

# 2007 Annual Report



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## A New Science of Governance for a New Age



### Workshop in Political Theory and Policy Analysis

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, peacebuilding in Sudan, and related topics in many other locations all over the world.

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## Highlights of Accomplishments for 2007

This is a period of transition at the Workshop. The 2007 calendar year saw the Workshop take several steps toward the future, while at the same time maintaining much of our basic focus and character. The Advisory Council continues to mature, and its role in Workshop leadership has increased. The council has agreed tentatively on a rotating leadership plan, whereby members of the council will take turns as co-directors every two to four years. With the adoption of this plan, Elinor Ostrom has announced her intention to step down as co-director in July 2009. Those who know Lin, however, know that she is far from retiring, and that stepping down from her administrative position will just give her more time for research and involvement with the Workshop's intellectual activities.

Parallel to the proposed "team" approach to leadership, the council has developed a plan to formalize the Workshop as an umbrella organization encompassing a wide range of research interests. This restructuring would identify several sub-units, all of which complement and interact with each

other. The proposed sub-units include: (1) natural resources, common-pool resources, and sustainability; (2) democracy, governance institutions, and sustainability; (3) the Workshop Library (including the Digital Library of the Commons); and (4) the Interdisciplinary Experimental Laboratory. With the exception of the IE Lab (which was founded by several Workshop affiliates including Tom Evans and Co-Directors Jimmy Walker and Lin Ostrom), each of these sub-units is already part of the Workshop, and the new structure will just formalize the relationship. We expect that this new structure will give the Workshop the flexibility and focus it needs to carry its work on into the future.

Another program in transition is the International Forestry Resources and Institutions (IFRI) program. Founded and housed at the Workshop since 1993, IFRI is now being transitioned to the University of Michigan at Ann Arbor, where it will be led by Arun Agrawal. This network of a dozen countries studies the effects of policies on forests and livelihoods over time

and space, and has produced a huge body of data. The database and central leadership will move to Ann Arbor, but the Workshop will remain a collaborating research center, conducting over-time studies in its own sites, and will conduct the IFRI training course every other year. Burney Fischer has joined Lin Ostrom as co-director of the Indiana program.

Finally, in an effort to solidify the Workshop's global role and increase our ability to work with colleagues worldwide, we are proud to announce that our seminar room is now a fully functional videoconferencing facility. We look forward to increased opportunities to work with our partners everywhere.

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## Core Research Activities

In keeping with the organizational structure outlined above, we have numerous activities in both intellectual areas. We have entered Year 3 (out of four) of a grant from the U.S. Agency for International Development's Sustainable Agriculture and Natural Resource Management (SANREM) program to study the effects of forest decentralization policies on forest sustainability and livelihoods in Kenya, Mexico, Bolivia, and Uganda. This ambitious project draws on both the Workshop's International Forestry Resources and Institutions (IFRI) program and the Poverty and Environment Network of the Center for International Forestry, collecting data at the household, community, and national level.

Work to link social and ecological factors to institutional success continues through the very active Sustainability of Social-Ecological Systems Working Group, which met two to three times a month for much of the previous year. This large group of visiting scholars, graduate students, and affiliated faculty has been struggling to find clearer ways to think about the many factors that interact

in complex systems, and to use these new approaches to better understand why some social-ecological systems are sustained while others are not.

On the democratization side, Workshop affiliated faculty member William Bianco (IU), along with Christopher Kam (University of British Columbia), Itai Sened (Washington University–St. Louis), and Regina Smyth (IU), continued work on a grant from the National Science Foundation for a research project titled “System and Party Influence on Legislatures Outcomes.” The

grant is for \$180,000 and will run for 18 months.

Complementing and contributing to the work in both of the above intellectual areas is the Workshop’s use of experimental research. Over the past 30 years, laboratory experiments in the social sciences have become central to exploring linkages between alternative theoretical constructs and institutions. The experimental environment allows for explicit manipulation and control over treatment conditions motivated by theory and observed behavior, and a

“test-bed” for examining behavioral conjectures drawn from outcomes observed in the field. The Workshop has been utilizing experimental findings for many years through its participation in operating the Interdisciplinary Experimental Laboratory on the IU campus. Furthermore, Workshop graduate students have written successful proposals to NSF to fund experimental work in recent years, and experimental elements are increasingly being included in larger proposals, like the Cyber-Enabled Development and Innovation proposal that will be resubmitted in 2009.

