To contribute to a better understanding of why some decentralized regimes seem to work better than others, a group of IFRI scholars proposed to carry out a comparative study on decentralization reforms in the forestry sectors of a variety of national contexts. The goal of this effort is to publish an edited volume with chapters from as many as ten Collaborating Research Centers (CRCs) in eight different countries. At WOW3, all contributing authors participated in a five-day writing workshop that enabled the group to engage in productive discussions about how each text could be improved and then spent the rest of the workshop revising the papers as suggested by colleagues.

One month before WOW3, a first draft of the papers were circulated among colleagues. The group gathered two days before WOW3 to get the peer-review process underway. Each paper was presented and reviewed not by the authors but by two colleagues. A total of one hour was

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Analyzing the Effects *(continued from p. 4)*

dedicated to discuss how each paper could be improved. By the end of the second day, all authors knew what needed to be modified in their respective papers.

One of the challenging issues that the group ran into during the workshop was how to compare decentralization reforms across countries. A small group of volunteers was assigned the task to come up with a framework that captured some of the most essential characteristics of the recent reforms. After agreeing on a common framework, each author was asked to use this framework to describe the reforms under study in his or her paper.

After two days of reviewing and discussing all eleven papers, the authors organized working groups and spent the next two days trying to combine attending WOW3 panels with revising their individual manuscripts.

The working groups served as a useful resource that the authors could rely on for raising any questions that came up as they worked on their manuscripts. We concluded the IFRI writing workshop with a wrap-up meeting on Saturday afternoon, in which each author presented the revisions underway and committed to sending in their revised papers by June 18.

This group of IFRI scholars will have another opportunity to get feedback on their second drafts later this summer as the IFRI program is organizing a series of panels on decentralized forest governance at the upcoming conference of the International Association for the Study of Common Property (IASCP) in Oaxaca, Mexico, August 9-13, 2004. If you are going to Oaxaca, make sure you look us up and attend one of our panels—we want your input!



Brunch at
Ostrom's house

SUSAN BAER, *Urban Politics and Policy*

From its inception, the urban working group was structured very informally. We held two urban working group sessions during the conference. During the first session, the majority of time was spent discussing a potential collaborative project for interested group members that Bob Bish will be coordinating. As the next step, interested individuals will contact Bob to further discuss the project. Also, a highlight of the conference for urbanists and other conference attendees was the first urban panel that included excellent presentations by Ken Bickers, Bruno Dente, and Gavin Dillingham (with coauthor Bob Stein). During the second urban working group session, members divided into smaller groups and discussed areas of potential collaboration. Abby York and I discussed the possibility of collaborating on issues related to redevelopment, for example. I also plan to collaborate with Youhong Chen on homeowner associations, but we discussed this outside of the urban working group sessions.

WAI FUNG LAM, *The Evolution of East Asian Irrigation Institutions*

Our group discussed various methodological issues involved in conducting empirical work on how irrigation institutions respond to macro-level political economic disturbances. In particular, Ganesh Shivakoti and I will work on a data inventory that captures data at the national, regional (watershed), and irrigation-system levels in Nepal, Thailand, and Taiwan. This inventory will be complementary to the data collection effort of Ingela Ternström in Nepal, and also to the Nepal Irrigation Institutions and Systems (NIIS) database. Ashok Regmi has taken on the responsibility of managing and augmenting this NIIS database.

ASEEM PRAKASH, *Voluntary Regimes of Self-Regulation*

The voluntary governance group had a productive discussion on three critical issues: (1) under what conditions voluntary groups emerge, (2) how they function, and (3) how they impact collective outcomes. Two themes generated a lot of discussion in the context of above issues: (1) how to measure homogeneity and assess its impact on emergence, the workings and efficacy of voluntary programs and (2) how to design monitoring and sanctioning mechanisms.

