

ENVIRONMENTAL GOVERNANCE - Spring 2022
SYD 6520 (188A) / ANG 6930 (Sec. 4G20) / LAS 6938 (Sec. 3B26)
Thursday 1:55—4:55
Grinter Hall 376

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***Note:** This syllabus is subject to further change or revision, as needed, to best realize the educational goals of the course. Modifications will be announced in class or on course materials with fair prior notice.*

This course on Environmental Governance takes a multi-disciplinary approach to examining how formal and informal institutions, policies, rules, and practices shape environmental outcomes. It concerns contemporary challenges in designing rules and institutions for regulating human-environment relations. It raises questions about *who* makes environmental decisions; *how* they are made, and *how* political and economic power shapes environmental governance. It is concerned with normative questions such as how best to organize social actors and systems to promote sustainable or ecological outcomes.

Environmental governance researchers investigate particular arrangements and address broader theoretical questions concerning the fitness to purpose/effectiveness, fairness, equity, legitimacy, and accountability of different approaches. We evaluate leading environmental policy strategies, including traditional state regulation, market-based incentives, participatory and community-based systems, and regulation created by private actors—as well as cutting edge theoretical perspectives on de-growth, performativity, and building “diverse economies.” Increasingly, the interactions between different forms of regulation figure prominently in debates on governance. Empirical examples of governance arrangements from different parts of the world and different domains (climate change, forestry, fisheries, agriculture, among others) highlight challenges and opportunities.

Objectives:

Students will:

- Describe and evaluate critical trends in environmental governance
- Analyze and interpret the social and political forces associated with the emergence, institutionalization, and operation of competing approaches to environmental governance
- Compare and evaluate different theories and academic debates about environmental governance
- Contrast and appraise competing assumptions underlying different approaches to environmental governance.
- Explain the social and political outcomes and effectiveness of different approaches

- to environmental governance
- Demonstrate the capacity to pose and defend research questions related to environmental governance

Required and Recommended Readings and Materials:

All required and recommended readings and supplementary resources will be posted on Canvas.

Course Requirements:

Grading

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| 1. Weekly Assignment (e.g., Memos , Discussion Questions, Peer Commentaries) | 30% |
| 2. Session Leadership | 20% |
| 3. Student Presentation of Seminar Paper and Peer Reviews | 20% |
| 4. Seminar Paper. Due Monday, April 25 at 5 pm | 30% |

Late submissions will be deducted 10% of the total possible points each day. Accommodations may be made for illnesses or emergencies with documentation (see Course Policies below).

Grading Policy:

The course will be graded as follows:

A	100%	to	92.5%
A-	<92.5%	to	89.5%
B+	<89.5%	to	86.5%
B	<86.5%	to	82.5%
B-	<82.5%	to	79.5%
C+	<79.5%	to	76.5%
C	<76.5%	to	72.5%
C-	<72.5%	to	69.5%
D+	<69.5%	to	66.5%
D	<66.5%	to	62.5%
D-	<62.5%	to	59.5%
F	<59.5%	to	0%

Weekly Assignments

Each week we will have a written assignment (e.g., a memo, discussion questions) that engages with the readings and topics. These assignments are due by 11:59 pm on the *Tuesday* before class and should be submitted to Canvas. Where memos are assigned, they are meant to help you reflect on the basic arguments of each reading and define key concepts in enough detail so that you can use them as study guides for prelims or for material to support your seminar paper. Memos should be about 2 pages in length (please do not exceed 3 double-spaced pages). Read your classmates' contributions before class, provide a peer commentary on two of your peers' memos, and come prepared for discussion.

Session Leadership will provide individual students the opportunity to practice pedagogical skills by giving a commentary on the topic of the day, posing questions, and leading discussion or a creative activity. Each student will lead a session at least once during the semester (during that week, you will not be assigned a memo or other activity). Students will be evaluated for their session leadership, based on the quality of work, active participation, thoughtfulness, and insightful contributions, and submission of their leadership plan & materials prior to the class.

Seminar Paper

Choose a topic relevant to environmental governance and your research interests. Propose your topic by email to Drs. Overdeest and Tucker no later than Monday, March 14 at 11:59 pm. If you are uncertain, please meet with one of the instructors to consult.

There are several approaches to a good seminar paper for this class:

1. Write an empirical paper. You may choose to do web and document research on a specific state or non-state governance initiative (such as fair trade, a forest certification scheme, or a new kind of performance, such as a sharing network), analyzing it alone or in comparison with another initiative. The paper should explore a specific form or challenge of environmental governance. You may analyze its emergence, effectiveness, relationship to public authority, or other issues raised in class. 15-20 pages.
2. Write a case study analysis that develops a detailed assessment of a specific environmental governance challenge and possible options for policy or practice, including an analysis of extant policy processes and outcomes. 15-20 pages.
 - a. If you write an empirical paper, consider submitting a shorter but publishable policy review or analysis for *Society and Natural Resources*: (5,000-word limit).
3. You may also apply concepts and readings in the course to your research interests, exploring how they influence the development of your research thesis. 15-20 pages.
4. Finally, you may write a theoretical synthesis and critique of different approaches to governance. 15-20 pages.

NOTE: Groups of two or three students may propose collaborating on a paper for publication.

- a. Consider submitting your class papers to journal. *Society and Natural Resources* publishes Policy Review/Analyses articles and Practice-Based Knowledge (5000-word limit):

“Policy Reviews examine current or proposed policies associated with natural resource management. These articles can raise policy questions, propose alternate action, or critique current or proposed policy.”

Practice-based knowledge articles focus on “the emergence of hybrid governance institutions across state, market, and civil society, understanding the complexity of dynamic socio-ecological systems, recognizing the challenges of multiple knowledge systems and context-specific practices, embracing the power of informal institutions and civic science, and engaging debates on the growing prevalence of market-oriented conservation. The goal is to provide a dedicated space within the published, peer-reviewed literature for scholars, government officials, nonprofit managers, and engaged citizens to share experiences informed by practical action. Relevant and timely practice-based insights may improve understanding and management of social and ecological processes and systems, while also offering the potential to contribute to theory.”

