1	When promises become pathologies: Fragmentation in Lake Victoria's polycentric fisheries
2	in Tanzania
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9	Abstract
10	Polycentric systems, with multiple, autonomous, coordinating decision centers are
11	supposed to contribute toward ensuring robust, adaptive socio-ecological systems. Accordingly,
12	interest in investigating the promised benefits of polycentric systems has increased, but
13	pathologies of polycentric systems have been understudied. Drawing upon qualitative data from
14	Tanzania's Lake Victoria's fisheries, this research investigates how may interactions fragment
15	decision centers to create a dysfunctional polycentric system? With the Institutional Analysis and
16	Development framework serving as the theoretical framework, findings suggest that authority,
17	information, and resources shape non-cooperative coexistences, conflicts, and perverse
18	cooperation between higher and lower-level decision centers, while enabling cooperation among
19	higher level centers. These interactions fragment lower-level authorities, facilitating centralized
20	control over fisheries management. The paper elaborates upon these findings and concludes with
21	questions on pathologies in polycentric system for future research.
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### Section 1: Introduction

34 Tanzania adopted fisheries co-management in the 1990s to facilitate power-sharing 35 between the government and fisherfolks. Co-management reforms occurred in a context of a 36 devolution, giving rise to multiple, independent, overlapping decision centers across different 37 governance levels. These decision centers include central and local governments, and co-38 management institutions called as Beach Management Units (BMUs) consisting of fisherfolks and government, coordinating with each other to manage the lake's fisheries. The semi-39 40 autonomous, coordinating decision centers with overlapping authority correspond to a polycentric system. 41

42 Co-management was expected to improve fisheries management and outcomes by increasing compliance of fisherfolks with regulations (Raakjær Nielsen et al., 2004). However, 43 44 co-management has been failing, and illegal and overfishing has been rising (Nunan, 2020). On January 1, 2018, Tanzania's central government started Operation Sangara, a crackdown on 45 illegal fishing by seizing and burning illegal fishing gear that took lower-level decision centers 46 47 by surprise (Mudliar, 2018). The exclusion of lower-level authorities from the Operation 48 resembles a fragmented polycentric system, one in which coordination between higher and lower-level decision centers is actively discouraged (Pahl-Wostl and Knieper, 2014). Thus, this 49 50 study seeks to investigate how may interactions fragment decision centers?

51 Fragmented systems are dysfunctional because isolated decision centers result in a loss of 52 effectiveness and efficacy (Biddle and Baehler, 2019; Carlisle and Gruby, 2019; Pahl-Wostl and Knieper, 2014). Fragmented systems with unclear or unestablished procedural rules are less 53 54 likely to produce cooperative outcomes (Berardo, Olivier, and Lavers 2015). Yet, decision 55 centers in fragmented systems can self-organize to tackle cross-sectoral problems, despite 56 institutional and actor complexity (Bodin, 2017; Galaz et al., 2012; Kellner et al., 2019; E. 57 Ostrom, 2010; V.Ostrom et al., 1961). For instance, Galaz et al. (2012) hypothesize that even in fragmented polycentric systems, decision centers not subject to authoritative control may self-58 59 organize and mutually adjust. However, the emergence of polycentric order is predicated on building cooperative relationships and coordination, which itself is a challenge in fragmented 60 61 systems (Berardo and Lubell, 2016; Fidelman and Ekstrom, 2012). Identifying and rendering 62 visible the interactions that drive fragmentation can shed light on the processes and conditions that create dysfunctionalities in polycentric systems. This study also responds to calls to analyze 63

dysfunctionalities in polycentric systems to develop more nuanced theory that explains the
promises and pathologies of polycentricity in different contexts (Biddle and Baehler, 2019;

66 Carlisle and Gruby, 2019; Kellner et al., 2019; Villamayor-Tomas, 2018).

67 The article first reviews the different interactions in a polycentric system, followed by a description of the Institutional Analysis and Development (IAD) framework. I then describe 68 Tanzania's Lake Victoria's fisheries and the qualitative case study methods. In Section 6, I report 69 and discuss the results that suggest that the center deliberately wields its authority to avoid 70 interactions with and withholds information and resources from lower-levels. Interactions 71 72 between higher and lower-level decision centers take the form of non-cooperative coexistence 73 and conflicts because lower-level centers are either unable or they are prevented from performing their functions without authority, information, and resources. Overall, these 74 75 interactions fragment the polycentric system. Given the vacuum left in the management functions by lower-level decision centers, the central government takes control of enforcement 76 77 operations, the culmination of which is Operation Sangara. I conclude in Section 7 with 78 questions for future research.

79 Section 2: Interactions in a polycentric system: The role of authority, information,
80 and resources

81 Polycentric systems have gained interest in fisheries governance because of their potential to promote broadest levels of interactions, involvement, and participation of decision 82 83 centers and actors for increasing policy freedom at the local level and providing contextual solutions to local problems (Cvitanovic et al., 2017; Gelcich, 2014; Ostrom, 2010). Interactions 84 85 are a key feature of polycentric systems (Koontz et al., 2015). There is a growing scholarship on examining interactions from a variety of polycentric contexts such as water governance (Baldwin 86 87 et al., 2018; Biddle and Baehler, 2019; Kellner et al., 2019; Koontz, 2019); water markets 88 (Garrick and Villamayor-Tomas, 2019); fracking (Heikilla, 2019), Nitrogen and Phosphorus governance (Ahlström and Cornell, 2018); fisheries governance (Carlisle and Gruby, 2018; 89 90 Mudliar and O'Brien, 2021), and the water-energy nexus (Villamayor-Tomas, 2018). Understanding interactions is key for finding the right institutional fit in multilevel governance 91 92 systems (Young, 2008) and for determining more flexible and adaptive forms of governance (da Silveira and Richards, 2013). 93

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94 Interactions are defined as the 'myriad ways in which governance actors and institutions 95 engage with and react to one another' (Eberlein et al., 2014). These interactions include 96 cooperation, conflict and conflict-resolution, and competition (V. Ostrom et al., 1961; Stephan et 97 al., 2019; Koontz et al., 2019). Cooperation is when government, non-government, academic, industry, and individual actors work together to advance mutually shared goals. Conflicts, 98 99 defined as disputes and disagreements among actors may occur when decision centers have competing interests or goals with respect to governance choices (V. Ostrom et al., 1961). 100 101 Competition provides a market logic for decision centers to respond to demands and provide 102 public goods and services efficiently (Koontz et al., 2019).