China session





FRONT ROW:

T. K. Ahn, Charlotte Hess, Jane Njuguna, Rucha Ghatge, Vincent Ostrom, Alexander Dolsak Prakash, Elinor Ostrom, Michael McGinnis, Johann du Pisanie, Sathya Gopalakrishnan

2nd ROW:

Gayle Higgins, Audun Sandberg, Roger Madrigal, Leticia Merino, Mao Shoulong, Milindo Chakrabarti, Tonya Heikkila, Edella Schlager, Nives Dolsak, Aseem Prakash, Matthew Potoski, Barbara Allen, Andrea Nixon, Julia Duany

3rd ROW:

Julie England, Wang Hai, In Kim, Baqui Zai, Shiromani Gyawali, Barbara McCabe, Jill Tao, Brietta Lynch, Meritxell Costeja Florensa, Susan Baer, Laura Wisen, Martina de Moor, Michael Schoon

4th ROW:

Shu Kexin, Chen Youhong, Amos Sawyer, Frank Van Laerhoven, Gustavo Gordillo, Ashok Regmi, Ganesh Shivakoti, Per Olsson, Graham Marshall, Ingela Ternstrom, Kwanbo Kim, Hye Yun Park, Wai Fung Lam, Sheldon Gellar, Lauren Pasha, James Thomson

5th ROW:

Jeff Steele, Krister Andersson, Andreas Duit, Sue Crawford, Derek Kauneckis, Tom Dedeurwaerdere, Filippo Sabetti, Mukunda Karmacharya, Keshav Kanel, Bruno Dente, Antonio Oviedo, Richard Hung, Pamela Jagger, Tanya Hayes

BACK ROW:

Zdravko Petak, Peter Knight, Allan Schmid, David Hulse, Scott Hardy, Xavier Basurto, Tomas Koontz, Daniel Miller, James Hanley, Mark Sproule-Jones, Carl Simon, Marco Janssen, Robin Humphrey, Robert Bish, John McIver

Workshop Future Discussed at WOW3 Plenary Session



by Mike McGinnis

In the plenary session on Saturday morning of the WOW3 conference, the Bloomington-based Workshop leadership team gave an overview of current projects and upcoming future challenges and opportunities facing the Workshop community as a whole. Over the last few years we have begun a transition to a collective leadership team so that Vincent and Lin can pass administrative responsibilities to other colleagues here on the Bloomington campus. This year I have had the pleasure of serving with Lin as Co-Director, and Amos Sawyer is currently our sole Associate Director. We hope to involve a few other Workshop-affiliated faculty members in similar roles in the near future.

I began the plenary session by summarizing our plans to hire a senior scholar in institutional analysis, broadly construed, who could come in and play a major role in continuing the Workshop agenda into the foreseeable future. As I emphasized in my comments, such a scholar might come from any of several academic disciplines or policy specializations. Although originally established as a unit within the IU Political Science Department, the Workshop in Political Theory and Policy Analysis has since matured into a fully multidisciplinary enterprise. As a consequence of this long evolution, there is no reason for us to restrict attention to the discipline of political science as we search for new leadership. If you know of anyone who you think might be interested and up to this task, we would welcome any suggestions.

Pam Jagger, a first-year graduate student who coordinated the activities of graduate-student volunteers for WOW3, summarized her experience of putting together a draft of a historical document covering the first 30 years of the Workshop. The draft

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COLLOQUIA (Spring 2004)



Dr. Margaret Polski (Executive Fellow, Leonard H. Stern School of Business, New York University, New York; Sr. Research Fellow, Institute for Development Strategies, IU), "The Institutional Economics of Biodiversity, Biological Materials, and Bioprospecting," January 26, 2004.

Michael Ensley (Assistant Professor, Department of Political Science, IU) (coauthor: Jennifer Hayes Clark, Department of Political Science, IU), "Political Parties in the Legislature and the Problem of Social Choice: An Experimental Investigation of Delegation and Agenda Control," February 2, 2004.

George Ehrhardt (Visiting Assistant Professor, Department of Political Science, Miami University, Oxford, OH), "Crashing the Party: Prefectural Federations and the April 2001 Liberal Democratic Party Presidential Primary," February 9, 2004.