Grading Criteria for Papers (adapted from the syllabi of Professor Aili Mari Tripp):

1. Well-defined statement of your thesis. A thesis supplies a specific subject and a clear direction for your paper. A thesis must: a) contain an arguable point; b) control the entire argument; c) provide a structure for your argument.
2. Serious Engagement of Alternative Arguments. As appropriate, do you seriously consider arguments other than those you make? Do you address evidence that does not support your position? Draw from sources not read in class?
3. Clarity of Presentation. Are your ideas clearly expressed? Is your paper focused, or does it wander? Can a reader easily identify your main points? Are the ideas presented elaborated sufficiently? Are there signposts to guide the reader? Are terms defined?
4. Organization. Is the paper organized effectively? Is the sequence of points made logical and clear? Does each paragraph have a central idea that a reader can easily identify?
5. Grammar, Spelling, Citations, Format. Is the copy clean and relatively free from grammatical errors? Have you cited ideas and facts drawn from published sources?

Peer Review of Paper Drafts

Each student will review two of their peers' paper drafts, and share their written reviews with the author to recommend improvements in the final draft. Peer reviews are to be shared with the authors on the day that they present their paper (April 7 or 14).

Final Papers due – Monday, April 25, 2022. (Submit to Canvas, double spaced)

Paper Presentations

On April 7 and 14, students will present their seminar papers. Drafts of their papers must be circulated no later than 11:59 pm on Friday, April 1 for all papers. Students will have 10

minutes to present, with 10 minutes of discussion following. Students who are not presenting on a given day should prepare brief constructive comments on ~3 of their classmates' paper drafts to offer during the discussions. Everyone is welcome to provide constructive feedback on other's papers.

Intellectual Stance

The class process aims to support graduate students' growth as independent scholars. As such, the class encourages diverse perspectives, alternative interpretations, and respectful contestation. It intends to create a welcoming context to freely explore uncertainties and puzzles. Part of the intellectual process is to seek clarification (and pose questions) when something seems confounding or unclear. The focus on the class will be on discussion and exchange of ideas, grounded in theoretically rigorous approaches, courageous and skilled examination of concepts, and evidence-based discussion.

Class Schedule

Note: Adjustments may be made to the schedule and content if advantageous for learning

Preamble: Introduction to Environmental Governance

Week One – Jan. 6 Class and Participant Introduction—

Broadly introduce philosophical contexts and instructors' intellectual foundations.

Background Reading:

Dryzek, Chapter 1. "Making Sense of Earth's Politics: A Discourse Approach."
Selections. In *Politics of the Earth*, Oxford University Press.

Dryzek's book evaluates the actors and storylines underlying three ideal type approaches to environmental governance: administrative rationalism (state-based approaches), economic rationalism (market-based approaches), and democratic pragmatist (participatory approaches).

Bennett, N. J. and T. Satterfield. 2018. Environmental Governance: A practical framework to guide design, evaluation and analysis. *Conservation Letters* 2018:11.
<https://doi.org/10.1111/conl.12600>.

Week Two – Jan 13: Degrowth and Designs for a New Society-Environment Relation

Session Leadership: _____

Kallis, G., Paulson, S., D'Alisa, G. & Demaria, F. 2020. The Case for Degrowth. Polity Press, Cambridge, UK & Medford, MA. Chapters 1-3, pp. 1-64. (Chapters available separately in Canvas)

Paulson, S. and Otto, J. 2017. Finding Common Ground: Exploring synergies between degrowth and environmental Justice in Chiapas, Mexico. *Journal of Political Ecology* 24:425-666.

Bartlett, A. Arithmetic, Population and Energy. Video. (74 minutes)
https://www.youtube.com/watch?v=sI1C9DyLi_8

In this lecture, Professor Emeritus Albert Bartlett presents a clear argument against growth. Marshalling logic, mathematics, concrete examples and illustrations, he lays out the fatal flaws in assumptions that economic growth is necessary for societal well-being. He further indicates the unsustainability of current rates of natural resource extraction and consumption. His reasoning provides foundational rationales that support of degrowth as integral for sustainability, even though he does not use the terminology of degrowth.

Optional Readings & Webcasts:

D'Alisa, G., G. Kallis, and F. Demaria. 2015. Epilogue: Austerity to Dépense. In *Degrowth: A vocabulary for a new era*. D'Alisa, Kallis, and Demaria, eds. Pp. 215-220. New York: Routledge.

Escobar, A. 2015. Degrowth, postdevelopment, and transitions: a preliminary conversation. *Sustainability Science* 10: 451-462.

Paulson, S. 2017. Degrowth: culture, power and change. *Journal of Political Ecology* 24: 425-448.

This webcast with LSE colleague Jason Hinkel provides a nice general intro to degrowth: [Everything you wanted to know about degrowth, and didn't know who to ask](#). Brave New Europe.

Lively event with Arturo Escobar hosted by UF Center for Latin American Studies, December 2020: [Latin American and Indigenous perspectives on degrowth](#).

Memo: Write a memo commenting on the critical contributions and controversies encompassed by the arguments presented in favor of degrowth. Considering the many controversial and potentially uncomfortable changes that would be required by degrowth, close your memo by posing at least one question or conundrum that you would like to discuss in class. *Post your memo and question(s) to Canvas/Discussions by 11:59 pm on Tuesday, Jan. 11. Read your classmates' memos and comment on at least two. Come to class prepared for discussion.*

Week Three – Jan 20: Performativity Theory and the Diverse Economies Research Programme

Session Leadership: _____

Gibson-Graham, J.K. 2008. "Diverse Economies: Performative Practices for 'Other Worlds'." *Progress in Human Geography* pp. 1–20.

Law, J. and Urry, J. 2004. "Enacting the Social." *Economy and Society* 33 (3), pp.390-410.

