The Vincent and Elinor Ostrom Workshop in Political Theory and Policy Analysis

... a new science of governance for a new age

ANNUAL REPORT 2012
CONTENTS

In memory of Elinor and Vincent Ostrom ♦ 1
Highlights of the year ♦ 2
Core research activities ♦ 3
Visiting scholars program ♦ 5
Colloquium series ♦ 7
Y673 seminar & miniconferences ♦ 7
Publications ♦ 7
Workshop Advisory Council ♦ 7
Library & DLC ♦ 8
Recognition & awards ♦ 8
Tocqueville Fund ♦ 9
Working groups ♦ 10

Appendices

A: Colloquia
B: Miniconference agendas
C: Publications
D: Library
E: Information technology
In Memory Of

On May 4, 2012, in honor of the Ostroms, Indiana University officially renamed the Workshop to “The Vincent and Elinor Ostrom Workshop in Political Theory and Policy Analysis” (in short, the Ostrom Workshop). As stated by IU President Michael McRobbie,

*The Workshop they founded and have led for almost 40 years has provided invaluable insight on the intersection between human behavior and the institutions they create and has influenced public policy in many areas. Naming the Workshop in their honor is a fitting recognition of their contributions to IU and society.*

Sadly, a few weeks later, Lin and Vincent both passed away after long battles with cancer. In their honor, two memorial events were held at IU Bloomington on October 15 and 16, respectively: “A Celebration of Life,” held at the IU Auditorium, and “Reflections on the Ostroms,” held at the IMU. On the 16th, following the “Reflections” event, Workshoppers from near and far planted a Bur Oak (*Quercus macrocarpa*) tree in the front yard of the Ostrom Workshop at 513 N. Park. The tree is part of the IUB Memorial Tree Program and is marked with a dedication plaque: *In Loving Memory of Elinor and Vincent Ostrom from the Workshop Family*. We have created an “Ostrom Memorial Wall” web page where the archived broadcast, program, photo slideshow, and tributes can be viewed (http://www.indiana.edu/~workshop/ostrom_memorial_wall.php). In addition, published obituaries and tributes are available at: http://www.indiana.edu/~workshop/tributes/.

It goes without saying that the Workshop will never be the same without Lin and Vincent. However, our overarching goal is to establish the foundation for a sustainable Workshop that can serve as a permanent legacy of the remarkable achievements of Lin and Vincent Ostrom.

* * *
On April 18, Lin Ostrom was named to 2012 Time 100, the magazine’s annual list of the 100 most influential people in the world. The list, now in its ninth year, recognizes the activism, innovation and achievement of the world’s most influential individuals. “Ostrom’s work sheds light on the direction society must follow to avoid misuse of shared resources, ‘the tragedy of the commons,’” wrote Time magazine writer Robert Johnson.

Also in April, David Sloan Wilson, president of The Evolution Institute (EI), and Lin Ostrom organized a workshop titled “Rules as Genotypes in Cultural Evolution,” which was held at the Workshop. The article that Lin wrote to frame the workshop is forthcoming in the Journal of Bioeconomics. Lin and David also completed an article with Michael Cox that will appear in a special issue of the Journal of Economic Behavior and Organization. The EI is now working with a consortium of partner organizations to create a practical framework for increasing the efficacy of groups based on the core design principles. Partners include the Ostrom Workshop, the Association for Contextual Behavioral Science, and the Cooperative Group of the UK, which was generously provided start-up funds for the project.

The Workshop has a new name! On May 4, IU’s Board of Trustees approved a proposal submitted by Interim Provost Lauren Robel that the Workshop be renamed in honor of its cofounders. The new official name is: The Vincent and Elinor Ostrom Workshop in Political Theory and Policy Analysis (or, for short, the Ostrom Workshop).

At the end of June, Mike McGinnis stepped down as director of the Workshop and two new codirectors took his place: Tom Evans (associate professor of geography and director of CIPEC) and Burnell “Burney” Fischer (clinical professor of SPEA). Evans’s responsibilities will focus on coordinating the Ostrom Workshop’s expanding research activities and initiatives. Fischer will focus on managing the Ostrom Workshop’s active programming schedule—including the colloquium series, graduate seminars, visiting scholars, working groups, fundraising, and various collaborations—as well as managing operations of the building complex and staff. Evans and Fischer will serve as codirectors for two years.

A group of 17 scholars associated with the Ostrom Workshop for many years came to Bloomington in July to participate in a conference funded by the Liberty Fund and designed/directed by former Workshopper Roberta Herzberg. The conference became an opportunity to critically consider the depth and range of the Workshop school of thought and how it has developed these last 40 years.