Johnny Goldfinger (Assistant Professor, Department of Political Science, IUPUI), "The Normative Implications of Cyclical Majorities in Theory and Practice," February 16, 2004.

Ashok Regmi (Graduate Student, School of Public & Environmental Affairs and the Department of Political Science; Research Assistant, Center for the Study of Institutions, Population, and Environmental Change [CIPEC], IU), "Farmer Managed Irrigation Systems in the Chitwan Valley of Nepal," February 23, 2004.

Dr. Maria Grosz-Ngaté (Associate Director, African Studies Program, IU), "Political Decentralization in Mali: A View from the Village," March 1, 2004.

Eduardo Araral, Ginger Elliott, Tanya Hayes, and Evelyn Lwanga (Graduate Students, Workshop and CIPEC, IU), "Dissertation Designs," March 8, 2004.

Christopher Berry (Post-Doctoral Fellow, Department of Government Program on Education Policy and Governance, Harvard University, Cambridge, MA), "Piling On: The Fiscal Effects of Jurisdictional Overlap," March 22, 2004.

Dr. Andreas Duit (Researcher, Centre for Transdisciplinary Environmental Research [CTM]; Senior Lecturer, Department of Political Science, Stockholm University, Sweden; Visiting Scholar, Workshop, IU), "Constructing the Friendly Leviathan: Path Dependency and Swedish Environmental Institutions 1960-1998," March 29, 2004.

Dr. Claudia Keser (Research Staff Member, IBM T. J. Watson Research Center, Yorktown Heights, NY) (coauthor: Claude Montmarquette, CIRANO [Centre Interuniversitaire de Recherche en Analyse des Organisations], Montreal), "Voluntary Teaming and Effort," April 5, 2004.

Professor Jeffrey A. Hart (Department of Political Science, IU), "Examples of Global Standards," April 12, 2004.

David Schmitz (Professor of Philosophy, joint Professor of Economics, University of Arizona, Tucson; Visiting Scholar, Liberty Fund, Indianapolis, IN), "Saving the Elephants," April 19, 2004.

Professor Gerhard Glomm (Department of Economics, IU) (coauthors: Paul Corrigan, Michigan State University, and Fabio Mendez, University of Arkansas), "AIDS Crisis and Growth," April 26, 2004.

Colloquia papers are accessible via:

http://www.indiana.edu/~workshop/colloquia/workshop_colloquia.html



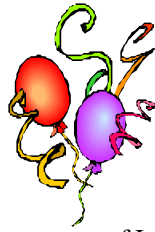
Workshop Future (continued from p. 7)

history document can be accessed via the History link via the Workshop homepage.

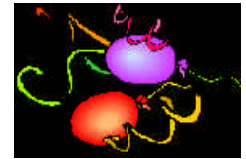
Krister Anderson outlined our plans to share the responsibility for coordinating the IFRI training program with our colleagues at the University of Michigan. Charlotte Hess summarized the exciting new Digital Library of the Commons and highlighted scholarly knowledge as an ever-expanding commons in need of more effective self-governance. Amos Sawyer shared with us his experiences coordinating the Consortium for Self-Governance in Africa (CSGA). After noting the diverse cultural backgrounds of the members of the audience, and of the Workshop community more generally, he praised the Ostroms for their remarkable capacity to be so comfortable with people from so many different cultures.

In his brief comments, Vincent Ostrom reflected on the long history of the Workshop, reminding us all of the central importance of political theory to the overall Workshop program. Lin enumerated the many books and other projects nearing completion at the Workshop, and encouraged us all to keep being so productive. (She certainly hasn't slowed down any!)

