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Federalism in Mexico?

Vincent Ostrom and Mike McGinnis participated in a seminar in Mexico City on September 23-24, 2002. Both gave presentations to around 100 public officials, many from municipal governments throughout Latin America. Their presentations served as bookends for the two-day seminar. Vincent opened the festivities with a lecture entitled "What is Federalism? A Search for Meaning," and Mike concluded the seminar with his talk on "Enhancing Institutional Diversity in a Globalizing World." Simultaneous translation from English to Spanish (or vice versa) was provided. In addition, Salvador Espinosa, a student in the Joint Ph.D. Public Policy program at IU, trans-

lated the Power Point slides for Mike's presentation into Spanish. Mike noted that it was strange to not be able to read his own overheads!

The topic of the seminar was "Gobernabilidad y Federalismo" ("Governance and Federalism"). Seminar participants proved to be deeply aware of the fundamental problems associated with implementing a truly federal system of governance in Mexico, which has long been dominated by the central national government. Discussions were held in the very comfortable setting of a restored hacienda. Vincent expressed concern about the culture of extravagance on display there and in Mexican history more generally. Ironically, during their visit a controversial new book was published (in Mexico) that uses dramatically staged photographs to illustrate this culture of extravagance. (One picture shows a glamorous young woman on horseback in front of a large poster of peasant revolutionary leader Pancho Villa!)

This seminar was the second in a series of three seminars sponsored by IBERGOP-Mexico (Escuela Iberoamericana de Gobierno y Políticas Públicas). IBERGOP is a network of academic and policy institutions in Latin America, Spain, and Portugal. Both presentations are scheduled to be published in a forthcoming volume. Meanwhile, Mike's presentation has been posted on the web, at http://php.indiana.edu/~mcginnis/inst_div.doc, while Salvador's translated slides are posted at <http://php.indiana.edu/~mcginnis/spanish.ppt>. Copies of Vincent's paper can be obtained the old-fashioned way, by contacting Gayle Higgins (ghiggins@indiana.edu).



Eroding Social Capital through Incompatible Legal and Institutional Regimes: Experiences from Irrigation Systems in Nepal

by Prachanda Pradhan

Farmer-Managed Irrigation Systems (FMIS), which have 70% of the share in irrigated agriculture in Nepal, have been performing through the collective action of the member farmers for many years. Farmers with their collective effort could make irrigation systems functional even in adverse conditions. Recently, the Government of Nepal has been providing assistance with the financial support of donor agencies for the rehabilitation of these systems, but the results after rehabilitation have not been encouraging in their capacity for self-governance. While at the Workshop in Political Theory and Policy Analysis, as a visiting scholar, my attention was drawn to the issue of discouraging performance of FMIS after rehabilitation in their capacity for self-governance and consequently, negative impact on social capital formation. I have tried to analyze the factors contributing to social capital erosion in FMIS after rehabilitation.

A farmer from Sindhupalchowk district of Nepal once told me that 'the irrigation channel up there cannot stand in that fragile terrain only by iron rods and cement concrete, it is our organization which kept the irrigation channel functioning'.

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What the farmer is talking about here is social capital, which has helped better utilize physical capital such as channels, and natural capital such as irrigation water. Individuals usually derive the benefit of physical and natural capital but social capital, in contrast, is expected to produce goods that are more collective than just for individuals. The mutually beneficial collective action of farmers makes irrigation systems perform better.

Social capital refers to those stocks of social trust, norms, and networks that people can draw upon to solve common problems. The irrigation organization that the farmers establish for managing their irrigation systems constitutes a form of social capital. The irrigation organizations have evolved over a period of time for mutually beneficial collective action through the trust and norms of behavior and reciprocity among the members of the organization.

Usually, the farmer-managed irrigation systems are built by the collective effort of the beneficiary farmers and managed by themselves. The farmers have to agree among themselves the mode and method of the construction of the channel for irrigation. They identify amongst themselves who the members of the system are. The resource mobilization, by and large, is labor contribution. The basis of such mobilization would be agreed upon amongst themselves and they would establish the monitoring procedure to check the compliance of the rules agreed upon. Information about the progress of activities in the irrigation system is shared in the meetings of the irrigator farmers. The farmers become effective entrepreneurs and crafters of their rules in use. The physical capital development allows the social capital formation, provided the farmers actively participate in the process and help build trust among the irrigators.

Social capital, as Ostrom and Ahn¹ define it, is the way that individuals relate to one another to affect their own and other's long-term benefits (both positively and negatively). They suggested three broad forms of social capital that are particularly important in the study of collective action: (1) trustworthiness, (2) networks, and (3) formal and informal rules and institutions. Hence, social capital can be viewed as an

attribute of the individuals and of their relationships that enhance their ability to solve collective action programs.

As Uphoff and Wijayratna² have asserted, social capital brings "mutually beneficial collective action" (MBCA). They further elaborate that social capital exists either in structural or cognitive forms. Both forms come from the mental rather than the material realm, and then come from various aspects of social relationships that can be explicitly described.

Social capital can increase organizational productivity and can have better utilization of physical and natural capital of the community. Appropriate social and legal environment can help enhance social capital and increase productivity. In the absence of appropriate social relationships, an incompatible legal system and external selfish political interference to community affairs can cause depletion of social capital, which will result in decreased productivity and underutilization of physical and natural capitals. This paper attempts to analyze the erosion of social capital in the context of incompatible legal and institutional settings in the FMIS in Nepal. FMIS contributes to 70% of the irrigated area in Nepal; it is estimated that there are over 17,000 such units.

Consideration of social capital in development activities has taken an important role. Social capital is now considered as the missing link to understand the problems of underdevelopment and underperformance of organizations, institutions, and physical infrastructures. Physical capital and human capital are important, but social capital can help the physical and human capital to be more productive.