103 Previous research suggests that authority, information, and resources are important for 104 shaping interactions of decision centers (Koontz et al., 2019). Authority structures may hinder or 105 incentivize cooperation, but no single authority structure can force actors to cooperate for policy formulation (Andersson and Ostrom, 2008). In theory, authority structures marked by a lack of 106 107 vertical hierarchies allow multiple actors to participate together and share power in a cooperative 108 setting (Koontz, 2019). The threat of outside regulatory authority may motivate participants to 109 seek collaboration (Prokopy et al., 2014). Power imbalances can hinder collaboration (Innes and 110 Booher, 2010). A flipside of cooperation is that cooperative linkages among higher level 111 decision centers can retain and increase authority over lower-level decision centers (Mudliar and 112 O'Brien, 2021).

113 Conflicts may arise if public goods are required at a scale that exceeds the authority of a single jurisdiction, disagreements among authorities on the need for public goods, or if one 114 115 jurisdiction attempts to free-ride off the public-goods provision of another. Disputes can arise 116 over who has appropriate authority to make decisions when authorities overlap, inadequate and 117 ambiguous authority, rule interpretation by authorities, power imbalances, and monitoring and 118 enforcement operations (Biddle and Baehler, 2019; Heikilla, 2019; Favero et al., 2016; Mudliar 119 and O'Brien, 2021; Orchard and Stringer, 2016; Young, 2010). Conflicts may also occur when 120 authorities provide limited participation arenas (Castro and Nielsen, 2001).

121 Conflict-resolution mechanisms may enable fair and open contestations, dialogue, and
122 engagement of actors to discuss conflicting ideas and information and settle disputes (Heikilla,
123 2019). Opportunities for fair and open contestation, dialogue, and engagement with relevant
124 actors, with recognized authority to participate can shape conflict-resolution outcomes.

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125 Sometimes even if authority brings together conflicting actors, it may not lead to changes in 126 values, which hinders actors from crafting mutually beneficial agreements (Muñoz-Erickson et 127 al., 2010). Competition to provide and deliver public goods to citizens may drive overlapping 128 authorities to produce goods more efficiently (Carlisle and Gruby, 2019; Garrick and 129 Villamayor-Tomas, 2019). Garrick and Villamayor-Tomas (2019) found that distribution of 130 authority among decision centers can create a dynamic tension and lead to potential conflict 131 between decentralized governance of irrigators and local water users, and institutions to address 132 sectoral competition and the redistribution of water across jurisdictions.

Information is critical for planning in collaborative settings (Emerson, Nabatchi, and
Balogh, 2012). Frequent information-sharing helps build relationships in multi-jurisdictional
decision-making (Cosens, 2013). Authority structures and complex bureaucracies may impede
information-sharing among decision centers, preventing cooperation (Mudliar and O'Brien,
2021). Further, not just the lack of information, but ambiguity in information or
misinterpretations of laws and policies may foster conflicts (Mudliar and O'Brien, 2021).
Successful conflict-resolution may depend upon information with actors and how that

140 information is exchanged (Emerson et al., 2009). Information asymmetries can influence the type

141 and effectiveness of organizations competing with each other and provide mechanisms to

reallocate resources on a competitive basis (Garrick and Villamayor-Tomas, 2019).

143 Resources are a key element that provide capacity for decision centers in polycentric 144 systems to work together (Berardo and Lubell, 2016). Resource-sharing and funding for joint 145 production and service contracting among decision centers can spur cooperation (Koontz, 2019). 146 The lack of resources can prevent decision centers from participating in cross-scale collaborative 147 venues (Mudliar and O'Brien, 2021; Wyborn, 2019). Decision centers can use resources and 148 information to pursue conflicting aims in different venues or can frame conflicts around 149 particular information sources. Access to resources can enable venue shopping and may create 150 conflicts while limiting the efficiency of conflict-resolution processes (Heikilla, 2019). 151 Resources can build networks and collaboration with non-state actors to facilitate conflict-152 resolution (Heikilla, 2019).

Authority, information, and resources interact to affect patterns of competition.
Information and resource asymmetries can justify the devolution of authority from river basin
organization to second-order organizations to generate and disseminate information about water

use and demand and provide mechanisms to reallocate water on a competitive basis (Garrick and
Villamayor-Tomas, 2019). In a context of scare resources, citizens are unduly burdened when
overlapping authorities compete with each other to raise revenue (Lieberman, 2011; Mudliar and
O'Brien, 2021).

In addition to cooperation, conflict and conflict-resolution, and competition, scholars have identified interactions such as coexistence where decision centers complement one another without interacting (Jordan et al., 2015); and resistance, where decision centers resist the authority of other decision centers (Mudliar and O'Brien, 2021). These interactions need more elaboration in the polycentric literature to understand what activates these interactions and how decision centers achieve their policy goals and outcomes.

166

#### Section 3: The Institutional Analysis and Development Framework

167 Scholars have used the IAD framework to examine how authority, information, and resource shape cooperation, conflict and conflict-resolution, and competition (Koontz et al., 168 169 2019). Action situations includes actors who possess authority, information, and resources 170 (Koontz et al., 2019). Action situations are affected by exogenous factors (e.g., community 171 attributes and features of the biophysical context). An action situation leads to interactions 172 among actors. This study will focus on a key feature of the IAD framework, i.e., the multiple 173 levels of action: constitutional, collective, and operational-choice levels (Ostrom, 1990). The 174 levels of action aid in understanding and explaining the extent and mechanisms of endogenous 175 change in polycentric settings (Blomquist and Schroder, 2019).

