



Workshop in Political Theory and Policy Analysis

Indiana University Bloomington

ANNUAL REPORT 2006

A New Science of Politics 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 over 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 forest governance in 13 countries, governance reform in Liberia, water governance in the American West, peacebuilding in Sudan, and topics in many other locations all over the world.

Highlights of Accomplishments

2006 was a very busy and productive time for the Workshop in Political Theory and Policy Analysis. We continued to publish extensively as well as obtain new funds.

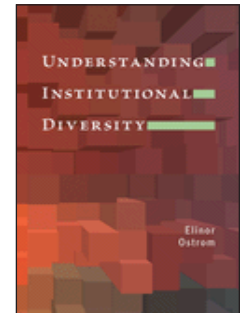
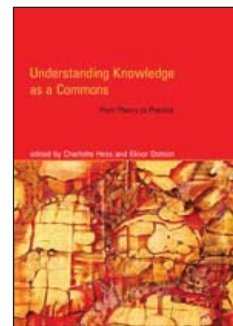
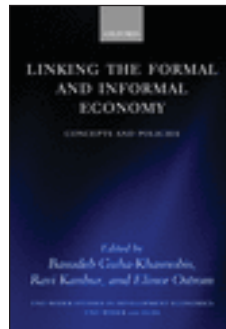
Publications

During the past year, we have had a very vigorous publication program. Two new books edited by Workshop staff have come out during 2006. Both books were the result of conferences that Workshoppers helped organize. The book titled *Linking the Formal and Informal Economy: Concepts and Policies* was released by Oxford University Press in the fall of 2006.

The second publication is the result of a conference held in the spring of 2004 with the support of a grant from the Andrew W. Mellon Foundation. This conference addressed the development of knowledge and research related to the information commons. This book, titled *Understanding Knowledge as a Commons: From Theory to Practice*, was published by MIT Press at the end of 2006 (although it has an official publication date of 2007).

One of the books published in 2005—Elinor Ostrom's *Understanding Institutional Diversity* (Princeton University Press)—received the William Riker Award for the best book in political economy published in 2005. This award, granted by the Political Economy Section of the American Political Science Association, was presented in the fall of 2006.

In addition, we are pleased at the increasing productivity of our network of Affiliated Faculty. Among our affiliates on the IU campuses, six books were published in 2006, and another 10 were accepted for publication. This group also published 40 articles and book chapters, and had another 30 accepted for publication. Our affiliates from organizations outside of IU published two books and had another six accepted for publication. They also had 55 articles and book chapters published and an additional 24 accepted for publication.



One of the big events of this past year was a conference in honor of Vincent Ostrom held in late spring of 2006. That conference resulted in a whole new stream of publications. Two of Vincent Ostrom's core books are being republished. *The Intellectual Crisis in American Public Administration*, published initially by the University of Alabama Press, will be reissued as a third edition in 2007. *The Political Theory of a Compound Republic* will also be republished, potentially by the end of 2007. Two more volumes will compile the papers presented at the conference itself.

Three more volumes are planned. Several Workshop alumni will be co-editing a book on water institutions drawing heavily on Vincent Ostrom's earlier writings related to water in the Western United States. Alumni Barbara Allen is also editing a collection of Vincent Ostrom's papers, most of which have not yet been published. Other Workshop-affiliated scholars continued assembling chapters for a book applying Alexis de Tocqueville's method of analysis to developing countries. The book is tentatively titled *Tocqueville and the Possibility of Freedom: The Global Democratic Revolution in the 21st Century*, and is expected out early in 2008.

Funding

This year, we continued our efforts to obtain external funding. As presented in the financial summary in the final pages of this report, the Workshop is able to fund over half of its annual budget from grants and from endowment accounts established by its founders. The Tocqueville Endowment, which was established in 1984 and supports many Workshop activities, is now over \$3 million. The Workshop has established endowments that will total over \$5 million when commitments are finalized. These provide the stability and flexibility that will allow our work to continue well into the future.