Context of Nepal: Natural Resource Management Pattern

Nepal has had interesting experiences in natural resources (water and forests) management. In the beginning of 1950, forests used to be centrally managed resource.

For centuries, forest resources have been considered as one of the major sources of revenue to the government from the contractors who have been given a contract to harvest timber. There was no program of conservation but only exploitation of the resources. Irrigation systems, except for a

few government constructed and managed systems, are managed by the irrigators community.

In 1950, centralized management became the practice both in water and forest sectors. The Forest Nationalization Act, 1957, discouraged the community from managing forests, causing the tremendous depletion of forest resources. In the 1980s new legal arrangements were put in place. User groups were made active to protect and manage the forest.³ Similarly, Nepal has a rich tradition of FMIS scattered in many parts of the country. Due to subsequent legal and institutional arrangements, the autonomy of the grass-root institutions responsible for irrigation water management has become weakened.

Evolution of Legal System Affecting the People's Water Institutions

Nepal portrays a rich tradition of community efforts in natural resource management especially in water resources, forestry, and pastures. Customary norms have delineated water as a community resource with elaborate usufructory rights and community governance structures for the management and utilization of these resources by village societies. Apart from these community-based values and norms, state policies and practices have historically been conducive to reinforce community roles in natural resource management, especially in the water sector.

In the 1990s, new legislation was passed that made decentralized forest resources management and strengthened the communities to take over the forest resources management at the community level. The Water Resources Act, 1992, and Irrigation Rules and Regulations, 1999, took over the management of water resources by the government. Nepal has a history of long tradition of FMIS that are now being assisted for rehabilitation by the government. It is now being pushed towards centralized management instead of farmer management.

The two examples of assistance to FMIS mentioned in this paper demonstrate the different levels of social capital development. The example of Action Research

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Project Indrawati Basin demonstrates the social capital development along with physical capital development. The Second Sector Irrigation Project does not allow an active role of the farmers during assistance programs, so social capital development did not take place. The active role of the farmers during the assistance program can generate positive results of good governance system, social capital development, and increased productivity of physical infrastructure as well as agriculture.

There are several factors that contribute to the erosion of social capital such as the lack of transparency at the time of physical rehabilitation of the systems blurring the obligation, unclear accountability destroying reciprocity, corruption promoting distrust, imposition of public property creation in the community, political polarization at the community level, and change in the demographic composition of the irrigators community due to migration of young people into the urban areas. Some of these are internal factors of an organization and others are external.

Endnotes

¹ Ostrom, Elinor, and T. K. Ahn, eds. Forthcoming 2003. *Foundations of Social Capital*. Cheltenham, UK: Edward Elgar Publishing Ltd.

² Norman Uphoff and C.M. Wijayratna. 2000. "Demonstrated Benefits from Social Capital: The Productivity of Farmer Organizations in Gal Oya, Sri Lanka." *World Development* (November).

³ In 2000, rural households were organized into more than 9,000 forest users groups responsible for managing and using more than 70, 000 ha forest land (Keshav Raj Kanel. 2000. *Forest Collective Action and Policy Instruments in Nepal: Aligning decentralization with Fiscal Responsibility*, Hawaii: East West Center).

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Robert Bish Revisits the Workshop

Dr. Robert L. Bish, a Workshop Scholar, recently revisited the Workshop for a week. During his visit, he presented a paper at the Workshop colloquium entitled "Accommodating Multiple Boundaries for Local Services: British Columbia's Local Governance System" and had discussions with various scholars about his work.

Robert Bish completed his B.A. in Economics at the University of Southern California in 1964 and entered the Ph.D. program in Economics at IU that fall, just before Vincent and Lin's move to IU from UCLA in December. In January 1966, he began coursework with Vincent in Political Science as his outside field, in order to complement his work in economic theory, comparative economic systems, public finance, and urban and regional economics. It was in a joint economics-political science course by Vincent and Herb Kiesling that the first draft of *The Public Economy of Metropolitan Areas* was undertaken.

Following completion of his Ph.D. in June of 1968, Dr. Bish became an Assistant Professor in Economics and in the Graduate School of Public Affairs at the University of Washington, taking the position that had been held by Charles Tiebout before his untimely passing during the spring of 1968. While at Washington, Dr. Bish completed *The Public Economy of Metropolitan Areas* and worked with Robert Warren, one of Vincent's Ph.D. students from UCLA. They coauthored several works including *A Scale and Monopoly Problems in Urban Government Services* and *Coastal Resource Use: Decisions on Puget Sound*, which also involved coauthorship by Louis Weschler, another of Vincent's Ph.D. students from UCLA who had moved to Washington.

In 1972, Bish, Warren, and Weschler moved to the new Center of Urban Affairs at the University of Southern California to join former IU urban and regional economist, Jerome Milliman. While at USC, Bish coauthored *Understanding Urban Government: Metropolitan Reform Reconsidered* (with Vincent), *Urban Economics and Policy Analysis* (with Hugh Nourse), and *Financing Government* (with Harold Groves). Fol-

lowing a university reorganization of the Center, each moved on to other universities; Dr. Bish became the Director of Research at the Institute for Urban Studies at the University of Maryland. In 1979, he returned to the Pacific Northwest to develop a local government program in the School of Public Administration at the University of Victoria, BC. There he was joined by Jim McDavid, a Canadian who was one of Lin's Ph.D. students who had worked on the police studies at the Workshop in the mid-1970s. At Victoria, Dr. Bish continued to work on U.S. issues, coauthoring *Local Government in the United States* with Vincent and Lin and authoring *Governing Puget Sound*. Work on British Columbia followed shortly with *Indian Government: Its Meaning in Practice* with Frank Cassidy and *Local Government in British Columbia*, now in its 3rd edition and turned over to a coauthor, Eric Clemens. Dr. Bish also developed courses in Microeconomics, Urban and Regional Economics, Local Government, Property Tax Policy and Administration, and Contracting for Services for the Diploma in Local Government Management, all of which are available to MPA students.