Either **A or B**:

A. Roelvink, G. 2020. Framing essay: Diverse Economies methodology. In: J. K. Gibson-Graham & Kelly Dombroski (ed.), *The Handbook of Diverse Economies*, chapter 50, pages 453-466, Edward Elgar Publishing.

OR

B. Gibson-Graham. J.K. 2014. Rethinking the Economy with Thick Description and Weak Theory. *Current Anthropology* 55(9): S147-S153

Skim at least one of the following empirical pieces:

Holmes, H. 2018. New Spaces, Ordinary Practices: Circulating and Sharing within Diverse Economies of Provisioning. *Geoforum* 88:138-147

Klagge B. & T. Meister (2018) Energy cooperatives in Germany – an example of successful alternative economies? *Local Environment* 23(7):697-716, DOI: [10.1080/13549839.2018.1436045](https://doi.org/10.1080/13549839.2018.1436045)

Marshman, J. & Knezevic, I., (2021) “What's in a name? Challenging the commodification of pollination through the diverse economies of 'Bee Cities'”, *Journal of Political Ecology* 28(1), p.124-145. doi: <https://doi.org/10.2458/jpe.2307>

McCourt, M. and G. Perkins 2018. Valuing the Diverse Economies and Climate Possibilities of a Winter Festival in Western Maine, USA. *IdeAs* [Online], 12 | Automne / Hiver 2018. Online since 05 November 2018, connection on 20 April 2019. <http://journals.openedition.org/ideas/3439> ; DOI : 10.4000/ideas.3439

Turnhout, E., S. van Bommel, N. Aarts. 2010. How Participation Creates Citizens: Participatory Governance as Performative Practice. *Ecology and Society* 15(4) 26.

Optional Further Reading:

Gibson-Graham, J.K. and K. Dombroski. 2020. *The Handbook of Diverse Economies*. Cheltenham, UK: Edward Elgar. 576 pages.

Krueger, R. C. Schulz, and D. C. Gibbs. 2018. Institutionalizing Alternative Economic Spaces? An Interpretivist Perspective on Diverse Economies. *Progress in Human Geography* 42(4): 569-589

Cameron, J. & Wright, S., 2014, ‘Researching Diverse Food Initiatives: From Backyard and Community Gardens to International Markets’, Editorial for Special Issue, *Local Environment: The International Journal of Justice and Sustainability*, 19(1), 1-9.

Memo: Write a memo where you engage the “diverse economies” research programme

and the performativity perspective, including your critical analysis of their key analytical strengths and weaknesses. What do you find most useful in these perspectives? What questions do you have? What concerns? *Read your classmates' memos and comment on at least two of them. Come to class prepared for discussion.*

Week Four – Jan 27: Performance and Public Measures: A Governance Mechanism?

Session Leadership: _____

Espeland W. and M. Sauder. 2007. "Rankings and Reactivity: How Public Measures Recreate Social Worlds." *American Journal of Sociology* 113(1): 1–40

Espeland and Sauder develop a theoretical view of a particular performative practice -- the power of public measures – to enact new social worlds.

Overdeest, C. 2010. "Comparing Forest Certification Schemes: The Case of Ratcheting Standards in the Forest Sector." Special Issue on Law and Legitimacy in Transnational Governance. *Socio-Economic Review* 8(1):47-76.

Similarly, this article seeks to demonstrate the importance of public measures in recreating social worlds.

Fung, A. and D. O'Rourke. 2000. "Reinventing Environmental Regulation From the Grassroots Up: Explaining and Expanding the Success of the Toxics Release Inventory." *Environmental Management* 25(2):115-127.

Unlike economic accounts of measures and measurements, which focus on information's effect on reputation and self-interest, F&O argue that the effectiveness of performance information is dependent on how it is used to mobilize a variety of societal actors in a particular field to put social pressure on targeted actors.

Optional Further Reading:

Bowen, F, S. Tang, and P. Panagiotopoulos. 2019. A Classification of Information-based Environmental Regulation: Voluntariness, Compliance and Beyond. *Science of The Total Environment*. 712. 135571. 10.1016/j.scitotenv.2019.135571.

Johnston-Edwards, S. and T.R. Walker 2020. An Overview of Canada's National Pollutant Release Inventory Program as a Pollution Control Policy Tool. *Journal of Environmental Planning and Management*, 63:6, 1097-1113, DOI: 10.1080/09640568.2019.1634525

O'Rourke D. and A. Ringer 2015. The Impact of Sustainability Information on Consumer Decision Making. *Journal of Industrial Ecology* 20(4) 882-892.

Overdeest C. and B. Mayer. 2008. Harnessing the Power of Information through Community Monitoring: Insights from Social Science. *Texas Law Review*. (86)7:1493-1526.

Memo: Write a memo where you identify and critically evaluate the idea that public measures are powerful, and, then raise 2-3 questions for discussion. Your questions might highlight challenges, point to complexity, and focus on controversy or probe utility, extension, and fruitfulness. *Read your classmates' memos and comment on at least two of them. Come to class prepared for discussion.*

Week Five –Feb. 3. Post WWII Approaches to Environmental Governance: Administrative Rationalism and Economic Rationalism

Session Leadership: _____

Short, J. 2012. “The Paranoid Style in Regulatory Reform.” *Georgetown Law Review*. Pp.1-65 (focus on p. 1-7, p 22- 63)

It is important in the study of environmental governance to understand critiques of different approaches to governance. Short overviews the major criticisms of state regulation emerging from the post-war economic literature, including characterizations of the “costly state,” the “captured state,” the “cognitively impaired state,” and the “coercive state.” Short argues that one of these views, more than others, legitimized the growth of private self-regulation in the 1980s and 1990s.

Brohe, A., N. Eyre, and N. Howarth. 2009. Chapter 2. “Emissions Trading: A New Tool for Environmental Management.” In *Carbon Markets: An International Business Guide*. London: Earthscan.

Optional Further Reading:

Mintz, J. 2005. “Has Industry Captured the EPA?: Appraising Marver Bernstein’s Captive Agency Theory After Fifty Years,” 17 *Fordham Environmental Law Review*. Pp.1-37.