Back in 2011, a team of more than 30 researchers led by Lin Ostrom developed a proposal to create a Center on Governance and Sustainability of Social-Ecological Systems (COGS) that was submitted to the National Science Foundation. The proposal, now led by Tom Evans as PI, has passed through several successive rounds of review, and culminated in a site visit at IU in October 2012. NSF will make its final funding decision in spring 2013.

In November, we hosted scholars from the Association for Research on Nonprofit Organizations and Voluntary Action (ARNOVA) who, along with Workshop alumni and Mike McGinnis, reflected on Lin and Vincent’s work to where Workshop research intersects with the study of nonprofit organizations and broader issues of voluntary action. The session—organized by Workshop alumni Brenda Bushouse and Brent Never, along with Rob Christensen—was a precursor event to the annual ARNOVA conference held in Indianapolis a few days later.
Core Research Activities

The community of scholars associated with the Ostrom Workshop have been working on a wide-ranging set of topics during 2012. The following provides a partial list of those activities by scholars both at IU-Bloomington and also affiliated scholars at other institutions who are making important contributions to the scientific mission of the Ostrom Workshop.

IUB Affiliated Faculty

Shahzeen Attari (IU-SPEA) collected data on public perceptions of water consumption to identify existing misperceptions of resource consumption.

Tom Evans (IU-Geography), Paul McCord (IU-Geography), Michael Cox (Dartmouth), and Camille Washington-Ottombre (Oberlin College) conducted six weeks of fieldwork in Kenya from June–July 2012 as part of the NSF project titled “Institutional Dynamics in Robust Social-Ecological Systems: Adaption to Climate Change in Snowmelt-Dependent Agricultural Systems” with Krister Andersson (Colorado), Kelly Caylor (Princeton), and Dan Cole (IU). With new post-doctoral scholar Jampel Dell’Angelo, further data collection is planned for June–September 2013 in Kenya and Colorado that will contribute to models of water governance and climate change. Tom Evans, Kelly Caylor, Jacob Schumacher (IU-Geography), and Sean Sweeney (IU-CIPEC/Workshop) conducted research on agricultural decision making, labor exchange, and food security in rural Zambia. This project is linking climatological analysis, crop modeling, and household-level survey data to investigate how formal and informal social arrangements contribute to community-level resilience to climate change.

Burnell Fischer (IU-Workshop): At the Bloomington Urban Forestry Research Group (http://www.indiana.edu/~cipec/research/bufrg_about.php), we study the urban forest as a social-ecological system, a conceptualization that enables researchers and managers to better understand the factors that influence sustainable urban forest outcomes and provision of ecosystem services. The group was awarded a 2012 US Forest Service National Urban Community and Forestry Advisory Council grant, “Tree and People—A Two Way Street,” for $173,206, which includes five partner community organizations: Greening of Detroit, Keep Indianapolis Beautiful, Pennsylvania Horticultural Society, Missouri Releaf, and Trees Atlanta, and the National Alliance for Community Trees (ACTrees). Pilot studies on the trees/people interactions in neighborhood tree planting projects continue in Indianapolis.

Mike McGinnis (IU-Political Science) served as visiting faculty at Dartmouth College, Hanover, NH, with appointments at both the Dartmouth Center for Health Care Delivery Science and the Dartmouth Institute for Health Policy and Clinical Practice. He is a member of the Initial Planning Team for an as-yet-unnamed region-wide initiative to reform the system of health care delivery in the bi-state Upper Valley region surrounding Hanover. This action-research project is sponsored by the above-named center and institute as well as the Dartmouth-Hitchcock Medical Center and the ReThink initiative of the Fannie E. Rippel Foundation. Mike helped prepare and deliver a recently completed 8-week online distance learning course entitled ReThinking Health: Leadership Essentials in a Changing System (http://rippelfoundation.org/rethink-health/learning-opportunities/rethinkinghealth/). Module 5: Fostering Stewardship was based on his working paper “Caring for the Health Commons: What It Is and Who’s Responsible For It” (http://php.indiana.edu/~mcginnis/chc.pdf).

Ajay Mehrotra (IU-Law & History) and Isaac Martin (UC-San Diego, Sociology) have been awarded a Social Science Research Council grant to conduct graduate student workshops as part of the SSRC’s Dissertation Proposal Development Fellowship program. They will conduct two workshops during 2013 on the topic of “Public Finance and Society: The New Historical Fiscal Sociology.” Mehrotra has also completed his book project, Making the Modern American Fiscal State: Law, Politics, and the Rise of Progressive Taxation, 1877–1929, which will be published in fall 2013 by Cambridge University Press.