Work on Continuing Grants

Work in the first half of 2006 to archive Vincent Ostrom's career was funded with a grant from the Earhart Foundation. Work continues on a second Earhart grant obtained to fund part of the book discussed above on the application of Tocqueville's philosophy to developing countries.

We completed the activities supported by our first grant from the Mellon Foundation, including a three-year Digital Library of the Commons project, with the publication of the book on the *Knowledge Commons* discussed above. In conjunction with this grant, we also began to expend match money to upgrade the Workshop Seminar Room to allow videoconferencing with our overseas partners.

In January 2006, we commenced work on the Sustainable Agriculture and Natural Resource Management Collaborative Research Support Program (SANREM-CRSP), approved at the end of 2005 for a total of \$1,141,790. Through this project, we are working with partners in Mexico, Kenya, Bolivia, and Uganda as well as the Center for International Forestry Research (CIFOR) and the International Food Policy Research Institute (IFPRI) to study the effects of decentralization policies on forests and livelihoods in each of these countries using the Workshop-based International Forestry Resources and Institutions (IFRI) approach.

We completed work on a grant from the Ford Foundation, also in support of IFRI research.



Survey in a Ugandan forest community

New Funding

In addition to these continuing projects, we continued our strong record of obtaining external grants, bringing the total amount of external grants received by the Workshop to \$13,296,323 since its inception. We received a \$145,000 grant from the MacArthur Foundation to support the transition of IFRI to the University of Michigan. We also received approval for all three of the doctoral dissertation grants that we submitted to the National Science Foundation on behalf of our graduate students (totaling approximately \$36,000). Finally, in cooperation with IU's African Studies Program, we obtained a grant from the West African Research Association for a visit by an affiliated scholar from Nigeria.

We completed a new proposal to the Mellon Foundation for \$389,000 to support the Digital Library of the Commons and its new image database (which has since been approved for funding). We also resubmitted our application to the National Endowment for the Humanities (first submitted in 2005) for matching money for the Tocqueville Endowment, and are hopeful that this will be approved this time around. Contributions generated through the NEH grant, if it is awarded, will be used to fund our graduate students, visiting scholars, and our library.

Affiliated faculty

The Workshop has a very active group of affiliated faculty. We currently have 28 affiliates within the IU system, and another 25 at institutions outside of IU. Our IU affiliated faculty meet once yearly to discuss Workshop accomplishments and future directions.

Visiting scholars program

During the past year, we hosted a large number of visiting scholars. During 2006, we had 12 long-term visitors and 32 short-term visitors. These visitors came from 12 countries and spanned a wide range of disciplines, including economics, ecology, law, sociology, and political science. Our vigorous visiting scholars program enables us to share our research and ideas with colleagues all over the world, and exposes us to a wide range of other ideas.

Colloquium series

During 2006, the Workshop held the 800th colloquium in its long-running Colloquium Series. The schedule included 31 colloquia, including presentations by Nobel Laureate Professor Amartya Sen and Professor Robert Keohane. Colloquium topics included governance of groundwater, the impact of rules on women, and the role of customary law in sustainable development.

Conferences and meetings

- One of our largest events this year was the conference held in May/June to honor the career of Vincent Ostrom, titled “Vincent Ostrom: The Quest to Understand Human Affairs.” Seventy-seven colleagues and friends attended, including participants from 11 countries and 23 U.S. states.
- Related to our work in Africa, we hosted two events. The first was a knowledge-sharing session for individuals at IU working in Africa, and was attended by 20 people. We also hosted a conference at the end of March, attended by 18 people, titled “Designing Constitutional Arrangements for Democratic Governance in Africa: Challenges and Possibilities.”
- In addition, we hosted a conference for the United Nations Environment Program in cooperation with the Center for the Study of Institutions, Population, and Environmental Change (CIPEC) and the Anthropological Center for Training and Research on Global Environmental Change (ACT). Ten individuals participated.
- The larger, multi-campus Robustness Group (the counterpart to the Workshop working group mentioned below) met in October to discuss potential joint projects related to robustness in social-ecological systems. Sixteen members of the group participated.
- Workshop scholars also helped organize and participated in the fourth biennial meeting of the IFRI network in Indonesia in June, held at the facilities of the Center for International Forestry Research. More than 20 members of the 13-country IFRI network participated.
- Finally, we hosted our two annual mini-conferences, where scholars and students presented papers on numerous topics for comment and discussion.

