



Workshop in Political Theory
and Policy Analysis

2008 Annual Report



*A New Science of Governance
for a New Age*

The betterment of humankind depends on the ability of fallible human beings to make decisions, manage resources, and govern themselves. This is the basis of democracy, and of civilization itself. It is also the basis for more than 30 years of research and inquiry at the Workshop in Political Theory and Policy Analysis at Indiana University in Bloomington.

The Workshop was founded in 1973 by Elinor and Vincent Ostrom to study human institutions and their effects on resources, livelihoods, and societies. It has grown dramatically since its founding, and today explores a wide diversity of basic questions related to governance and democracy. In addition to general theoretical issues, colleagues at the Workshop are exploring forest governance in 13 countries, governance reform in Liberia, water governance in the American West, peace-building in Sudan, and related topics in many other locations all over the world. 🌱

Highlights of the Year 2008

In 2008, the Workshop continued to move steadily through a phase of transition, and plans are in place for Lin Ostrom to step down as Codirector, and into the newly created position of Senior Research Director, which will enable her to focus much more closely on research and graduate student advising. Long-time colleague Mike McGinnis will join Jimmy Walker as Codirector starting in July, just after the fourth Workshop on the Workshop, which will take place in early June 2009.

In an effort to prepare for this transition and to increase the Workshop's profile, we have become increasingly focused on engaging the broader university community and beyond. We began the year with a presentation to the Indiana University Foundation,

which oversees much of the fundraising that supports IU. We described our major research themes of sustainable democracy and natural resource management, and then worked with a number of foundation employees throughout the year to develop strategies for the future.

These efforts were accompanied by greater contact with IU's media relations office, and a number of press releases related to the Workshop's research were issued over the year. The media office also contacted us to obtain expert input on media coverage related to our work, including events in Liberia and the transition in leadership in Cuba.

We also turned our sights to the future by designing a completely new website

that better reflects the Workshop's many endeavors, its many colleagues, and the constantly changing nature of the environment here. After many months of preparation by a website committee, the new site went online in January 2009.

Recently, we have begun a series of discussions with the College and SPEA focused on building new bridges that will further enhance the interdisciplinary research in institutional analysis across faculty from these units with interests in Workshop activities.

Simultaneously, the Workshop invested in its productive publications and research programs, with work continuing on forest decentralization, the sustainability of linked social-ecological systems, democracy building in Liberia, and many other topics.

Core Research Activities

Natural Resources

During 2008, affiliates, students, and others focused on a number of projects addressing improved natural resource governance.

We completed the third year and entered the fourth and final year of the Sustainable Agriculture and Natural Resource Management grant received from the U.S. Agency for International Development. The core purpose of this project is to study the effects

of forest decentralization policies on both forest health and livelihoods. We are analyzing over-time data from the International Forestry Resources and Institutions (IFRI) program and household-level data collected in Uganda, Mexico, Kenya, and Bolivia. Data collection has been completed and analysis is in progress. Partners on the project include collaborating research centers in the four target countries, the Center for International Forestry Research, the International Food Policy

Research Institute, and the University of Colorado.

A group of graduate students also revisited the design principles that Lin Ostrom articulated in 1990 in *Governing the Commons*. Working on a project for the Lincoln Institute, these students evaluated more than 100 case studies completed since that time, trying to determine whether the principles are still robust. At this point, the students have found that the literature has

largely supported the design principles over the years, although several scholars have argued that they are incomplete.

Democratic Governance

Our on-the-ground activities in building and strengthening democracies through the work of Amos Sawyer and other affiliates in Liberia, the Sudan, and in other locations around the world continued. Sawyer is making progress toward constitutional, decentralization, and land reforms in his position as the chair of the Liberian Governance Commission. IU's connections to Liberia were further strengthened by the president's visit to IU in the spring, discussed in more detail below.