Justin Ross (IU-SPEA) has published several articles examining the relationship between tax administration and the democratic process. His “Property Taxes and Polycentricity” appeared in a special volume of Land Economics published in 2013 by the Upton Forum dedicated to Elinor Ostrom, “Are Community-Nuisance Fiscal Zoning Arrangements Undermined by State Property Tax Reforms? Evidence from Nuclear Power Plants and School Finance Equalization,” and “Fiscal Illusion from Property Reassessment?” was the lead article in the National Tax Journal (2013).

Verlon Stone, IU Liberian Collections (IULC): The IULC completed digitizing the Svend E. Holsoe Collection’s Liberian Government Archives with documents spanning 1828 to 1981. The project received a $5,600 grant from the Cooperative Africana Materials Project and Title VI National Resource Centers for Africa, administered by the Center for Research Libraries in addition to funds provided by the IU African Studies Program. In December 2012, the IULC completed a $100,000 World Bank-funded project through the Liberian National Archives to design, install, and configure a state-of-the-digitization facility to preserve and make Liberian land deed registers dating from 1830 publicly accessible.
Non-IUB Affiliated Faculty

Abwoli Banana (Uganda International Forestry Resources and Institutions Collaborating Research Center): The UFRIC team, together with colleagues from IFRI-Kenya and IFRI-Ethiopia, assisted by Julie England from the Workshop, conducted an 8-week IFRI training course in July and August 2012. Fourteen students from Uganda, Kenya, Ethiopia, and the United States attended the course, which was funded by the International Bureau of the Federal Ministry of Education and Research (BMBF) of Germany under the project: “Forest Landscapes, Institutions and Development in East Africa.” The UFRIC team, together with Carl Salk (Colorado U.), Glenn Wright (U. of Alaska), and colleagues from Poland, pretested the instruments and methodology to be used on an NSF-funded project entitled: “The emergence of adaptive governance arrangements for tropical forest ecosystems” in July and August. Fieldwork for this project will be conducted in Uganda and Bolivia from June to September 2013. Dan Waiswa, together with the UFRIC team, conducted IFRI and PEN household data collection in Kapchorwa IFRI site in December 2012 under the project entitled: “Adaptation of People to Climate Change in East Africa: Forest Ecosystem services, Risk Reduction and Human Well-being” funded by Rockefeller and CIFOR.

Esther Blanco (U of Innsbruck), Maria Claudia López (Michigan State) and Jimmy Walker (IU) launched two new working papers investigating experimentally the role of marginal incentives, asymmetric incentives, and probabilistic resource degradation in common-pool resource settings. The two studies were supported by the project “Scarcity Shocks: Endowment and Marginal Effects” funded by the University of Innsbruck.

Juan-Camilo Cardenas (Universidad de Los Andes, Colombia) has been conducting field experiments on how rice farmers in Colombia address their collective action challenges when facing global changes. He is also training a team of researchers to replicate these experiments in Thailand and Nepal as part of a collaboration in a research project coordinated from Arizona State University by Marty Anderies and Marco Janssen, and in collaboration with Ganesh Shivakoti (AIT Thailand). He is also starting a project with Ruth Meinzen-Dick (IFPRI) to explore how field experiments may have a pedagogical impact in the attitudes and behavior of water resource users who participate in these economic games. These experiments are being conducted in India and Colombia in collaboration with Marco Janssen (ASU), Nathan Rollins (ASU), and FES (India), among others. Juan-Camilo is also working on a large project that involves a random intervention in Mali to implement better sanitation practices to reduce open defecation and is using economic experiments to explore if the levels of cooperation and pro-social behavior may explain the success of the intervention.

Sue Crawford (Creighton) began her first term as a state senator of Nebraska in January 2013. Workshop issues such as water management, federalism, institutional choices, and self-governance abound.

Amy Poteete (Concordia U, Montreal) is nearing the end of 11 months of research in Senegal as part of a project titled “Electoral Competition, Natural Resource Policy, and Political Development in Africa.” The project, which is supported by a grant from the Social Sciences and Humanities Research Council of Canada (SSHRC), investigates interactions between spatial and temporal variation in electoral competition and the sensitivity of government strategies for natural resource management to local conditions.

Filippo Sabetti (McGill) is continuing his fieldwork and data analysis as part of the SSHRC-funded project “Creative Artisanship: The Evolution of Collective Action and Mechanisms of Self-Governance in Italy’s Past.” He and Bruce Haddock (Cardiff, UK) just completed the annotated edition of Vincenzo Cuoco’s classic 1801 work Historical Essay on the Neapolitan Revolution of 1799 which, once published, merits to be read alongside Tocqueville’s The Old Regime and the French Revolution. On May 7, 2013, there was a book launch in Milan of a new collection of essays on the political theory of Carlo Cattaneo. Phil has a chapter in the book appropriately entitled “Cattaneo, Tocqueville, and the Ostrom Workshop.”