176 The constitutional-choice level is where actors constitute the decision-making body to 177 collectively make rules and how the rules will be carried out. Constitutional-choice processes 178 include formulation, governance, adjudication, and modification of those decisions (Ostrom, 179 1990). An example is the creation of policies and acts designed to establish power-sharing and 180 collaboration among higher and lower-level decision centers. Collective-choice activities include policymaking, management, and adjudication of policy decisions. Collective-choice activities 181 182 involve interactions among decision makers to identify, prioritize, plan and strategize 183 implementation of actions to improve social and environmental conditions. A key result of 184 collective-choice activities is a set of operational rules about how a resource is to be used or how collective work is to be done (Ostrom, 1990). Examples include decisions on how to allocate 185 186 their organization's budget or a rule that fishers must only use a certain type of gear for fishing.

187 These activities often improve the flow of information among decision centers, resulting in188 coordinated management.

Operational-level activities include day-to-day activities such as appropriation, provision, monitoring, and enforcement (Ostrom, 1990). Such activities are affected by the collective rules concerning when, where, and how to manage a resource, who should monitor the actions of others, what information much be exchanged or withheld, and what rewards and sanctions will be assigned to different combinations of actions and outcomes (Ostrom, 1990, p.52). Operational activities in fisheries include enforcing regulations, performing technical studies, promoting best management practices among fishers, and conducting education and outreach campaigns.

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### Section 4: Study Context

197 Lake Victoria shared by Tanzania (51%), Uganda (43%), and Kenya (6%) is the second 198 largest freshwater lake in the world and the world's largest freshwater fisheries. The lake was once rich in species diversity, with a thriving fishery based on two endemic species of Tilapia 199 200 and over 600 species of Haplochromis (Balirwa et al., 2003). The British colonists introduced 201 Nile perch in 1954 that radically transformed Lake Victoria's fisheries, with overseas and 202 regional markets developing for the newly introduced fish. The open-access nature of the 203 fisheries in Lake Victoria spurred migration to the lake basin, increasing population, and 204 depleting fish stocks. More than 4 million people live in the Tanzania catchment of the lake and 205 depend directly or indirectly on the lake for livelihood and food security. The Tanzania portion 206 of the lake accounts for over 60% of the total national fish production with three prominent 207 commercial fish species, the non-native Nile perch (*Lates niloticus*) and Nile tilapia 208 (Oreochromis niloticus), and the indigenous sardine-like fish Rastrineobola argentea (mukene).

209

#### Devolution and co-management in Tanzania

In 1961, Tanzania emerged from independence with colonial institutions intact that acted as agents of the central government instead of representing local concerns (Picard, 1980). From 1961 to 1982, Tanzania established, abolished, and reestablished Local Government Authorities (LGAs) to enhance local participation in development. In 1996, the central government started "Decentralization by Devolution" (DbyD) to devolve responsibilities of funds and personnel to district councils (Mollel and Tollenar, 2013).

During DbyD, fisheries management was also decentralized to lower-level decisioncenters to replace centralized control. BMUs were formed to involve fisherfolk in fisheries

management and end detrimental fishing practices of using poison and dynamite (Eggert and
Lokina, 2009). While BMUs succeeded in reducing the use of poison and dynamite (Lokina,
2009), illegal and overfishing has risen since 2000s. Regulations prohibit gillnets with mesh
sizes larger than six inches, beach seine and monofilament nets, and fishing in breeding areas
during closed seasons but these regulations are poorly enforced.
At the central level, the Ministry of Livestock and Fisheries Development includes the

224 departments of Fisheries, Fisheries Planning, Fisheries Resources Protection Unit (FRPU), Fish 225 Quality and Marketing and makes policy. At the county level, the Ministry of Local 226 Governments implements fisheries regulations. Counties consist of a district; a district consists 227 of wards; and several villages make up a ward. BMUs are local organizations responsible for 228 fisheries management in their landing site, limited to one village and sometimes a few villages. 229 Anyone engaging in any fishery activities, including fishers, fish processers, fish mongers, traders, processors, boat and net repairers, gear repairers and suppliers, and boat builders, is 230 231 included in a BMU. A BMU committee consists of 9-15 members elected from the local 232 population.

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## Section 5: Methods

234 Qualitative case studies are appropriate for identifying interactions across the 235 constitutional, collective, and operational-choice levels in Tanzania's Lake Victoria's 236 fisheries. Case study approaches corroborate or falsify existing concepts or theory, or develop 237 new concepts or theory (George & Bennet, 2005). Semi-structured interviews with government 238 officers and fishers, group discussions with BMUs, and policy documents helped triangulate data 239 (Yin, 2009). A workshop at the Lake Victoria Fisheries Organization. (LVFO), Jinja, Uganda in 240 February 2018 helped initiate contact with the Tanzania Fisheries Research Institute (TaFIRI). 241 Association with the LVFO enabled access to visible, but hard-to-recruit central and local 242 government fisheries officers in Tanzania from February to March 2018. Through snowball sampling, 15 in-person semi-structured interviews were conducted with local government 243 244 officers (e.g., municipal and ward officers) (n=3), central government officers (n=5), county 245 governor/politician (n=1), and scientists (n=6) in English. One group discussion was conducted 246 with a BMU in Swahili. A scientist from TaFIRI translated from Swahili to English. 10 247 interviews were conducted with fishers (n=8) and local fisheries officers (n=2) in 2017. In total, 248 25 interviews from three landing sites were conducted.

249 Semi-structured interviews included open-ended questions on interactions of decision 250 centers, issues and factors that foster and hinder interactions, challenges in working together, 251 roles and functions of officers, and information and resource-sharing with decision centers. 252 Interviews were 60-90 minutes, conducted at the workplace of interviewees. Since interviewees 253 shared confidential and politically sensitive information, positions of the interviewees and the 254 landing sites are not named. All interviews were recorded and transcribed verbatim. The 255 National Fisheries Policy 2015, Fisheries Act of 2003, and Fisheries Regulations of 2009 were 256 included in the document analysis. Interview transcripts and documents were coded in OSR 257 NVivo V.12.6.0. A codebook was created with code, description, and example following 258 DeCuir-Gunby, Marshall, and McCulloch (2011). I labeled segments of text with codes of 259 authority, information, and resources, and interactions, and then mapped these codes to the 260 constitutional, collective, and operational-choice levels of the IAD framework.

