E622 (Section #28775)
Empirical Theory and Methods Research Seminar
International Forestry Resources and Institutions
Indiana University - Fall 2011
Workshop in Political Theory & Policy Analysis, 513 N. Park

Instructor:
Catherine Tucker, Anthropology
Phone: 855-7516
Email: tuckerc@indiana.edu
Office: Student Bldg 044
Office Hrs: Tues 9–11am & By appt.

Guest Lecturers:
Burney Fischer, SPEA
Phone: 856-5016
Email: bufische@indiana.edu
Office: SPEA 321
Office Hrs: By appt.

Elinor Ostrom, Workshop, Political Science
Email: ostrom@indiana.edu
Office: Workshop, Park 1, 204
Office Hrs: By appt. through Nicole Todd

Computer and Database Instructors:
Julie England, CIPEC
Phone: 855-3196
Email: england@indiana.edu
Robin Humphrey, CIPEC
Email: chumphre@indiana.edu

Course Logistics:
Nicole Todd
Office: Workshop, Park 1, 205
Phone: 855-7704
Email: stodd@indiana.edu

Graduate Assistant:
Sobhi Mohanty, SPEA
Office: Workshop, Park 3, 105
Phone: 855-8092
Email: somamoha@indiana.edu

Weekly Schedule: THIS IS A 9-WEEK COURSE

Regular Class Meetings (Required for All Participants): Monday & Wednesday 2-5 p.m.
Location: Workshop in Political Theory & Policy Analysis, 513 N. Park

Supplemental Technical Training (Required for IFRI Visiting Scholars, Recommended for Graduate Students): 9-11 a.m. Tuesday and Thursday

Fieldwork Dates (Required for All Participants): Arranged with case study community. Most fieldwork must be done during evenings and weekends.

Introduction

This research seminar is designed to explore theoretical foundations and research methods for studying human-environment interactions, especially human interrelationships with forests. It explores how human activities and institutions impact forest conditions over time, with special consideration to institutional, collective action and common property theories. The course provides in-depth exposure to the International Forest Resources and Institutions (IFRI) Research Program through fieldwork in a nearby forest community. IFRI currently involves 12 research centers in 10 countries in Africa, Asia and the Americas. It is an international, comparative, multidisciplinary, and longitudinal research program that studies human-forest interrelationships, forest management institutions and change processes.
The course includes Indiana University graduate students in diverse disciplines who are interested in learning about multi-method research techniques, and for visiting scholars ("IFRI Trainees") who are interested in participating in research related to the International Forestry Resources and Institutions (IFRI) Research Program. Although there are times when the requirements of the two groups differ, we find that the combination produces a very positive learning environment for everyone who participates.

All class members will work closely together so that both learn how to apply theory, do fieldwork, record fieldwork data, and analyze data. While graduate students will be primarily responsible for writing the final case study report for our training site, visiting scholars will be expected to participate in outlining the key findings for this study, contribute to the final report, and review it for completeness, accuracy, and tone. While IFRI scholars are responsible for writing their own research plans, graduate students will contribute ideas and comments for visiting scholars’ research proposals. Since this seminar involves actual field research it requires a substantial investment of time, especially because it is an intensive 9-week course. Please consult the class calendar to make certain you can meet the time requirements of this class.

In addition to the two class times for all participants, we have a number of trips to the field. Visiting scholars also participate in database training (graduate students are welcome) to learn the use of the MS Access relational database.

**Required Texts**


**Assigned Readings**

Assigned readings are available on Ocourse/Resources/Readings unless otherwise noted. Readings may be updated or added during the course.

**Course Expectations**

All seminar participants will:

- Read current literature about the relationship between people and forests.
- Learn the theoretical bases and concepts of collective action theory and institutional analysis.
- Learn the relationships between theoretical foundations and practical applications as developed in the International Forestry Resources and Institutions Research Program.
- Discuss the assumptions and hypotheses of the IFRI Research Program.
- Learn the principles of constructing a research design.
- Apply social science fieldwork methods through on-site research in a forest community.
- Learn methods for measuring forest conditions.
h. Learn how to test hypotheses through basic statistical methods using fieldwork data.
i. Complete the IFRI research forms using fieldwork data.
j. Participate in writing and editing the final report to the study community.

In addition, Visiting Scholars will:
k. Learn the elements of the IFRI relational database.
l. Learn how to update, archive, and maintain the IFRI MS Access database.
m. Practice using the IFRI database to enter, extract, and query IFRI data.
n. Write a research proposal.
o. Make a presentation to the class (topic will be decided with Dr. Tucker).