General discussion then ensued, focusing on the continued importance of political theory, as traditionally understood, to Workshop research on institutions and governance. Barbara Allen suggested that the next WOW (scheduled for June 3-7, 2009) might include lectures on specific topics, in order to help us all be better informed on the progress occurring within each of the working groups. Speaking from the floor, Mao Shoulong shared his own struggle to establish an institution in China closely modeled on the Workshop. All agreed that the transformation of the Workshop in Political Theory and Policy Analysis at Indiana University—from an offshoot of the Political Science Department first established 30 years ago, to its present form of a multidisciplinary global network of collaborating scholars—is nothing less than extraordinary.



Congratulations to:



Bil Duany, son of Julia and Wal Duany, who was named to the Indiana All-Stars basketball team on April 24, 2004. The Duanys were one of two area basketball families who both produced their third Indiana All-Star—something that has never happened before. For the Duany family, Duany Duany made the team in 1995, with Kueth following in 1998.

Pamela Jagger, who was recently awarded a SSHRC (Social Science and Humanities Research Council of Canada) Doctoral Fellowship for the period September 2004–December 2007.

Gad Levanon & Amber Levanon Seligson, on the birth of Maya Rahel Levanon on February 19, 2004.

Esther Mwangi, a 2003 graduate of Indiana's public policy program and a former graduate assistant at the Workshop, who has accepted a Post-Doctoral Fellow position with the CGIAR system-wide program on Collective Action and Property Rights (CAPRI), one of several intercenter initiatives of the Consultative Group on International Agricultural Research. CAPRI works to contribute to policies and practices that alleviate rural poverty by analyzing and disseminating knowledge on the ways that collective action and property rights institutions influence the efficiency, equity and sustainability of natural resource use. Esther will assist in the development of a conceptual framework to link collective action and property rights to poverty reduction, writing synthesis papers, methodology development, workshops and training activities; and working with research partners in several countries. The position is based at the International Food Policy Research headquarters located in Washington, DC, and will begin in July. Prior to this, Esther has been a consultant with the World Agroforestry Center (ICRAF) in Nairobi, where she has been involved in exploring the role of institutions in shaping the perceptions and responses of pastoralist communities towards an introduced, invasive tree species, *Prosopis juliflora*.

Shaun & Tammy McMahon, who are expecting their first child on August 17, 2004. They currently reside in Santa Fe, NM.

Tun & Carol Myint, on the birth of their daughter, Ananda, born on May 4, 2004.

Linda Smith, Administrative Assistant/Fiscal Officer, who is retiring on June 30, 2004, after 19 years of service at the Workshop (with a total of 38 years at IU).

Mary (Zielinski) Tidd, who was named the Indiana Business Education Association's 2003 Classroom Teacher of the Year. Mary has been instrumental in the evolution of Martinsville High School's business department since coming to the school 20 years ago. Among other things, she started an international business class at the school, one of the first in the country.

George & Kala Varughese, on the birth of their daughter, Diya, on January 25, 2004.



Linda Smith

ELINOR OSTROM

Recipient of the
John J. Carty Award
for the Advancement of Science

Washington, D.C., April 19, 2004



“Elinor Ostrom, Indiana University, is one of the foremost political scientists of our time, and at the same time one of the boldest in crossing disciplinary lines into economics, sociology, anthropology, and environmental science. The core of her life’s work has been on the human management of resources and the governance of local public economies. Always original, her work carves out a sphere of purposive collective action that simultaneously avoids and improves on the tired dichotomy of regulation vs. market solutions. Always ingenious, her work moves freely between theoretical insights and careful empirical investigations. Always sensible, her work incorporates that which is valuable in approaches such as rational choice analysis but shuns their excesses. She is a model of participation and leadership in her profession. To receive the John J. Carty Award is to add to a long string of honors bestowed on her, including the Presidency of the American Political Science Association in 1996-97 and election into the National Academy in 2001.”

-Read by Neil J. Smelser, University of California, Berkeley, on April 19, 2004.

