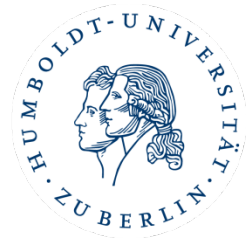


HUMBOLDT-UNIVERSITÄT ZU BERLIN



Berlin Workshop in
Institutional Analysis of
Social-Ecological Systems

Workshop in Institutional Analysis of Social-Ecological Systems (WINS)

Inception Workshop

July 14-16, 2014



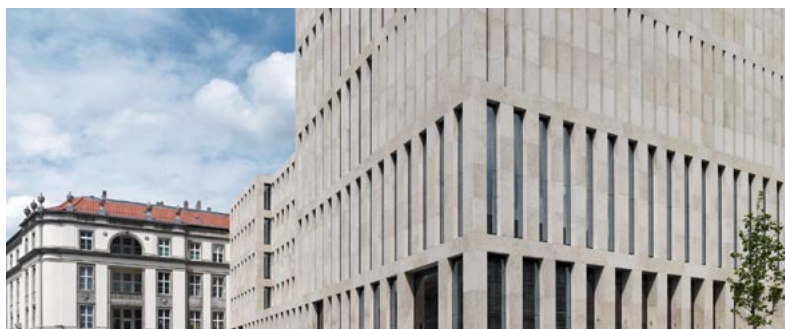
Humboldt-Universität zu Berlin

Jacob-und-Wilhelm-Grimm-Zentrum

Auditorium

Geschwister-Scholl-Straße 1

10117 Berlin



We gratefully acknowledge the support by our generous donors!

KOSMOS Programme

HUMBOLDT-UNIVERSITÄT ZU BERLIN



IRI THESys – Integrative Research
Institute on Transformations of
Human-Environment Systems



Sfi Sachverständige für Immissionsschutz



Schweisfurth-Stiftung



WINS Coordination Group

Prof. Dr. Dr. h.c. Konrad Hagedorn	Division of Resource Economics, Humboldt-Universität zu Berlin
Prof. Dr. Markus Hanisch	Division of Economics of Agricultural Cooperatives, Humboldt-Universität zu Berlin
Prof. Dr. Andreas Thiel	Guest Professorship Environmental Governance, Humboldt Universität zu Berlin
Dr. Timothy Moss	Leibniz Institute for Regional Development and Structural Planning (IRS,) Research Department Institutional Change and Regional Public Goods

Organisers of the WINS Inception Workshop

Wiebke Hampel, M.Sc.	Ranjan Kumar Ghosh, M.Sc.	Ines Jeworski, Dipl.-Ing. (FH)
Dr. rer. agr. Katrin Daedlow	Dr. Dimitrios Zikos	Reinhold Wilhelm, M.Ed.
Renate Judis, Dipl.-Sprachm.	Katharine Nora Farrell, Ph.D.	Sergio Villamajor-Tomas, Ph.D.

Background

The organisers of the WINS Inception Workshop together with a large group of young and advanced scholars are establishing a permanent workshop called the “Berlin Workshop in Institutional Analysis of Social-Ecological Systems” (WINS). WINS will be under the umbrella of “IRI THESys”, the Integrative Research Institute at the Humboldt-Universität zu Berlin (HU Berlin) devoted to the study of “Transformations of Human-Environment Systems”. WINS aims at stimulating discourse, research and education across the boundaries of scientific communities. In that integrative role, WINS is conceived as a space for enhancing interaction of scholars from local and international networks to engage in multidisciplinary knowledge generation and dissemination. Shedding light on the complexity and diversity that are characteristic of socio-ecological systems is urgent in view of pertinent global food problems, increasing scarcity of natural resources, growing degradation of the natural environment, and the future challenges of climate change and energy provision. Accordingly, WINS is to be open to relevant topics of problem-oriented research in the area of socio-ecological institutional change and governance reform.