REGBLOG (University of Penn Law School) did a series on regulatory capture. Check out various articles here: <http://www.regblog.org/2016/06/13/rooting-out-regulatory-capture/>

Memo, option 1: Taking the Short article into account, describe which, if any, of the four critiques you agree with and which you would argue against. Include a framing for each critique that indicates the underlying logic of the critiques and your choices. Suggest two or more questions for discussion. *Review your classmates' comments, indicate which questions (other than your own) that you would most like to discuss in class. You should identify a minimum of two questions posed by two different classmates. Come to class prepared for discussion.*

Memo, option 2: Write a summary and critique of market-based emissions trading schemes as an environmental governance mechanism, as discussed by Brohe et al. What questions do you have? Suggest two or more questions for discussion. *Review your classmates' questions. Then for your peer commentaries, indicate which questions (other than your own) that you would most like to discuss in class. You should identify a minimum of two questions posed by two different classmates.*

Week Six –Feb 10: Civil-Society Approaches: Regulation through Multi-stakeholder Standard Setting and Environmental Certifications Movement

Session Leadership: _____

Meidinger, E. 2003. "Forest Certification as a Global Civil Society Regulatory Institution." In: *Social and Political Dimensions of Forest Certification*. Pp. 265-289. Forstbuch: Nordrhein-Westfalen, Germany.

Background reading on one of the first civil society regulatory institutions: the Forest Stewardship Council. Meidinger develops the notion that these are more than "market-based" regulatory devices as is evidenced in their deliberative standard setting forums, power balancing among interest groups.

More critical views:

Graeme A., S. Renckens, and B. Cashore, 2015 "Transnational Private Governance between the Logics of Empowerment and Control" *Regulation and Governance*. 9(2): 108-124

Levy, D., J. Reinecke and S. Manning. 2016. "The Political Dynamics of Sustainable Coffee: Contested Value Regimes and the Transformation of Sustainability." *Journal of Management Studies*. 53:3 (364-401)

Recent review of impacts:

Skim: Komives, K., A. Arton, E. Baker, E. Kennedy, C. Longo, A. Pfaff, C. Romero, and D. Newsom. 2018. Conservation impacts of voluntary sustainability standards: How has our understanding changed since the 2012 publication of 'Toward sustainability: The roles and limitations of certification'? Washington DC: Meridian Institute.

Optional Further Reading:

Steering Committee of the State-of-Knowledge Assessment of Standards and Certification. 2012. *Toward sustainability: The roles and limitations of certification*. Washington, DC: RESOLVE, Inc. Read the Executive Summary pp. ES1-ES18.
Consensus review of the state of play by the actors themselves. The Steering Committee is a group of certified firms, standard setting organizations and academics.

Cashore, B., Knudsen, J. S., Moon, J., & van der Ven, H. (2021). Private Authority and Public Policy Interactions in Global Context: Governance Spheres for Problem Solving. *Regulation & Governance*, 15(4), 1166-1182. <https://doi.org/10.1111/rego.12395>

Renckens, S. 2020. Disaggregating public-private governance interactions: European Union interventions in transnational private sustainability governance, *Regulation & Governance*, 10.1111/rego.12332, 15, 4, (1230-1247).

Van der Ven, H. Y. Sun, and B. Cashore, 2021. Sustainable commodity governance and the global south, *Ecological Economics*, 10.1016/j.ecolecon.2021.107062, 186, (107062).

Memo: The readings this week juxtapose various views of the promise and challenges of NGO-led certification movements operate as governance devices. After considering the arguments and evidence presented here, bolstered by any supplemental reading you may do, please present your view of certification as a governance device. Be sure to incorporate and discuss the **theories and concepts** encountered in the readings in your analysis. What questions do you have? *Read your classmates' memos and come to class prepared for discussion.*

Week Seven –Feb 17: Civil-Society Approaches: Commons Theory, Common-Pool Resources and Common Property

Session Leadership: _____

This week introduces commons theory, and circumstances in which common-pool resources may be most effectively governed as common property and community-based institutions. In addition, it will explore the complications of understanding “community” and how various factors within and across levels of governance can pose challenges for community-based natural resource management. It will engage with Ostrom’s eight principles associated with long-enduring common-pool resource regimes, as well as the types of rules – and their diversity – discovered to exist in such regimes.

Required Reading:

Brief Overview of Ostrom’s Design Principles (1990/2005) and Cox, et al. (2010) Modifications (Compiled by C. Tucker)

Ostrom, E. 2005. Part III. Working with Rules: Ch.8 – “Using Rules as Tools to Cope with the Commons; Ch.9 – “Robust Resource Governance in Polycentric Institutions.” In *Understanding Institutional Diversity*. Princeton, NJ: Princeton University Press.

With this text, Ostrom advances an empirically substantive critique of one-size-fits-all policy approaches, and musters evidence on the advantages and limitations of local governance of commons. The discussion refines assessments of the design principles and types of rules associated with long-enduring common-pool resource regimes, as first introduced in her seminal book, Governing the Commons.

Choose one of these two theoretical readings (read both if time allows):

Agrawal, A., and C. Gibson. 1999. "Enchantment and Disenchantment: The Role of Community in Natural Resource Conservation." *World Development* 27:629-49.

This reading is considered by many commons scholars to be among the most synthetic and thorough discussions of the advantages and pitfalls of using "community" as the unit of analysis for studying natural resource management.

McKean, M. 2001. "Common Property: What Is It, What Is It Good for, and What Makes It Work?" In *People and Forests: Communities, Institutions, Governance*. C. Gibson, M. McKean and E. Ostrom, eds. Pp. 27-55. Cambridge, MA: MIT Press.

McKean's chapter provides a clear explanation for the differences between common-pool goods and property rights, and why common property (especially when applied to common-pool resources) can be economically and environmentally efficient and sustainable in certain contexts. One key point is that a "good" presents inherent qualities, while property is a human creation imposed upon goods. Common property is accurately explained as joint private ownership.