## Governance Reform in Liberia

Workshop research associate Amos Sawyer continues as Chairman of Liberia’s Governance Reform Commission (now the Governance Commission), a position he accepted soon after President Sirleaf took office in 2006. Since that time, Amos’s time has been split between Bloomington and Monrovia as he works with innumerable actors to tackle a number of governance reform initiatives. This last year saw a focus on security reform and land reform; decentralization reforms and constitutional reforms are also in progress. Because of Amos’s important work and the university’s important ties to Liberia, IU was able to arrange a visit from President Sirleaf and to award her an honorary Doctor of Laws, awarded at graduation in May of 2008.



Amos Sawyer and Ellen Johnson Sirleaf  
(photo courtesy of Indiana University)

## Working Groups

The Workshop continues to have a number of active working groups. Some of the most active groups are described below.

### *Sustainability of Social-Ecological Systems*

This working group consists of several faculty members, visiting scholars, and Ph.D. students who are doing studies of social-ecological systems over time. The group is working to review the common literature that is growing out of the ecological literature on resilience and the engineering literature on robustness to assess their relevance for studying water, forestry, and other kinds of resource institutions over time. The group will be working on a theoretical paper that then can be drawn on in a variety of future studies.

### *Development*

The Development Working Group is an interdisciplinary group of scholars interested in governance and institutions in the developing world. In past years, this working group has served as a forum for scholars to present research in progress, and more generally as an outlet for sharing experiences and approaches to understanding how people and groups organize, make decisions, and solve the problems and issues they face in daily life. This year the group held regular colloquia, with speakers on topics ranging from rural reforms in Mexico to Ugandan forest decentralization.

### *Experimental Readings*

The 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.

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## Trainings

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### *Special training for students from Sungkyunkwan University, South Korea*

Between January 8 and 31, 2007, the Workshop conducted training in the Institutional Analysis and Development (IAD) framework for six students from Sungkyunkwan University (SKKU) in Seoul, Korea. Professor Myung-suk Lee of SKKU selected one master's student and five doctoral students from SKKU to participate in the training in Bloomington. The SKKU students attended two sessions per week during their training period, including regular attendance at the Y673 seminar, which focused on Institutional Entrepreneurship and Changing Orders. 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.



### *Ph.D. school in Germany*



The Institute of Forestry Economics of the Albert Ludwigs University and the Walter Eucken Institute-Freiburg organized an interdisciplinary Ph.D. school with Elinor Ostrom in April 2007 in Freiburg, Germany. The title of the seminar was “The Challenge of Self-Governance in Complex, Globalizing Economies: Responding to Walter Eucken’s Challenge.”

Participants included 15 Ph.D. students from Germany, England, France, Sweden, and the United States. Considering Eucken’s claim in the Great Antinomy and following the Workshop’s tradition, the group of students was truly interdisciplinary (economics, forestry, political science, social anthropology, geography) and applied a multiplicity of methods (agent-based modelling, field experiments, anthropological approaches, etc.).

### *International Forestry Resources and Institutions training program*

As part of the transition of the IFRI program to the University of Michigan, the Workshop will host the IFRI training program every other fall, with an “advanced” IFRI seminar taking place in off-years. In the fall of 2007, a group of graduate students and visiting scholars from Colombia, Spain, India, Nepal, Mexico, Costa Rica, and elsewhere visited a new study site in southern Indiana. Unlike the other Indiana sites, the new site contains a community living near a state forest, and is expected to provide insight into how public and private priorities interact. Previous sites have involved private but commonly owned property instead of public property.

## Colloquium Series and Mini-Conferences

The Workshop’s long-running colloquium series continued in 2007 with 31 Monday colloquia. Speakers in the regular series included Viktor Vanberg of the University of Freiburg and the Walter Eucken Institute, Margaret Polski of George Mason University, and visiting scholar Gustavo Gordillo, formerly of the Food and Agriculture Organization (FAO) of the United Nations. Topics included urban forests as common-pool resources, climate change, and international finance.

Included in this series was a special series on the “new commons,” with talks on topics such as open-source publishing and literature and international law.

The Workshop also supported a colloquium series sponsored by the Middle East Conflict and Reform Group during the 2007–08 academic year. This series focused specifically on the Israeli-Palestinian conflict. See Appendix A for a list of all colloquia for 2007.