The WINS Inception Workshop is considered as a starting event for this process. It aims at organising discussion and deliberation between internationally renowned scholars on Institutional Analysis of Social-Ecological Systems and will include both senior and junior researchers to produce commitment towards long-term collaboration. Although various scientific communities deal with this subject area, they approach their research issues in quite different ways, mainly because they use different analytical frameworks and research heuristics. Communication and collaboration across most of these scientific communities seems rather weak. Hence, organizing integrative discourses and interdisciplinary research between them, combined with joint advanced teaching, may enhance processes of knowledge generation and dissemination. In detail, this Workshop will bring together scientists from four identified clusters of analytical frameworks for studying social-ecological systems:

1. Analytical Frameworks Cluster I
 - (a) Agrarian Institutions and Agricultural Contracts
 - (b) Political Economy of Food and Agriculture
 - (c) Post-socialist Transition of Agriculture
2. Analytical Frameworks Cluster II
 - (a) Institutional Analysis and Development Framework
 - (b) The Social-Ecological Systems Framework
 - (d) Polycentricity and the State
3. Analytical Frameworks Cluster III
 - (a) Institutions of Sustainability
 - (b) New Institutional Economics
 - (e) Cooperatives Frameworks
4. Analytical Frameworks Cluster IV
 - (a) Institutional Fit, Interplay and Scale
 - (b) Multi-Level Governance
 - (c) Adaptive Systems Heuristics

Bridging across Scientific Communities

Both the Inception Workshop and the foundation of WINS are building one of the most promising achievements in the area of institutional analysis of natural resource systems: This is the recognition that human-environment interactions that are mediated by linked social and ecological systems, often via specific technologies and infrastructure, require a high degree of institutional diversity and polycentric governance. Sustainability of social-ecological systems crucially depends on actors' individual and collective behaviour guided by adequate institutions (sets of rules) and governance structures (forms of organisation). The scientific communities involved in institutional analysis of linked social-ecological systems have often developed their own and sometimes very specific analytical frameworks using quite different heuristics and languages. This diversity reflects the wide spectrum of physical transaction and transformation activities through which humans interact in social-ecological systems. Such activities include, for example, conversion of entire resource systems, withdrawal of resource units, production, provision or consumption of goods and services based on ecological and biological processes, or using the absorption capacity of ecological systems for waste deposit and pollution. Specialisation of scientific communities on a limited range of activities explains the emergence of different framings. Although necessary, such specialisation should not prevent the building of a common understanding across abovementioned communities.



The core activities of WINS, i.e. discourse, research and education, will draw on both an international and a local network of scholars from various schools and disciplines, having in common their interest in institutional analysis of social-ecological systems. The association of scholars to WINS will be in the shape of affiliated faculty coming from different organisations such as HU-based faculty, other German or foreign universities and research institutes. A visiting scholar

programme is intended to serve as one major mechanism to attract scholars and to integrate them into joint research and advanced academic education. Special attention will be paid to integrating young academics into the affiliation structure, for example by means of a WINS Young Researchers Club. A Deliberation Circle of affiliated scholars will support the WINS Coordinators in designing and developing the Workshop. The constitutional understanding of WINS is not to form a cluster of individuals working in the bondage of narrow rules and inflexible procedures. In contrast, the vision associated with the WINS initiative aims at making the Workshop lively by developing a culture of openness and thus welcoming everybody, provided that he or she may contribute to the WINS objectives.

WINS will not only connect different communities of scholars but also establish linkages between scholars and practitioners in the public and private sectors such as politicians, administrators, managers and experts from companies or civil society organisations. As such process of mutual learning are urgently required, WINS discourses will go beyond the bounda-

ries of the ivory tower and seek contact to the wicked problems in social and economic and political realities. A yearly WINS meeting of scholars and practitioners may serve this objective.

WINS will develop an integrative bridging strategy across the above-mentioned communities of scholars and practitioners. To this end, it aims to engage with a corresponding agenda in all three relevant areas of activity: discourse, research and training. WINS is expected to become a forum for both advanced and young scholars interested in discussing and working together on existing or future problems by using analytical frameworks, theories and methodologies contributing to their understanding and solution. It aims to stimulate integrative discourses across scientific communities approaching social-ecological systems from similar or contrasting analytical perspectives, to engage in new forms of academic education, create a stimulating environment to launch interdisciplinary research projects, and also intends to inform the policy dialogue based on problem-oriented analysis. This requires building capacity for collective action by emerging research groups of WINS affiliated faculty.

