

POLS Y673 – Spring 2015

Institutions and the Governance of Natural Resources

Spring Semester 2015
Thursdays, 4:45-6:45 p.m.
Workshop 1, Room 102

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Course Overview

This seminar will address the roles that institutional arrangements, and especially the interactions among institutions, play in human efforts to govern and manage natural resources sustainably. A particular focus of the seminar in Spring 2015 will be on polycentricity. We will explore, converse, and write about the concept of polycentricity and how it has been defined, operationalized, and observed in natural resource governance situations. Polycentric institutional arrangements have been a core concern of the Ostrom Workshop since its founding, and we still have plenty to do as we work on identifying, analyzing, and evaluating polycentricity at work in natural resource (as well as many other) settings.

We will draw upon many readings, ranging from some that predate the Workshop to works in progress today. We will also engage several scholars from within and beyond Indiana University who have worked on, debated, applied, and critiqued the concept of polycentricity.

Course Requirements

Seminar participants have three major requirements.

1. You are expected to have read all the assigned readings before seminar meetings and participate actively in seminar discussions. As always in the Workshop seminar, we will actively discuss the works we read, the scholars we meet, and our own ideas and writings on the seminar topics.
2. Students are required to submit brief (2-5 page) weekly discussion papers based on the readings and discussion at the previous seminar meeting. These papers are due before the beginning of the next seminar meeting—for example, on or before the January 22nd seminar meeting, you will submit your paper addressing the readings and discussion from the January 15th seminar meeting, and so on.
3. Students will choose a research topic and complete and submit a research bibliography and a final paper that combines a literature review on the concept of polycentricity with identifying a natural resource situation to which the concept might be applied, setting forth hypotheses for future work applying the concept to that situation, and articulating a plan for pursuing that research. You will provide me with your choice of paper topic no later than February 19th, your bibliography no later than April 2nd, and your final paper no later than April 23rd. A research paper of this kind should be at least 20 pages long, not counting extraneous material such as a cover page, contents page, etc.

The paper will be presented and discussed at the Miniconference, which will be held during exam week (May 4-8).

Grading

Seminar grades will be determined as follows, and given in the form of letter grades.

Participation in seminar meetings	25%
Weekly discussion papers (combined)	25%
Research paper	50%

This seminar is governed by all applicable university regulations and expectations regarding academic conduct and integrity. If you are not familiar with those requirements and expectations, review them at <http://studentaffairs.indiana.edu/ethics-misconduct-legal/index.shtml>.

Schedule

January 15th

Introductory meeting—discussion of seminar topic and expectations

January 22nd

Introducing polycentricity as a concept, and its underlying assumptions and prerequisites

Aligica, Paul D. and Vlad Tarko (2012) "Polycentricity: From Polanyi to Ostrom, and Beyond." Governance: An International Journal of Policy, Administration and Institutions. Volume 25, Number 2 (April), pp. 237-262

Ostrom, Vincent (1999a) "Polycentricity (Part 1)." In Polycentricity and Local Public Economies: Readings from the Workshop in Political Theory and Policy Analysis. Michael D. McGinnis, ed. Ann Arbor, MI: University of Michigan Press, pp. 52-74

Ostrom, Vincent (1999b) "Polycentricity (Part 2)." In Polycentricity and Local Public Economies: Readings from the Workshop in Political Theory and Policy Analysis. Michael D. McGinnis, ed. Ann Arbor, MI: University of Michigan Press, pp. 119-138

January 29th

Introducing polycentricity, cont'd

Ostrom, Elinor (2010a) "Beyond Markets and States: Polycentric Governance of Complex Economic Systems." American Economic Review. Volume 100, Number 3 (June), pp. 641-672

Aligica, Paul Dragos (2014) "Institutionalism and Polycentricity." Ch. 2 in Institutional Diversity and Political Economy: The Ostroms and Beyond. Oxford, UK: Oxford University Press, pp. 30-70