Early in 1985, Dr. Bish began working regularly for the Indian Taxation Advisory Board and has been involved in the development of First Nation Taxation in nearly 100 First Nations.

Bish and McDavid created the Local Government Institute in 1995, which provides a framework for research and advisory services on local governments in British Columbia and Canada. Research publications by Bish and McDavid can be found on the Local Government Institute web site: <http://web.uvic.ca/lgi/>. Since Dr. Bish's retirement in 1998, the advisory service functions have been transferred to a cooperative of organizations concerned with local governments in British Columbia and can be found at www.CivicInfo.bc.ca/.

Most recently, Dr. Bish spent 7 months working in Guyana, South America, on an InterAmerican Bank project to strengthen local governments. He was responsible for assisting towns to implement new financial management practices, including improved revenue forecasts and more informative budgeting practices.



Spring 2003 Seminar

The spring 2003 version of the Institutional Analysis and Development (IAD) seminar will be taught jointly by Amos Sawyer and Mike McGinnis, on the topic of “Conflict Resolution and Self-Governance in Africa (and Other Regions).” Participants of this seminar will consider whether more effective mechanisms of conflict resolution and governance can be developed by building on indigenous practices and mechanisms. Course readings will include materials written by other members of the newly established Consortium for Self-Governance in Africa (see other article in newsletter). Assigned readings will focus on institutions in Africa, but students interested in other geographical regions will complete research papers applying these same concepts elsewhere in the developing world. As usual, syllabi and other course material will be posted on the Workshop website when they become available.

This upcoming seminar brings into sharper outline a new organizing structure for this two-semester sequence that has been emerging in recent years. Former students and visiting scholars will remember the previous pattern, in which one seminar (taught by Vincent or Mike McGinnis) focused on macro-level perspectives whereas the other semester (taught by Lin, Bobbi Herzberg, or John Williams) dealt primarily with micro-level analyses. The most recent incarnations of the fall semester seminar has given students a broader overview of conceptual frameworks and analytical tools of institutional analysis that can be applied at all levels of analysis. Meanwhile, the topic of the spring semester seminar has changed a bit from year to year, although always related closely to Tocqueville’s vision of democracy. For several years these applications remained at the macro-level, as Mike incorporated more of his interests in international relations into this seminar. But this coming spring the focus will shift to more explicit connections between international and indigenous forms of governance. The plan is that future versions of the spring semester will focus on other specialized areas of research being conducted by Workshop-affiliated scholars such as evolutionary models, environmental regulation, or job training programs.

As many of you may remember, the two-semester Y673 Workshop seminar dates back to before the original founding of the Workshop. As is the case for many long-standing institutions, its details have changed over the years but the general goal remains the same. By shifting from a structure of micro-macro to overview-applications, we hope to provide an even stronger foundation for the nurturing of future scholarship. This structure should also encourage other members of the Workshop Faculty to participate in teaching future versions of this seminar, which will continue to evolve as new faculty come and go at the Workshop.

Elinor Ostrom Inducted into the National Academy of Sciences

by Sujai Shivakumar

Lin Ostrom was inducted as a member of the National Academy of Sciences on April 27, 2002, at a ceremony in Washington, D.C. Having signed the Great Book of the Academies on this occasion, she now rises to the prestige of such fellow NAS members as Kenneth Arrow, Robert Merton, and Reinhard Selten.

The Academy’s citation noted that,

Ostrom, a political economist, challenged common economic assumptions by being the first to show that small communities are capable of developing cooperative, self-governing institutions that prevent the overuse of grazing pastures, irrigation systems and other communal resources. Her field research also revealed the type of monitoring, sanctions, and other governing structures needed to ensure the protection of communal resources.

Transitions in Governance: Chinese and American Scholars Meet

by Brent Never



The School of Public Administration, Renmin University hosted the first Sino-US Conference on Public Administration in mainland China in June 2002. Chinese and American scholars of public administration and political science gathered for three days to discuss the practical and theoretical reality of a rapidly changing Chinese society. Public administration, as a formal field of intellectual inquiry, is new to mainland China, yet as the American participants quickly ascertained; China has the longest heritage of public administration in the world.

Representatives of the Chinese Public Administration Society, the American Society for Public Administration, and of the Chinese government were active participants in plenary sessions ranging

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Established in 1863 by a congressional act of incorporation, signed by Abraham Lincoln, the National Academy of Sciences is a private organization of scientists and engineers, whose purpose is “to further science and its use for the general welfare.” It is the nation’s most prestigious honor society. Election to membership in the Academy is considered one of the highest honors that can be accorded a U.S. scientist or engineer.



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in topics from “Governance Transitions in East Asia” to “E-Government and Public Administration.” In addition to professors and public intellectuals, a large contingent of undergraduate and graduate students from around China added an exciting vigor to debates on the place of public administration in developing societies, the ability of public administrationists to apply theory to the Chinese context. We all were very excited to learn from each other in a jovial, yet demanding, atmosphere.

Professor Mao Shoulong, former Workshop Visiting Scholar, helped organize the Sino-American conference in the hopes of bringing new and dynamic theories of governance transitions to bear on the rapidly changing realities of Chinese life. Professor Mao has been an intensely active scholar on the subject both by publishing his own work and by translating several of the Workshop “classics” for the Chinese readers. As participants we were amazed at the amount of work that Professor Mao, along with his colleagues at Renmin University, put into creating stimulating discussions.