Objectives

This Starting Workshop is organised in support of the foundation of the “Berlin Workshop in Institutional Analysis of Social-Ecological Systems” (WINS). Accordingly, it will cover a number of objectives which will be relevant for developing a long-term perspective for collaboration between the scientific communities involved:

- Comparing four “clusters” of analytical frameworks based on inputs by representatives from the respective communities (see above);
- Promoting discussion on interdisciplinary approaches to study social-ecological systems from an institutional perspective;
- Discussing how different scientific approaches are to be integrated into the future WINS structure and activities;
- Bringing together scientist from different schools and countries including junior and senior researchers and establishing linkages to practitioners;
- Extending the Inception Workshop towards a series of annual workshops for regularly discussing the activities of WINS with a network of researchers;

The expected output will be establishing a robust and lively scientific network for junior and senior scientists under the guidance of WINS. Within this network it is intended to conduct interdisciplinary teaching and research projects and to trigger joint publishing activities.

Participants

Participants of the Inception Workshop will be scholars from universities and research institutes. Presenters and other guests will be invited as representatives of the four clusters of analytical frameworks mentioned above. Local participants will be junior researchers such as PhD students and senior scientists from HU Berlin, for example from IRI THESys and the Divisions of Environmental Governance, Cooperative Sciences and Resource Economics, and from the neighbouring research institutes.

Programme

The workshop structure and the workshop programme are designed as follows.

WINS Inception Workshop at a Glance

Time	Monday	Time	Tuesday	Time	Wednesday
	July 14, 2014		July 15, 2014		July 16, 2014
		9am	Panel CAF II	9am	Panel CAF IV
11.30am	Registration	10.30am	Coffee Break	10.30am	Coffee Break
12pm	Introduction	11am	Panel CAF II	11am	Panel CAF IV
2pm	Coffee Break	12.30pm	Lunch	12.30pm	Lunch
2.30pm	Panel CAF I	2pm	Panel CAF III	1.30pm	Conclusions
4pm	Coffee Break	4pm	Coffee Break	3.30pm	Coffee Break
4.30pm	Panel CAF I	4.30pm	Panel CAF III	4pm	WINS Inauguration
6.00pm	<i>Get-together</i>	6pm	-----	6:00	<i>Reception</i>
Thursday, 17 July, and Friday, 18 July - Post-Workshop Interaction: bilateral or/and group meetings					

CAF = Cluster of Analytical Frameworks

After the welcome addresses two introductory presentations will be given. On Monday afternoon, Tuesday and Wednesday morning the workshop sessions will be structured according to the four scientific clusters of analytical frameworks mentioned above. In each session, advanced researchers who are experts in the particular cluster will introduce their analytical frameworks and its application in their own research, followed by organised discussions.

The scholars representing the analytical frameworks will not only explain their approaches but also address a number of questions given by the organizers of the Inception Workshop, which are intended to enable a comparative view on the analytical frameworks. The presentations will be followed by a discussion which will be opened by a discussant. In this way, the audience may be able to use the opportunity to develop a detailed understanding of the frameworks, heuristics and theories presented.



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The last session of the workshop on Wednesday afternoon will start with reporting core messages from the presentations and discussions what lessons can be learned for the future work of WINS. In particular, the question will be raised as to how to proceed in the future, i.e., how to organise WINS and incorporate the different disciplines and communities studying human-environmental systems into the future structure, discourses, cooperative research and teaching activities of

WINS. After this session, on Wednesday late afternoon, the official inauguration ceremony of WINS will take place. Bilateral and group meetings will be arranged on Thursday and Friday.

A group of Workshop Observers will analyse the processes of communication and deliberation that take place during the sessions. They will report about their impressions and conclusions at the end of the Inception Workshop. Another group will take care of the documentation of the presentations and discussions.