VISITORS



SHORT-TERM:

Dr. Robert Hawkins, Institute for Contemporary Studies, Oakland, CA, February 18-23

Dr. Tommaso Vitale, Dipartimento di Sociologia e della Ricerca Sociale, Università di Milano Bicocca, Milano, Italy, March 1-May 4

Dr. T. K. Ahn, Department of Political Science, Florida State University, Tallahassee, FL, March 4-7

Dr. Jon Norberg, Department of Systems Ecology, Stockholm University, Stockholm, Sweden, March 7-10

Dr. Harini Nagendra, Bangalore, India, March 9-April 4

Dr. Calvin Y.H. Wang, Water Policy Consultant, School of Public Policy and Management, Tsinghua University, Beijing, China, April 1-2

Dr. Tai Shuenn Yang, Hsintien, Taipei, Taiwan, ROC, April 7-8

Dr. Edwin Castellenos, Director of Center for Environmental Studies and GIS and Remote Sensing Laboratory, Universidad Valle de Guatemala, Guatemala, May 3-8

Dr. Sue Crawford, Department of Political Science, Creighton University, Omaha, NE, May 14-16

Dr. Mao Shoulong, Professor and Director, Department of Public Administration, Renmin University of China, Beijing, China, June 2-July 1

Dr. Wander Jager, Faculty of Management and Organization, Department of Marketing, University of Groningen, Groningen, Netherlands, June 21-26

LONG-TERM:

Dr. Andreas Duit is a Senior Lecturer at the Department of Political Science and Research Fellow at the Center for Transdisciplinary Environmental Research (CTM), Stockholm University. During his stay at the Workshop (January-December 2004), Andreas will be working on projects concerning social capital and environmental management, theories of resilience and social change, and normative questions in contemporary environmentalism.

Other long-term visitors—whose descriptions were listed in the November 2003 issue of the *PC* newsletter—include:

S. R. Akinola
Sheldon Gellar
Marilyn Hoskins
Kwanbo Kim
Myungsuk Lee
Michael Price

Sample Gates, IU campus



Announcements

The “Workshop on Scholarly Communication as a Commons (SCC)” was hosted by Lin Ostrom and Charlotte Hess, March 31–April 2, 2004. The SCC Workshop brought together a group of twelve outstanding scholars from multiple disciplines to develop a better understanding of the dilemmas associated with conceptualizing scholarly communication as a commons with the intention of drafting a new research agenda. The event was funded by a grant from the Andrew W. Mellon Foundation. Invited participating scholars were James Boyle, Jim Cox, Nancy Kranich, Peter Levine, Wendy Lougee, Clifford Lynch, Charlie Schweik, Peter Suber, Don Waters, and Doug Van Houweling.

The main objective of the SCC Workshop was to bring leading, interdisciplinary scholars together to intensively examine the current state of research and development in the complex area of scholarly communication. Many of the scholars participating had already been writing about one of the many “commons” aspects of scholarly communication. The goals of the group were to:

- identify Scholarly Communication Commons;
- reach consensus on definitions;
- map knowledge gaps;
- apply a framework, if possible;
- draft a report to the Mellon Foundation that would present a new research agenda for the study of information on scholarly communication as a commons; and
- identify future actions to further this agenda.

Hess and Ostrom plan to edit a book from this Workshop with a working title of *Understanding Knowledge as Commons*.

Another Mellon grant project led Charlotte Hess to spend a week in May in Oxford and London researching cutting-edge digital library approaches. She worked with Dr. Marilyn Deegan, consultant and former director of Forced Migration Online, the Digital Library of the Refugee Studies Centre, Oxford University. Hess also met with members of the Bodleian and Oxford Digital Library, the British Library, and scholars at the King’s College, London.