On a personal level, I was amazed at my experience in Beijing. Students, faculty, and practitioners were all very excited to learn about new perspectives on governance. Once the Chinese students, mostly having learned from Professor Mao, heard that I was a student at Indiana University, I was bombarded with thought-provoking questions about the nature of governance in a dynamic world. I spent many hours in classrooms, dining halls, and dormitories conversing about the intricacies of Tocqueville and the commons. This experience showed me that scholars around the world are attempting to grapple with an amazingly diverse array of social phenomena. The Sino-U.S. Conference on Public Administration provided a solid foundation for future cooperation on transitions in governance.



More Volunteers Needed for WOW3



by Mike McGinnis

It is now time to begin thinking seriously about the upcoming Workshop on the Workshop to be held in Bloomington, Indiana, **June 2-6, 2004**. WOW3, like the two previous versions of this popular event, will combine academic and recreational activities. Unlike the first two WOW sessions, however, we would like WOW3 to depart from the standard fare of professional papers organized into themed panels.

Anyone who is interested in forming a discussion group on some topic that might be covered in a meeting at WOW3 should send us an e-mail at wow3@indiana.edu. We invite suggestions for roundtables, work sessions, or other activities. We would especially like to encourage informal “working groups” of Workshop-affiliated scholars to take this opportunity to meet together to work on collaborative research projects or for intense discussion of their own research.

Our hope is to encourage a direct application of the Workshop logic of self-governance. Those of us in Bloomington will help in any way, but the basic impetus behind setting up each working group needs to come from you. Our basic intention is to use this upcoming conference as an excuse to facilitate the self-organization of “virtual working groups” of scholars at different institutions who share an interest in common topics. We hope meaningful discussions in these groups can begin before WOW3 and continue long afterwards.

Thus far, we have received messages from two Workshop scholars who have expressed an interest in serving as a coordinator for an informal working group. (At least that is how I have interpreted their messages!) Susan Baer, who is now an Assistant Professor in the School of Public Administration and Urban Studies at San Diego State University, expressed an interest in setting up a working group on urban politics and policy issues. She can be contacted at sbaer@mail.sdsu.edu. Meanwhile, Murray Rudd, now a Senior Economic Analyst in Nova Scotia, suggested the need for a group on large, multi-output renewable resource systems. (Perhaps the first task for this group should be to come up with a more catchy title!) He can be contacted at RuddM@dfm-mpo.gc.ca.

We have received a few messages from others expressing more diffuse interest, but at this point we need specific suggestions. The first step is to send a message to us at wow3@indiana.edu expressing your interest and the likely scope of the topics you would like this group to consider. Once we have identified a potential working group (complete with title and someone willing to serve as coordinator), we will set up some sort of an e-mail distribution list to facilitate contacts among the members of each group. Details on exactly how this will be accomplished remain to be worked out, but our fine technical staff is sure to come up with something pretty snazzy.

A working group centered on Tocquevillian analytics has already begun work. Workshop scholars Barbara Allen, Aurelian Craiutu, Sheldon Gellar, Phil Sabetti, and, of course, Vincent Ostrom, worked through Thanksgiving week to begin their investigation of this topic. Preliminary plans are underway to schedule a roundtable on this topic at WOW3, but I strongly suspect that they will prepare something substantial long before that time.

We eagerly await the ideas and suggestions of those of you interested in forming and participating in the virtual workshops. Keep those cards and e-mails coming in!

HELP SUPPORT WOW3: Donations are needed to help support the upcoming WOW3. We especially need donations that can be used to support the travel of colleagues from overseas. We will, of course, be seeking funding from foundations and other sources, but every little bit will help. If you wish to donate, please send a check to Linda Smith at the Workshop, with the check made out to the Indiana University Foundation. Please contact Linda Smith (smith3@indiana.edu) if you have any questions.

News from the Consortium for Self-Governance in Africa (CSGA)

by Amos Sawyer

CSGA'S First Project Underway

As reported in the July 2002 issue of *Polycentric Circles*, scholars participating in a conference on African governance held at the Workshop last June agreed to form an association for the study and implementation of self-governing approaches to the constitution of order in Africa. Since that meeting, the association called the Consortium for Self-Governance in Africa (CSGA) has released its mission statement which can be found at CSGA's website (<http://www.indiana.edu/~csga/>).

The Consortium is well underway in the implementation of its first project which is the publication of a book by Professor Dele Ayo who, until his untimely death in April this year, was head of the Department of Public Administration at Obafemi Awolowo University in Ile-Ife Nigeria. He was twice a visiting scholar at the Workshop in the 1990s. Now in its final processing stage, the book entitled, *Public Administration and the Conduct of Community Affairs Among the Yoruba in Nigeria* will be published in early 2003 by the Institute for Contemporary Studies Press. An Africa edition in the English language and a Yoruba language version will later be published by the African Centre for Development and Strategic Studies (ACDESS) in Ijebu-Ode, Nigeria.

Africa Conference

Building on the Bloomington conference of last June, consultations are currently underway among members of the Consortium to hold a conference in Africa next year, bringing together academic researchers and research-action practitioners, especially those working at grassroots level of society, to pursue in greater depth some of the themes and issues discussed at the Bloomington meeting. The conference will probe at a deeper level, patterns of indigenous and local governance in Africa and their potential for enhancing democratic

governance, the place of African languages in African governance, and the challenge of nurturing of public entrepreneurship, among other issues. A meeting of the Board of Directors of the Consortium will also take place at this time.

