A NEW SCIENCE OF GOVERNANCE FOR A NEW AGE

polycentricity • institutional analysis
sustainability • research programs
health and healthcare commons • outcomes
interdisciplinary • natural resources
self-governance • collective action
democratic reform • incentives
behavior • common-pool resources

2010–2011

Indiana University Bloomington
In front of an IU and Indiana audience, Elinor Ostrom presented an updated version of her Nobel Prize lecture at the IU Auditorium on February 16, 2010 (broadcast available at: http://broadcast.iu.edu/lectures/ostrom/index.html). Her lecture was based on, but not identical to, the Nobel lecture that she presented in Stockholm on December 8, 2009. Another happy consequence of Lin’s Nobel was that the Workshop buildings received a makeover in 2010. Extensive renovations and interior decorating were completed on the main building, and all four buildings received a new coat of paint on the exterior.

Several research projects were in the works during 2010 and 2011. Burney Fischer worked with organizations in Indianapolis to investigate the results of tree-planting projects in urban neighborhoods. Lin and others were involved in grants supported by FORMAS (Sweden’s equivalent of NSF) on social-ecological systems and by Templeton Foundation, on the effects of religion on social capital in community-based resource management. NSF also awarded funding to two new research projects by Workshop scholars: (1) Bill Bianco and Regina Smyth on roll-call voting in legislatures in transition countries and (2) Lin, Tom Evans, Dan Cole, and others on a comparative analysis of snow-melt irrigation systems in semi-arid lands in the western US and eastern Africa.

In addition, Lin took the lead in organizing a team to write a preproposal to NSF for a new Center for Sustainability in Social-Ecological Systems (CS-SES), which we hope will be funded under their Science and Technology Center (STC) program. This program has been in place for several years, but thus far no social science center has been established. We are working with IUB colleagues from CIPEC, SPEA, School of Education, and CRES (Center for Research on Environmental Sciences). This center would include as partners several research centers from US institutions and the European members of the SES Club. So far, we have survived the internal selection process at IU and a couple rounds of NSF evaluations. An NSF site visit to IUB is scheduled for October 2012. We are one of eleven STC site visits. It is a long and very competitive process, with only a few centers likely to be selected for support beginning in the fall of 2013.

Workshop Investigates Health Commons

Shortly after Lin was awarded the Nobel Prize in 2009, we learned that several health care reformers had been exploring the potential relevance of her research for the US health care system. Donald Berwick, before he was appointed as director of CMS, made a major speech in which he described this system as a commons and warned about the long-term financial consequences of business as usual. Other scholars investigated communities such as Grand Junction, Colorado, which had been singled out for delivering higher-than-average quality care for lower-than-average cost, and some of these scholars suggested that the design principles identified by Lin might be in operation there as well.

The Workshop began hosting a small working group on health care policy in the spring of 2010. Before long, a research proposal was taking shape, and we received funding from the Fannie Rippel Foundation to undertake an 18-month action-research project. Mike McGinnis will serve as PI, assisted by Claudia Brink (Workshop Assistant Director), Joan Pong Linton (English), and two graduate students: Carrie Ann Lawrence (HPER) and Ryan Conway (POLS). In addition, we received invaluable advice from two other faculty members, Kathy Gilbert (HPER) and Lauren MacLean (POLS), both of whom are experts on qualitative research methods in their respective fields.

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

Members of this “Managing the Health Commons” research team will be interviewing health care professionals and community leaders in Grand Junction, CO, Bloomington, IN, and Cedar Rapids, IA.
On March 5, 2010, the Workshop, along with the newly created Tocqueville Program (www.indiana.edu/~tcqville/), the Department of Political Science, the Office of the Vice President for International Affairs, and the Liberty Fund, cohosted the Tocqueville Conference. Workshop affiliate Aurelian Craiutu, director of the program, led the effort.

The conference was devoted mainly to the launch of the bilingual critical edition of Democracy in America, edited by Eduardo Nolla and translated by James T. Schleifer, and published by the Liberty Fund. It contains all the preparatory notes for Democracy in America, preserved at Yale’s Beinecke Library, in whose archives Professor Nolla worked for almost a decade in the 1980s. This bilingual edition supersedes and updates the previous critical French edition published by Vrin in 1990 (long sold out). The conference also had panels devoted to two other books published by IU-related faculty: Tocqueville on America after 1840 (Cambridge, 2009) and Conversations with Tocqueville (Rowman & Littlefield, 2009). A final panel was devoted to reassessing the role played by Tocqueville in social sciences and humanities today.

The Workshop Advisory Council, formed in 2005, is instrumental in navigating the leadership transitions, the external reviews, and providing advice to Workshop directors. As a result of the 2009 review and of the heightened profile of the Workshop due to the Nobel, the council has explored new configurations that will better represent our various connections throughout the university and beyond. The council was expanded from five to seven members in 2011 and expanded to include affiliated faculty from outside the IU system. The council recommended candidates for the next Workshop director to the IU’s Office of the Vice Provost for Research and is exploring with IU leadership the creation of a Workshop Executive Director. Also, the council is exploring more effective ways to raise funds for the Workshop with the IU Foundation. The 2010–11 members of the council (and term expirations) are:

• Burney Fischer, chair (2009–12)
• Barbara Allen (2011–14)
• Daniel Cole (2011–14)
• Aurelian Craiutu (2011–14)
• Salvador Espinosa (2011–14)
• Catherine Tucker (2010–13)
• James Walker (2009–12)

Visiting Scholars Program

The past two years have brought a number of long- and short-term visitors to the Workshop. In total, we welcomed 30 long-term visitors from 13 countries, and 84 short-term visitors—countries including China, France, Germany, Italy, Norway, and Sweden. Visitors participated in IFRI training (Fall 2011) and various working groups. For complete lists of long- and short-term visitors, see Appendix A.