Case Study Readings (Choose any two):

These articles offer a range of empirical findings on community-based resource management as well as explanations for contexts in which groups may choose ownership arrangements that appear counter to theoretical expectations.

Heber-Dunning, K. 2015. "Ecosystem services and community-based coral reef management institutions in post blast-fishing Indonesia." *Ecosystem Services* 16:319-332.

Lockyer, J. 2017. "Community, commons, and degrowth at Dancing Rabbit Ecovillage." *Journal of Political Ecology* 24: 519-542.

Garcia Lopez, G., Velica, I. & D'Alisa, G. 2017. Performing Counter-Hegemonic Common(s) Senses: Rearticulating Democracy, Community and Forests in Puerto Rico. *Capitalism Nature Socialism*. <http://dx.doi.org/10.1080/10455752.2017.1321026>

Tucker, Catherine M. 2010. "Private Goods and Common Property: Pottery Production in a Honduran Lenca Community." *Human Organization* 69:43-53.

Optional Further Reading:

Cox, Michael, Gwen Arnold, and Sergio Villamayor Tomás. 2010. "A Review of Design Principles for Community-based Natural Resource Management." *Ecology and Society* 15(4):38.

Cox et al. analyze the findings of numerous case studies that have assessed Ostrom's design principles for long-enduring communal management of common-

pool resources, and suggests some modifications while showing ample evidence supporting the principles.

Mwangi, Esther. 2007. "The Puzzle of Group Ranch Subdivision in Kenya's Maasailand." *Development and Change* 38(5):889-910.

Netting, Robert McC. 1976. "What Alpine Peasants Have in Common: Observations on Communal Tenure in a Swiss Village." *Human Ecology* 4(2):135-46.

Netting's Alpine Peasants article is considered a classic that provides valuable insight to ecological factors that shape local choices for communal or private land ownership. His work was among the inspirations for Ostrom's work on long-enduring common-pool resource regimes, and continues to be cited as a key reference.

Berkes, F. 2007. "Community-based conservation in a globalized world." *Proceedings of the National Academy of Sciences of the United States of America* 104(39):15188-93.

Memo: Critically evaluate the contributions of this theoretical focus on community-based environmental governance and commons dilemmas. What does it offer to discussions of environmental governance that complements or transcends other approaches? Consider what the case studies indicate about the benefits and challenges confronting governance of the commons, and community-based resource management, in the modern global system. Ask at least one question for clarification or general class discussion. *Read your classmates' memos and comment on at least two of them. Come to class prepared for discussion.*

Week Eight – Feb 24: Social-Ecological Systems Approaches and Institutional Analysis

Session Leadership: _____

Social-Ecological Systems (SES) approaches have become an integral part of conceptualizing systemic social-environmental processes and implications for environmental governance. Current research is using these approaches to understand governance challenges and effective adaptation in contexts of rapid local-to-global social-ecological change processes.

Ostrom, E. 2009. A General Framework for Analyzing Sustainability of Social-Ecological Systems. *Science* 325: 419-422. <https://www.science.org/doi/10.1126/science.1172133>

This article formally introduced the SES Framework. It emerged over a decade of collaborative work, discussion, preliminary testing and contestation among Ostrom's colleagues, students, and other researchers. Ostrom intended this framework as a dynamic, synthetic and flexible approach for analyzing and addressing the great diversity of environmental governance conundrums. It explicitly built on and extended the Institutional Analysis and Development (IAD) Framework (see Optional Further Readings below). She also hoped it would demonstrate the futility of any panacea for solving social-ecological problems.

Ironically, the SES Framework's adherents and critics have found it difficult to use dynamically, and some have interpreted it as a static tool rather than an evolving framework. Nevertheless, the SES Framework is among the most influential of the SES approaches, and has been adopted by a number of researchers as a tool for systematically assessing the strengths, weaknesses, and functionality /sustainability of SES, especially at local and regional scales.

Colloff, M.J., B. Martín-López, S. Lavorel, B. Locatelli, R. Gorddard, P.Y. Longaretti, G. Walters, L. van Kerkhoff, C. Wyborn, A. Coreau, R.M. Wise, M. Dunlop, P. Degeorges, H. Grantham, I.C. Overton, R.D. Williams, M.D. Doherty, T. Capon, T. Sanderson, and H.T. Murphy. 2017. "An integrative research framework for enabling transformative adaptation." *Environmental Science and Policy* 68:87-96. doi: 10.1016/j.envsci.2016.11.007.

This promising framework, proposed by the Transformative Adaptation Research Alliance, entails a Values, Rules, Knowledge (VRK) perspective. This article introduces the perspective and a dynamic transformative model for envisioning pathways toward sustainability. It has been adapted for use in case studies supporting co-production of knowledge in climate change adaptation, which will be discussed in Week 11.

McGinnis, M. and E. Ostrom. 2014. Social-Ecological System Framework: Initial changes and challenges. *Ecology and Society* 19. URL: <http://dx.doi.org/10.5751/ES-06387-190230>

Choose one of these case studies to read:

Leslie, H., X. Basurto, M. Nendovic, K. Cavanaugh, J. J. Cota-Nieto, B. Erisman, E. Finkbeiner, G. Hinojosa-Arango, M. Moreno-Sriniketh, S. Reddy, A. Sánchez-Rodríguez, K. Siegel, J. J. Ulibarria-Valenzuela, A. Hudson Weaver, O. Aburto-Oropeza. 2015. Operationalizing the social-ecological systems framework to assess sustainability. *PNAS* 112(19):5979-5984.

Nagendra, Harini, and Elinor Ostrom. 2014 "Applying the Social-Ecological System Framework to the Diagnosis of Urban Lake Commons in Bangalore, India." *Ecology and Society* 2014: 19.

Optional Further Reading:

McGinnis, M. 2011. An Introduction to IAD Framework and the Language of the Ostrom Workshop: A Simple Guide to a Complex Framework. *Policy Studies Journal* 39(1):169-183.