Nigerian Scholars (CSGA Members) to Visit Workshop

Two distinguished Nigerian scholars are to visit the Workshop in the spring. They are Professor Okwudiba Nnoli of the Pan African Centre for Research on Peace and Conflict Resolution and Professor Alex Gboyega, Chairman of the Department of Political Science, Ibadan University. They will spend a week each holding consultations with colleagues of the Workshop and the African Studies Program on planned activities of the consortium. Both will make presentations at the Workshop's weekly Colloquium and participate in the Workshop's Seminar (Political Science Y673), which, as mentioned before, will be entitled, "Conflict Resolution and Self-Governance in Africa (And Other Regions)" and taught by Mike McGinnis and Amos Sawyer. Professor Nnoli's presentation at the Colloquium is scheduled for Monday, February 10 and Professor Gboyega's on Monday, February 17. They will also be available to colleagues with whom they share research interests.

Okwudiba Nnoli is a political scientist recently retired from the University of Nigeria, Nsuka, in eastern Nigeria. His research over the last decade has focused mainly on African conflicts. His center has just completed a study of communal conflicts and population displacement in Nigeria and is now engaged in a study of democratization and political violence in that country. He is an active member of the Africa Association of Political Science (AAPS).

Professor Gboyega has written extensively on indigenous and local governance in Africa. His current research explores the prospects for fiscal decentralization and local autonomy in Nigeria. He is also working on an assessment of the role of Nigerian universities in the socioeconomic transformation of Nigeria.



Research Opportunities in Mexico

The Workshop is in the process of evaluating a potential linkage with IBERGOP-Mexico, a consortium of universities and research institutes. SPEA is also involved, as is the office of President Fox. The basic idea is to facilitate interactions between scholars and policymakers in the United States and Mexico who share a common interest in some particular policy area. Before embarking on this collaboration, however, we would like to get some sense of the number of Workshop-affiliated scholars who would be likely to participate in these activities. If you have any interest in pursuing collaborative research on issues of policy or governance with respect to Mexico, or Mexico's relations with the United States, please contact Mike McGinnis (mcginnis@indiana.edu). Be sure to indicate what topics or projects you would be most interested in pursuing.



An Interesting Article to Look Up

Recently, Lin Ostrom appeared in a *Research and Creative Activity* Newsletter, vol. XXV, no. 1. The article, entitled "A Researcher's Tale, Then and Now" by Michael Wilkerson details Lin's work since she came to Indiana University, highlighting her research on institutions. The article can be found at:

<http://www.indiana.edu/~rcapub/>.



Long-Term Visitors

Sheldon Gellar is currently a Visiting Scholar at the Workshop. From 1989 to 2001, he was a Senior Research Associate in the Africa Unit of the Harry S. Truman Institute for the Advancement of Peace at the Hebrew University of Jerusalem. Gellar's ties with the Workshop go back to the early 1980s when he attended a faculty seminar on Institutional Analysis and Development. He has also worked extensively in Francophone Africa as a consultant to USAID and other aid organizations to strengthen decentralization, democratic governance, civil society, and natural resource management and served as democracy advisor to the USAID/Senegal mission in 1998-99. Gellar is the author of *Senegal: An African Nation between Islam and the West* and *Structural Changes and Colonial Dependency: Senegal 1885-1945*. At the Workshop, he hopes to complete a book—*Tocqueville in Africa: Democracy in Senegal*—that applies Tocquevillian analytics to Africa, and to work with Amos Sawyer to strengthen the Workshop's network with African scholars and practitioners seeking to promote self-governance.

Zdravko Petak is an Assistant Professor of Political Science at the University of Zagreb, Croatia. He received his Ph.D. degree in public finance and public choice in 1999 at the same university. Prior to the Ph.D. degree, he completed his M.A. degree in political economy of the Yugoslav federalism. His research interests focus on local government reforms, political economy of federalism, politics of the budgetary process, and political finance. In 2000, he was appointed to the expert team of the Croatian Law Center, dedicated to propose the model of decentralizing public administration in Croatia. Since 2000, he has been a senior advisor in the local government project in Croatia, and has worked at the Urban Institute in Zagreb. He will be at the Workshop until the end of the academic year, focusing on the devolution of governance in former socialist countries. Particular attention will be aimed at the political economy of devolution in South-East Europe, covered by the borders of former Yugoslavia. He will also conduct research on the evolution of cooperation in the area and on possibilities for establishing common arrangements for economic and political development.

Prachanda Pradhan is a Political Scientist who is currently a Visiting Scholar at the Workshop for the fall semester of 2002. He is Chairman of Farmer Managed Irrigation Systems Promotion Trust, Nepal, a NGO devoted to promoting the FMIS values and knowledge. He was Professor of Public Administration at Tribhuvan University until 1980. After that, he served in a number of international organizations and conducted research on farmer participation, farmer managed irrigation systems, community development, and local level planning. While at the Workshop, he is preparing a working paper on "Eroding Social Capital through Incompatible Legal and Institutional Regime: Experiences from Irrigation Systems in Nepal." A summarized version of this paper appears in this issue of Polycentric Circles.

Meritxell Costejà is a PhD student at the Autonomous University of Barcelona (Spain). Her recent research has focused on sustainable use of water resources by means of integrated water management. Her work is centered in the study of the long-term evolution of the Spanish institutional regime on water management and specific regime transitions at the river basin level. During her visit to the Workshop, she is focusing on the study of the dynamics of institutional change relating to the use of common pool resources. She is particularly interested in the role of culture within institutions.

Marilyn Hoskins is an anthropologist in the area of local governance and community development with equity, focusing especially on the interface between local women and men and the tree and forest resources upon which they depend. She has lived and worked in southeast Asia and Africa and was then the International Development Chair at Virginia Tech. More recently, she directed the global community forestry program for the Food and Agricultural Organization, coordinating Forestry for Local Community Development and the Forests, Trees and People Program (FTPP). This year, at the Workshop, she hopes to write a monograph that brings more understanding to the different phases of that program through applying institutional analysis.