Programme of the WINS Inception Workshop

Monday 14th July 2014

Time	Subject	
11.30am	<i>Registration (Entrance Hall)</i>	
12.00 – 1.30pm	Introduction	<i>Chair: Prof. Dr. Andreas Thiel, Environmental Governance, Humboldt-Universität zu Berlin</i>
12.00 – 12.10pm	Workshop Opening Prof. Dr. Dr. h.c. Konrad Hagedorn , Division of Resource Economics, Humboldt-Universität zu Berlin	
12.10 – 12.20pm	Welcome Address from IRI THESys Prof. Dr. Jörg Niewöhner , European Ethnology, Humboldt-Universität zu Berlin	
12.20 – 12.30pm	Greetings from the Ostrom Workshop Prof. Tom Evans, Ph.D. , Ostrom Workshop, Indiana University, Bloomington	
12.30 – 1.00pm	Vision of the Workshop in Institutional Analysis of Social-Ecological Systems Prof. Dr. Dr. h.c. Konrad Hagedorn , Division of Resource Economics, Humboldt-Universität zu Berlin	
1.00 – 1.30pm	Challenges and Opportunities of Building WINS: The art of working together Prof. Arild Vatn, Ph.D. , International Development and Environment Studies, Norwegian University of Life Sciences, Ås	
1.30 – 2.00pm	Discussion	
2.00 – 2.30pm	<i>Coffee Break</i>	
2.30 – 6.00pm	Analytical Frameworks Cluster I	
	(a) Agrarian Institutions and Agricultural Contracts (b) Political Economy of Food and Agriculture (c) Post-socialist Transition of Agriculture	
2.30 – 4.00pm	Prof. Dean Lueck, Ph.D. , Department of Agricultural and Resource Economics, University of Arizona <i>The Economic Institutions of Land and Agriculture</i> Prof. Dr. Volker Beckmann , Division of Economic Sciences and Landscape Economics, Universität Greifswald <i>Searching for Frameworks. Agrarian institutions and the post-socialist transition experience</i>	<i>Chair</i> Prof. Dr. Achim Schlüter Leibniz Centre for Marine Tropical Ecology & School of Humanities and Social Sciences, Jacobs University Bremen <i>Discussant</i> Prof. Dr. Volker Beusmann Agriculture and Plant Breeding, Universität Hamburg
4.00 – 4.30pm	<i>Coffee Break</i>	
4.30 – 6.00pm	Prof. Dr. Regina Birner , Division of Social and Institutional Change in Agricultural Development, Universität Hohenheim <i>Analyzing Governance and Policy Processes in Agricultural Development: Conceptual Frameworks and Empirical Case Studies</i> Prof. Dr. Johann Kirsten , Department of Agricultural Economics, University of Pretoria <i>The Political Economic of Food Price Policy in South Africa</i>	<i>Chair</i> Prof. Dr. Insa Theesfeld Division of Agricultural, Environmental and Food Policy, Martin-Luther-Universität Halle-Wittenberg <i>Discussant</i> Dr. Franz Gatzweiler Centre for Development Research (ZEF), Department of Economic and Technological Change, Bonn
6.00pm	<i>Get-together (Auditorium)</i>	

Tuesday 15st July 2014

Time	Subject
9.00 – 12.30am	Analytical Frameworks Cluster II
	<p>(a) Institutional Analysis and Development Framework (b) The Social-Ecological Systems Frameworks (c) Polycentricity and the State</p>
9.00 – 10.30am	<p>Prof. Daniel Cole, JSD, Vincent and Elinor Ostrom Workshop in Political Theory and Policy Analysis, Indiana University, Bloomington <i>Formal Institutions and the IAD Framework: Bringing the law back in</i></p> <p>Prof. Dr. Andreas Thiel Environmental Governance, Humboldt-Universität zu Berlin <i>Scoping the State in Polycentric Governance: the role of characteristics of problems, governance functions and constitutional rules</i></p> <p><i>Chair</i> Prof. Eric Coleman, Ph.D. Department of Political Science, Florida State University</p> <p><i>Discussant</i> Prof. Dr. Michael Kirk Chair of Development and Cooperative Economics, Universität Marburg</p>
10.30 – 11.00am	Coffee Break
11.00 – 12.30pm	<p>Prof. Dr. Frank van Laerhoven, Copernicus Institute of Sustainable Development - Environmental Governance, Universiteit Utrecht <i>Using the SES Framework for the Study of Global Systems</i></p> <p>Katharine Nora Farrell, Ph.D., Division of Resource Economics, Humboldt-Universität zu Berlin <i>Coevolution of Social and Ecological Systems: An analytical economics approach</i></p> <p><i>Chair</i> Prof. Tom Koontz, Ph.D. School of Environment and Natural Resources, Ohio State University</p> <p><i>Discussant</i> Dr. Jochen Hinkel Research Process Adaptation and Social Learning, Global Climate Forum Berlin</p>
12.30 – 2.00pm	Lunch
2.00 – 6.00pm	Analytical Frameworks Cluster III
	<p>(a) Institutions of Sustainability (b) Applied New Institutional Economics (c) Cooperatives Frameworks</p>
2.00 – 4.00pm	<p>Prof. Dr. Dr. h.c. Konrad Hagedorn, Division of Resource Economics, Humboldt-Universität zu Berlin <i>The Impact of Nature-related Transactions on Action Situations and Emerging Institutions</i></p> <p>Prof. Dr. Eric Brousseau, Professor of Economics & Management, Université de Paris-Dauphine <i>Combining Levels and Modes of Governance to Deal with the Tragedy of the Commons</i></p> <p>Prof. Dr. Rolf Künneke, Faculty of Technology, Policy and Management, Delft University of Technology <i>Aligning Institutions and Technology: The case of the electricity sector</i></p> <p><i>Chair</i> Prof. Dr. Wolfgang Bokelmann Division of Horticultural Economics, Humboldt-Universität zu Berlin</p> <p><i>Discussant</i> Prof. Dr. Petri Ollila Department of Economics and Management, University of Helsinki</p>
4.00 – 4.30pm	Coffee Break