Consortium for self-governance in Africa

The Workshop continued its collaboration with African colleagues through the Consortium for Self-Governance in Africa (CSGA). During the year, activities undertaken included the following:

- Amos Sawyer, professor and former president of Liberia, participated in the Africa Forum, a network of former distinguished African leaders who, after leaving office, continue to contribute to Africa’s development.
- Shittu Akinola of Obafemi Awolowo University in Nigeria spent two months at the Workshop to advance his research on community-based organizations of southwestern Nigeria.
- Amos Sawyer and Charlotte Hess consulted with colleagues of the Social Enterprise Development Foundation on its collaboration with Ghanaian civil society organizations in monitoring Ghana’s performance on the Heavily Indebted Poor Country Initiative.
- At Mande Bukari University in Mali, colleague Cheibane Coulibaly completed a manuscript on indigenous knowledge and development in the western Sudan.
- Professor Abebayo Adedeji, Executive Director of the African Centre for Development and Strategic Studies, continues to publish the African Monitor, an annual survey of governance challenges in Africa. Adedeji also chaired the governance performance review of South Africa undertaken by the African Peer Review Mechanism.
- The director of the newly revived Institute of Research at partner University of Liberia visited the Workshop for discussions about collaboration opportunities and gave a colloquium.
- Professor Alex Gboyega, University of Ibadan, Nigeria, helped prepare Nigeria’s Country Assessment Report under the African Peer Review Mechanism. This document will be key in setting the agenda for the new administration, to take office in May 2007.

Research library and digital library of the commons

The activity level in the Workshop’s library continues to grow. The number of unique visitors to the Digital Library of the Commons (DLC) rose to nearly 134,000—up from under 7,000 in 2003 and 70,000 in 2004. Visitors were from 108 different countries, with the most frequent hits coming from the United States and Canada, followed by India, South Korea, Great Britain, China, Taiwan, and Indonesia. The Workshop library also hired a consultant to facilitate the establishment of a digital archive to be managed by partners in East Africa.

This year also saw the initiation of the DLC Image Database, which will archive images related to the commons and commons management. The prototype version of the database, located at <http://dlc.dlib.indiana.edu:8080/DLCImage/index.jsp>, contains nearly 600 images.

Priority Goals & Initiatives for 2006–07

Improving outreach and policy impact

The Workshop prides itself on its ability to join research and theory with policy and practice. This year, we decided to explicitly focus on learning how to better tie these two spheres of interest together. Target activities include the Workshop's work in Liberia, described in more detail below, and the IFRI research network. We will submit a proposal for continued funding for IFRI to the Ford Foundation, and are working with them to incorporate more outreach into IFRI's work, particularly on the regional and international level. Possible initiatives include increased participation by IFRI network members in international forestry policy discussions and financing for regional trainings to increase the impact of our partners in their respective regions within Asia, Africa, and Latin America.



Meeting at University of Liberia, December 2006.
L-R: Dean Reeves, Jeanette Carter, Al-Hassan Conteh,
Charlotte Hess, and Amos Sawyer

groups that have been independently engaged in various aspects of governance reform in Liberia. The incorporation of the activities of these organizations within the elected government's reform agenda proved to be a substantial challenge during the year, and will continue to be.

Network for institutional analysis and development

We plan to continue focusing on the idea of a network of centers of institutional analysis and development that we proposed and began building last year. In addition to partners in Romania, China, Mali, Thailand, and Germany mentioned in last year's report, we also now have a sister center, the Center for the Study of Institutional Diversity, at Arizona State University.