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**Logistics**

The course schedule is intense and complex. In addition to regular class meeting times, we meet on several weekends and weekday evenings for fieldwork. Insofar as possible, fieldwork times and places have been scheduled (see the syllabus), but additional times will be scheduled for interviews with forest community members at their convenience.

Because we have a great deal of work to do in a short period of time, please arrive to class and other course activities a few minutes before they start, especially fieldwork events. (If the weather is poor, we advise you to arrive even earlier.)

The class will begin precisely at the times listed; if you are late, you are responsible for finding out what you missed from another participant after class.

It is important to check email regularly and provide a phone number in case there is a last minute change of plans. As with all fieldwork, we will encounter unforeseen challenges.

Cooperation and patience are fundamental – only as a team will we complete the course and the case study report successfully.

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**Course Requirements and Grading**

1. **Participation, Assignments, Social and Forest Data Collection:** Participate fully in fieldwork and class discussions. Complete assignments as indicated for class. Come prepared for class discussions and contribute your opinions. Participation is 10% of the course grade.

2. **Field Notes:** Write field notes on social data following community visits and interviews. **Post field notes to Oncourse** by the deadline indicated for community visits or within 24 hours of doing an interview. Field notes are 10% of the course grade.

3. **IFRI Form Presentation:** Analyze the assigned IFRI forms. Present orally a short (15 minute maximum) analysis. The presentation should summarize the form and include: (1) a brief summary of the overall purpose of the form; (2) a brief discussion of the important sections and concepts found in the form; (3) questions that seem susceptible to misinterpretations; and (4) hypotheses that can be addressed with the data collected on the form. Form presentation is 5% of the grade.

4. **IFRI Form Completion:** Work as teams to complete the IFRI forms, due on **Wednesday, October 12** at class time. The final version of the forms must have all parts completed,
and written in neat and legible handwriting or typing (or a combination). Forms must identify the individuals who completed them. Completed forms are 15% of the grade.

5. **Brief Written Commentary on Readings and Questions for Discussion**: 10% of the grade.

6. **Midterm Examination**: Complete a take-home midterm that covers all the material assigned in class through September 28. The midterm will be distributed in class on September 28. It is due on **Friday, September 30 by 5 p.m.** The midterm is worth 20% of the grade.

7. **Case Study (required for graduate students, optional for IFRI visiting scholars)**: Be responsible for writing the case study. This entails organizing and writing the first, second, third and final drafts of the report, with participation of IFRI visiting scholars. The third draft is due on Wednesday, October 26 (the last day of class). The final draft will take longer than the duration of the course. The report must follow the format specified in the *Workshop Style Manual*. Consult the *Chicago Manual of Style* for additional editorial guidelines. The final version of the report is due on **Friday, November 18 by 5:00 p.m.** Submit the final to Oncourse/Resources/Final Report. Also submit one complete hard copy and one CD-ROM with complete text and appendices, including tables, figures, references and maps with all associated coverages and datafiles (excluding data entered in the IFRI database). The case study is worth 30% of the grade.

**Additional Course Expectations for IFRI Visiting Scholars (IFRI Trainees)**

1. **Research Design**: Write a research design based on your research interests that incorporates IFRI methods or uses the IFRI database (5-8 pages). This is due **Monday, October 10**. The instructor will meet with you individually about this assignment.

2. **Presentation to the Class**: Present a talk to the class about your research interests and directions. You may opt to: (1) present your research design, or (2) present past research findings and discuss how future work could include IFRI. These presentations will be scheduled for October 17 and 24.

3. **Supplemental Technical Training (IFRI Database)**: Participate in the twice-weekly supplemental technical training classes on use and management of the IFRI database with Julie England.
Course Schedule

August 29:  
**Introduction**  
Monday 2-5 p.m., 513 N. Park  

Class Themes  
- Introduction of course, instructors and class participants  
- E622 goals, responsibilities, and syllabus  
- Introductory discussion of major questions and challenges related to natural resource management  
- Origins of the International Forest Resources and Institutions (IFRI) Research Program  

Guest Lecturer: Elinor Ostrom  

Recommended Reading  

Websites of Interest  
- Digital Library of the Commons: [http://dlc.dlib.indiana.edu/](http://dlc.dlib.indiana.edu/)  
- International Association for the Study of the Commons (IASC): [http://www.indiana.edu/~iascp/](http://www.indiana.edu/~iascp/)  

August 31:  
**Theoretical and Methodological Foundations**  
Wednesday 2-5 p.m., 513 N. Park  

Class Themes  
- Theoretical bases for understanding institutions for natural resource management  
- Approaches to research design  
- IFRI research strategy and conceptual model  
- Principles and structure of relational databases  

Guest Lecturer: Julie England  

Assignment  
Look over the IFRI Forms before class. Think about which ones you would like to present to the class. During class the IFRI forms will be assigned for presentation on September 7, 12, and 14 (you may not get your first choice).  