261

#### Section 6: Results and Discussion

Here I present the findings of the case study to illustrate how authority, resources, and information-sharing shape interactions of decision centers at the constitutional, collective, and the operational-choice levels.

265

#### 6.1 Constitutional-choice level: Establishing decision centers

The constitutional level is where actors constitute the decision-making body that will collectively make rules, such as deciding whom to include in decision-making and how the decisions and rules will be carried out.

269 *Authority* 

270 Interviewees said that central government departments regularly cooperate for 271 policymaking. While the Ministry of Livestock and Fisheries formulates policy, and the Ministry 272 of Local Government is supposed to implement policy, both governments designate officers to 273 implement policy. Thus, the central government plays a role in both, policy formulation and 274 implementation. Functions of officers from both governments overlap, but differences in their 275 policy implementation roles and responsibilities are not defined. Overlaps without clarifying 276 responsibilities can lead to confusion (da Silveira and Richards, 2018; Mudliar and O'Brien, 277 2021; Song et al., 2010).

All local authorities are accountable to the central government, and only the central government has authority to resolve conflicts between local authorities. If local authorities mismanage their functions, the central government can take over their functions and remove or
suspend local officers. In 2017, the central government suspended local fisheries officers on
charges of corruption. Regulations authorize, but do not require, collaborations between the
government and BMUs. Thus, authority is largely vested with the central government.

284 The BMU executive body is constituted by elections. Shadow authorities such as local 285 politicians attempt to install their candidates in the BMUs by rigging or interfering in elections. Interviewee 10 said, "The election of leadership in the BMU is based on the most influential 286 287 local politicians who may be illegal fishers or who may not even be fishers." Nunan (2020) 288 documents this phenomenon, where shadow authority figures such as politicians, invisible in 289 official policy documents, influence the task of constituting the BMUs by not cooperating with 290 legitimate processes of elections. This interaction is a variation of coexistence, where decision 291 centers coexist, but instead of complementing each other, they exist in an uneasy tension, aimed 292 at undermining other decision centers.

293 In

## Information

294 The authority of and information-sharing from the Ministry to the departments fosters 295 collaboration in the central government for policymaking. Interviewee 9 said, "We have direct 296 communication with the Ministry. Within our ministry there is a lot of collaboration because we are getting directives directly from the Minister to make policy." This kind of information-297 298 sharing is unique only within the central government. Constitutional-choice rules encourage the 299 central government to consult and inform local authorities, but rules authorizing downward, and 300 upward flow of information are absent. Thus, interactions between governments for information-301 sharing take the form of non-cooperative coexistence.

302 *Resources* 

303 There are no rules for resource-sharing, but the central government is supposed to 304 provide funds to local government. The central government has established a Fisheries Trust 305 Fund for managing fisheries, but interviewees said that there are no funds to operationalize the 306 Fund. Resources rarely reach the BMUs, who are expected to work voluntarily. Interviewee 15 307 said, "When the BMU comes in, it is at a low profile because they are not financed. They are not 308 powerful, and they are not as empowered as the government." According to interviewees and as 309 documented by other scholars, funds are perpetually insufficient to cover costs (Nunan, 2020), 310 resulting in non-cooperative coexistence.

Overall, authority is distributed across higher, lower, and community decision centers, but authority rests with the central government to formulate and implement policy. There is cooperation among higher-level decision centers for policymaking. Shadow authorities and BMUs do not cooperate with each other. Non-cooperative coexistence is seen between higher and lower-levels for information and resource-sharing. Such increase in authority at the center can set the stage for potential regime realignment through external shocks (Morrison, 2017).

317

## 6.2: Collective-choice Level: Planning among decision centers

The collective-choice level is where actors craft rules, develop plans that identify,
prioritize, and strategize implementation of actions to improve social and environmental
conditions.

321 *Authority* 

322 The structure of the devolved government, determined at the constitutional-level, where 323 the central government makes policy and the local government implements policy, is not 324 conducive to cooperation for planning between both governments. Instead, it creates a perception 325 that the local government's planning is inadequate, creating conflicts between both centers. 326 Interviewee 1 said, "Cooperation is difficult because they are two different ministries, and they 327 have different interests. They have to decide only their own agenda, so it is difficult. There are 328 several clashes." Even without conflicts, the structure encourages a non-cooperative coexistence 329 between both authorities. Interviewee 3 said,

The structure challenges the management of resources. The local government has full autonomy, and I cannot tell them what to do. Sometimes, the way they are doing things is probably not the way I would like to see. The guide is here at the national level, but the local government is not doing enough to make sure that we are moving in the same direction. If I find somebody in the local government is mismanaging the resources, then I have the power to jump in, but I cannot tell them how to implement the law. I can tell them I don't want to see illegalities in budget management, but I cannot tell them how to manage the budget.

Even though co-management was supposed to be a power-sharing, collaborative arrangement between governments and fishers, co-management has been a top-down approach. A fisher said, "The government just came and stipulated some guidelines for the BMU. The condition was that if you want your landing site to be registered, then you have to form a BMU. Otherwise, the landing sites will not be registered and will be considered illegal, and that we are all illegal fishers." Without being considered as true partners, BMUs lack independent authority to manage their landing sites. Interviewee 5 said, "BMUs have to take permission from the local
authorities for everything, but they are left out of decision-making and are still expected to fulfil
their functions." The exclusion of the BMUs from decision-making results in BMUs existing
without being able to cooperate with local authorities.

347 In implementing top-down co-management, existing community-level institutions and 348 authority were not sufficiently considered. The Fisheries Regulations states that the BMUs and 349 the Village Councils (VCs) can develop by-laws and undertake MCS operations, but the 350 overlapping authority of VCs and BMUs has led to some VCs perceiving that BMUs will replace 351 them. Interviewee 15 elaborated, "Conflicts have occurred because of the perception that the 352 BMUs will coopt the tasks of the VCs. The BMUs are not doing everything. They are working 353 on fisheries, and this role has never been a part of the village government. But the VC feels like 354 it is being threatened, with a fear of being subordinated by the BMUs." Thus, conflicts due to 355 overlapping authority arise since new decision centers were created without accounting for 356 existing decision centers. While the central government is authorized to resolve conflicts among 357 local authorities, it has not resolved these conflicts. Conflicts are considered to indicate an 358 overall lack of coordination among decision centers (Blomquist and Schröder, 2019). Less 359 functional polycentric systems are characterized by few opportunities for conflict-resolution 360 (Biddle and Baehler, 2019).