We also hosted our 45th and 46th mini-conferences, where scholars and students presented papers on numerous topics for comment and discussion. See Appendix B for the mini-conference agendas.

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## Publications

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The past year was, as always, a busy year for our publications program (see Appendix C). Our IU faculty affiliates produced 3 books, had 11 more accepted for publication, and produced 49 articles or book chapters. We are also very pleased to report a productive year for our non-IU affiliates, who produced 7 books, had another 5 accepted for publication, and produced 45 articles or book chapters.

Publications in 2007 included a special feature issue of the *Proceedings of the National Academy of Sciences* titled “Going Beyond Panaceas.” This issue examined the overreliance on panacea thinking in policies related to forests, lakes, fisheries, and other complex social-ecological systems.

In addition, two of Vincent Ostrom’s seminal works, *The Intellectual Crisis in American Public Administration* and *The Political Theory of a Compound Republic*, were accepted for publication in their 3rd editions, bringing the ideas of the Workshop to a whole new generation of political scientists and policymakers.

The Workshop also hosted three manuscript review sessions (or “book parties”) this year: (1) *Crafting the Alaska Constitutional Convention*, by Tom Stewart\*; (2) *Reciprocity in Crisis: The Politics of Globalization, Social Welfare and Citizenship in Africa*, by Lauren Morris MacLean; and (3) *Complex Patterns of Governance: Rural Development and Resource Management in the European Union*, by Bill Blomquist, Markus Hanisch, and Mike McGinnis. A draft of the manuscript will be completed in the spring of 2008. Agendas from all three manuscript review sessions are in Appendix D.

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\*Judge Thomas Stewart, a long-time affiliate and friend of the Workshop, sadly passed away in December 2007. Plans for the book are being determined.

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## Visiting Scholar Program

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One of the most vital examples of the Workshop’s many programs is its Visiting Scholar Program. This year was one of our busiest years yet, with 18 long-term scholars and 37 short-term scholars, many of whom located their own funding to support their stay at the Workshop. This year’s visitors came from 22 countries—including China, Costa Rica, Norway, Italy, Colombia, Spain, Mexico, Uganda—and from a wide range of disciplines, including political science, economics, sociology, informatics, and limnology. A list of short- and long-term visitors is in Appendix E.

These visitors add extraordinary vigor and insight to the Workshop community. Discussing Workshop theories and ideas in new settings helps shape and strengthen those theories, and help us remember the ingenuities of people in even the most disadvantaged places. At the same time, insights gained by visitors to the Workshop can be taken home and shared with others. Below, we introduce you to two of the long-term visitors who have been working with us this year.

### *Maria Claudia Lopez Perez*

Research in Colombia, where conflict between government forces and insurgent guerrilla groups affects much of the countryside, can be a harrowing experience that most of us wouldn’t think of undertaking. Yet the dangerous hinterlands of Colombia are exactly where Maria Claudia Lopez Perez has spent long periods of time over the last decade.

Dr. Lopez conducted her dissertation field research along the Pacific coast of the country, utilizing a unique combination of participatory workshops and economic experiments to better understand the internal and external institutions of fishers and mollusk harvesters in that area. Her work was enabled by a formal partnership between the Department of Resource Economics at the University of Massachusetts, Amherst, where she completed her Ph.D, and the School of Environmental and Rural Studies at Universidad Javeriana in Colombia, where she completed her master’s degree.

Dr. Lopez came to the Workshop in the fall of 2007 for a year of study, and participated in the IFRI training program and a multitude of other Workshop and local cultural activities. We are fortunate to be able to extend her stay for one additional year.

### *Hongshan Yang*

Hongshan Yang is inquisitive. This is evident from the first time you meet him. Sitting down for the first time for a discussion with Lin Ostrom about his plans for his one-year visit to the Workshop, Dr. Yang produced a map of Indiana and proceeded to ask about the details of local governance arrangements in the state. Confronted with language challenges, he immediately began attending English conversation classes at the public library along with his student Jianguo Chen, also visiting the Workshop for the year. Here was a visitor who meant to get everything he could out of his time in Bloomington.

Dr. Yang is an Associate Professor in the School of Public Administration and the vice director of the Workshop in Institutional Analysis and Public Policy (a Workshop sister center) at Renmin University in Beijing, China, where he studies the challenges of building good local governance systems in urban settings. He will return to China in May 2008.