Minoti Chakravarty-Kaul is working on a book length manuscript on "The Great European Debate of the 19th Century" on common property and institutions of property rights and their impact on India and Ireland. At the same time, she will be working on the papers of Professor Vincent Ostrom and will put together a "Memoir" about Vincent and Lin's work laying out their efforts in "Interpreting Social Experiments and An Agenda for Critical Reflections and Inquiry about a Research Program in Comparative Institutional Analysis and Development," which is the framework of endeavor for the Workshop in Political Theory and Policy Analysis.

Puqu Wang is Professor and Executive Dean of School of Government, Peking University, Beijing, China. He is also Vice-Chairman of the Chinese Association of Political Science and Vice-Director of the Group of Political Science, the National Foundation of Philosophy and Social Science, P. R. China. He received his Ph.D. degree in Political Science from Peking University in 1988. His field of research is political theory and approaches of political science. He is now in charge of the program "Analysis on Relationship between Market and Government," sponsored by the National Foundation of Philosophy and Social Science in China, and "Transformation and Governance," sponsored by the Excellent Youth Foundation, Ministry of Education in China. During his stay at the Workshop, his main research will be on the applicability of the "Theory of Self-Governance" to contemporary China with an emphasis on comparing the constitutional institutions and collective institutions of the theory with actual conditions in contemporary China.



Short-Term Visitors

Hong Keun Yune, Department of Public Administration, Seoul National University of Technology, Korea, June 26-July 23.

Phaniel Mugabe, Center for the Applied Social Sciences (CASS), University of Zimbabwe, Avondale, Harare, July 25-27.

Ellen Chun-ju Chen, Institute of International Relations, National Chengchi University, Taipei, Taiwan, August 2-30.

Edward Webb, Natural Resources Management, Asian Institute of Technology (AIT), Pathum Thani, Thailand, August 27-29; December 5-9.

Pascal Bidjogo Bodo, Economic Policy Management Program, University of Yaounde II, Cameroon, September 2-27.

Ganesh Shivakoti, School of Environment, Resource and Development, Asian Institute of Technology, Agriculture, Conservation and Rural Development Program, Pathumthani, Thailand, September 15-18.

Tom Dedeurwaerdere, National Science Foundation, Belgium, Université Catholique de Louvain, Collège Thomas More, Centre for Philosophy of Law, Louvain-la-Neuve, Belgium, September 30-October 4.

Robert Bish, Local Government Institute, School of Public Administration, University of Victoria, Victoria, British Columbia, Canada, October 19-30.

Nancy Malecek, WV Bureau of Employment Programs, Charleston, WV, October 19-21.

Samuel Joseph, ACTIONAID, Bangalore, India, October 26-30.

Jan Andreasik (President of the University Board), **Krzysztof Feret** (Vice President for Education), **Andrzej Szalc** (Head of E-Business Program), **Bartłomiej Gebarowski** (Director of Development), **Slawomir Umpirowicz** (Manager of Multimedia Department), and **Mira Carnecka** (International Relations Department), University of Information Technology and Management, Rzeszow, Poland, October 30.

Edwin Castellanos, Director, Center for Environmental Studies and GIS and Remote Sensing Laboratory, Universidad del Valle de Guatemala, Guatemala, November 5-15.

Filippo Sabetti, Department of Political Science, McGill University, Montreal, Quebec, Canada, November 23-30.

Barbara Allen, Department of Political Science, Carleton College, Northfield, MN, November 24-December 1.

Yan Jirong, School of Government, Peking University, Beijing, China, December 7-11.

Volker Beckmann, **Franz Gatzweiler**, and **Konrad Hagedorn**, Humboldt-Universität zu Berlin, Landwirtschaftlich-Gärtnerische Fakultät, Institut für Wirtschafts- und Sozialwissenschaften des Landbaus, Fachgebiet Ressourcenökonomie, Berlin, Germany, December 11-17.

Markus Hanisch, Institut für Genossenschaftswesen an der Humboldt-Universität zu Berlin, Berlin, Germany, December 11-17.

Lutz Laschewski, Universität Rostock, Agrar- und Umweltwissenschaftliche Fakultät, Institut für Agrarökonomie und Verfahrenstechnik, Rostock, Germany, December 11-17.

Frank Maier-Rigaud, Max Planck Project Group, Bonn, Germany, Dec. 16 - Jan. 26.

Colloquia - Fall 2002

Colloquia papers can be accessed at:

http://www.indiana.edu/~workshop/colloquia/workshop_colloquia.html

Prachanda Pradhan, Visiting Scholar, Workshop/IU, "Water Users Associations (WUA) Towards Diversified Activities Experiences of Nepal and Other Countries." September 16, 2002.

Sheldon Gellar, Visiting Scholar, Workshop/IU, "Tocqueville in Africa." September 23, 2002.

Zdravko Petak, Visiting Scholar, Workshop/IU, "Decentralisation of Government Finance in Transition Countries: The Case-Study of Croatia." September 30, 2002.

Michael McGinnis, Co-Associate Director, Workshop; Associate Professor, Department of Political Science, IU, "A Grammar of Dispute Resolution?" October 7, 2002.

Eric Rasmusen, Professor, Kelley School of Business, IU, "When Are Judges and Bureaucrats Left Independent? Theory and

History from Imperial Japan, Postwar Japan, and the United States." October 14, 2002.

Robert L. Bish, Professor Emeritus, School of Public Administration, University of Victoria, BC, "Accommodating Multiple Boundaries for Local Services: British Columbia's Local Governance System." October 21, 2002.

Roy Gardner, Professor, Department of Economics, IU, "Tolling the Rhine in 1254: Complementary Monopoly Revisited." October 28, 2002.

Elinor Ostrom, Co-Director, Workshop/IU, "Animating Institutional Analysis." November 4, 2002.

Marilyn Hoskins, Visiting Scholar, Workshop/IU, "Decentralizing Community Forestry at FAO: An Institutional Analysis." November 11, 2002.