Michael Schoon (ASU-Sustainability) is working with Michael Cox (Dartmouth) and Forrest Fleischman (Syracuse) to coordinate the Social-Ecological Systems Meta-Analysis Database project that seeks to scale up theories developed primarily in small-scale CPR situations to large-scale systems. This project has sponsored two workshops (at ASU and Dartmouth) and is in the process of aggressively populating the database to facilitate future quantitative analyses. He is also editing a book with Oonsie Biggs (Stellenbosch) and Maja Schlueter (Stockholm Resilience Centre) on enhancing the resilience of ecosystem services. This includes new theoretical work on polycentricity.

Tommaso Vitale received a grant from the Direction Scientifique de Sciences Po to conduct research on local public policies and self-governance strategies in trajectories of upward social mobility and social integration of Roma migrants in France. We are studying it through ego network analysis techniques. A frame of institutional analysis and development is used to analyze and compare resources and constraints produce by local policies. Intermediate results have been (and will be) discussed with several municipal authorities in France, Italy, and Switzerland, as well as at the European level. On a different subject, a large program of research on the IAD of environmental problems and innovations in fast-growing Asian metropolis has been launched, looking for funding to develop the network and compare governance modes.
Visiting Scholars Program

We shared this year with a number of long- and short-term visiting scholars, who participated in the Workshop’s Y673 seminar, colloquium series, and various working groups.

Long-Term Visitors

DANIEL DECARO (Aug 2010–May 2013), PhD, is a postdoctoral researcher at the Workshop and assistant director for IU’s Interdisciplinary Experimental Laboratory. There, Daniel is working to apply his formal expertise in Applied Social and Cognitive Psychology to institutional policy evaluation, design, and implementation. He is especially interested in the relation between participatory forms of human governance and individuals’ commitment to the goals and rules inherent in such institutional settings.

JAMPEL DELL’ANGELO (2012–13) is enrolled in a double PhD program in International Cooperation and Sustainable Development at Sapienza Università di Roma-CIRPS and in Environmental Sciences at the Universitat Autònoma de Barcelona-ICTA. He holds a MS in Environment and Development at the London School of Economics, a Master II in Energy and Environment Management at Università di Roma La Sapienza, a Graduate Certificate in International Health at Curtin University of Technology, and a BS in Environmental Economics at Università degli Studi di Siena. In his PhD research, Jampel applies, and modifies, the IAD framework to two different case studies: (1) watersheds preservation and resettlement of Tibetan nomads in Qinghai’s rangelands and (2) the decision-making processes of geothermal electric energy power production development and its effects on the water basin of Mount Amiata in central Italy.

IRENE INIESTA-ARANDIA (Sept 24–Dec 23, 2012) is a PhD candidate in Ecology and Environmental Sciences at the Universidad Autónoma de Madrid (UAM). She is a member of the Social-Ecological Systems Laboratory at the Ecology Department of UAM. She holds an MSc in Biology at Lunds Universitet and an MSc in Ecology at UAM. In her PhD research, she focuses in the ecosystem services provided by semi-arid watersheds and the formal and informal institutions behind its management. She uses different methodological approaches with a special emphasis on social network analysis.

TIAGO DA SILVA JACAUÑA (2012–13) is a PhD candidate in Social Sciences at the University of Campinas (UNICAMP, Universidade Estadual de Campinas), Brazil. He holds an MS in Sociology and a BS in Social Sciences at the Federal University of Amazonas (UFAM, Universidade Federal do Amazonas), and a BS in Economics at the Laureate International Universities (UNINORTE, Centro Universitário do Norte). His PhD dissertation is about institutional analysis using network analysis for comparing different institutions (formal and informal) responsible for controlling nature resources at the Brazilian Amazon, specifically at the State of Amazonas. At the Workshop, Tiago plans to build a framework for his thesis that integrates institutional analysis with social network analysis.

JESPER LARSSON (Oct 2010–Oct 2012), Department of Economics, Swedish University of Agricultural Sciences in Uppsala, received a PhD degree in Agrarian History in October 2009. In his research about agricultural systems, he has used theories about the management of common-pool resources. He would like to develop the knowledge of commons and common-pool resources from a historical perspective. One goal is to describe and compare the complex mix of organizations governing common-pool resources in the Nordic countries from 1500 to 1850.

GUOQING LI (Aug 2012–Aug 2013) is the director of the Urban Policy and Urban Culture Research Center, Institute of Urban & Environmental Studies, Chinese Academy of Social Sciences. He received his PhD from Keio University in Japan. He is currently a Fulbright Scholar and working on a project, “System and Practice of Homeowners’ Self-management in United States.” In recent decades, homeownership has become an important aspect of family life for most families, particularly middle-class families, in China. Li plans to examine how American homeowners establish the board of homeowner directors in local communities to implement effective management of their properties.