Readings  

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**Recommended**


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**September 5:** *LABOR DAY - NO CLASS*

**September 7:**

**Fieldwork Methods and Ethics & Introduction to Lothlorien, IFRI Form Presentations**

Wednesday 2-5 p.m., 513 N. Park

**Class Themes**

- Introductory discussion of Lothlorien reports and *Unreal Estate*
- Discussion of fieldwork methods and ethics, taking field notes
- Presentation and discussion of three *IFRI Field Manual* Forms: Site Overview, Forest and Settlement

**Assignment**

Bring a 1-2 paragraph typed response to the questions: Based on the readings, what is your impression of Lothlorien? What would you like to learn more about during the fieldwork?

**Readings**

**Lothlorien IFRI Reports:**


*IFRI Field Manual* Forms: Site Overview, Forest and Settlement

**September 10 SATURDAY**
*Meeting with Lothlorien Elder Council and Community*
1:00 – 5:00 p.m. (fieldwork return time is approximate)
Meet at the Workshop parking lot at 1:00 p.m. to leave for Lothlorien

**Special Notes**
Bring a field notebook and a pen or pencil. **DO NOT** bring your IFRI Field Manual for community visits.

**September 12:**
*Managing Common-Pool Resources and Understanding Institutions; Discussion of Visit to Lothlorien and Field Notes; IFRI Form Presentations*

Monday 2-5 p.m., 513 N. Park

**Class Themes**
- Discussion of readings and commentaries on theoretical approaches to institutions for management of common-pool resources
- Presentation and discussion of three *IFRI Field Manual* Forms (User Group, Association, User Group to Forest Relationship)

**Assignments**
Submit your fieldnotes from Saturday, September 10 to Oncourse/Resources/Fieldnotes before class. Hand in a hard copy of your fieldnotes at class time.

Write a 1-page commentary or critique on any two of the readings (each book chapter is considered one reading). IFRI Forms **Do Not** count. Due at class time.

**Readings**
*IFRI Field Manual* Forms: User Group, Association, User Group to Forest Relationship


Ostrom, E. 2005. Chapters 1, 2 and 8 in *Understanding Institutional Diversity*.

**Recommended**

**September 14:**
*Global Forest Issues and Indiana Forests, IFRI Form Presentations, Discussion of Field Notes from First Visit to Lothlorien*

Wednesday 2-5 p.m., 513 N. Park

**Guest Lecturer:** Burney Fischer

**Class Themes**
- Discussion of Indiana forests
- Presentation and discussion of four *IFRI Field Manual* Forms: Forest Plot, Forest Products, Governance, Organizational Inventory
• Discussion of field notes from September 10

**Assignments**

Bring two questions (typed to hand in at the end of class) based on readings regarding global forest problems and/or Indiana forests.

Read everyone's field notes on Oncourse from September 10 before class. Come prepared to comment on content and differences among note-taking styles.

**Readings**


*IFRI Field Manual* Forms: Forest plot, Forest Products, Governance, Organizational Inventory.


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**September 17 (or 18): Visit to WILD MAGICK GATHERING AT LOTHLORIEN**

To Be Arranged

**Special Notes**

Bring a field notebook and a pen or pencil. **DO NOT** bring your IFRI Field Manual for community visits.

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**September 19:**

*Property Rights Considerations in Common-Pool Resources; Identifying User Groups*

Monday 2-5 p.m., 513 N. Park

**Class Themes**

- Identifying User Groups in Malshegu Sacred Grove reading
- Discussion of readings on property rights dimensions of forest management
- Discussion of fieldwork and fieldnotes from Wild Magick Gathering

**Assignments**

Submit your field notes from the Wild Magick gathering to Oncourse before class. Hand in your written analysis of the IFRI User Group(s) and Forest Associations(s) in: Dorm-Adzobu, Clement, and Peter G. Veit. 1991. *Religious Beliefs and Environmental Protection: The Malshegu Sacred Grove in Northern Ghana*. Maximum 1 page typed (a brief description of each user group and association is adequate). Be prepared to discuss the rationale for your decisions in class.
Readings


September 21:
Forest Mensuration
Wednesday 2-5 p.m., 513 N. Park

Guest Lecturer: Burney Fischer

Class Themes
- Methods of forest assessment and measurement
- Forest mensuration techniques and practice session
- How IFRI measures forests.