Esther Mwangi, Graduate Student, Workshop/IU, "Institutional Change and Politics: The Transformation of Property Rights in Land in Maasailand, Kenya." November 18, 2002.

Tocquevillian Scholars Roundtable. Chaired by Sheldon Gellar. Presented by Barbara Allen, Aurelian Craiutu, Vincent Ostrom, and Filippo Sabetti. Discussion topics: Searching for a New Science of Politics; Harmonizing Earth with Heaven; Self-Governance and Terrorism; and other such topics. November 25, 2002.

Amy Poteete, IFRI Research Coordinator, Workshop/IU, "Who Seeks Participation and Why? The Adoption of Participatory Policy-Making Techniques in Botswana and Uganda." December 2, 2002.

Tilman Klumpp, Assistant Professor, Department of Economics, IU, "Voting Equilibrium with Representation." December 9, 2002.

Celebrations at the Workshop



Patty Zielinski celebrated her 25th anniversary with the Workshop/Indiana University on August 22, 2002.



Above and left: Vincent, Patty, and Lin; presentation of IU Certificate; leather vest gift from Lin and Vincent.

On September 25, 2002, colleagues at the Workshop celebrated Vincent Ostrom's 83rd birthday. We wish him many more returns!



Above and Right: Vincent's entrance to surprise party given by Workshopers; Vincent checking out his birthday cake.

IFRI 2002 Participants

This fall, 11 participants attended the International Forestry Resources and Institutions (IFRI) seminar. Here is a list of the participants, including some of the comments made by them.



Alka Chaturvedi

Reader in Department of Botany, Senate and Executive Member at Nagpur University, India. Research interests: taxonomy autecology, phytochemistry, and reproductive Biology. On going research includes: Biodiversity of National Park; Effect of Fly ash on Brassica juncea var. pusa bold. Member of CRC Nagpur Of IFRI Program.

Comment: The course is well planned and managed. It gives an insight to the problem of management of natural resources. Its holistic approach is certainly remarkable. I hope in future it will help in development of new line of research work and in getting financial help from national and international organizations.

Shanon Donnelly

Ph.D. Student, Department of Geography and Research Assistant, CIPEC, Indiana University. Research interests: the use of geographic information systems and remote sensing techniques to better understand the landscape level outcomes of individuals land use decisions.

Sugato Dutt

Joint Ph.D. Student, Public Policy, Indiana University and Research Assistant, CIPEC, Indiana. Research Interests: Past affiliation: Park Manager responsible for implementing conservation programs of government since 1985, India. Research interests: issues relating to the conservation of wild resources and particularly the reproductive biology of plants, extinction threats to commercially desirable species.

Comment: I found the IFRI course very relevant to my interests and have been benefited from the strong practical orientation of the course.

Tanya Hayes

Joint Ph.D. Student, Public Policy, Indiana University. Research interests: local development initiatives and conservation activi-

ties, the relationships between local people and protected areas and particularly the influence of co-management regimes on local institutions.

Mukunda Karmacharya

Research Officer, Collaborating Research Center (CRC) of International Forestry Resources and Institutions (IFRI) Research Program, Kathmandu, Nepal. Research Interests: cost benefit analysis of forest management and biodiversity conservation and sharing of benefits among social classes.

Emmanuel J. Luoga

Researcher, Collaborating Research Center, IFRI, Faculty of Forestry and Nature Conservation, Sokoine University of Agriculture, Tanzania. Research interests: plant ecological, economics and ethnobotany.

Comment: It has been a great pleasure for me to share my experience with my IFRI Y773 colleagues in these two months and I gained a substantial knowledge on the role of institutions in resource management.

Felipe Murтинho

Researcher, Instituto Alexander von Humboldt, Bogotá, Colombia. Instituto Humboldt and Universidad Javeriana form together the CRC team from Colombia. Research interest: causes and consequences of different types of distribution of benefits and costs from conservation and sustainable use of biodiversity.

Comment: The IFRI-Y773 course was a great opportunity to develop my research project for 2003. Sharing spaces with graduate students was very helpful to me.

Emily Obonyo

Sociologist, Kenya Forestry Research Institute (KEFRI) and Member of the Kenyan IFRI, CRC. Research Interests: Participatory forestry, the dissemination and the adoption potential of different agroforestry technologies in Kenya.

Diego Pacheco

Joint Ph.D. Student, Public Policy, Indiana University and Research Assistant, CIPEC, Indiana. Research Interests: decentralization; tenure, access and land use strategies, environmental change; and natural resources management on small farmers' communities. Past affiliation: NGOs devoted to rural development in Bolivia, temporal consultant for the World Bank and the Bolivian government in decentralization, popular participation, agricultural development and indigenous issues.

Comment: I have enjoyed my participation in the IFRI seminar, because I have learned about theoretical and methodological challenges regarding the links between institutional governance and forest conditions, which I will hope use in the near future.

Benjamin Timms

Ph.D. Student, Department of Geography, Indiana University. Research interests: development studies, landscape geography, and political ecology with a regional interest in the Caribbean and Central America. Currently developing dissertation topic relating to the impacts of protected areas on resident populations.

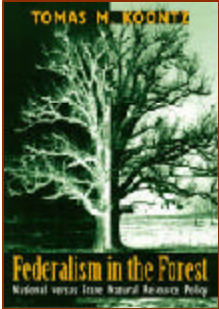
Susan Balaba Tumwebaze

Lecturer, Faculty of Forestry and Nature Conservation, Makerere University, Uganda and Member, Uganda Forestry Resources Institute. Research interests: Biometrics and Ecological modeling.

Comment: I have gained a lot of knowledge in data base management and analysis of IFRI data and social issues in common resource management.