In parallel with this, the new Political Economy of Democratic Sustainability (PEDS) working group got up and running. Based on the group's early discussions, Workshop affiliates Regina

Smyth and Bill Bianco received a grant from NSF to fund a conference on sustainable democracy in early 2009. It is hoped that discussions at this conference will lead to a cohesive research and training agenda to be implemented over the next several years.

Experimental Methods

Complementing and contributing to the work in institutional analysis is the Workshop's use of experimental research. Laboratory experiments in the social sciences are central to exploring linkages between theory, institutions and behavior. Workshop colleagues are centrally involved in utilizing and directing the Interdisciplinary Experimental Laboratory on the IU campus.

Workshop graduate students have written successful proposals to NSF to fund experimental work in recent years. One example of this research is the

NSF-supported research being developed by graduate student Rob Holahan for his Ph.D. thesis, under the direction of Lin Ostrom, Jimmy Walker, and Bill Bianco. This research focuses on the use of majority rule voting mechanisms as institutions for facilitating cooperation in common-pool resource settings. Both Lin and Rob are also involved with experimental research with Marco Jansen at Arizona State University's Center for the Study of Institutional Diversity in the School of Human Evolution and Social Change.

Continuing their research program on trust and behavior in social dilemma settings, in August 2008, Lin and Jimmy submitted a collaborative proposal to NSF (with James Cox at Georgia State University) to build on the experimental research program they began while James Cox was a visiting scholar at the Workshop in 2006.

A Year of Exceptional Visitors

The Workshop was pleased to welcome a number of prominent visitors in 2008.

May brought the Workshop's first visit by a sitting head-of-state when President **Ellen Johnson Sirleaf** of Liberia



came to Bloomington to accept an honorary doctorate from Indiana University. Sirleaf is the first woman elected to lead a country in Africa, and the Workshop has

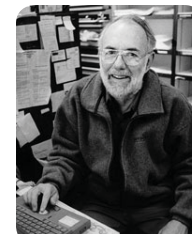
followed her ascent to the presidency with a great deal of interest. Workshop Research Associate Amos Sawyer continues to head Sirleaf's Governance Commission—more about Sawyer's work is included on page 7. During her visit, Sirleaf spoke on the challenges Liberia faces as it works to recover from 14 years of civil war.

In addition to President Sirleaf, the Workshop welcomed Nobel laureate **Thomas Schelling** to give the prestigious Patton Lecture in September. As part of this lecture program, Schelling spent a week in residence at IU, presenting a colloquium at the Workshop and two



public lectures during his stay. During his public lectures, he tackled the significant challenges of nuclear proliferation and climate change.

We were also very happy to welcome **Daniel Janzen**, renowned for his conservation work in Costa Rica. Janzen



spoke on his efforts to empower local people to protect their considerable natural assets, as well as his vision to democratize species identification using DNA "barcoders."

Visiting Scholars Program

As always, visitors from numerous other affiliated organizations contributed to dialogue and research at the Workshop during both long- and short-term visits throughout the year. Our ongoing relationship with Humboldt University in Berlin continued with a visit in Fall 2008 by six graduate students. Scholars also joined us from long-time affiliates Renmin University in Beijing and Makerere University in Uganda.

In total, we welcomed 21 long-term visitors from 10 countries, and 37 short-term visitors from 15 countries during the 2008 calendar year—countries including China, Colombia, Italy, Mexico, Norway, South Korea, and Uganda. We highlight two of our long-term visitors below. For complete lists of long- and short-term visitors, please see Appendix A.



Joe Bahati

Joe Bahati's ties to the Workshop go back for more than a decade. A long-time scholar at the first collaborating research center of the International Forestry Resources and Institutions (IFRI) research program, in Uganda, Joe has visited the Workshop many times.

In 2007, Bahati received a Fulbright Fellowship that allowed him to spend the 2007–2008 academic year in the United States. After spending his first semester with colleagues in South Carolina, Bahati joined us here in Bloomington for the spring semester.