McGinnis provides definitions of concepts that are foundational for the IAD Framework and institutional analysis, as well as a brief overview of the IAD Framework. These are integral to Ostrom's 2005 chapters assigned for this week.

McGinnis reveals the care that the Ostrom Workshop has given to constructing a common language. Many of the terms have a range of meanings in scholarly and public use. The Ostrom Workshop endeavored to bring consistency and clarity to important foundational terms through precise definitions, which are often narrower than often found in general use.

Ostrom, E. 2011. Background on the Institutional Analysis and Development Framework. *Policy Studies Journal* 39:7-27.

Young, Oran. 2010 Institutional Dynamics: Resilience, vulnerability and adaptation in environmental and resource regimes. *Global Environmental Change* 20:378-385.

Memo: Write a memo evaluating the contributions and challenges of social-ecological systems frameworks represented by these readings. Given that institutional approaches are integral to these frameworks, consider how these complement, contrast with, and potentially inform theories on the vanguard, such as degrowth and performativity. Include at least one question for discussion (underline your discussion question). Consult the McGinnis 2011 to check the correct definitions for central concepts. *Read your classmates' memos, comment on at least two of them, and come to class prepared for discussion.*

Week Nine—Mar. 3: Exploring Complexities, Contradictions, and Potentials of Multilevel, Multiscale and Multi-Partner Governance of Natural Resources

Session Leadership: _____

This class will explore the theoretical bases for, and efforts of, decentralization and multiscale, multi-partner approaches to resolve environmental problems by restructuring existing policies and social-political arrangements to facilitate or incentivize improved (more sustainable) management.

Lockwood, M., J. Davidson, A. Curtis, E. Stratford & R. Griffith. 2010. Governance Principles for Natural Resource Management. *Society & Natural Resources* 23 (10): 986-1001. URL: <http://dx.doi.org/10.1080/08941920802178214>

Lawless, S., Song, A. M., Cohen, P. J. & Morrison, T. H. 2020. Rights, equity and justice: A diagnostic for social meta-norm diffusion in environmental governance. *Earth System Governance*, 6, 100052.

Sattler, C.; B. Schröter; A. Meyer; G. Giersch; C. Meyer; and B. Matzdorf. 2016. Multilevel governance in community-based environmental management: a case study comparison from Latin America. *Ecology and Society* 21.

Optional Further Reading:

Agrawal, Arun, and Maria Carmen Lemos. 2007. "A Greener Revolution in the Making? Environmental Governance in the 21st Century." *Environment* 49(5):36-45.

Dell'Angelo, J., P. McCord, E. Baldwin, M. Cox, D. Gower, K. Caylor, and T. Evans. 2014. "Multilevel Governance of Irrigation Systems and Adaptation to Climate Change in Kenya." in *The Global Water System in the Anthropocene: Challenges for Science and Governance*, A. Bhaduri, J. Bogardi, J. Leentvaar, and S. Marx, eds. Pp. 323-41. Cham: Springer International Publishing.

Gómez-Baggethun, E.; E. Kelemen; B. Martín-López; I. Palomo; and C. Montes. 2013. Scale Misfit in Ecosystem Service Governance as a Source of Environmental Conflict. *Society and Natural Resources* 26:1202-1216.

Gruby, R. and X. Basurto. 2013. Multi-Level Governance for Large Marine Commons: Politics and Polycentricity in Palau's Protected Area Network. *Environmental Science and Policy* 33:260-272.

Larson, A. M., D. Barry, and G. R. Dahal. 2010. "New Rights for Forest-Based Communities? Understanding Processes of Forest Tenure Reform." *International Forestry Review* 12(1):78-96.

Wright, G. D., K. Andersson, C. Gibson, and T. Evans. 2015. "What incentivizes local forest conservation efforts? Evidence from Bolivia." *International Journal of the Commons* 9(1):322-46.

Assignment: Develop three questions for discussion that draw on or are inspired by the required readings and one of the supplemental readings. Include a brief framing for each question that indicates the underlying key issues, controversies, or puzzles raised by the readings. Feel free to pose questions that require comparisons and/or critical assessments with earlier readings and theoretical approaches. *Review your classmates' questions and framing. Then for your peer commentaries, indicate which questions (other than your own) that you would most like to discuss in class. You should identify a minimum of two questions posed by two different classmates.*

March 5 – 13 Spring Break

Week Ten – Mar. 17: : Global Commodity Chain Governance

Session Leadership: _____

De Marchi, V. E. Di Maria, A. Krishnan, and S. Ponte. 2019. Chapter 19: Environmental upgrading in global value chains. Pp. 310-323. In the Handbook of Global Value Chains. S. Ponte, G. Gereffi, and G. Raj-Reichert, (Eds). Cheltenham, UK: Edward Elgar.

O'Rourke, D. 2014 "The Science of Sustainable Supply Chains." *Science*. 344(6188):1124-1127.

Skim: Short, J.L. M.W. Toffel & A. R. Hugill, 2020. "Improving Working Conditions in Global Supply Chains: The Role of Institutional Environments and Monitoring Program Design." *ILR Review*, Cornell University, ILR School, vol. 73(4):873-912.

*While this recent large-scale analysis focuses empirically on labor rights rather than sustainability, there is no reason this study approach could not be replicated for environmental issues. (Dissertation research topic anyone?)
Hint for skimming: Because this paper is organized around hypotheses, you can skim the abstract, the hypotheses and the findings.*

Optional Further Reading:

Gereffi, G. 1994. "The Organization of Buyer-Driven Global Commodity Chains: How U.S. Retailers Shape Overseas Production Networks." Pp. 95-122 in *Commodity Chains and Global Capitalism*, edited by G. Gereffi and M. Korzeniewicz. Westport CT: Greenwood Publishing Group.

A classic statement on the power of "big buyers" to coordinate global production under conditions of economic globalization.