ANAS MALIK (Spring 2012) is associate professor of political science at Xavier University, Cincinnati, OH. His interests are in political Islam and political economy of development. His book Political Survival in Pakistan (2011) examined leader and challenger strategies and their implications for governance. During
his time at the Workshop, he will work on a project tentatively titled *Polycentricity and Political Islam*. Drawing extensively on cases from Pakistan, this project emphasizes the constitutional level of analysis and political theory grounded in normative tradition. A particular focus will be on the challenges and opportunities presented by informal institutions, networks, and quasi-state actors.

**KEITH TAYLOR (2012–13)** is a PhD candidate at the University of Illinois in the Department of Human and Community Development (PhD expected Fall 2012). Keith’s research emphasis is on the utilization of the cooperative institutional model for community development and democratization. His recent research project has explored the effect wind energy ownership models on local level communities, and how communities might harness such projects for enhancing development outcomes. Keith’s efforts at the Workshop are focused on plying Bloomington School thinking toward the creation of a coordinated research agenda on the US cooperative model.

**YUKUN ZHU (Fall 2012)** is a PhD candidate in Public Finance at Xi’an Jiaotong University in China. His research interest is to evaluate economic and social efficiency of environmental policies and strategies in China and undertake a comparison study with those in post-communist European countries, aiming to pursue the institutional constraints influencing governance of environment and natural resources in China. His research project has explored the effect wind energy ownership models on local level communities, and how communities might harness such projects for enhancing development outcomes. Keith’s efforts at the Workshop are focused on plying Bloomington School thinking toward the creation of a coordinated research agenda on the US cooperative model.

**Short-Term Visitors**

**Barbara Allen**, Department of Political Science, Carleton College, Northfield, MN, Feb. 17–19

**Krister Andersson**, Department of Political Science, University of Colorado, Boulder, June 24–26

**Esther Blanco**, Department of Public Finance, University of Innsbruck, Austria, Apr. 16–27

**Karle Cassell**, executive director, Cedar Rapids Civil Rights Commission, Cedar Rapids, IA, Apr. 9–20


**Rucha and Suresh Ghathe**, SHODH: The Institute for Research and Development, Nagpur, India, May 18–30

**Clark Gibson**, Department of Political Science, University of California, San Diego, May 30–June 2

**Oliver Goodenough**, Vermont Law School, Apr. 5

**Konrad Hagedorn**, Department of Agricultural Economics, Humboldt University, Berlin, Germany, Oct. 11–31

**Marco Janssen**, Center for the Study of Institutional Diversity, Arizona State University, Tempe, Apr. 8–14

**Wai Fung (Danny) Lam**, Department of Politics and Public Administration, University of Hong Kong, Nov. 13

**Gabriela Landolt**, Institute of Social Anthropology, University of Bern, Switzerland, Sept. 23–Oct. 6

**Maria Claudia Lopez**, Department of Rural and Regional Development, Universidad Javeriana, Colombia, Apr. 16–27

**Piotr Magnuszewski and Joanna Stefanska**, International Institute for Applied Systems Analysis Risk, Policy and Vulnerability Programme Laxenburg, Austria, June 24–26

**Francesco Minora**, European Research Institute on Cooperative and Social Enterprises (Euricse), Trento, Italy, Feb. 2–Mar. 1

**Timor Sharan**, Department of Politics, University of Exeter, UK, Oct. 5–Nov. 15

**Thomas Sterner**, Environmental Economics, University of Gothenburg, Sweden, June 3–4

**Andreas Thiel**, Division of Resource Economics, Humboldt University, Berlin, Germany, Feb. 7–Mar. 10

**Theo Toonen**, Government and Public Administration, Delft University of Technology, the Netherlands, May 17–20

**Louis Ventura**, Brazilian Endowment for the Arts, New York, Apr. 6
Colloquium Series

Since 1976, the colloquium series has been an interdisciplinary forum that brings together Workshop faculty, visiting scholars, and students to discuss innovative research relevant to political theory, policy analysis, and applications. It provides a forum for the constructive debate of ideas and approaches, contributing to the understanding of underlying causes and potential solutions to societal issues. The Monday and Wednesday colloquium series at the Workshop continued in 2012, 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. For a complete list of colloquia presentations held in 2012, see Appendix A.