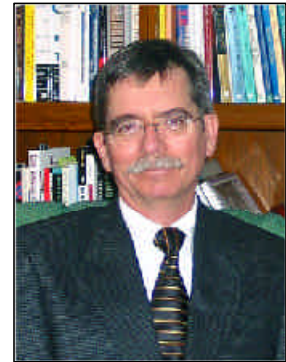
Charlotte Hess presented “The Digital Commons: Theory and Collective Action, or Kollektive Aktionismus?” at the plenary session “The Future of the Digital Commons,” at the international conference, Wizards of OS3, Berlin, Germany, June 10–13, 2004. David Bollier, independent policy strategists, journalist, author, and co-founder of Public Knowledge, also gave a presentation on the digital commons during this session. The discussants were Larry Lessig, Eben Moghlan, Felix Stalder, and Volker Grassmuck. More than 100 speakers from all over the globe came together in Berlin to discuss free software, free content, and free infrastructures at the conference (<http://wizards-of-os.org>). Other speakers included: Steven Harnad, James Love, Guido Sohne, Teresa Hackett, David Mann, Ross Anderson, and Wendy Seltzer.

Hess also gave a colloquium at the Rosa Luxemburg Stiftung for students and faculty of the Freie Universität Berlin on June 14, 2004.

Polycentric Circles is a biannual publication, published in May and November. Please send us information regarding new research projects, recent publications, announcements, photographs, etc. The deadline for submitting items for the next issue is **October 15, 2004**. Please submit your items to our new editor, Pamela Jagger, at pjagger@indiana.edu.

In order to keep our address database up-to-date, please send any email or address changes to: workshop@indiana.edu

In Memory of Gerry Bernbom



Gerald Vincent Bernbom, 51, died at home on November 7, 2003, surrounded by his family. He was the husband and dearest friend of Charlotte Hess. Throughout his two-year battle with brain cancer, his steadfast strength and courage were an inspiration to all his family and friends.

At the time of his death, Gerry was Director of Research and Academic Computing, University Information Technology Services, and Special Assistant, Office of the Vice President for Information Technology at Indiana University. As Director, Gerry was responsible for all matters related to scientific data: IU’s leading massive data storage system, digital libraries, and the Advanced Visualization Laboratory. Gerry’s special contributions to the leadership of UITS were the result of his incisive mind, his love for the research endeavor, and his particular skills and expertise in digital libraries and networked information. In 2000, Gerry was co-principal investigator on IU’s \$3 million Variations grant from the National Science Foundation and National Endowment for the Humanities to create a groundbreaking digital library to support research and education in the field of music. His efforts in writing this grant and leading this project were instrumental to its success.

Gerry’s leadership at IU encouraged and enabled his staff and his colleagues to excel. Gerry was a person who viewed his career as a piece—but just a piece—of his life’s work. Gerry exhibited throughout his career at IU the commitment to making the world better that permeated his life.

An exceptionally gifted writer, Gerry edited the book *Information Alchemy: The Art and Science of Knowledge Management* (2000) and published many articles on subjects ranging from data architecture to institution-wide information strategies. In addition to his professional

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In Memory (continued from p. 11)

writings, he published poetry and short stories in several journals and literary magazines. He won awards for both his academic and literary publications.

Gerry came to all things in his life with respect and a quiet patience guided by his strong spirituality. A practitioner of Buddhism, Gerry meditated daily throughout most of his adult life. He also attended Bloomington Friends meetings and practiced the Chinese healing practice of Chilé Qigong.

He was a man who loved his life and in turn was beloved by all those who knew him. He was devoted to his wife and his family, taking on his stepchildren as his own and embracing the community that surrounded him. Gerry was a voracious reader and a life-long lover of all kinds of music. He was an avid baseball fan who could enjoy both the Cubs and the White Sox. In the past several years, he became very interested in art and had begun studying sculpture. He was an accomplished cook. He appreciated good food, a robust glass of wine, and had exceptional taste in exotic condiments. Gerry also loved to travel with his wife—hiking in New Mexico, walking on the beach in South Carolina, or exploring the passages of Paris.

Above all, Gerry will always be remembered for his quick intelligence, good judgment, his kindness, sense of humor, and extraordinary generosity. His ultimate goal was to spread goodness during his time on earth, and he succeeded.

