Environmental Institutions
ESM 248, Winter 2014
Professor: Mark Buntaine (buntaine@bren.ucsb.edu)
Class meeting: Monday / Wednesday 2:30-3:45 (Bren 1510)
Office hours: Tuesday 3-5pm or by appointment (Bren 4520)

NO CLASS MEETING ON W 1/15, M 1/20, M 2/17; Make-ups sessions TBA

Course Summary

Institutions are rules or constraints, both formal and informal, that shape individual, group, and organizational interactions. Because institutions exist in a vast array of forms at many different levels, they affect nearly every aspect of environmental management. This course will provide tools that can be used to analyze informal, local, national, and international institutions. By recognizing the myriad of rules and constraints that affect the design, implementation, and evaluation of individual environmental management activities and policies, you will be equipped to design successful activities and policies in a variety of settings.

Critical to all types of institutional analysis are the concepts of establishment, change, monitoring and enforcement. Higher level institutions often determine how actors can establish and change institutions: national or state constitutions, cultural practices, or legal frameworks. For any rule or constraint to have force, some entity must be willing to impose costs or provide rewards for compliance. Mechanisms of enforcement include social pressures, market demand, legal sanctions, and reputational status. To be able to enforce rules or constraints, information about violations or compliance must be available. Monitoring can come about in a variety of ways: dense social relationships, government audits, private certification schemes, or reporting requirements. Institutional analysis deals with the interactions and outcomes of these processes. As we will see, individual environmental policies and management activities are seldom effective if not integrated into broader institutions.

Course Goals

- Analyze how formal and informal institutions affect individual and organizational interactions in a variety of settings;
- Explore the opportunities for and limits of institutional change at the community, domestic and global levels;
- Assess how the effectiveness of policies is based on supporting institutions;
- Complete a variety of professional tasks that use institutional analysis for environmental management;
- Develop professional communication skills related to institutional analysis;

Evaluation

Mini-Projects: The main goal of this course is to use institutional analysis to complete tasks found in professional settings. As such, the course is built around four mini-projects, as will be outlined in separate documents. For each of the mini-projects, you are encouraged (but are not required) to collaborate with up to two other course
members. You may only collaborate with any single person **one** time over the four mini-projects. Everyone in a group must take full ownership of the final product and will receive the same grade, since I have no way to distinguish individual contributions. Choose your collaborators carefully. At the end of the course, we will conduct anonymous peer evaluations that will factor into your participation grade.

**Note:** Because make-up sessions were not scheduled at the time of writing, due dates do not appear in this syllabus. You will need to check GauchoSpace for due dates. The written assignments will generally be due one week after the associated presentation.

**Participation:** Your active participation is important for the success of this course. Unlike a traditional lecture course evaluated by exams, sessions have been designed to build skills through active participation and discussion. I expect that you have closely read all of the assigned articles and documents before coming to class and that you are prepared to engage in critical discussions of these readings at all sessions. In addition, you will be required to prepare professional presentations for the four mini-projects, the quality of which will factor into your participation grade. You are expected to attend all course sessions. Talk to me beforehand if you need to miss class for a legitimate reason. For your second and each subsequent absence without prior notice, a grade increment will be deducted (e.g., A to A-) from your final grade.

**Mini-Project #1** 20%
**Mini-Project #2** 20%
**Mini-Project #3** 20%
**Mini-Project #4** 20%
**Participation** 20%

**Assignment completion policy:** You must complete all assignments to pass the course.

**Re-grades:** I take student evaluation seriously and do not entertain requests to re-grade assignments unless I receive a formal, written request for a re-grade that compellingly documents a serious oversight on my part. A serious oversight on my part indicates that the entire assignment should receive further attention. Your score may go up or down if I decide that an assignment needs re-grading, so plan accordingly. That being said, I strongly encourage you to meet with me during office hours to discuss the substance of my comments about your projects.

**Academic Honesty:** I expect you to adhere to the highest standards of academic honesty. This means only turning in work that is your own and properly citing all information and ideas that you draw from others. Any assignment that does not adhere to UCSB academic honesty guidelines will not receive credit and will be referred to campus judicial procedures. See: [http://judicialaffairs.sa.ucsb.edu/CMSMedia/Documents/academicintegflyer.pdf](http://judicialaffairs.sa.ucsb.edu/CMSMedia/Documents/academicintegflyer.pdf)
Key for types of class sessions: **Discussion, Lecture, Activity, Presentations**

**Defining and Identifying Institutional Forms and Features**

**Session 1 – Course introduction and institutional brainstorming (D)**

**Session 2 – Defining and identifying institutions: the Nobel Laureates (L/D)**


Ostrom, *Governing the Commons*, Chs. 1 & 2

**Session 3 – Norms, social pressure, and individual behavior (D)**


**Session 4 – Local institutions and common-pool resources (L/D)**

Ostrom, *Governing the Commons*, Ch. 3/4/5 (choose one) & Ch. 6 (everybody).


**Session 5 – Global institutions and common-pool resources (L)**


**Session 6 – Climate Change Negotiations (A)**


Activity: World Climate negotiation simulation
https://mitsloan.mit.edu/LearningEdge/simulations/worldclimate

Session 7 – Presentations of Institutional Profiles (P)


Mini-project #1: identifying the institutional features that affect the management of an environmental resource of your choice and submit a 4-5 page institutional profile.

Information and Enforcement

Session 8 – Information (L/A)


Activity: Choose one of the listed environmental problems. Brainstorm at least three types of institutional solutions that would use information to solve the environmental problem. We will have short presentations where you present these options and discuss their advantages and disadvantages.

Session 9 – Enforcement (L/D)


Session 10 – Voluntary, market-based regulation (L)


Session 11 – Involuntary, market-based regulation (L)


Session 12 – Presentations of Eco-Label analysis (P)


*Mini-project #2: Analysis of an Eco-Label from the perspective of a firm or an NGO. Write a 4-5 page strategic assessment about how the firm or NGO should behave with respect to the Eco-Label based on the institutions it establishes.*

Public Institutions: Law, Government, and Public Policy

Session 13 – Comparative political institutions (L)


Session 14 – Participation and rule setting (D/A)


**Activity:** Investigate California institutions described in Lubell 2010. Mock negotiations in two forums based on different sets of participants.

**Session 15 – Foreign aid and government reform (L)**

Buntaine, M., Buch, B.P., Parks, B.C. Why the “results agenda” produces few results: an evaluation of the long-term institutional development impacts of World Bank projects. Working Paper.


**Session 16 – Presentations of Country Institutional Analysis (P)**


Read 2-3 examples of country environmental analysis by the World Bank at: [http://go.worldbank.org/EUDXSC92I0](http://go.worldbank.org/EUDXSC92I0)

(then click right side “Completed CEA Reports”)

**Mini-project #3:** Complete an 4-5 page institutional analysis of a developing country’s environmental management activities in some sector and propose a plan for any needed institutional reform.

**Creating, Changing, and Working With Existing Institutions**

**Session 17 – Creating and Changing Institutions (L)**


**Session 18 – Advocacy, NGOs, and institutional constraints (D)**


**Session 19 – Marine Conservation in Weak Institutional Environments (D)**


**Session 20 – Protected Area Proposal (P)**


*Mini-project #4: Create an 4-5 page executive summary of a proposal for institutions that will be used to manage a protected area currently being proposed or reformed.*