Y673 Seminar & Miniconferences

Each fall semester, for many years, Lin Ostrom taught the “Seminar on Institutional Analysis and Development: Micro” (Y673) for graduate students and visiting scholars at the Workshop. The seminar’s focus is on training in Workshop frameworks, theories, models, and principles. In fall 2012, in Lin’s absence, “Institutional Analysis and Development (Micro)” was taught by Dan Cole and Armando Razo. In spring 2012, Dan Cole taught “A Seminar in Property Theory” (V550). “Lin’s seminar,” as the participants call it, will continue to be taught in the Ostrom Workshop every fall.

As in past semesters, both seminars conclude with a miniconference, whereby students and visiting scholars write papers that are presented and critiqued by Workshop Affiliated Faculty, postdocs, and more senior graduate students. See Appendix B for the miniconference agendas.

In addition, there were other courses taught at the Workshop. We hosted a class from SPEA, “Public Organization and Management” (V671), taught by James Perry. In spring 2012, Burney Fischer taught a course on “Forest Legacy Program Review: Identifying Organization Designs that Ensure Conservation Easement Monitoring and Stewardship” (V600 Capstone/SPEA).

Publications

There were a number of publications produced in 2012 by both our on- and off-campus Workshop affiliates. Our affiliates at IU published 5 books and 39 articles, while our off-campus affiliates published 4 books and 46 articles.

In addition, two forthcoming special journal issues in honor of the Ostroms were announced. The first, a special issue/symposium of Publius entitled “The Federalisms of Elinor and Vincent Ostrom” (to be guest-edited by John Kincaid), will include both theoretical and empirical articles that reflect critically and/or build on the Ostroms’ work in relation to the study of federalism.

For the second issue, the Commission on Environmental, Economic, and Social Policy (CEESP)—Theme on Sustainable Livelihoods (TSL)—of the International Union for Conservation of Nature (IUCN) plans to devote an entire issue of its flagship Policy Matters journal to the outreach and impact of Elinor Ostrom’s groundbreaking research on common-property theory. It will be titled “Elinor Ostrom’s Work on Common Property and the Contribution to the Theory and Practice of Conservation and Sustainable Natural Resource Management” and edited by Jim Robson and colleagues.

To view a complete list of publications, see Appendix C.

Workshop Advisory Council

The Workshop Advisory Council (WAC), formed in 2005, is instrumental in navigating the leadership transitions, external reviews, and providing advice to the Workshop codirectors. Current members of the WAC, along with their term expirations, are:

- **Barbara Allen**, Political Science, Carleton College (2011–14)
- **Juan Camilo Cardenas**, Facultad de Economia, Universidad de Los Andes, Bogota, Colombia (2012–15)
- **Daniel Cole** (chair), Maurer School of Law, IUB (2011–14)
- **Aurelian Craiutu**, Political Science, IUB (2011–14)
- **Salvador Espinosa**, School of Public Affairs, San Diego State University (2011–14)
- **Catherine Tucker**, Anthropology, IUB (2010–13)
Library & DLC

The Ostroms continued to be very generous with the Indiana University community in their passing, leaving their personal papers to the Lilly Library at IU and their personal library to the Workshop Library. Over the summer, the staff of the Workshop Library spent many hours at the Ostroms’ house getting their papers and books organized. Their papers were added to collections already at the Lilly Library of Lin and Vincent’s papers, and those of the Workshop. It was a daunting task as the Ostroms were prolific in their writing, note taking, and correspondence, but with guidance from archivists at Lilly, we managed to get everything organized, boxed up, and sent to them. The Workshop has been employing a graduate student to process the papers over the past two years so that the collection will soon be organized and more accessible to future students and scholars to use. Even though the collection is not fully processed, it is available to scholars to use now. The Lilly Library staff are very accommodating and encourage people who want to use the collections to contact them (http://www.indiana.edu/~liblilly/info.shtml).

The Ostroms also donated their personal library to the Workshop Library, and time was spent inventorying the books so as to not duplicate holdings already in the library. A total of 265 books were added to the library collection, which created a need to reorganize the space usage in the library to make enough room for the new books. A few pieces of furniture from the Ostrom’s house were also added to the library, including filing cabinets and Lin’s desk. See Appendix D for a detailed Library report.