Bush, S.R., P.J.M. Oosterveer, M.L. Bailey, and APJ Mol. 2015. Sustainability Governance of Chains and Networks: A Review and Future Outlook. *Journal of Cleaner Production* 107 (2015): 8-19.

A review of theoretical perspectives on global supply chains as sites of governance under conditions of economic globalization.

Mook, A. and C. Overdevest 2021. What Drives Market Construction for Fair Trade, Organic and GlobalGAP certification in the Global Citrus Value Chain? Evidence at the Importer Level in the Netherlands and the US Supply Chain. *Business Strategy and Environment*. 30(7): 2996-3008.

Sabel, Charles O'Rourke, Dara and Archon Fung. 2001. *Ratcheting Labor Standards: Regulation for Continuous Improvement in the Global Workplace*. Boston: Beacon Press

Assignment: Develop three questions for discussion that draw on or are inspired by the required readings and one of the supplemental readings. Include a brief framing for each question that indicates the underlying key issues, controversies, or puzzles raised by the readings. Feel free to pose questions that require comparisons and/or critical assessments with earlier readings and theoretical approaches. *Review your classmates' questions and framing. Then for your peer commentaries, indicate which questions (other than your own) that you would most like to discuss in class. You should identify a minimum of two questions posed by two different classmates.*

Week Eleven – March 24: Transdisciplinary Science and Co-Production of Knowledge for Sustainable Environmental Governance

Session Leadership: _____

Reid, R. S., D. Nkedianye, M. Y. Said, D. Kaelo, M. Neselle, O. Makui, L. Onetu, S. Kiruswa, N. Ole Kamuaro, P. Kristjanson, J. Ogutu, S. B. BurnSilver, M. J. Goldman, R. B. Boone, K. A. Galvin, N. M. Dickson, and W. C. Clark. 2016. "Evolution of models to support community and policy action with science: Balancing pastoral livelihoods and wildlife conservation in savannas of East Africa." *Proceedings of the National Academy of Sciences* 113(17):4579-84.

Reid et al. report on a long-term project working that developed a continuous engagement model with pastoral communities to create hybrid local-scientific knowledge relevant for conservation planning and policy. The project aimed to transcend power inequities that typically exist between researchers, community members, and policy makers.

Colloff, M.J., R. Gorddard, N. Abel, B. Locatelli, C. Wyborn, J.R.A. Butler, S. Lavorel, L. van Kerkhoff, S. Meharg, C. Múnera-Roldán, E. Bruley, G. Fedele, R.M. Wise, and M. Dunlop. 2021. "Adapting transformation and transforming adaptation to climate change using a pathways approach." *Environmental Science & Policy* 124:163-174. doi: <https://doi.org/10.1016/j.envsci.2021.06.014>.

Colloff et al. examine case studies that applied an Intentional Transformative Adaptation approach to co-produce knowledge and create effective pathways toward sustainability. They found that ITA led to some constructive outcomes, yet also faced difficulties to overcome power imbalances, enable cooperation, and achieve transformation.

Steger, C., Klein, J. A., Reid, R. S., Lavorel, S., Tucker, C. M., Hopping, K. A., Marchant, R., Teel, T., Cuni-Sanchez, A., Dorji, T., Greenwood, G., Huber, R., Kassam, K.-A., Kreuer, D., Nolin, A., Russell, A., Sharp, J. L., Šmid Hribar, M., Thorn, J. P. R., Grant, G., Mahdi, M., Moreno, M. & Waiswa, D. 2021. Science with society: Evidence-based guidance for best practices in environmental transdisciplinary work. *Global Environmental Change*, 68, 102240.

Steger et al. offer an rigorous analysis of a global survey of researchers involved in transdisciplinary research projects to identify practices that appear to be effective. They also consider the challenges and shortcomings of transdisciplinary research to achieve co-production of knowledge and shared goals. The article highlights the current state of transdisciplinary research and provides insights for its applicability and limitations to inform and improve environmental governance.

Optional Further Reading:

Alcorn, J.B., A. Zarzycki, and L.M. De La Cruz. 2010. Poverty, governance and

conservation in the Gran Chaco of South America. *Biodiversity* **11:39-44**.

Bray, D., E. Duran, and O.A. Molina-Gonzalez. 2012. Beyond harvests in the commons: multi-scale governance and turbulence in indigenous/community conserved areas in Oaxaca, Mexico. *International Journal of the Commons* **6:151-178**.

Smedstad, J.A. and H. Gosnell. 2013. Do Adaptive Comanagement Processes Lead to Adaptive Comanagement Outcomes? A Multicase Study of Long-term Outcomes Associated with the National Riparian Service Team's Place-based Riparian Assistance. *Ecology and Society* **18**.

Memo: In light of the readings, write two paragraphs that lay out (1) what you see as the greatest challenge(s) for achieving equitable, cross-scale and sustainable environmental governance. And (2) explore the question: Does transdisciplinary science and co-production of knowledge offer a notable departure or advance over any other approaches discussed in class? Why or why not? Then pose one question for discussion. *Read your classmates' paragraphs and questions before class and leave a peer commentary on at least two. Come to class prepared for discussion.*

Week Twelve – Mar. 31: Topic of Student Choice TBA, Synthesis and Going Forward (e.g., Global Climate Change Governance, Disaster Risk Reduction)

Assignment: Prepare at least two questions for discussion of the chosen theme. No memo will be required this week, but readings should be prepared for discussion.

Week Thirteen - April 7: Student Presentations

Week Fourteen - April 14: Student Presentations

Week Fifteen - April 21: Reading Day - No Class

Seminar Paper Due Monday, April 25 by 11:59 pm

Course Policies:

Policy on Plagiarism / Cheating:

Plagiarism in written assignments (i.e. the copying of material without citation of the source) is unacceptable. It will lead to a zero on the assignment or paper if it is of a minor degree (less than a paragraph), and to a failing grade in the course in cases of extensive copying without citation. If you have doubts about when and how to cite sources, Dr Tucker will be glad to answer your questions.