Colloquium Series and Miniconferences

During 2010 and 2011, the Workshop continued its Monday and Wednesday colloquium series, with Friday colloquia also held periodically as needed. 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, primarily giving students, visitors, and others with research in intermediate stages an opportunity to obtain feedback.

In keeping with a long-standing Workshop tradition, the Workshop’s seminar class closed in both the spring and the fall with a miniconference. 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.

For a complete list of colloquia for 2010–2011, see Appendix B. For miniconference agendas, see Appendix C.

Publications

During 2010 and 2011, IU affiliates published 7 books and 107 articles. Off-campus affiliates published 6 books and 98 articles. For a complete list of publications, see Appendix D.

Four journal special issues were published in 2011:
• International Journal of the Commons (2011) “The 20th Anniversary of Elinor Ostrom’s ‘Governing the Commons,’ Parts 1 and 2”
During 2010, we received an extension for the $388,900 grant received from the Mellon Foundation in 2007 for upgrades and expansion of the Digital Library of the Commons (DLC). In April, the DLC image database (http://dlc.dlib.indiana.edu/dlc-images/) switched over to the new Digital Library Program technology. This technology added a more user-friendly look to the image database, and added features such as the “Browse” option.

In August, we completed all necessary improvements to the DLC, and the programmer (paid for by the grant), moved his office to the Workshop to begin discussions regarding necessary improvements to the Workshop Library’s technological infrastructure. Many options were discussed and looked into, and we hope to bring about these changes in the future.

The statistics for the DLC remained similar to previous years with 1,375 papers being posted during 2010, bringing the total number of papers in the DLC to 6,672. The number of visitors and searches improved with 160,750 and 50,840, respectively.

In March of 2011, the Mellon grant came to an end. We were very happy with our results, having achieved what we set out to do and more. We exceeded the number of papers proposed to add during the course of the grant through the work of our very capable Digital Library Assistants. We managed to upload almost 6,500 papers during the four years, increasing the number of papers from 1,492 in 2007 to 7,698 at the end of 2011.

The Workshop Research Library’s database has also continued to grow, topping 90,000 records in 2011. We have continued with some rearrangements of the bookshelves, collections and journals in the library to make room for future growth while keeping in mind the weight limitations to being housed on the third floor. See Appendix E for detailed library report.

Recognition and Awards

Workshop scholars received a number of recognitions for their contributions to scholarship during 2010 and 2011:

- Arun Agrawal received a 2011 Guggenheim Fellowship
- Matthew Auer and Michael Cox’s paper, “Appraising Climate Change Information Reported to Congress,” was selected as a “Highly Commended” article (among the top four articles in 2010) appearing in the International Journal of Climate Change Strategies and Management at the Emerald Literati Network Awards for Excellence 2011
- Lauren MacLean’s book, Informal Institutions and Citizenship in Rural Africa: Risk and Reciprocity in Ghana and Cote d’Ivoire (Cambridge University Press, 2010) was selected as the winner of the 2011 Sartori Award
- Tun Myint was named a fellow of the National Asia Research Program for Scholars by the National Bureau of Asian Research and the Woodrow Wilson International Center in 2010
- Elinor Ostrom:
  - Living Legend Award, Office of Women’s Affairs, IUB, 2010
  - Distinguished Professor, IUB, 2010
  - Herman B. Wells Visionary Award, IUB, 2010
  - Distinguished Faculty Award, College of Arts and Sciences, IUB, 2010
- Elinor and Vincent Ostrom: Co-recipients of The University Medal, IUB, 2010
- Armando Razo was awarded a W. Glenn Campbell and Rita-Ricardo Campbell National Fellowship at the Hoover Institution for his research on “Relational and Spatial Dimensions of Social Policies in Latin America (1995–2010)”
- Filippo Sabetti was awarded a three-year research grant by the Humanities and Social Science Research Council of Canada to study “civic artisanship: discovering the past, inventing the future”
- Amos Sawyer was awarded the 2011 Gusi Peace Prize
- Sergio Villamayor-Tomas received a 2011 Doctoral Dissertation Research Improvement Grant by NSF for his dissertation proposal on “Understanding Robustness: Institutions, Disturbances, and Performance in Spanish Irrigation Communities”
Many thanks to our supporters!

Given the continuing uncertainty in both university budgets and the economy overall, the Workshop has continued to focus on building up the Tocqueville Fund, which is so valuable in supporting our activities. Thank you to our many long-time supporters who have made a contribution!

In 2010, the Ostroms redirected $1 million of their previous charitable gifts given to the “Tocqueville Fund for the Study of Human Institutions” to the “Ostrom Endowment Fund.” This new fund was established to support research, visiting scholars, and publication of research, and provide fellowships and scholarships in institutional analysis. Contributions cannot be made to this endowment. Instead, contributions should be directed to the Tocqueville Fund.

APPENDICES

A: Visiting scholars
B: Colloquia
C: Miniconference agendas
D: Publications
E: Workshop library
F: Information technology

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

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