Recognition & Awards

Workshop scholars received a number of awards and recognitions in 2012:

- IU’s Office of the Vice Provost for Research awarded funds to CIPEC/Ostrom Workshop for its project, “Interdisciplinary Research on Governance of Social-Ecological Systems through Advances in Spatial Analysis and Geoinformatics” (Tom Evans, PI)
- Burney Fischer, Jessica Vogt, and Matt Patterson are recipients of a Sustainability Research Development Grant for the 2012–13 academic year for their project, “Developing an Urban Site Index (USI) for Sustainable Urban Tree Planting Programs”
- Burney Fischer, Jessica Vogt, Sarah Mincey, and Shannon Watkins received a National Urban and Community Forestry Challenge Cost-Share grant from the US Forest Service for their project “Trees and People—A Two-Way Street”
- Harini Nagendra, Tom Evans, and Elinor Ostrom received a grant under the Partnerships for Enhanced Engagement in Research (PEER) Program on the “Institutional Dynamics of Adaptation to Climate Change and Urbanization: Analysis of Rain Fed Agricultural-Urban Lake Systems in Bangalore, India”
- Lin Ostrom received an Honorary Doctorate from TERI University, New Delhi, India
- PhD defenses: Gwen Arnold, Forrest Fleischman, Gustavo Garcia-Lopez, Sarah Mincey, and Sergio Villamayor Tomas
- Liberian President Ellen Johnson Sirleaf announced the selection of Amos Sawyer as Chairman of the Panel of Eminent Persons of the African Peer Review Mechanism
- The Workshop Library received a Collaborative Research and Creative Activity Funding award from IU’s Office of the Vice Provost for Research
Tocqueville Fund

Thank you to all of the new and long-time supporters who made a contribution in 2012 to the Tocqueville Fund for the Study of Human Institutions!

We are continuing to explore the idea of active fund-raising for programming and initiatives. Historically, the Workshop’s endowment accounts with the Indiana University Foundation have been quietly receiving donations without a lot of fanfare or effort. The principal donors were, in fact, Elinor and Vincent Ostrom. The Ostrom estate settlement will complete the establishment of the Workshop “endowments” with six separate accounts with the IU Foundation. Most of these accounts are restricted to donations from the Ostrom’s estate, but the Tocqueville Fund is an open account that anyone can donate to.

Gifts to the Tocqueville Fund account will be used to support the study of human institutions as exemplified in the work of Alexis de Tocqueville within the Ostrom Workshop, to enrich instruction, provide aid to deserving students, expand services to graduates, support research, stimulate professional growth of the faculty, and to meet other goals in the study of human institutions. As of December 2012, the fund stands at $3.7 million. To quietly recognize donations, we designed an Ostrom Workshop coffee mug that we are sending on a monthly basis to anyone who donates $100 or more to the Tocqueville Fund. To receive further information regarding making a donation to the Ostrom Workshop, please contact codirector Burney Fischer (bufische@indiana.edu).


In 2010, the Ostrows 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, and can be made online via the “Give Now” button on our website, or by sending a check (payable to IU Foundation) to the Ostrom Workshop.

<table>
<thead>
<tr>
<th>Year</th>
<th>Market value</th>
<th>% growth</th>
</tr>
</thead>
<tbody>
<tr>
<td>2004</td>
<td>$2,443,920</td>
<td></td>
</tr>
<tr>
<td>2005</td>
<td>$2,737,665</td>
<td>12.02%</td>
</tr>
<tr>
<td>2006</td>
<td>$2,967,214</td>
<td>8.38%</td>
</tr>
<tr>
<td>2007</td>
<td>$3,408,272</td>
<td>14.86%</td>
</tr>
<tr>
<td>2008</td>
<td>$2,832,149</td>
<td>–16.90%</td>
</tr>
<tr>
<td>2009</td>
<td>$2,694,984</td>
<td>–4.84%</td>
</tr>
<tr>
<td>2010</td>
<td>$2,024,617.91</td>
<td>–24.87%</td>
</tr>
<tr>
<td>2011</td>
<td>$2,206,157.42</td>
<td>8.97%</td>
</tr>
<tr>
<td>2012</td>
<td>$3,737,839.05</td>
<td>69.43%</td>
</tr>
</tbody>
</table>
Experimental methods

The Ostrom Workshop has an active group of students, visiting scholars, and affiliated faculty currently involved in conducting experiments that focus on the role of institutions in shaping behavior. These experiments range in scope from basic settings related to evaluating levels of trust to voting institutions in common-pool resource settings. This past spring semester the group met weekly with participants (faculty, visiting scholars, and students) from numerous disciplines to discuss and further develop the use of experimental approaches—both in the lab and in the field—as a way of complementing social science research.

Health commons

Managing the health care commons is a mounting challenge for our nation and our world; however, we believe that the Ostrom Workshop tool-kit is uniquely adaptive and qualified to dig deeply and insightfully into this challenge.

“The Fannie E. Rippel Foundation’s support [has made] it possible to explore the application of a totally different set of proven economic theories that could have profound and practical application to health care. . . . The challenge of using well our common shared resources in health and health care is of utmost importance if we are to reach the goal of a healthier population and a sustainable health system” (Indiana Daily Student, 11/18/10, “Rippel Foundation Awards Grant to Ostrom, IU Research Center, to Apply Insights to Health Care”).