Charlotte has established the Gerald Bernbom Fellowship in his honor at Indiana University. Contributions can be made payable to the IU Foundation:

IU Foundation
P. O. Box 500
Bloomington, IN 47402
Phone: (812) 855-8311
E-mail: iuf@indiana.edu
Web: <http://iufoundation.iu.edu/>

WOW3 Photos are accessible via:

<http://www.indiana.edu/~wow3/photos/>

If you took any photos at WOW3, we would appreciate your submitting a copy to us! Please send either via email (wow3@indiana.edu) or snail mail (Gayle Higgins c/o Workshop).

Thank you!

CAPRI E-MAIL CONFERENCE ON: Property Rights and Collective Action for Poverty Reduction July 1-30, 2004

This e-mail conference is being organized by the System-wide Program on Collective Action and Property Rights (CAPRI) (<http://www.capri.cgiar.org/>). The program is currently developing a conceptual analytical framework to study the links between institutions of property rights and collective, and poverty reduction policies. **Participants can sign-up for the conference by sending the following message to listserv@cgiar.org:**

subscribe CAPRI-talk

The list is currently open to subscriptions; the account subscribed is the one from which you send the message (if you have problems signing up, please contact CAPRI@cgiar.org).

We suggest that you subscribe well in advance, since the subscription will allow you to have access to the background draft paper. Personal introductions will also occur before the start date, which is July 1st.

June 15-30: Introductions of participants

July 1-4: **Overview** on the conceptual framework

July 5-11: **Asset poverty**, provision and access to public good and services

July 12-18: **Vulnerability** and the political and legal environmental

July 19-25: **Actors, institutional change** and poverty reduction

July 26-30: **Applied research** on institutions of property rights and collective action for poverty reduction

- measures of poverty
- methods to study property rights, collective action and poverty
- applied issues relevant to research project
- applied issues relevant to development project

BACKGROUND

The past two decades have witnessed a great expansion of our understanding of how property rights and collective action—which come together in common property—play a key role in natural resources management. However, as governments, NGOs, and donor organizations place greater emphasis on poverty reduction, it becomes increasingly important to examine the key role played by property rights, and the scope for collective action, in generating wealth and well-being, and to look for ways to make this available to the poor.

This e-conference seeks to contribute to linking what is known on collective action and property rights with work on poverty reduction. Participants are invited to comment on a draft conceptual framework and contribute their own examples of how efforts to strengthen property rights and collective action have—or have not—contributed to poverty reduction, and what knowledge gaps remain. This will feed into new empirical research as well as policy lessons.

The United Nations Office of the High Commission for Human Rights (UN OHCHR) definition of poverty is “a human condition characterized by the sustained or chronic deprivation of the resources, capabilities, choices, security and power necessary for the enjoyment of an adequate standard of living and other civil, cultural, economic, political and social rights” (www.unhcr.ch/development/poverty). This definition is directly relevant to an analysis of the links between property rights and collective action. For many of the world’s rural poor, property rights are part and parcel of economic rights. The ability to engage in collective action may essentially enhance economic and political choice, capability and power.

Property rights over natural resources are the key assets on which rural people build their livelihoods. Secure property rights provide not only an income stream today, but also incentives to invest in productive technologies and sustainable management of the resources for the future. The rural poor by definition lack substantial assets and are usu-

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ally those with weakest property rights; thus secure rights over land, water, trees, livestock, fish, and genetic resources are fundamental mechanisms for reducing poverty. However, many government programs are implemented without an understanding of the complexity of property rights and have actually reduced tenure security for poor and marginalized groups, e.g., by weakening customary rights or allowing elite capture of property. Better understanding of how the poor can protect and expand their access to and control over resources can make a powerful contribution to poverty reduction.

There is also growing recognition of the importance of social capital as an asset for poverty reduction. Social capital creates the capacity for collective action that allows even smallholders to work together to overcome limitations of wealth, farm size, and bargaining power. Collective action is also needed to adopt many technologies and natural resource management practices that operate at the landscape level. As with property rights, the poor and women are often at a disadvantage when it comes to collective action because of social exclusion, lack of time to participate in meetings and activities, lack of education and confidence to speak in meetings, and domination by local elites.