Skelcher, Chris (2005) "Jurisdictional Integrity, Polycentrism, and Democratic Governance." Governance: An International Journal of Policy, Administration and Institutions. Volume 18, Number 1 (January), pp. 89-110

February 5th

Polycentricity in the literature on local public economies

Ostrom, Vincent, Charles M. Tiebout, and Robert Warren (1961) "The Organization of Government in Metropolitan Areas : Theoretical Inquiry." American Political Science Review. Volume 55, Number 4 (December), pp. 831-842

Ostrom, Vincent and Elinor Ostrom (1965) "A Behavioral Approach to the Study of Intergovernmental Relations." Annals of the American Academy of Political and Social Science. Volume 359 (May), pp. 137-146

Ostrom, Elinor and Roger B. Parks (1999) "Neither Gargantua Nor the Land of Lilliputs: Conjectures of Mixed Systems of Metropolitan Organization." In Polycentricity and Local Public Economies: Readings from the Workshop in Political Theory and Policy Analysis. Michael D. McGinnis, ed. Ann Arbor, MI: University of Michigan Press, pp. 284-305

Parks, Roger B. and Ronald J. Oakerson (2000) "Regionalism, Localism, and Metropolitan Governance: Suggestions from the Research Program on Local Public Economies." State and Local Government Review. Volume 32, Number 3 (Autumn), pp. 169-179

Oakerson, Ronald J. and Roger B. Parks (2011) "The Study of Local Public Economies: Multi-Organizational, Multi-Level Institutional Analysis and Development." Policy Studies Journal. Volume 39, Number 1 (February), pp. 147-167

McGinnis, Michael D. and Elinor Ostrom (2012) "Reflections on Vincent Ostrom, Public Administration, and Polycentricity." Public Administration Review. Volume 72, Number 1 (Jan/Feb), pp. 15-25

February 12th

Seminar does not meet

February 19th

Polycentricity and dimensions of environmental management, part 1: *Complexity, multifunctionality, and multi-level governance*

Hagedorn, Konrad (2008) "Particular Requirements for Institutional Analysis in Nature-Related Sectors." European Review of Agricultural Economics. Volume 35, Number 3 (September), pp. 357-384 [Note: error corrections for one table and one sentence appear in Volume 35, Number 4.]

Armitage, Derek (2008) "Governance and the Commons in a Multi-Level World." International Journal of the Commons. Volume 2, Number 1 (January), pp. 7-32

Andersson, Krister P. and Elinor Ostrom (2008) "Analyzing Decentralized Resource Regimes from a Polycentric Perspective." Policy Sciences. Volume 41, Number 1 (March), pp. 71-93

Poteete, Amy (2012) "Levels, Scales, Linkages, and Other 'Multiples' Affecting Natural Resources." International Journal of the Commons. Volume 6, Number 2 (August), pp. 134-150

Marshall, Graham R. (2008) "Nesting, Subsidiarity, and Community-Based Environmental Governance Beyond the Local Level." International Journal of the Commons. Volume 2, Number 1 (January), pp. 75-97

February 26th

Polycentricity and dimensions of environmental management, part 2: *Resilience and robustness*

Garmestani, Ahjond S. and Melinda Harm Benson (2013) "A Framework for Resilience-Based Governance of Social-Ecological Systems." Ecology and Society. Volume 18, Number 1, Article 9

Ostrom, Elinor (2005) "Robust Resources Governance in Polycentric Institutions." Chapter 9 in Understanding Institutional Diversity. Princeton, NJ: Princeton University Press, pp. 255-288

Polycentricity and dimensions of environmental management, part 3: *Adaptive capacity and adaptive management*

Gupta, Joyeeta, Termeer Catrien, Judith Klostermann, Sander Meijerink, Margo van den Brink, Pieter Jong, Sibout Nooteboom, and Emmy Bergsma (2010) "The Adaptive Capacity Wheel: A Method to Assess the Inherent Characteristics of Institutions to Enable the Adaptive Capacity of Society." Environmental Science and Policy. Volume 13, Number 6 (October), pp. 459-471