## Funding

The Workshop relies on a three-pronged approach to funding: the Workshop's endowments, external grants, and university funds. On average, university funds make up roughly half of the Workshop's \$1.2 million annual budget. These varied sources of funding enable the Workshop to engage in a wide range of activities, and to sustain its research interests over time. Table 1 outlines sources and uses of funding during 2007.

Table 1. Workshop Funding Overview, Calendar Year 2007

USES/NEEDS	SOURCES						TOTAL
	IU General Fund	Internal grants	External grants	Endowments	Fees	Other	
<b>Salaries &amp; Fringes</b>							
Staff	\$335,029		\$107,615	\$117,087		\$9,986	\$569,717
Research Assistants		\$47,749	\$28,742	\$7,000			\$83,491
Research Associates			\$6,600	\$42,682			\$49,282
Fringes	\$122,150	\$1,242	\$33,681	\$60,271			\$217,344
<b>Subtotal Salaries &amp; Fringes</b>	<b>\$457,179</b>	<b>\$48,991</b>	<b>\$176,638</b>	<b>\$227,040</b>	—	<b>\$9,986</b>	<b>\$919,834</b>
Visiting Scholars		\$11,725		\$107,228			\$118,953
Supplies & Equipment	\$35,613	\$5,831	\$1,346			\$108	\$42,898
Travel/Colloquiums/ Seminars	\$2,120	\$2,170	\$14,642	\$6,948	\$6,321	\$2,503	\$34,704
Grad Student Fieldwork/ Research			\$29,880				\$29,880
Teleconferencing equipment				\$2,991		\$21,164	\$24,155
Seminar Room Construction				\$13,523			\$13,523
<b>Total Uses of Funds</b>	<b>\$494,912</b>	<b>\$68,717</b>	<b>\$222,506</b>	<b>\$357,730</b>	<b>\$6,321</b>	<b>\$33,761</b>	<b>\$1,183,947</b>
<b>% of Total Uses</b>	<b>42%</b>	<b>6%</b>	<b>19%</b>	<b>30%</b>	<b>1%</b>	<b>3%</b>	<b>100%</b>

## Workshop Library and the Digital Library of the Commons

The Workshop Library received a second grant from the Mellon Foundation for continued support to the Digital Library of the Commons (DLC). The number of unique visitors to the DLC jumped significantly to 180,890 in 2007, from 133,691 in 2006. A total of 819 papers were posted to the DLC in 2007 by 15 individuals or institutions.

Sixty-nine papers and eight dissertations were scanned and mounted on the DLC. The DLC staff got permissions from 186 authors and entered 467 items into the digital library; 50 were papers from the project on Collective Action and Property Rights (CAPRI). There are currently 2,057 full-text items on the DLC. A full report on the library is in Appendix F.

## New Funding Applications

During 2007, the Workshop submitted five proposals to external funding sources, and has several others in process.

- Workshop Library Director Charlotte Hess submitted a proposal to the Mellon Foundation to expand our digital library of information about shared natural and societal resources known to public policymakers as “the commons.” This proposal was approved in the amount of \$425,000.
- Proposal submitted to the Challenge Grant program of the National Endowment for the Humanities to build the Tocqueville Endowment that is so key in supporting Workshop programs. Unfortunately, this proposal was not successful. Since this was our second attempt to obtain funding under this program, we decided not to resubmit.
- Eric Coleman, a graduate student supported by the Workshop, applied to and received funding from the National Science Foundation in support of his dissertation research. This is the fourth successful dissertation support grant out of four applications submitted by Workshop graduate students in the last two years, a record we are very proud of.
- Nomination submitted to the American Council of Learned Societies for a grant that would support a visiting scholar from China for the 2008-09 academic year. This grant has been approved.

- Two initial applications to the Christensen Fund to support research on management of common-pool resources: fisheries in Mexico and irrigation systems in the American Southwest. A full proposal has been requested for the work on fisheries in Mexico.

The DLC also received a small grant from Microsoft for research on the “new commons.”

In addition to these submitted applications, we also have proposals in development for submittal to the Tinker Foundation, NSF, and others.