The purpose of the network is to encourage our partners to exchange materials to share lessons and solutions to challenges that may be unique to research centers in developing countries, as well as promoting exchange generally between all partners. Furthermore, the network will function as institutional infrastructure for new global research and teaching projects.

To facilitate our ability to interact with our long-distance partners, the Workshop has begun to upgrade its seminar room to allow for videoconferencing. The bulk of the work—to include video and sound equipment and improved heating and air conditioning—is expected to take place in the first half of 2007. In the interim, Workshop founders Lin and Vincent Ostrom will be visiting several of the members of the network during a trip in Spring 2007 that will include Germany, Romania, Norway, Sweden, Slovakia, and China.

Governance reform in Liberia

The Workshop continues to support Amos Sawyer's work on governance reform in Liberia in his capacity as the Chair of the Governance Reform Commission. During the year, the major challenges of the commission was, first, to draft policies and strategic frameworks for increasing public integrity and national security sector reform and, second, to assess the effectiveness of public sector offices. The commission also began collaborating with Workshop affiliates to establish or build on systems of democratic local governance and to address land reform issues. Discussions were underway by year's end to have the IFPRI and the University of Liberia collaborate on a rapid assessment study of land tenure patterns in Liberia.

A further challenge faced by the Governance Reform Commission is to coordinate the activities of the national and international

Top Programmatic Challenges & Opportunities for the Coming Year

Funding for activities related to governance reform in Liberia

Funding for our activities in Liberia remains a top challenge for us in the coming year. Proposals to the Bradley Foundation, the Rockefeller Brothers Foundation, and other attempts to obtain funding to support these activities over the past year were not successful, and we have been exploring other avenues. Amos Sawyer has been working closely with contacts at the USAID and with IFPRI to obtain funding for a joint project on land reform. In the coming year, in addition to this initiative through USAID, we will explore opportunities with the Gates Foundation and others.

Generating matching funds for the Tocqueville Endowment

After receiving encouraging feedback from contacts at the National Endowment for the Humanities, we resubmitted our proposal (originally submitted in November 2005) to their Challenge Grant program to try to build the Tocqueville Endowment. To date, we have collected \$268,968 in support of this program. In total, we aim to raise \$1 million for the Tocqueville Endowment, and will receive \$250,000 from NEH as match if the application is successful.

Coordination of research activities

Our challenges likewise continue with respect to coordination of our research activities. In particular, coordinating our grant through the SANREM-CRSP program at USAID remains a particular challenge. As a project involving eight partners in numerous domestic and overseas locations, we expect this challenge to continue throughout the four-year grant. At present, we are working with partners to address reporting and communication issues between the various actors involved in the grant. Despite these issues, however, the project continues to be a valuable collaboration.

Thank you to our wonderful supporters!

Building the Tocqueville Endowment is one of our priorities in order to ensure the future of the Workshop. We would like to extend a special thank you to the following people, whose contributions over the last two years have been so crucial in accomplishing this goal. If you donated during the last two years and were not contacted by someone at the Workshop to get permission to list your name, please let us know. Your donation may either not be recorded properly at the IU Foundation, or we may not have a current email address. Any corrections or questions should be sent to jacmbaue@indiana.edu. Again, thank you!