His plans were ambitious—in order to get better information about land use changes over time, Bahati had acquired numerous aerial photos of Ugandan forests, and wanted to stitch them together and then analyze them using GIS software. With Workshop support, he acquired even more photos, and spent the semester working with partners at the Center for the Study of Institutions, Population, and Environmental Change to synthesize his considerable data set. While there wasn't enough time in the semester to complete this task, he made significant progress and is continuing the project now that he is back home in Uganda.

Yaocai Wang

When Yaocai Wang arrived in the United States in August 2008, his wife was many months pregnant and had stayed home in Beijing. It was clear from the beginning that there was little that could stand in the way of Wang getting the most out of his year as a visiting scholar at the Workshop.

Wang is a graduate student from Renmin University in China who says he dreams of learning institutional theory and writing an excellent dissertation. Facing challenges in understanding all of the ideas presented at the Workshop's seminar and colloquia, he has been attending English classes in order to improve his language skills.

Wang is interested in residential community governance, such as homeowner associations, and is exploring a variety of literature. In the coming semester, he plans to conduct field research on these types of organizations in Bloomington. The topic of his dissertation is residential community common property governance, and he expresses his gratitude to Lin Ostrom for all of her advice and encouragement. The Workshop, he says, is like a big family. Meanwhile, his own family has grown in Beijing: Wang's son Rui Yu was born on election day.



Publications

The Workshop and its affiliates had a productive year of publications. Affiliates external to IU published six books and had another six accepted for publication. They also produced 30 articles and book chapters in 2008.

Affiliates within IU published seven books, and had another five accepted for publication. They produced more than 50 articles and book chapters.

Topics covered a wide range, from collective action by tribal communities in India to patterns of land ownership in southern Indiana. Books published last year address the impact of coffee on forests in Honduras, the French Revolution, the impact of globalization on Amazonian farmers, and several other topics that demonstrate the far reach of the Workshop's research.

For a complete list of publications, please see Appendix B.

Workshop Library and the DLC

This year brought a big transition to the Workshop library and the Digital Library of the Commons (DLC). Emily Castle became the new director of Library and Information Services after former director Charlotte Hess accepted a major promotion at Syracuse University. Emily had served as the Library Coordinator since the spring of 2007, enabling her to step smoothly into her new position. The Library Coordinator became a part-time position, currently occupied by a graduate student from the School of Library and Information Science.

Throughout 2008, work continued on a \$388,900 grant received from the Mellon Foundation in 2007 for

Recognition and Awards

necessary upgrades and expansion of the DLC. The grant enabled the library to hire assistants to help with obtaining permissions from authors and posting and scanning papers.

One of the primary goals of the grant is to accelerate the growth of the DLC, and 2008 was one of the most productive years yet. The number of papers contained in the DLC jumped from its previous total of just over 2,000 to 3,580 by the end of the year—equivalent to an increase of 80 percent. Combined with the entries from the first year of the grant, the total number of documents entered is 2,198, or 64 percent of the end goal of 3,420. The grant goes through 2010.

The number of unique visitors to the DLC also grew significantly in 2008, with a 30 percent increase to 236,781. This is a considerable rise from 180,890 in 2007 and 133,691 in 2006.

See Appendix C for a full report on the library.

Workshop scholars received a number of recognitions in 2008 for their contributions to scholarship:

- ▲ Affiliate Aurelian Craiutu was appointed to serve as the Honorary Chair of the Presidential Committee for the Study of Romania's Political and Constitutional Regime by Romanian President Traian Basescu.
- ▲ Affiliate Burney Fischer received the 2007 Teaching Award for Undergraduate Instruction from IU's School of Public and Environmental Affairs.
- ▲ Alumnus Tanya Hayes received IU's Greenough Award for the best doctoral dissertation in political science.
- ▲ Affiliate Sam Joseph, whose organization ActionAid received the United Nations Public Service Award for its work in Rwanda.
- ▲ Lin Ostrom was asked to give Indiana University's inaugural Schuessler Lecture in the Social Sciences, and spoke on the importance of accounting for the complexity of social and ecological systems when studying sustainability. Lin also received honorary degrees from McGill University and the Norwegian University of Science and Technology; and was also selected as the Robert A. Dahl Fellow of the American Academy of Political and Social Science.
- ▲ Vincent Ostrom's work was recognized with a session centered around his ideas at the annual conference of the American Political Science Association.