Emergencies:

If you have a medical or family emergency that prevents you from completing an assignment or exam on time, or results in extended absence, bring it to the attention of

professor as soon as possible. Reasonable accommodations will be made with proper documentation.

Class Attendance Policy:

- **If you have been exposed to a contagious disease (COVID19, flu) or if you are not feeling well for any reason – DO NOT COME TO CLASS.** You will not be penalized for taking precautions. **If you test positive for COVID-19 or have been tested and are awaiting results, you may send an email copy of this test in lieu of a doctor’s note. Accommodations will be made for illnesses.**
- If you need to miss a class for any reason, you need to email the instructors to provide an explanation of why you are or will be absent. It is always acceptable to have absences for religious observances and university sponsored athletic or scholarly events (e.g., conferences, musical performances, etc). You must advise the instructor in advance of scheduled and foreseeable absences.
- If you are withheld from campus, then you cannot attend class until you are cleared.
- You are responsible for all material and information shared in class. It is a good idea to find classmates with whom you can exchange notes.
- If you miss a class and want to discuss missed material, make an appointment with one of the instructors to go over what you missed and any questions you may have.
- **If you are ill or otherwise unable to complete assignments on time, please notify your instructors immediately.** It is advisable to provide documentation (e.g., doctor’s note) to get an extension to submit a late assignment.
- This class conforms to UF Attendance Policies:
<https://catalog.ufl.edu/UGRD/academic-regulations/attendance-policies/#illnesspolicytext>

University Policies and Services:

This course is aligned with the UF policies below.

- Contact Hours: "Contact Hours" refers to the hours per week in which students are in contact with the instructor, excluding office hours or other voluntary contact. The number of contact hours in this course equals the number of credits the course offers.
- Workload: As a Carnegie I, research-intensive university, UF is required by federal law to assign at least 2 hours of work outside of class for every contact hour. Work done in these hours may include reading/viewing assigned material and doing explicitly assigned individual or group work, as well as reviewing notes from class, synthesizing information in advance of exams or papers, and other self-determined study tasks.
- Accommodation for Student with Disabilities: Students with disabilities who experience learning barriers and would like to request academic accommodations should connect with the disability Resource Center by visiting <https://disability.ufl.edu/students/get-started/>. This class supports the needs of different learners; it is important for students to share their accommodation letter with their instructor and discuss their access needs as early as possible in the semester.
- Statement Regarding Evaluations: Students are expected to provide professional and respectful feedback on the quality of instruction in this course by completing course evaluations online via GatorEvals. Guidance on how to give feedback in a professional

and respectful manner is available from the Gatorevals website. Students will be notified when the evaluation period opens, and can complete evaluations through the email they receive from GatorEvals, in their Canvas course menu under GatorEvals, or via the evaluation system. Summaries of course evaluation results are available to students at the public results website.

Honor Code

UF students are bound by The Honor Pledge which states, “We, the members of the University of Florida community, pledge to hold ourselves and our peers to the highest standards of honor and integrity by abiding by the Honor Code. On all work submitted for credit by students at the University of Florida, the following pledge is either required or implied: “On my honor, I have neither given nor received unauthorized aid in doing this assignment.”

In addition, students may not publish (including sharing with other students) any recording of a class lecture without the written consent of the lecturer. (See In-Class Recording below)

The Honor Code (sccr.dso.ufl.edu/process/student-conduct-code/) specifies a number of behaviors that are in violation of this code and the possible sanctions. Furthermore, you are obligated to report any condition that facilitates academic misconduct to appropriate personnel. If you have any questions or concerns, please consult with the instructor or TA in this class.

UF Resources

University Police: The UF police are together for a safe campus. Phone: 392-111 (911 for emergencies)

<http://www.police.ufl.edu>

Career Connections Center: (352-392-1601 | CareerCenterMarketing@ufsa.ufl.edu) connects job seekers with employers and offers guidance to enrich your collegiate experience and prepare you for life after graduation.

Counseling and Wellness Center (352-392-1575) provides counseling and support as well as crisis and wellness services including a variety of workshops throughout the semester (e.g., Yappy Hour, Relaxation and Resilience).

Dean of Students Office (352-392-1261) provides a variety of services to students and families, including Field and Fork (UF’s food pantry) and New Student and Family programs

Disability Resource Center(DRCaccessUF@ufsa.ufl.edu | 352-392-8565) helps to provide an accessible learning environment for all by providing support services and facilitating accommodations, which may vary from course to course. Once registered with DRC, students will receive an accommodation letter that must be presented to the instructor when requesting accommodations. Students should follow this procedure as early as possible in the semester.

Multicultural and Diversity Affairs (352-294-7850) celebrates and empowers diverse communities and advocates for an inclusive campus.

Office of Student Veteran Services (352-294-2948 | vacounselor@ufl.edu) assists student military veterans with access to benefits.

ONE.UF is the home of all the student self-service applications, including access to:

- Advising
- Bursar (352-392-0181)
- Financial Aid (352-392-1275)
- Registrar (352-392-1374)

Official Sources of Rules and Regulations

The official source of rules and regulations for UF graduate students is the Graduate Catalog. Quick links to other information are provided below:

- Student Handbook
- Student Responsibilities, including academic honesty and student conduct code
- e-Learning Supported Services Policies includes links to relevant policies including Acceptable Use, Privacy, and many more
- Accessibility, including the Electronic Information Technology Accessibility Policy and ADA Compliance
- Student Computing Requirements, including minimum and recommended technology requirements and competencies

Communications and Netiquette:

- **Remember that all in-person and online communications -- discussion, posts, chats, email – should be respectful and polite.**
- Intellectual debate and contestation is an important part of learning and intellectual exchange. It is expected that students will have different perspectives and opinions, and everyone is welcome (and expected) to share their perspectives and understanding of information and concepts relevant to the course content. In all cases, the language and tone of the words is expected to remain respectful.
- Opinions, perspectives, personal experiences and hypotheses are valuable to share in a respectful manner. If you claim that something is a fact, you may be asked to support it with a verifiable and reputable source.