2006 Donors

<i>\$20 - \$100</i>	<i>\$101 - \$300</i>	<i>\$501 - \$1,000</i>
Anonymous	Anonymous	Anonymous
Robert Bish	Brenda Bushouse & Charlie Schweik	Spencer (Tai-Shuenn) Yang
Roy Gardner	Barbara & Burney Fischer	
Vernon Greene	Tun Myint	<i>\$50,000 - \$100,000</i>
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Ronald Oakerson	James Walker	Elinor & Vincent Ostrom
David & Linda Porter		
Amy Poteete	<i>\$301 - \$500</i>	
Eric Rasmusen	Jane & Jay Jorgensen	
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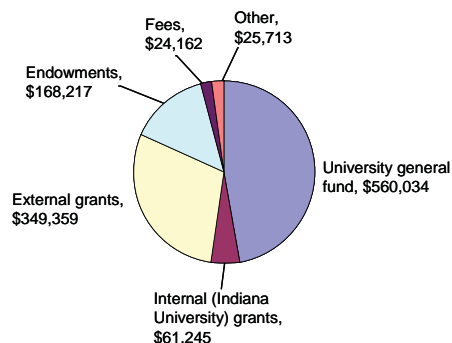
2005 Donors

<i>\$20 - \$100</i>	<i>\$101 - 300</i>	<i>\$10,000 - \$20,000</i>
William Blomquist	Erik Droutman & Tracy Yandle	Marilyn Hoskins
David & Sue Crawford	James Walker	
Louise Fortmann & Emery Roe		<i>\$50,000 - \$100,000</i>
Tun Myint	<i>\$501 - \$1,000</i>	Elinor & Vincent Ostrom
Susan Raines	Anonymous	
Thomas Stewart	Phillip Gregg	
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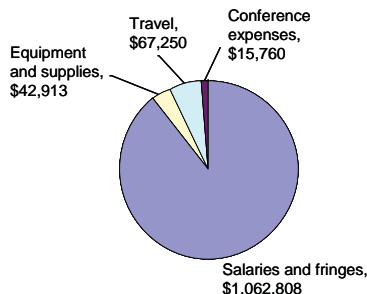
Financial summary

The Workshop is able to generate more than half of its yearly budget from sources outside of IU. With its 2006 funds, the Workshop supported 14 graduate students, 14 faculty and staff, and 4 research associates.

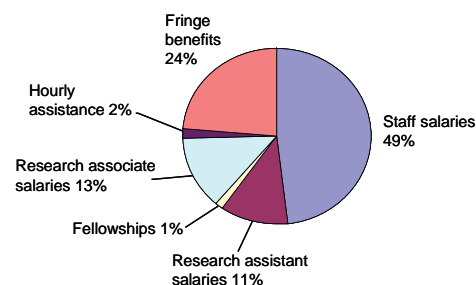
Funding Source Summary for 2006
Total: \$1,188,731



Expenditure Summary for 2006
Total: \$1,188,731



Salary Detail for 2006



Funding Source Summary for 2006	
University general fund	\$560,034
Internal (IU) grants	\$61,245
External grants	\$349,359
Endowments	\$168,217
Fees	\$24,162
Other	\$25,713
TOTAL	\$1,188,731

Expenditure Summary for 2006	
Staff salaries	\$512,042
Research assistant salaries	\$121,750
Fellowships	\$15,000
Research associate salaries	\$141,367
Hourly assistance	\$22,309
Fringe benefits	\$250,340
SALARIES & FRINGES	\$1,062,808
Equipment & supplies	\$42,913
Travel	\$67,250
Conference expenses	\$15,760
TOTAL	\$1,188,731

Executive committee

Elinor Ostrom, co-director
Amos Sawyer, co-director
Vincent Ostrom, founding director
Jacqui Bauer, assistant director
Charlotte Hess, director of library & information services

Staff

Carol Buszkiewicz, administrative assistant/fiscal officer
Ray Eliason, information technology director
Gayle Higgins, program coordinator/event scheduler
Patty Lezotte, administrative assistant/publications director
David Price, secretary/receptionist
Nicole Todd, administrative secretary/IFRI secretary

Advisory council

Member name & term expiration

William Bianco, Political Science, IUB (fall 2009)
William Blomquist, Political Science, IUPUI (fall 2007)
Michael McGinnis, Political Science, IUB (fall 2009)
Roger Parks, SPEA, IUB (fall 2008)
Jeffrey Stake, School of Law, IUB (fall 2008)
James Walker, Economics, IUB—Chair (fall 2007)

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