PUBLICATIONS

Books & Monographs



Koontz, Tomas M. 2002. ***Federalism in the Forest: National versus State Natural Resource Policy.*** Georgetown University Press. ISBN 0-87840-374-4

Federalism in the Forest is the first book to examine and compare public policy performance across both state and national levels, explaining why state agencies excel at economic outputs and profitability, the management of land with state income in mind-while national agencies are stronger in citizen participation and the inarguably important role of environmental protection. Instead of focusing on historical development of federal-state roles or on state officials as affected by national policies, Koontz shows how officials, when given authority, both make and implement policy at the state versus the national level. Although arguments fly about the decentralization of public lands-most often based on ideology-Koontz offers empirical evidence that demonstrates not only that devolution matters, but how.

Louka, Ellis. 2002. ***Biodiversity and Human Rights: The International Rules for the Protection of Biodiversity.*** Transnational Publishers. ISBN: 1571052267

This study prescribes a comprehensive system for the protection of biodiversity. Human rights standards, free trade in wildlife, and regulated free access to plant genetic resources are proposed as elements of this system.



Sabetti, Filippo. 2002. ***The Search for Good Government: Understanding the Paradox of Italian Democracy.*** McGill-Queen's University Press. ISBN 0-7735-2485-1

An in-depth study of collective-action dilemmas in the search for good government in Italy. In *The Search for Good Government*, Filippo Sabetti examines Italian politics to reassess habitual presumptions in comparative politics, opening new territory in the art and science of institutional analysis.

Sabetti, Filippo. 2002. ***Village Politics and the Mafia in Sicily,*** second edition. McGill-Queen's University Press. ISBN: 0-7735-2475-4

An incisive look at the state's failures in Sicily and the rise of the mafia in Italy. In *Village Politics and the Mafia in Sicily*, Filippo Sabetti examines more than two hundred years of political economy to show that many of Sicily's problems are of more recent origin. They are not due to a lack of civic tradition but to a structure of basic social institutions that impeded rather than facilitated self-governance. He suggests that the mafia emerged only in some parts of Sicily and was never a single overarching criminal organization.



Acheson, James. Forthcoming March 2003. ***Capturing the Commons: Devising Institutions to Manage the Maine Lobster Industry.*** Hanover, NH: University Press of New England.

Dolsak, Nives, and Elinor Ostrom, eds. Forthcoming February 2003. ***The Commons in the New Millennium: Challenges and Adaptation.*** Cambridge, MA: MIT Press.

Obolonsky, Alexander. Forthcoming January 2003. ***The Drama of Russian Political History.*** College Station: Texas A&M University Press.

Ostrom, Elinor, and T. K. Ahn, eds. Forthcoming April 2003. ***Foundations of Social Capital.*** Cheltenham, UK: Edward Elgar Publishing Ltd.

Ostrom, Elinor, and James Walker, eds. Forthcoming 2003. ***Trust and Reciprocity: Interdisciplinary Lessons from Experimental Research.*** New York: Russell Sage Foundation.

Pradhan, Prachanda, and Upendra Gautam, eds. 2002. ***Farmer Managed Irrigation Systems in the Changed Context. Proceedings of the Second International Seminar held on 18-19 April 2002, Kathmandu, Nepal.*** Kathmandu, Nepal: Farmer Managed Irrigation Systems Promotion Trust.



Congratulations to Barbara Allen at Carleton University for receiving an NEH Fellowship for the work on her book on Martin Luther King.



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- BANANA, ABWOLI Y., WILLIAM GOMBYA-SSEMBAJWE, AND JOSEPH BAHATI. 2001. "Explaining Deforestation: The Role of Local Forest Institutions in Ugandan Forests – A Policy Brief." Kampala, Uganda: Makerere University, Uganda Forestry Resources and Institutions Center.
- BECKER, C. DUSTIN. Forthcoming 2003. "Grassroots to Grassroots: Why Forest Preservation was Rapid at Loma Alta, Ecuador." *World Development* 31.
- FUTEMMA, CELIA, FABIO DE CASTRO, MARIA CLARA SILVA-FORSBERG, AND ELINOR OSTROM. 2002. "The Emergence and Outcomes of Collective Action: An Institutional and Ecosystem Approach." *Society and Natural Resources* 15:503-22.
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- GOMBYA-SSEMBAJWE, W. S., A. Y. BANANA, S. B. TUMWEBAZE, AND J. BAHATI. 2002. "The Relationship between Rural Livelihoods and the Condition of Forests in Uganda – A Policy Brief." Kampala, Uganda: Makerere University, Uganda Forestry Resources and Institutions Center (UFRIC), May 2002.
- HESS, CHARLOTTE, AND ELINOR OSTROM. Forthcoming. "Ideas, Artifacts, and Facilities: Information as a Common-Pool Resource." *Journal of Law and Contemporary Problems* 66(1).
- ISHAM, JONATHAN. 2002. "The Effect of Social Capital on Fertilizer Adoption: Evidence from Rural Tanzania." *Journal of African Economies* 11(1):39-60.
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- KOLLMAN, KELLY, AND ASEEM PRAKASH. 2002. "EMS-based Environmental Regimes as Club Goods: Examining Variations in Firm-level Adoption of ISO 14001 and EMAS in U.K., U.S. and Germany." *Policy Sciences* 35:43-67.
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- Adrienne Héritier, 29-57. Lanham, MD: Rowman & Littlefield.
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issue, please send information

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to Evelyn Lwanga Namubiru

(nlwanga@indiana.edu)

by

April 7, 2003



Our best wishes to all
for the holidays!



Happy New Year 2003

Mercy

Ed

T. K.

Ashok

Gayle

Julia

Laura

Andrew

Sheldon

Linda

Wal

Lin

Ray

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Marco

Jackie

Charlotte

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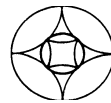
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