Readings


September 25 SUNDAY:
Forest Mensuration Work
Sat. 8:30 a.m. - 5:00 p.m. Meet at Workshop parking lot (513 N Park). Come dressed for work in the forest. Bring a small notebook and pencil. Lunch will be provided.

Readings


Assignment
Each forest team must turn in legible, completed plot forms from the forest mensuration work before departing Lothlorien in the afternoon.
**September 26:**  
*Complex Social-Ecological Systems; Progress in IFRI Case Study Research*  
Monday 2-5 p.m., 513 N. Park  

**Guest Lecturer:** Elinor Ostrom  

**Class Themes**  
- Challenges of analyzing and building sustainable social-ecological systems  
- Discussion of fieldwork findings and questions, identification of gaps in data  

**Assignment**  
Based on the readings, write two typed questions suitable to ask Elinor Ostrom (you may ask for clarifications on the readings, further information, or ask about any issue in the readings that seems puzzling or needs expansion). Hand in at end of class.  

**Readings**  
Fréchette, A. and N. Lewis. 2011. “Pushing the boundaries of conventional forest policy research: Analyzing institutional change at multiple levels.” *Forest Policy and Economics*. Corrected proof online:  

http://www.sciencemag.org/cgi/content/full/325/5939/419


**September 28:**  
*Further Considerations of Research Design and Hypothesis-Testing; Lothlorien Case Study Progress*  
Wednesday 2-5 p.m., 513 N. Park  

**Class Themes**  
- Examples and challenges of research designs within and beyond IFRI  
- Hypotheses testing  
- Work on IFRI Forms  
- Discussion of progress in IFRI case study research  

**Assignment**  
Bring 2-3 typed hypotheses that could be explored using IFRI data. Due at class time.  

**Readings**  
Cardenas, Juan-Camilo. 2001. "Introducing Field Experiments into the IFRI Research Strategy (A Research Proposal)."

http://www.ecologyandsociety.org/vol15/iss4/art9/


*The take home Mid-term will be distributed at the end of class. It is due by 5:00 p.m. on Friday, September 30.*

**September 30 FRIDAY**
*Midterms Due at 5 p.m. Submit digitally to Oncourse/Assignments AND by Email to tuckerc@indiana.edu.*

**October 1 SATURDAY**
*Forest Mensuration Work*
Sat. 8:30 a.m. - 5:00 p.m. Meet at Workshop parking lot (513 N Park).

Come dressed for work in the forest. Bring a small notebook and pencil. Lunch will be provided.

**Assignment**
Each forest team must turn in legible, completed plot forms from the forest mensuration work before departing Lothlorien in the afternoon.

**October 3**
*Theoretical Conundrums and Progress in Understanding Forest Governance, Collective Action and Ecological Outcomes*
Monday 2-5 p.m., 513 N. Park

**Class Themes**
- Discussion of theoretical conundrums related to collective action for forest management
- Issues and progress in the case study
- Work on IFRI form completion

**Assignment**
Write two or more typed questions or analytical comments regarding the readings. Hand in at beginning of class. (Address at least two of the readings).

**Readings**


Recommended


**October 5:**
*Types of Analysis and Hypotheses; Permanent Plots vs. Variable Plots*
Wednesday 2-5 p.m., 513 N. Park

**Guest Lecturer:** Burney Fischer

**Class Themes**
- Discussion of hypotheses for the present and past studies
- Comparability of forest data
- Permanent vs. variable forest plots in longitudinal studies
- Parametric and non-parametric statistics
- Types of variables and types of analysis
- IFRI form completion

**Assignment**
Submit a typed list of 2-3 specific hypotheses to explore for the Lothlorien case study.

**Readings**


Meretsky, Vicky. 2001. "Introduction to Biometrics for IFRI." Unpublished manuscript. SPEA.


**Recommended**

**October 10: Lindley Hall 025 Computer Lab**
*Computer Session: Statistical Analysis of IFRI Data*
Monday 2-5 p.m.
Class Themes
- Practice session using Excel and SPSS for data analysis
- Address questions concerning the completion of IFRI forms for this case
- Discuss outline for case study report

Assignment
Visiting Scholars’ research proposals are due on Oncourse and in hard copy at class time. (Proposals will be available to the whole class through Oncourse).

Reading

**October 12: Lindley Hall 025 Computer Lab**
*Creating and Testing Hypotheses*
Wednesday 2-5 p.m.

Class Themes
- Statistical analysis of hypotheses for case study using forest data collected during fieldwork.