Folke, Carl, Thomas Hahn, Per Olsson, and Jon Norberg (2005) "Adaptive Governance of Social-Ecological Systems." Annual Review of Environment and Resources. Volume 30, pp. 441-473

Pahl-Wostl, Claudia (2008) "Requirements for Adaptive Water Management." In Adaptive and Integrated Water Management: Coping with Complexity and Uncertainty. Claudia Pahl-Wostl, Pavel Kabat, and Jorn Moligen, eds. Berlin: Springer, pp. 1-22

March 5th

Polycentricity and dimensions of environmental management, part 3: *Adaptive capacity and adaptive management, cont'd*

Huitema, Dave, Erik Mostert, Wouter Egas, Sabine Moellenkamp, Claudia Pahl-Wostl, and Resul Yalcin (2009) "Adaptive Water Governance: Assessing the Institutional Prescriptions of Adaptive (Co-)Management from a Governance Perspective and Defining a Research Agenda." Ecology and Society. Volume 14, Number 1, Article 26

Pahl-Wostl, Claudia (2009) "A Conceptual Framework for Analysing Adaptive Capacity and Multi-Level Learning Processes in Resource Management Regimes." Global Environmental Change. Volume 19, pp. 354-365

Huntjens, Patrick, Louis Lebel, Claudia Pahl-Wostl, Jeff Camkin, Roland Schulze, and Nicole Kranz (2012) "Institutional Design Propositions for the Governance of Adaptation to Climate Change in the Water Sector." Global Environmental Change. Volume 22, Number 1 (February), pp. 67-81

Pahl-Wostl, Claudia, Louis Lebel, Christian Knieper, and Elena Kikitina (2012) "From Applying Panaceas to Mastering Complexity: Toward Adaptive Water Governance in River Basins." Environmental Science and Policy. Volume 23 (November), pp. 24-34

Pahl-Wostl, Claudia and Christian Knieper (2014) "The Capacity of Water Governance to Deal with the Climate Change Adaptation Challenge: Using Fuzzy Set Qualitative

Comparative Analysis to Distinguish between Polycentric, Fragmented, and Centralized Regimes." Global Environmental Change. Volume 29 (November), pp. 139-154

March 12th

Applications of polycentricity in natural resource studies—lessons from the field

Ostrom, Vincent (1962) "The Water Economy and Its Organization." Natural Resources Journal. Volume 2, Number 1 (April), pp. 55-73

Schlager, Edella and William Blomquist (2008) "Multiple Goals, Communities, and Organizations: A Watershed Political Economy." Chapter 5 in Embracing Watershed Politics. Niwot, CO: University Press of Colorado, pp. 123-150

Heikkila, Tanya, Edella Schlager, and Mark W. Davis (2011) "The Role of Cross-Scale Institutional Linkages in Common Pool Resource Management: Assessing Interstate River Compacts." Policy Studies Journal. Volume 39, Number 1 (February), pp. 121-145

da Silveira, Andre R. and Keith S. Richards (2013) "The Link Between Polycentrism and Adaptive Capacity in River Basin Governance Systems: Insights from the River Rhine and the Zhujiang (Pearl River) Basin." Annals of the Association of American Geographers. Volume 103, Number 2 (March), pp. 319-329

Thiel, Andreas and Catrin Egerton (2011) "Rescaling of Resource Governance as Institutional Change: The Case of Water Governance in Portugal." Journal of Environmental Planning and Management. Volume 54, Number 3 (April), pp. 383-402

March 19th

Seminar does not meet

March 26th

Applications of polycentricity in natural resource studies—lessons from the field

Beraro, Ramiro and John T. Scholz (2010) "Self-Organizing Policy Networks: Risk, Partner Selection, and Cooperation in Estuaries." American Journal of Political Science. Volume 54, Number 3 (July), pp. 632-649