4.30 – 6.00pm	<p>Prof. Dr. Guido van Huylenbroeck, Department of Agricultural Economics, Dean of the Faculty of Bioscience Engineering, Ghent University</p> <p><i>Using a Transaction Cost Framework to Unravel Nested Institutions and Organizations in Agriculture</i></p> <p>Prof. Dr. Markus Hanisch, Division of Cooperative Sciences, Humboldt-Universität zu Berlin</p> <p><i>Cooperatives - Managing cost of pricing and cost of ownership dilemmas</i></p>	<p><i>Chair</i> Dr. Vladislav Valentinov Leibniz Institute of Agricultural Development in Transition Economies (IAMO) Halle</p> <p><i>Discussant</i> Prof. Constantine Iliopoulos, Ph.D. Director of Agricultural Economics Research Institute & Agricultural University of Athens</p>
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Wednesday 16th July 2014

Time	Subject	
9.00 – 12.30am	Analytical Frameworks Cluster IV	
	<p>(a) Institutional Fit, Interplay and Scale</p> <p>(b) Multi-Level Governance</p> <p>(c) Adaptive Systems Heuristics</p>	
9.00 – 10.30am	<p>Dr. Timothy Moss, Leibniz Institute for Regional Development and Structural Planning (IRS), Head of the Department “Institutional Change and Regional Public Goods”</p> <p><i>Reflections on Problems of Fit, Interplay and Scale</i></p> <p>Prof. Jouni Paavola, Ph.D., School of Earth and Environment, University of Leeds</p> <p><i>Towards Economics of Multi-Level Environmental Governance and Polycentric Governance Arrangements</i></p>	<p><i>Chair</i> Dr. Christian Kimmich Organisational Unit Environmental and Resource Economics, Swiss Federal Institute for Forest, Snow and Landscape Research</p> <p><i>Discussant</i> Dr. Ines Dombrowsky, Department Environmental Policy and Natural Resource Management, German Institute for Development Research, Bonn</p>
10.30 – 11.00am	<i>Coffee Break</i>	
11.00 – 12.30pm	<p>Prof. Dr. Claudia Pahl-Wostl, Director of the Institute of Environmental Systems Research, Universität Osnabrück</p> <p><i>Water Governance in the Face of Global Change: From understanding to transformation</i></p> <p>Prof. Dr. Ayalneh Bogale, Adviser: Climate Change and Agriculture, Department of Rural Economy and Agriculture, African Union Commission, Addis Ababa, Ethiopia</p> <p><i>Institutional Innovation for Building Resilience to Climate Change in Africa</i></p>	<p><i>Chair</i> Prof. Dr. Antje Bruns Geography Department, Humboldt-Universität zu Berlin</p> <p><i>Discussant</i> Prof. Dr. Juha Hiedanpää Finnish Game and Fisheries Research Institute, Helsinki</p>
12.30 – 1.30pm	<i>Lunch</i>	