This year also saw the launching of a new research center, the Center for the Study of Institutional Diversity at Arizona State University. CSID joins a number of other centers around the world that are modeled after the Workshop, including sister centers in Romania, China, and Mali.

Colloquium Series and Mini-Conferences

In 2008, the Workshop's traditional Monday colloquia continued, and a new Wednesday series was also added (see Appendix D). The Monday colloquia continue to serve as the Workshop's public face to the university and the broader community, with both local and distant affiliates presenting the results of research. The Wednesday colloquia serve a more internal function, giving students, visitors, and others with research in intermediate stages an opportunity to obtain feedback. Presenters in 2008 included Nobel laureate Thomas Schelling, Lynne Kiesling of Northwestern University, and Christopher Kam of the University of British Columbia.

We also hosted a special mini-series of colloquia on sustainability, with

speakers exploring the management of protected areas, indigenous community forestry, and local forest cooperatives.

The Workshop continued to provide support for a colloquium series sponsored by the Middle East Conflict and Reform Group throughout 2008. This series focused on the Israeli-Palestinian conflict.

And in keeping with a long-standing Workshop tradition, the Workshop's seminar class closed in both the fall and the spring with a mini-conference (see Appendix E). These conferences give students and visitors the opportunity to hear their work presented by a colleague, and to ask and answer questions that will improve their research in the future.

Workshop Advisory Council

The Workshop Advisory Council, formed in 2005, continued to navigate this period of transition with regular meetings to discuss the future of the Workshop. Current members of the council (and their term expirations) are:

Matt Auer, SPEA; Dean, Hutton Honors College, IUB (Fall 2010)

Bill Bianco, Political Science, IUB (Fall 2009)

Bill Blomquist, Political Science, IUPUI (Fall 2011)

Burney Fischer, SPEA, IUB (Fall 2010)

Mike McGinnis, Political Science, IUB; Advisory Council Chair (Fall 2009)

Funding

The Workshop is supported by three important sources of funding: funds we receive from Indiana University, external grants, and the Workshop's endowments. This year, university funds made up 35 percent of our overall budget, down from 42 percent in 2007. Our dependence on the endowments also declined from 30 percent in 2007 to 19 percent in 2008. The percent of our budget coming from external grants went up from 19 percent to almost 33 percent in 2008. Our total budget increased by 10 percent.

Workshop Funding Overview for 2008

	SOURCES						
	IU General Fund	Internal Grants	External Grants	Endowments	Fees	Other	TOTAL
Salaries & Fringes							
Staff (including academic & hourly)	\$308,497	\$14,427	\$146,257	\$140,180	\$798	\$39,063	\$649,222
Research assistants		\$38,500	\$10,000				\$48,500
Fringes	\$110,667	\$4,887	\$39,840	\$60,447	\$17	\$7,594	\$223,452
Total Salaries & Fringes	\$419,164	\$57,814	\$196,097	\$200,627	\$815	\$46,657	\$921,174
Visiting scholars		\$5,266		\$53,644			\$58,910
S&E expenses	\$30,844	\$1,200	\$17,190	\$1,707	\$253	\$472	\$51,666
Publications						\$4,068	\$4,068
IEL workstations replacements						\$40,000	\$40,000
Travel/colloquia/seminars	\$2,241	\$1,000	\$53,390	\$979	\$1,072		\$58,682
Grad student fieldwork/research			\$1,497				\$1,497
Subcontract/host country exp			\$159,261				\$159,261
Teleconferencing equipment						\$7,193	\$7,193
Total Uses of Funds	\$452,249	\$65,280	\$427,435	\$256,957	\$2,140	\$98,390	\$1,302,451
% of Total Uses	34.7%	5.0%	32.8%	19.7%	0.2%	7.6%	100.0%