During this e-mail conference we will discuss the effects of existing property rights relations and collective action capacity on poverty outcomes, and the potential of endogenous as well as exogenous institutional changes in property rights and collective action to improve poverty outcomes.

Particular attention will be given to assets endowments, vulnerability to shocks as well as incentives generated by the legal and political system. We will also examine the potential for institutional changes in terms of the internal and external actors, action resources, decision-making rules and patterns of interaction and their subsequent effects on poverty outcomes. The paper draft presenting a conceptual framework for analyzing the roles of property rights and collective action in poverty reduction is available to participants upon subscription.



PUBLICATIONS

BOOKS:

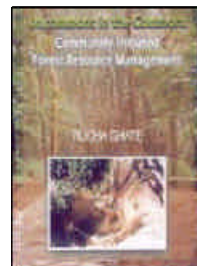
Auer, Matthew, ed. 2004. *Restoring Cursed Earth: Appraising Environmental Policy Reforms in Eastern Europe and Russia*. New York: Rowman & Littlefield.

This book considers how rule making, sanctions, incentives, and programs shape environmental protection efforts, and whether and to what extent these emerging policy structures are promoting environmental well-being for citizens in Russia, the Czech Republic, Hungary, Romania, and Estonia. In addition, informal institutions, such as illegal and corrupt acts, language, and ties of affection between family and friends are explored as key determinants of environmental reforms.



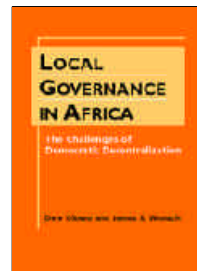
Blomquist, William, Edella Schlager, and Tanya Heikkila. 2004. *Common Waters, Diverging Streams: Linking Institutions and Water Management in Arizona, California, and Colorado*. Washington, DC: Resources for the Future.

This book is a firsthand investigation into water management in a fast-growing region of the arid American West. It presents three states that have adopted the conjunctive management of groundwater and surface water to make resources go further in serving people and the environment. Yet conjunctive management has followed a different history, been practiced differently, and produced different outcomes in each state. The authors question why different results have emerged from neighbors trying to solve similar problems with the same policy reform.



Ghate, Rucha. 2004. *Uncommons in the Commons: Community Initiated Forest Resource Management*. New Delhi, India: Concept Publishing.

This book delves into the intriguing question of why CPR dependent communities, often surrounded by similar circumstances, respond differently and adopt different strategies when faced with similar problems. In this respect it closely studies five truly “uncommon” forest dependant communities, where each one has come up with its own unique solution to its common problems. Heavy forest dependence and absence of territorial rights over the forest made the “circumstances” similar for all the five communities.



Olowu, Dele, and James S. Wunsch. 2004. *Local Governance in Africa: The Challenges of Democratic Decentralization*. Boulder, CO: Lynne Rienner Publishers.

Why have some decentralization reforms led to viable systems of local governance in Africa, while others have failed? Exploring this question, the authors outline the key issues involved, provide historical context, and identify the factors that have encouraged or discouraged success. Detailed studies of seven African states are grounded in a common analytical framework, one that emphasizes the importance both of national policy and of local problem-solving initiatives. The final chapter revisits the country studies, offering a new approach to explaining the emergence of effective local governance.

FORTHCOMING:

Agrawal, Arun, *Environmentality: Technologies of Government and the Making of Subjects*. Durham, NC: Duke University Press.

Gibson, Clark, Elinor Ostrom, Krister Andersson, and Sujai Shivakumar. 2005. *The Samaritans' Dilemma: The Political Economy of Development Aid*. Oxford University Press.

Loveman, Brian. 2004. *Strategy for Empire: U.S. Regional Security Policy in the Post-Cold War Era*. Wilmington, DE: Scholarly Resources, Inc.

Ostrom, Elinor. Fall 2005. *Understanding Institutional Diversity*. Princeton, NJ: Princeton University Press.



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