361 Shadow authorities such as local politicians hinder fisheries officers and BMUs from
362 planning their activities. Politicians routinely delegitimize fisheries regulations and encourage
363 illegal fishing to gain votes from fishers. Interviewee 10 said,

Elected leaders openly contradict government policy. When a political leader supports an activity, there is no one who can say that this is illegal. This makes the illegal fishers stronger because they are supported by strong people. Politicians are unable to collaborate with the BMUs and Fisheries Department. When you meet them, they might say, yes, illegal fishing should not be allowed. But then they go to fishers and allow illegal fishing because they want the vote.

Thus, actors not in-charge of management are more powerful than actors authorized to manage fisheries, resulting in non-cooperative coexistence between politicians and fisheries officers. A fear of politicians prevents conflicts between politicians and fisheries officers because if fisheries officers complain against politicians, they are transferred to a new position. Interviewees said politicians are influential at all levels of governance, right from the local level to the top, confirming previous findings of political interference in co-management (Mudliar, 375 2020; Mudliar and O'Brien, 2021; Nunan 2020). Thus, powerful shadow actors, not included in

policy, can hijack and break existing institutions for their own self-gain (Huppé et al., 2012).

377 Information

378 There are conflicts between central and lower-levels without constitutional-choice 379 information-sharing rules. Interviewees said that the last time that the Ministry convened an 380 information-sharing forum was in 2005. Without information-sharing, officers cannot plan together for management activities. Interviewee 3 said, "What we need to share, so that we move 381 together, is information. If somebody is not informed, the plans are just under the carpet, and 382 services are not delivered to the people." In the absence of information-sharing, the perception 383 384 that local fisheries officers promote illegalities is intensified. Interviewee 17 said, "We need to collaborate, sit together, and discuss challenges and solutions rather than assuming that everyone 385 386 knows everything. The central government thinks that the local government is facilitating illegal fishing and that we are not good people, but if we come together, we can discuss and resolve the 387 388 issues." This finding reiterates the importance of information for shaping conflict and conflict-389 resolution (Heikilla, 2019). Rules for resolving conflicts between central and local governments 390 are absent.

In the backdrop of weak constitutional-level information-sharing rules, governments rarely interact and communicate with BMUs for planning. Any information-sharing that occurs between local authorities and BMUs is sporadic and occurs once in two years or more. This prevents capacity-building of BMUs and affects their ability to function, reinforcing their noncooperative coexistence. Interviewee 11 said,

BMUs don't have enough knowledge, and they think they don't have much to do. We are then
expecting the BMUs to have the same language and perception of management that the
government has, without ever communicating with them. If the government really believes that
BMU are partners and treats them as such, that can co-manage the fisheries, but that has not yet
happened until now.

Thus, information-sharing does not occur between governments and BMUs and results in
non-cooperative coexistence. Without cross-sectoral linkages, processes of cooperation, learning,
and resource distribution in polycentric systems is hampered (Fischer and Maag, 2019).

404 *Resources* 

405 A lack of resources prevents BMUs from planning activities. Interviewee 6 said, "The 406 local government collects funds from the fishing communities, and they are supposed to put it back into the community. But, if it goes back, it goes to the VCs and not the BMUs. So BMUs
can't plan without funds." A lack of resources prevents not just the functioning of the BMUs, but
also prevents their participation at conferences at regional and national meetings. Thus, most
BMUs are existing with little ability to carry out their tasks. As Interviewee 11 said, "BMUs still
exist in Tanzania. Some are working, but majority are just existing, doing nothing." This lack of
resources excludes and marginalizes BMUs from decision-making and results in a noncooperative coexistence.

Overall, lack of sufficient authority, information, and resources prevent cooperation for
joint planning. Instead, interactions of conflicts, and non-cooperative and non-coordinating
coexistence occur due to unclear or absent constitutional-level rules. Unintended and
spontaneous overlaps between village level authorities and BMUs, and between shadow
authority figures and fisheries officers result in conflicts and non-cooperative coexistence.

419

#### 6.3: Operational Choice Level: Implementation

420 The operational level is where actors perform on-the-ground actions, such as conducting421 MCS operations, education and awareness activities, and collecting revenue.

422 *Authority* 

423 Different mandates of the central and local government create conflicts for enforcing 424 regulations. Interviewee 10 said, "The district director is interested in revenue while the national fisheries director is interested in conservation. The fisheries officer will not listen to the national 425 426 regulation because if he is not bringing in money, then he is redundant. This sort of conflict 427 between both governments really affects fisheries management." Despite having different 428 mandates, both governments undertake enforcement, creating an overlap made possible by the 429 constitutional-choice rules that authorizes enforcement to both governments. Without a clear 430 delineation of the functions of central and local governments at the constitutional-level, the 431 overlap creates conflicts between them at the operational-level. Interviewee 5 said, 432 The local government also has fisheries officers i.e., District Fisheries Officers (DFOs). They are 433 responsible for law enforcement and for we are responsible for it, too. We mainly deal with the 434 hotspot areas where we think we need to intercept, and local government may also be there. There 435 is an overlap there, which results in a conflict over who is the manager. They feel like they are the 436 ones who own the fisheries people and the resources. But as a center we are responsible for the 437 entire region.

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438 Notwithstanding overlaps, higher and lower-level authorities do not collaborate with each 439 other for enforcing regulations. Instead, interviewees said that the Ministry deliberately excludes 440 local authorities from joint patrols, resulting in a non-cooperative coexistence. Such an absence 441 of vertical social ties implies a misalignment of collaborative structures and ecological issues, 442 contribution to deefend in a line (Sector and Decesio 2017).

442 contributing to dysfunctionality (Sayles and Baggio, 2017).