External Grants Submitted in the Last Year

Title	Granting Agency	PI	Amount	Submitted/Date	Received
Long-term monitoring of seri biological and cultural resources	Christensen Fund	X. Basurto	\$25,000	Yes/May 08	Yes
DDIG: Understanding the acequia irrigation communities of New Mexico as complex social-ecological systems	NSF	E. Ostrom/M. Cox	\$12,000	Yes/Oct 08	No
Asymmetric power in paired common pool and public good games: experiments, institutions, and behavior	NSF	E. Ostrom/J. Walker	\$389,628	Yes/Aug08	Pending
Studying the dynamics of complex social-ecological systems	James S. McDonnell Foundation	E. Ostrom	\$447,281	Yes/Mar 08	No
DDIG: Responses to ecological and human threats in Southern California water basin governance	NSF	E. Ostrom/B. Steed	\$12,000	Yes/Jan 08	No
DDIG: Investigating majority rule voting in common-pool resource settings	NSF	E. Ostrom/R. Holahan	\$11,983	Yes/Jan 08	Yes
Sustainable democracy—a conference	NSF	W. Bianco	\$49,792	Yes/Apr 08	Yes
Cyber-enabled discovery and innovation	NSF	Beth Plale, et al.	\$1,954,799	Dec 08	Under review
Establishment of the Tocqueville program at Indiana University	Jack Miller Center	A. Craiutu	\$20,000	Yes/Oct 08	Yes
Design principles for managing the commons	Lincoln Institute of Land Policy	E. Ostrom	\$15,000	Yes/Oct 08	Yes
Homeowner associations in China: a cross-national study of institutional innovation and urban governance	Lincoln Institute of Land Policy	E. Ostrom	\$27,215	Waiting	Under review
Decentralization, reforms, and property rights; years 3 and 4 of 4-year agreement	USAID	E. Ostrom	\$575,336	Yes/Oct 08	Yes
Program evaluation of the USFS S&PF redesign	U.S. Forest Service	B. Fischer	\$50,000	Yes/Nov 08	Under review

Meetings and Trainings

The Workshop hosted numerous meetings and trainings during 2008, all with themes centered on governance in various settings.

Special training for students from Sungkyunkwan University, South Korea

In January, the Workshop held its second training in the Institutional Analysis and Development (IAD) framework for students from Sungkyunkwan University in South Korea. Participating students attended several sessions per week during their six-week training period, including regular attendance at the Y673 seminar, a dedicated training seminar, and regular colloquia. The training was designed to increase participant understanding of institutions and institutional diversity, and to show how the IAD framework can help organize their research methods, designs, and models so as to advance theory building and testing.

Advanced IFRI training

In keeping with the plan developed since the administration of the IFRI program was transferred to University of Michigan, the basic IFRI training course took

place in Ann Arbor in the fall of 2008. In Bloomington, Burney Fischer and Lin Ostrom taught a course of advanced IFRI students. The students conducted a repeat visit in one Indiana community, and then focused on analyzing data from five Indiana communities, collected in three visits since 1994. The students involved in the course, as well as several visiting scholars, are continuing to analyze this data and will present their findings at WOW4.

Humboldt University project meeting

In the fall of 2008, the Workshop hosted six visiting scholars from Germany, most of whom are involved in a joint research project in Guatemala, India, and other locations. In December, project advisor Markus Hanisch, a long-time Workshop affiliate from Humboldt University in Berlin, joined the group of students in Bloomington for a project coordination meeting. The project is called "Making Rural Services Work for the Poor," and is being conducted in partnership with the International Food Policy Research Institute.

SANREM partner meetings

Steering committee members involved in the Sustainable Agriculture and Natural Resource Management grant through the U.S. Agency for International Development met twice in Bloomington during the year, and once in England during the biennial meeting of the International Association for the Study of the Commons, to discuss project progress and plan for data analysis and dissemination. With most data turned in by the end of 2008, the project, which is intended to analyze the effects of decentralization on forests and livelihoods, will focus in 2009 on drawing conclusions from those data.