Sarker, Ashutosh, Tadao Itoh, Ryohei Kada, Takaki Abe, Masahiro Nakashima, and Gamini Herath (2014) "User Self-Governance in a Complex Policy Design for Managing Water Commons in Japan." Journal of Hydrology. Volume 510 (March), pp. 246-258

Falconer, K. (2002) "Developing Cooperative Approaches to Agri-Environmental Policy: A Transaction Cost Perspective on Farmer Participation in Voluntary Schemes." In Environmental Co-Operation and Institutional Change: Theories and Policies for European Agriculture. Konrad Hagedorn, ed. Cheltenham, UK: Edward Elgar

Nagendra, Harini and Elinor Ostrom (2012) "Polycentric Governance of Multifunctional Forested Landscapes." International Journal of the Commons. Volume 6, Number 2 (August), pp. 104-133

April 2nd

Applications of polycentricity in natural resource studies—lessons from the field, cont'd

Curtis, A. et al. (2014) "The Great Experiment with Devolved NRM Governance: Lessons from Community Engagement in Australia and New Zealand since the 1980s." Australian Journal of Environmental Management. Volume 21, Number 2, pp. 175-199

Marshall, Graham R. (2009) "Polycentricity, Reciprocity, and Farmer Adoption of Conservation Practices under Community-Based Governance." Ecological Economics. Volume 68, Number 5, pp. 1507-1520

Basurto, Xavier (2013) "Linking Multi-Level Governance to Local Common-Pool Resource Theory Using Fuzzy-Set Qualitative Comparative Analysis: Insights from Twenty Years of Biodiversity Conservation in Costa Rica." Global Environmental Change. Volume 23, Number 3 (June), pp. 573-587

Gruby, Rebecca L. and Xavier Basurto (2014) "Multi-Level Governance for Large Marine Commons: Politics and Polycentricity in Palau's Protected Area Network." Environmental Science & Policy. Volume 36 (February), pp. 48-60

April 9th

Networks of Applied Action Situations (NAAS) as an extension of polycentricity

McGinnis, Michael D. (2011) "Networks of Adjacent Action Situations in Polycentric Governance." Policy Studies Journal. Volume 39, Number 1 (February), pp. 45-72

Kimmich, Christian (2013) "Linking Action Situations: Coordination, Conflicts, and Evolution in Electricity Provision for Irrigation in Andhra Pradesh, India." Ecological Economics. Volume 90, pp. 150-158

April 16th

Seminar does not meet

April 23rd

Scaling up: polycentricity and large-scale natural resource issues

Ostrom, Elinor (1998) "Scale, Polycentricity, and Incentives: Designing Complexity to Govern Complexity." In Protection of Global Biodiversity: Converging Strategies. Lakshman D. Guruswamy and Jeffrey A. McNeely, eds. Durham, NC: Duke University Press, pp. 149-167

Ostrom, Elinor (2010) "Polycentric Systems for Coping with Collective Action and Global Environmental Change." Global Environmental Change. Volume 20, Number 4 (October), pp. 550-557

Sovacool, Benjamin K. (2011) "An International Comparison of Four Polycentric Approaches to Climate and Energy Governance." Energy Policy. Volume 39, Number 6 (June), pp. 3832-3844

Rayner, Tim and Andrew Jordan (2013) "The European Union: The Polycentric Climate Policy Leader?" WIRes Climate Change. Volume 4, Number 2 (March/April), pp. 75-90

Galaz, Victor, Beatrice Crona, Henrik Osterblom, Per Olsson, and Carl Folke (2012) "Polycentric Systems and Interacting Planetary Boundaries—Emerging Governance of Climate Change—Ocean Acidification—Marine Biodiversity." Ecological Economics. Volume 81 (September), pp. 21-32

April 30th

Seminar does not meet

Week of May 4th

Workshop miniconference