443 The lack of clarity in the functions of officers from both governments creates conflicts for local fisheries officers. According to the Fisheries Resources Act, ward officers are employed by 444 445 the local government, but are expected to follow the central government's orders. Interviewee 14 446 said, "The DFO wants money, but the Ministry wants to limit fishing. The ward fisheries officer 447 is stuck in the middle then. Should he listen to the DFO who is his employer or the directorate of fisheries? So, there are some conflicts." Similarly, BMUs face confusion over who has authority 448 449 over them. Interviewee 5 said, "There is a conflict between BMUs, local government, and the 450 central government about who is the boss. So, if I [central government] say 'don't do this' and 451 the DFO says, 'do this', it is a problem for the BMU. So, there is a dilemma for them regarding from whom they should get the command." Such confusion over authority in the management of 452 453 Lake Victoria's fisheries has been noted by Lawrence (2013). Interviewees said that conflicts over different centers claiming and holding authority create difficulties for accountability. Other 454 455 scholars have noted that increasing institutional complexity diminishes accountability because no 456 center claims responsibility (Bixler, 2014; Lieberman, 2011; Mudliar, 2020; Wyborn 2015).

457 Conflicts arise due to the overlapping authority of the fisheries officers and BMUs.
458 BMUs patrol the lake and collect fish levies at the landing site–activities that local fisheries
459 officers once conducted. Interviewee 12 said, "There is a conflict between fisheries officers and
460 the BMUs because they are struggling for power. The BMU's activities were once performed by
461 the fisheries officers, so they feel that their power has been reduced and it makes them furious."
462 The overlap of functions between the fisheries officers and the BMUs has led to fisheries officers
463 perceiving a threat to their authority.

Finally, since the BMUs were constituted in a top-down manner, the fishing community considers the BMUs to be an extension of the government. Interviewees said that fishers rarely follow regulations and frequently engage in conflicts with the BMUs, undermining the BMU's authority. Marshall, (2009) documents a similar finding from farmers in Australia adopting strategies to oppose government bodies and groups perceived to be allied with the government. Prepared for the Ostrom Workshop Colloquium Series, April 19, 2021 Draft: Please do not cite or distribute without permission Praneeta Mudaliar 16

469 *Information* 

470 Since constitutional-level information-sharing between higher and lower-levels are 471 absent, there are conflicts between both governments at the operational-level. Interviewee 5 said, 472 "Sometimes the local authorities complain that they don't have enough funds for carrying out 473 law enforcement, but do they communicate to us so that we can then see which area to assist? So, 474 this is a problem. It is a communication problem." The central government, too, does not 475 communicate with lower-levels, but actively suppresses information, contributing to conflicts. Interviewee 5 said, "According to protocol, if they [central government] come into my area, they 476 477 have to inform me before hand, but we lack that information. If they tell me, I will at least know 478 that such an activity is being conducted in my area. They feel that we will discourage those 479 exercises." A central government officer justified the suppression of information, "When we go 480 to the districts for enforcing a law, we get complaints from the district that we went without informing them. They [local government] want us to inform them, but if I am doing something 481 482 good, why should you complain?" Without information from the central government, the local 483 government's authority is undermined among fishers and BMUs. A local officer said, "We are 484 government officers and we, too, are in-charge of managing the fisheries. It is better to hear from them than hear from the fishing community and admit to them that we don't know about those 485 things." In the absence of information-sharing, stakeholders are unable to use information to 486 487 coordinate operations, thereby cementing fragmentation (Jasny and Lubell, 2015). At the 488 community-level, perverse cooperation for information-sharing among fishers is high to avoid getting caught during patrols. Interviewee 10 said, "Apprehending illegal fishers is difficult. If 489 490 your brother is an illegal fisher and you need to make a patrol, they will tip the brother and say, "tomorrow we are conducting a patrol, so please don't go." 491

492 *Resources* 

The success of polycentric governance systems depends upon decision centers having sufficient resources to perform activities (Cvitanovic et al., 2018). A lack of resources from the central government and the central government's authority prevents higher and lower-levels from conducting joint enforcement operations. Interviewee 10 said, "Cooperation will happen when the national level will tell the FRPU to work with the local government. The FRPU cannot protect the resource effectively because patrolling depends on the budget. If they don't have money, they cannot involve the local fisheries officers because there are no funds to support 500 them." Limiting funds is one way that central governments exert control over local authorities 501 (Aworti, 2011; Kakuma, 2010). In the absence of resources, there are non-functional overlaps in 502 enforcement, where decision centers are in a non-cooperative coexistence. A similar interaction 503 is seen in the overlap for licensing functions. The central government is not as spread out at the 504 district, which prevents it from licensing all fishers, but they are prevented from coordinating 505 with lower-levels. While the DFOs are spread out, they lack the resources for licensing fishers. 506 Thus, licensing functions create a non-functional overlap, resulting in non-cooperative 507 coexistence, where licensing is either stalled or slowed down. Licensing was meant to limit 508 fishers on the lake but has turned into a revenue generation instrument. Without coordination 509 between these interlinked activities and between decision centers, ecological fit is compromised, 510 which is essential for the functioning of ecosystems (Biggs et al., 2014).

511 A lack of resources impedes cooperation between the BMUs and the fisheries officers for enforcement operations. When BMUs find an unregistered boat on the lake they communicate 512 513 with the fisheries officers for registering the boat. Without resources to reach the BMUs on the 514 lake, local government officers are unable to provide the necessary back up. With scarce 515 resources and inadequate authority, existing provisions are underused. Thus, effectiveness of 516 enforcement of regulations is reduced, and decision centers coexist without cooperation. An 517 underuse of existing provisions indirectly undermines the rigor of the regime and the capacity of the regime to address preexisting problems (Morrison, 2017). 518

519 The lack of resources enables a perverse kind of cooperation for corruption among decision centers. Interviewee 10 said, "Without resources, patrollers promote corruption and 520 521 bribe culture. Because they don't have funds, if they find someone with mistakes, they just try to get money from him. So illegal fishing continues in that way." Interviewee 20 said, "We are not 522 523 paid as BMU leaders. Someone can approach me with 200,000sh (\$86 USD) and asks me to 524 allow them illegal fishing. Can I refuse that money given how we suffer without resources?" 525 Thus, corruption disrupts and undermines any enforcement operations, resulting in chaos. Rent-526 seeking behavior, where governmental representatives abuse their power and role to increase 527 their own benefits rather than caring for the provision of public goods, impedes coordination, and 528 the lack of coordination encourages rent-seeking (Pahl-Wostl and Knieper, 2014).