“The project will include in-depth studies of four diverse regions: Cedar Rapids, Iowa; Grand Junction, Colorado; and Bloomington and Bedford, Indiana. Each of these communities has differing experiences with collaborative models of governance, many of which have been focused on health. In cases where sustained collaborative management practices have been in place, the result seems to be higher-than-average quality of health care at lower-than-average costs” (ibid.).

“Among the project’s outcomes will be insights into new economic models, as well as surveys, assessments and other measurement instruments that can be used in regions across the country, if these communities can first be understood” (ibid.).

History and philosophy of science reading group

“Science” as it is popularly understood carries with it great weight and authority. When adopting the mantle of “scientist,” an otherwise ordinary researcher is making a claim to that authority; a claim generally respected by the layman and observed by the peer. But what, exactly, is science and why is it so powerful? What assumptions underlie the scientist’s work? And by what criteria can and should scientists measure progress? Too often, practitioners are quick to accept whatever assumptions traditionally undergird their discipline, and that supposes they’ve endeavored to identify those assumptions in the first place. So it goes with scientists’ appreciation of methods and their understanding of progress. As disciplinary lines grow more blurred and cross-field collaborations become the norm, natural and social scientists would do well to articulate their understanding of science and evaluate how their understanding compares with those held by nonscientists and those held by their colleagues down the hall and across campus.

Integrating ecological perspectives with the SES framework

This working group will focus on integrating ecological perspectives with the social-ecological systems (SES) framework developed by Elinor Ostrom. The SES framework underlies an ambitious research agenda that adopts a diagnostic approach to investigate the relationship between a large number of potentially relevant variables and outcomes in the commons. This research agenda further proposes to break down disciplinary boundaries by providing scholars with a shared tool for studies of the commons. While the framework has taken steps from its institutional analysis origin to incorporate insights from ecology, gaps remain that may limit adoption by ecologists. The goal of this group will be to construct a working paper that identifies these gaps and proposes possible changes to the framework. As a starting point, we will look at the models that ecologists and hydrologists use to examine these systems, and the variables that are used to construct these models. Throughout this process we will identify missing variables for inclusion in the SES framework, and seek to determine whether ecological models are compatible with the action situation at the center of the framework.
**Interdisciplinary, multimethod research**

The purpose of this working group is to provide a forum for scholars and researchers from diverse disciplinary backgrounds to share information, explore new methodological skills, and broaden their theoretical knowledge base, in order to improve their research. Participants are encouraged to take a problem-focused approach to scientific inquiry so that they may engage common topics from the perspective of multiple disciplines. This working group is an endeavor in self-organization: participants are encouraged, and expected, to work together to determine the general aims of the group, as well as the most appropriate means for achieving those aims.

**Program in institutional analysis for social-ecological systems (PIASES)**

This working group will focus on further development of the ontological framework originally presented by Elinor Ostrom in her 2007 *PNAS* article. The group will be developing a software platform to record key definitions of nested terms. It will apply the framework to forestry, water, and perhaps fishery resources. One goal of the group will be to participate in crafting a working paper which will be the foundation for a report to a interuniversity group in Europe that is working on the expansion of this framework and as a foundation for an application to NSF in January 2010.

**Radical commons**

This working group will create a forum for dialogue and study of collective commons management situations, as they pertain to social change and activism. Scholars, practitioners, and community members will collaborate to understand and synthesize commons frameworks, including the many theoretical and methodological implements in the Workshop toolkit. This group will seek pragmatic application of commons theory, especially with respect to solidarity economies, horizontal polycentrism, social activism, and community self-organization. Current research and discussion interests include: institutional evolution and decay; the effects of discursive framing on collective ideation, network signaling, and the development of shared strategies; the incidence of Temporary Autonomous Zones and other spatially or temporally dynamic commons; and pedagogical considerations relevant to the accessible translation of commons theory for diverse audiences.

**THE VINCENT AND ELINOR OSTROM WORKSHOP IN POLITICAL THEORY AND POLICY ANALYSIS**

Indiana University, 513 N. Park Avenue, Bloomington, IN 47408

p 812.855.0441 • f 812.855.3151 • www.indiana.edu/∼workshop • workshop@indiana.edu

The mission of The Vincent and Elinor Ostrom Workshop in Political Theory and Policy Analysis is to promote the interdisciplinary study of institutions, incentives, and behavior as they relate to policy-relevant applications. The term “workshop” represents our conviction that the skills for this research are best acquired and used in a setting where students, working as apprentices and journeymen, have the opportunity to collaborate with experienced scholars. As a result, the Ostrom Workshop has a collaborative governance structure in which overlapping components are defined so as to check and balance against the responsibilities and behavior of other components.