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## Workshop Advisory Council and Affiliated Faculty

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The Workshop Advisory Council, formed in May of 2005, entered its third year. Members and terms are as follows:

<i>Member name</i>	<i>Term expiration</i>
Matt Auer, SPEA, IUB	Fall 2010
Roger Parks, SPEA, IUB	Fall 2008
Jeff Stake, School of Law, IUB	Fall 2008
Burnell Fischer, SPEA, IUB	Fall 2010
Bill Bianco, Political Science, IUB	Fall 2009
Mike McGinnis, Political Science, IUB; Chair	Fall 2009

Reserve members (currently not serving, but will rotate on in future years):

Bill Blomquist, Political Science, IUPUI  
James Walker, Economics, IUB (currently serving as co-director)

Members serve staggered 3-year terms, with reserve members rotating on to replace members stepping down. Meetings are held at least once each in the fall and spring semesters; new members are identified by current members or by the directors of the Workshop.

In addition to our Advisory Council, we are fortunate to have a very active group of affiliated faculty, both within the IU system and beyond. 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 research and their own accomplishments and future directions.

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## Brief Summary of Priority Goals and Challenges for Fiscal Year 2008–2009

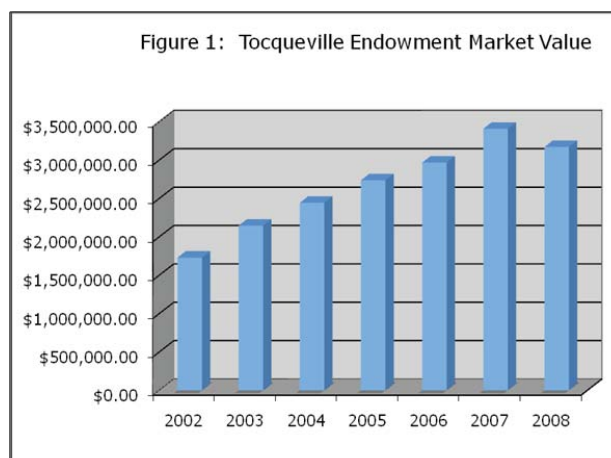
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### Securing and Maintaining Financial Support

Because of our three-pronged funding strategy, we have to be very active in maintaining a balanced approach to all of our funding sources. In 2008, we will be exploring numerous outside funding opportunities, including submitting grant proposals to fund experimental research, field research on forest institutions, research on water institutions in the American Southwest, a conference on sustainable democracy, and a number of other projects that are in development.

We will continue to work with the university to secure future Workshop funding and identify opportunities for efficiency and collaboration with other university units.

Finally, we will continue to seek opportunities to build our endowments, including through continued work with the IU Foundation, where we have developed connections with staff who work with prospective donors. Figure 1 shows the growth of our largest endowment, the Tocqueville Endowment for the Study of Human Institutions, since 2002.



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### Continuing the Leadership Transition

We made great strides in 2007 in planning for the future leadership of the Workshop. In 2008, we will continue to develop the formalized organizational structure discussed earlier in this report, and to work with the university and our affiliates to explore additional ideas. We draw increasingly on the input of our Advisory Council, and will work with its members in 2008 to plan the Workshop's future direction, in particular focusing on the fourth Workshop on the Workshop conference in June of 2009 as an opportunity to articulate our vision.

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# Maintaining Networks and Collaborations Worldwide

The Workshop has active relationships with a number of scholars and similar centers around the world, and intends to build on and strengthen these relationships. We have several ongoing collaborations with our newly created sister center at Arizona State University—the Center for the Study of Institutional Diversity. In 2007, Lin and Vincent Ostrom spent a month at this center to help it get established, and Lin is serving as the center's Founding Director. The Ostroms also spent several weeks in the spring and early summer visiting colleagues in China and Germany. Colleagues in Romania have likewise established a center based on the Workshop model, and colleagues in Thailand, Mali, and many other countries continue to collaborate closely with the Workshop. Our newly installed videoconferencing equipment enables us to work more effectively with overseas partners. In 2008, we hope to further develop these ties.

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## Appendices

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Appendix A: Colloquia and Lectures

Appendix B: Mini-Conference Agendas

Appendix C: Publications

Appendix D: Manuscript Review Session Agendas

Appendix E: Visiting Scholars

Appendix F: Workshop Library Report

Appendix G: Information Technology Report

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*For information about ways to make a gift to the  
Workshop in Political Theory and Policy Analysis, please contact:*

**WORKSHOP IN POLITICAL THEORY AND POLICY ANALYSIS**  
Indiana University, 513 N. Park Avenue, Bloomington, IN 47408-3895

phone: 812.855.0441 • fax: 812.855.3151  
workshop@indiana.edu • <http://www.indiana.edu/~workshop>