529 Thus, at the operational level, except for cooperation for corruption, lower-level decision530 centers are either excluded by the central government from undertaking their functions or a lack

of resources prevents them from executing their functions, resulting in conflicts and noncooperative coexistence. Similar to the interactions at the collective-choice level, interactions of
conflicts and non-cooperative existence occur because of unclear or absent constitutional-level
rules.

535 *Operation Sangara* 

536 To address corruption and illegalities in fisheries due to perverse cooperation, conflicts, 537 and non-cooperative coexistence, the central government started Operation Sangara (Operation 538 Save the Nile Perch) by burning boats and illegal fishing gear. While constitutional-choice rules 539 authorize the central government to take over local-level functions in cases of mismanagement, 540 the rules also require the central government to notify the mismanaging authority to show cause. However, interviewees said that Operation Sangara was implemented without prior warning. 541 542 Interviewee 3 justified the Operation, "Yes, it is purely top-down. What do you do when things go out of control? There used to be eleven fish processing plants, but right now there are five in 543 544 Mwanza and three in Soma. These are working under capacity. I mean how can you tolerate that?" 545

546 Only central government officers i.e., the FRPU, police, and central government fisheries officers participate in Operation Sangara. Interviewees said that the center neither collaborates 547 548 nor does it inform local officers about the Operation because of corruption, or shares resources 549 with local governments to solicit their involvement. Thus, there is cooperation with and an active 550 flow of information and resources among higher-level actors to execute the Operation, but cross-551 scale linkages for collaboration, information, and resource-sharing with local authorities are 552 deliberately suppressed. A local fisheries officer said, "They [The Ministry] want the Ministry to 553 be in-charge of the fisheries sector, but we are the ones who are working at the grassroots. 554 Maybe because they are at the top, they think that there is no need to cooperate with us." Such 555 kind of horizontal cooperation at higher levels increases authority and oversight over lower-level 556 decision centers (Mudliar and O'Brien, 2021). Arrangements that increase oversight of actors at 557 the center without modifying existing arrangements have the potential for regime conversion as 558 well as realignment by powerful actors at the center (Morrison, 2017).

559 When asked about the ability of the government to co-manage fisheries with fishers after 560 the Operation, Interviewee 3 said, "We are not creating fear. Probably we are creating fear, 561 undermining people's capabilities, but, for us as a government, this is the only way we can tell 562 the people to stop illegalities. We will work with fishers after this. But the Operation is a 563 warning to fishers." At the time of fieldwork, all interviewees agreed that conditions on the lake 564 were more chaotic than ever with fishers fearing and distrusting the government. Altogether, 565 unclear and absent constitutional-level rules give the central government authority to suppress information and resource-sharing that then drives interactions of conflicts and non-cooperative 566 567 interactions among decision centers to create a fragmented system with thriving illegalities. 568 Under the guise of eliminating illegalities, Operation Sangara consolidates control with the 569 central government.

570 Overall, findings indicate interactions of cooperation, conflicts, and non-cooperative 571 coexistence, and perverse cooperation among decision centers (see Table 1 below). Two 572 instances of cooperation are seen among higher-level authorities at the constitutional-choice 573 level. Eight instances of conflict occur, all at the collective and operational-choice levels. Out of 574 these, three occur at the collective-choice level and five occur at the operational-choice levels. 575 Fourteen instances of non-cooperative coexistences occur at all three levels. Out of these 576 fourteen, three occur at the constitutional level, five occur at the collective-choice levels, and six 577 occur at the operational-level. Thus, non-cooperative coexistence is the most frequent 578 interaction, followed by conflict. These interactions are most responsible for fragmentation and 579 isolation of decision centers.

580 Sorting across factors that shape interactions, authority shapes two cooperations among 581 higher-level centers at the constitutional-choice and the operational-choice level. Authority 582 shapes six conflicts and five non-cooperative coexistences. Information shapes two cooperations, 583 two conflicts, three non-cooperative coexistences, and one perverse cooperation. Resources 584 shapes one cooperation, five non-cooperative coexistences and one perverse cooperation. Thus, 585 authority and resources shape most of the interactions of conflicts and non-cooperative 586 coexistences between higher and lower-level decision centers. Authority interacts with 587 information and resources to create conflicts and non-cooperative coexistence. Overall, 588 authority, information, and resources create noncooperative coexistence and conflicts between 589 higher and lower-levels, and shape cooperation among higher-level decision centers to 590 consolidate control at the center.

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592

	Constitutional-choice	Collective-choice	<b>Operational-choice</b>
Authority	-Cooperation among higher-levels for policymaking -Despite overlaps, interactions between higher and lower-levels are unclear -Non-cooperation between shadow figures and BMUs	-Conflicts between higher and lower-levels for planning -Non-cooperative coexistence between higher and lower-levels for planning -Non-cooperative coexistence between BMUs and governments for planning -Conflicts between overlapping authority of Village Councils and BMUs -Non-cooperative coexistence between shadow figures and fisheries officers for planning	-Conflicts between higher and lower-levels during enforcement -Non-cooperative coexistence between higher and lower-levels for enforcement -Conflicts among decision centers over authority -Conflicts between BMUs and fisheries officers due to perceived reduction in authority among fisheries officers -Conflicts between BMUs and fishers -Conflicts between BMUs and fishers -Conflicts between BMUs and fishers -Non-cooperative coexistence between higher and lower centers for Operation Sangara
Information	-Cooperation among higher-levels for policymaking - Non-cooperative coexistence between higher and lower-levels without information- sharing rules	-Conflicts between higher and lower-levels without information- sharing -Non-cooperative coexistence between governments and BMUs for planning	-Conflicts between higher and lower-levels due to information suppression -Perverse cooperation among fishers to avoid detection by patrollers -Horizontal cooperation among higher-levels for Operation Sangara -Non-cooperative coexistence in the absence of information- sharing for Operation Sangara
Resources	-Non-cooperative coexistence between higher and lower-levels	-Non-cooperative coexistence among	-Non-cooperative coexistence between higher and lower-levels