1.30 – 3.30pm	Analysis of the Workshop and Conclusions for Developing WINS	<i>Chair</i> Dr. Timothy Moss Leibniz Institute for Regional Development and Structural Planning (IRS) Erkner, Head of the Department "Institutional Change and Regional Public Goods"
1.30 – 3.00pm	Synthesis, Discussion and Next Steps <i>Impressions from Workshop Observers</i> Sergio Villamajor-Tomas, Ph.D. , Division of Resource Economics, Humboldt-Universität zu Berlin Dr. Dimitrios Zikos , Division of Resource Economics, Humboldt-Universität zu Berlin Dr. Philipp Grundmann , Department Technology Assessment and Substance Cycles, Leibniz Institute for Agricultural Engineering, Potsdam-Bornim e.V. (ATB) Potsdam Dr. Ilona M. Otto , Research Domain II, Climate Impacts & Vulnerabilities, Potsdam Institute for Climate Impact Research (PIK)	
3.00 – 3.30pm	Lessons Learned for the Future Development of WINS Prof. Dr. Dr. h.c. Konrad Hagedorn , Division of Resource Economics, Humboldt-Universität zu Berlin	
3.30 – 4.00pm	<i>Coffee Break</i>	

4.00 – 6.00pm	WINS Inauguration Ceremony	Special programme (Auditorium)
6.00pm	<i>Reception (Auditorium)</i>	

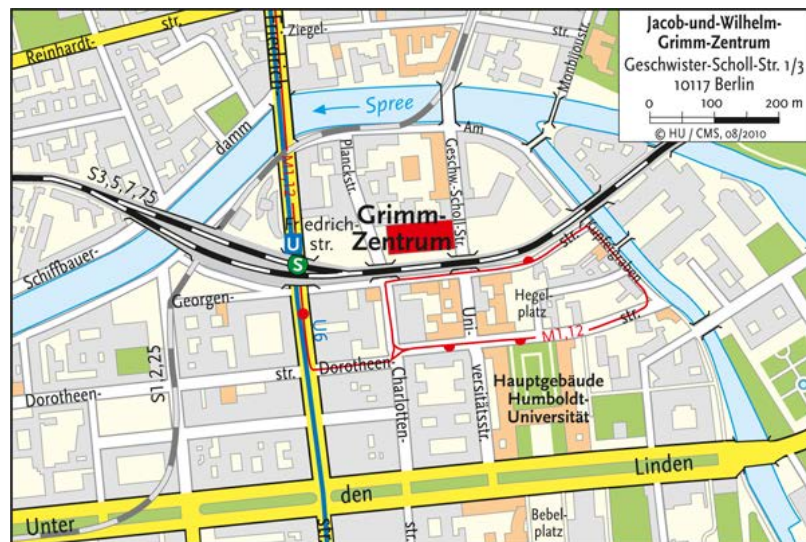
Thursday 17th July 2014 and Friday 18th July 2014

Time	Subject
09.00 – 6.00pm	Post-Workshop Interaction: Individual and Group Meetings
	<ul style="list-style-type: none"> • Enhancing communication between individual scholars and research communities • Initiating dialogues with politicians, administrators, practitioners and civil society • Discussing research interests, forming research groups and exploring funding • Exchanging ideas on writing together, publications and conference participation • Advanced teaching and trainings based on collaboration between scholars • Making arrangements for future cooperation with and affiliation to WINS
Rooms for meetings are available and group meetings will be organized on request	

	Documentation of Workshop Contributions and Discussions
	Dr. Katrin Daedlow , Division of Resource Economics, Humboldt-Universität zu Berlin Dr. Matteo Roggero , Environmental Governance, Humboldt-Universität zu Berlin Dr. Nataliya Stupak , Division of Resource Economics, Humboldt-Universität zu Berlin Ranjan Kumar Ghosh, M.Sc. , Division of Resource Economics, Humboldt-Universität zu Berlin

Venue

The Inauguration Ceremony will take place in the **Auditorium** of the **Jacob-und-Wilhelm-Grimm-Zentrum**, Side Entrance at Geschwister-Scholl-Str. 1, 10117 Berlin. Accommodation is available in nearby hotels. Further information on the Workshop in Institutional Analysis of Social-Ecological Systems (WINS) can be found at www.wins.hu-berlin.de



Jakob-und-Wihelm-Grimm Zentrum, HU Berlin

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