Assignments
**Turn in completed IFRI forms at beginning of class**
Turn in case study outline
Discuss hypotheses and run statistical tests with current forest data

**October 17:**
*Visiting Scholars’ Presentations; Discussion of Case Study Analyses and Write-up Progress*
Monday 2-5 p.m., 513 N. Park

Class Themes
- Visiting Scholars’ presentations and discussion
- Discussion of writing the case study report

Assignment
Come prepared to discuss challenges related to writing the case study report. Read visiting scholars’ research proposals.

**October 18 TUESDAY:** First draft of the case study report is due at 5 p.m. To be placed on Oncourse for everyone to read before class time on October 19.

**October 19:**
*Discussion of First Draft of the Case Study*
Wednesday 2-5 p.m., 513 N. Park

Class Themes
- Discussion of revisions for the first draft of the report.

Assignment
Prepare comments and recommendations for revising the first draft of the case study report.
October 24:
*Visiting Scholars’ Presentations, Report Revision Progress & Course Improvement Discussion*
Monday 2-5 p.m., 513 N. Park

**Class Themes**
- Visiting Scholars’ research proposal presentations
- Discussion of any questions related to revisions of the case study report
- Course improvement discussion

**Assignments**
Graduate students will be prepared to discuss visiting scholars’ proposals
Discussion of course improvement
Be prepared to discuss any unresolved questions on the case study revisions

**Readings**
Visiting Scholars’ Research Proposals

October 25 TUESDAY: Second draft of the case study report is due at 9 p.m. To be placed on Oncourse for everyone to read before class time on October 26.

October 26:
*Discussion of Second Draft of the Case Study Report and Course Summary*
Wednesday 2-5 p.m., 513 N. Park

**Class Themes**
Suggestions for edits and revisions for the case study report will be discussed. **Final draft is due Monday, November 21 at 5 p.m.**

Concluding remarks

**Assignment**
Read second draft of the case study report prior to class and come with comments and recommendations to discuss during class.

**Special Notes**
Class reception will follow.

November 18, 2011:
**Final Draft of the Case Study Report Due at 5 p.m. to Oncourse/Resources/Final Report AND in hard copy. Include a CD-ROM of all text, data (any analysis not in the IFRI database), figures, tables, maps, GIS coverages and .info files.**

**General Expectations for written work:**
- Legible font (e.g., Times New Roman 12pt, Arial 11 pt, Calibri 12 pt, Verdana 11 pt)
- Unless otherwise specified, line spacing is your choice: single, 1.5 or 2-spacing is acceptable. **Double space the case study report.**
- 1” margins on all sides
- Include your name on each page
- Page numbers at bottom center (only if more than 1 page long)
- Indent each paragraph
In Text citations: provide author and date (Smith 2000). Add the page number if the information is quoted or specific to a page (Smith 2000:19).
Follow the Chicago Manual of Style to resolve questions of writing and usage.
Use the American Anthropologist reference style.
Staple pages together
If possible, print out double-sided pages to save paper
Keep a copy of each paper/assignment for your own records
Written assignments must be submitted in hard copy at class time, and submitted digitally to Oncourse before class on the due date (except for handwritten jot notes).

Grading:
A = 93-100%  
A- = 90–92.9%  
B+ = 87-89.9%
B = 83-86.9%  
B- = 80-82.9%  
C+ = 77-79.9%
C = 73-76.9%  
C- = 70-72.9%  
D+ = 67-69.9%
D = 63-66.9%  
D- = 60-62.9%  
F = below 60%

Late submissions of assignments will be discounted 10% of the total possible points per day. This is only fair to those in the class who made every effort to meet deadlines, otherwise they would be disadvantaged relative to those who took more time.

Oncourse:
Grades, handouts, assignment instructions and Powerpoint presentations will be posted to Oncourse.
Students are expected to post digital copies of their work to Oncourse/Resources unless otherwise indicated.
Do NOT use Oncourse to send messages to the professor, because it is impossible to send a reply to you directly, and your email address is not visible to the instructor by this route.

Policy for Emergency Situations:
If you have a medical or personal emergency that prevents you from attending class, coming to fieldwork, or completing an assignment on time, let the professor know immediately. Reasonable adjustments will be made with proper documentation of the emergency. Medical conditions must be documented by a doctor’s note. Family emergencies or deaths should be documented by appropriate authority (counselor, obituary...).

Policy on Plagiarism:
Plagiarism in written assignments (i.e. the copying of material without citation of the source) is unacceptable behavior in the university. It will lead to a zero on the assignment or examination if they are of a minor nature, and to a fail grade in the course in cases of extensive cheating (i.e. more than two sentences copied without attribution).

Recommended for Your Library