Max Planck Institute seminar

In September, the Workshop also briefly played host to a group of 15 scholars visiting from the Max Planck Institute in Jena, Germany. The meeting focused on uncertainty in decision making, and was organized by affiliate Peter Todd from the School of Informatics at IU.

Working Groups

Development

The Development Working Group is made up of students and scholars who are interested in governance and institutions in the developing world. The group held regular, informal colloquia throughout 2008 to give its members and others the opportunity to present their work, share their experiences, and address problems communities face in the developing world.

Experimental Methods

This group, which met regularly throughout 2008, consists of students, visiting scholars, and affiliated faculty who are conducting experiments on the

role of institutions in shaping behavior. The group continued its discussions of experimental approaches in both lab and field settings as a way of developing further understanding of behaviors and outcomes in social science research.

Political Economy of Democratic Sustainability (PEDS)

The PEDS Working Group conducts and sponsors research on the micro-foundations of sustainable democracy, defined as a commitment to democratic processes, respect for election outcomes, and linkages that engender responsiveness and accountability. The overarching goal is to move toward interdisciplinary studies of democratic

decision making in different contexts, from new or consolidating systems to established democracies and self-governing systems, by characterizing factors that shape processes and outcomes in a wide range of working democracies. An equally important goal is the development of graduate and undergraduate training programs that draw on and contribute to the research program.

Sustainability of Social-Ecological Systems

The members of this working group are interested in studying the ability of social-ecological systems to adapt and persist over time.

Continued Progress in Liberia

Workshop Research Associate Amos Sawyer continued splitting his time between Liberia and Bloomington in his ongoing position as chair of the Governance Commission. The challenges facing the country are innumerable as it works to recover from a long, divisive civil war. The commission focused last year on decentralization policies, land reforms, national security, and constitutional reforms, among other things. Due to Sawyer's work and the connections of Workshop affiliate Verlon Stone and many others, a delegation of several high-ranking IU officials visited

Liberia in an effort to identify ways that IU can further partner with the University of Liberia and otherwise contribute to the country's recovery.

Coverage of Sawyer's work has been covered a number of times in IU media. See the links below for more information:

<http://newsinfo.iu.edu/news/page/normal/8118.html>

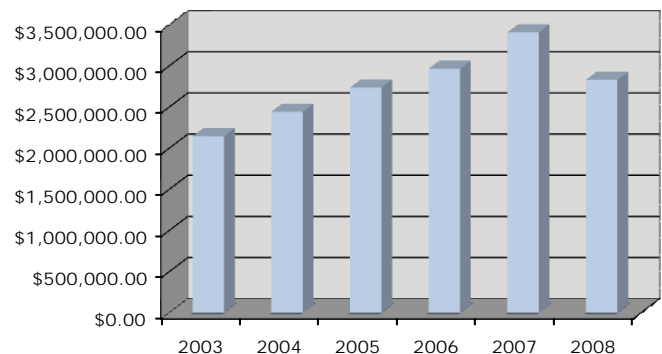
<http://newsinfo.iu.edu/web/page/normal/8196.html>

<http://newsinfo.iu.edu/news/page/normal/9425.html>

Many Thanks to Our Supporters!

Given the uncertainty in both university budgets and the economy overall, the Workshop has become more focused on building up the Tocqueville Fund, which is so valuable in supporting our activities. Many thanks to our many long-time supporters who made a contribution this year. Your ongoing enthusiasm for the Workshop's research makes possible the vital contributions of graduate students, visitors, and faculty to the field of institutional analysis.

Tocqueville Endowment Market Value



Appendices

Appendix A: Visiting Scholars

Appendix B: Publications

Appendix C: Workshop Library Report

Appendix D: Colloquia and Lectures

Appendix E: Mini-Conference Agendas

Appendix F: Information Technology Report

For information about ways to make a gift to the Workshop, please contact:

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