# Table 1: Authority, information, and resources shaping interactions across action levels

593

without resource-sharing	decision centers due to a	for enforcement and
rules	lack of resources	licensing
		-Non-cooperative
		coexistence between
		BMUs and local
		fisheries officers for
		enforcement
		-Perverse cooperation
		among decision centers
		for corruption
		-Horizontal cooperation
		among higher-level
		decision centers for
		Operation Sangara
		-Non-cooperative
		coexistence between
		higher and lower-levels
		for Operation Sangara

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595 According to V. Ostrom et al., (1961), formal independence means that decision centers cannot do away with each other i.e., "they possess enough autonomy to maintain their existence 596 597 and cannot be abolished without reference to some overarching rules or processes" (Stephan et 598 al., 2019, pp. 31). In Tanzania, while decision centers are not abolished, the center controls 599 authority, information and resources, undermining lower-levels and their activities. An inability 600 of decision centers to perform their tasks creates pathologies. Pathologies can lead to proposals to consolidate governance under a centralized authority (Mudliar and O'Brien 2021; Underdal 601 602 2010). Here, it is the centralized authority that drives pathologies by avoiding coordination with 603 and withholding information and resources from decision centers, which sets the stage for a 604 sudden operation to take control of fisheries with the justification of curbing illegal and 605 overfishing. Such a phenomenon has been documented by Morrison (2019) in the polycentric 606 governance of the Great Barrier Reef. Thus, the center not just fragments lower-level decision 607 centers, but also consolidates control by shocking the system. Scholars have previously 608 considered fragmented system with no coordination as distinct from polycentric systems (e.g., 609 see Pahl-Wostl and Knieper, 2014; Vaas et al., 2017). In line with Biddle and Baehler (2019), 610 this study finds that fragmentation can occur within polycentric systems, where the system can 611 be transformed by dismantling essential functions, cross-scale linkages, and existing provisions, 612 while still preserving the structure of a polycentric system. The central government largely drives these endogenous dysfunctional conditions, which allows them to take over fisheries
management, resulting in chaos. Thus, this research demonstrates how a misalignment between
institutions and the biophysical environment can occur in fragmented polycentric systems.

616 Section 7: Conclusion

617 This study provides an example of one kind of pathology: how interactions drive 618 fragmentation in polycentric systems. Several key insights follow from the study: First, in 619 responding to calls for analyzing pathologies of polycentric systems, the study finds that unintentional overlaps emerge between decision centers in the absence of authority, unclear or 620 621 absent constitutional-level institutions, lack of information, and resources. Where decision 622 centers interact with each other, the interactions are those of conflicts or non-cooperative coexistence due to ambiguous and overlapping authority, the deliberate disuse of authority, 623 624 perceived legitimacy and lack of, or threat to authority. More research is needed on interactions that emerge as a result of such unintentional overlaps and the outcomes of those interactions. The 625 626 emergence and role of overlaps due to shadow figures is also not yet well-documented in 627 polycentric literature and needs to be further scrutinized for their influence in shaping processes 628 and outcomes.

Second, this research identifies a new interaction—non-cooperative coexistence— a variation of coexistence. Unlike coexistence as defined by Jordan et al., (2015), here, decision centers do not complement each other, but may actively undermine each other and/or deliberately exclude each other by withholding information, and resources (non-cooperative coexistence). Future research could explore what are other factors that could result in such interactions? Related, what happens to decision centers when non-cooperative coexistence continues to fester? What are other patterns of interactions that may fragment decision centers?

636 Lastly, in the presence of weak, unclear, or absent constitutional-choice rules, 637 interactions that occur at the collective and operational choice levels are more effective at 638 fragmenting decision centers. In the context of ecosystem management and collaborative 639 watershed management, scholars have found similar findings where interactions at the collective 640 and operational-choice levels are more influential than others (Hardy and Koontz, 2008; 641 Imperial, 2005). Future research should explore the impact of constitutional-level rules and 642 authority at the collective and operational levels to better understand how may rules and the 643 exercise of those rules drive interactions. Research is also needed for examining changes in the

644 structure and functionality of the system since Operation Sangara; specifically, what kinds of 645 cascading adjustments emerge among decision centers in the aftermath of a shock to the system? 646 Although this case study was restricted to only three landing sites in Tanzania and actors 647 not mentioned by interviewees may be excluded from the sample, these findings confirm 648 previous research on Lake Victoria's fisheries that find a trend toward power consolidation at the 649 center (e.g., see Kantel, 2019; Mudliar, 2020; Mudliar and O'Brien 2021, Nunan, 2020), as well 650 as a worldwide trend toward centralized control (Castro and Nielsen, 2001; Ribot et al., 2006). What then is the future of Tanzania's Lake Victoria's fisheries? It is crucial for polycentric 651 652 governance models to incorporate contextual and political realities, rather than ignore political 653 regimes, rent-seeking, militarized management, and shadow actors. As Nunan (2020) points out, underlying contextual issues are beyond the practice and the system of fisheries management 654 655 itself. Therefore, institutions that take into account such system wide interactions are needed (Walker et al., 2016). Legally mandating collaboration will provide legitimacy to coordination 656 657 that has been systematically undermined by authorities (Bingham, 2009). Since Operation 658 Sangara is not a sustainable way of managing fisheries, decision centers will need to collaborate 659 to devise and enforce commonly agreed upon regulations. Developing information-sharing 660 forums for enabling coordination is important, but information-sharing requires resources. In a 661 context of scarce resources, the polycentric system could become more fragmented over time if 662 the pressure of chasing scarce resources causes organizations to develop more irreconcilable 663 differences (Biddle and Baehler, 2019). Regardless of the type of governance model for Lake Victoria's fisheries, unless underlying factors are addressed, the promised benefits of 664 665 polycentricity will continue being realized as pathologies. 666 667 668 669 670 671

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